INTERNATIONAL LABOUR ORGANIZATION

Sectoral Activities Department

Handbook of good human resource practices in the teaching profession

INTERNATIONAL LABOUR OFFICE, GENEVA

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Foreword

Teachers are recognized as key to educational quality and success in any society's education system. Understanding the importance of human resource policies and practices in the process of recruiting, retaining, professionally supporting and providing the proper working environment for sufficient numbers of teachers that meet the needs and expectations of quality education for all – in essence creating a Decent Work agenda for these highly valued professionals – the ILO Governing Body mandated the ILO's Sectoral Activities Department to prepare a toolkit on good human resource practices for the teaching profession. The toolkit should be based on and seek to integrate in one comprehensive publication a number of elements relevant to this theme as explained in the Introduction, including international standards and recommendations specific to teachers and international labour standards developed by the ILO, findings and conclusions of ILO sectoral meetings on education and training, as well as those of the Joint ILO/UNESCO Committee of Experts on the Application of the Recommendations concerning Teaching Personnel (CEART), ILO practical experience and principles in ongoing HRD policies and practices, and not least, good practices and policies in a wide range of ILO member States.

A first version of the toolkit was reviewed in November 2009 by an inter-regional tripartite workshop representing the ILO's tripartite constituency – experts in human resource planning and management from selected Ministries of Education and from national and international Employers' and Workers' organizations, the latter including teachers' unions. The workshop made suggestions to revise and improved the initial drafts, requesting additional modules and design approaches to enhance the value to constituents and education stakeholders in ILO member States. In the process of revising and improving the original texts, the ILO concluded that the toolkit should be considered more of a reference Handbook on policy and practice, hence the published title.

A publication of this kind that seeks to be of value to users in widely divergent countries, cultures and education systems inevitably must not be considered the definitive word on the subject. It must also be taken as a work in progress, to be updated and improved as the policies and practices that define the teaching profession evolve. Nevertheless, it is our expectation that this Handbook will assist a wide range of ILO constituents and education sector stakeholders to reflect on and work to improve conditions for teachers everywhere.

Ms Alette van Leur
Director
Sectoral Activities Department

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Abbreviations and acronyms

ARV	antiretroviral treatment or therapy
CEART	Joint ILO/UNESCO Committee of Experts on the Application of the Recommendations concerning Teaching Personnel
CPD	continual or continuing professional development
CSR	corporate social responsibility
CTRP	Commonwealth Teacher Recruitment Protocol
DIALOGUE	Industrial and Employment Relations Department of the ILO
EFA	Education for All campaign/framework/goals
EI	Education International
EMIS	Education Management Information Systems
IIEP	UNESCO International Institute for Educational Planning
GMR	Global Monitoring Report
HRD	human resource development
HRM	human resource management
ICT	information and communications technology
ILO	International Labour Organization
INSET	in-service education and training
IQMS	Integrated Quality Management System
ITT	initial teacher training
MAA	mutual aid associations
MDG	Millennium Development Goals
MoE	Ministry of Education
NGO	non-governmental organization
NORMES	International Labour Standards Department of the ILO
NQT	newly qualified teacher
OECD	Organisation for Economic Co-operation and Development
Ofsted	United Kingdom Office for Standards in Education

PPA	planning, preparation and assessment time
PRA	personal retirement accounts
PTR	pupil–teacher ratios
QTS	qualified teachers status
SECTOR	Sectoral Activities Department of the ILO
SRI	socially responsible investment
TAFE	technical and further education
TESSA	Teacher Education for Sub-Saharan Africa
TISSA	Teacher Training Initiative for Sub-Saharan Africa
TMIS	Teacher Management Information System
TVET	technical and vocational education and training
UNESCO	United Nations Educational, Scientific and Cultural Organization
WEI-SPS	World Education Indicators Survey of Primary Schools

Introduction

1. Appropriately qualified, well-supported and remunerated, highly motivated teaching personnel working in a stimulating teaching and learning environment are the most important element of any education system. The status of teachers and public esteem for the teaching profession are crucial to high-quality education delivery. As international standards adopted already in the 1960s emphasize, teaching is a profession requiring expert knowledge and specialized skills, acquired and maintained through rigorous, ongoing education and training, and a sense of personal and collective responsibility for the education and welfare of learners. Teachers who benefit from equitable, enlightened human resource management and policies deliver better education and stay in the profession longer, reducing staff turnover and the associated costs and problems for education managers.

2. Unfortunately, the idea that anyone can be a good teacher is a myth that still haunts national education systems across the globe. Too often, teachers' work and employment conditions, the importance of a coherent framework of career and professional development and the idea that teachers' voices, individually and collectively, need to be clearly heard in educational decision-making are neglected or underestimated by education planners and policy makers. This handbook seeks to redress the balance in favour of policies and practices that aim towards effective recruitment, career, professional support, and terms and conditions of employment for teachers. It provides information on good practices, practical tools and suggested policies for all those responsible for human resource management and development of education workers, whether at planning, policy or delivery level.

3. Human resource practices of this kind will be comprehensive in scope, integrating: initial training; comprehensive professional development throughout a teaching career; employment practices which encourage the recruitment and retention of well-qualified, highly motivated candidates, including (but not limited to) salaries comparable to those of similarly trained professionals; teaching and learning conditions that encourage quality learning; and teachers' participation in education decision-making by means of consultation and negotiation.

4. This handbook is based on the guiding principles of international standards specific to teachers, including the ILO/UNESCO Recommendation concerning the Status of Teachers (1966, Appendix I) and the UNESCO Recommendation concerning the Status of Higher Education Teaching Personnel (1997: Appendix II). Appropriate international labour standards applicable to professional workers such as teachers underpin the handbook, which also integrates good practice and principles from contemporary human resource management and development, and ILO practical experience.

5. International and national human resource development experts have assisted the ILO's Sectoral Activities Programme in developing the handbook. An initial set of modules was reviewed at an interregional workshop composed of ILO constituents (representatives of government Ministries of Education and Labour, private sector employers and teachers' organizations) and resource experts in November 2009. The workshop recommended revisions to the modules, advised on the development of additional modules and suggested means by which the handbook should be disseminated and promoted among ILO constituents and educational stakeholders.

6. The handbook draws upon experiences and good practices in a wide range of ILO member States, giving a large number of examples of good practice and lessons learned. The methods it outlines are intended to be applicable to all schools and education systems, and

to be adapted to accommodate differences in resource availability, culture, ethnicity, gender, political and governance structures. Checklists, questions for reflection and text boxes illustrating country good practices and experiences provide opportunities for users to engage with and reflect on the content and to apply to their own education systems the principles and concepts set out herein.

7. Module 1 presents the recruitment and employment of teachers, based on the principles of equal opportunity, non-discrimination and professional competence. Module 2 further develops themes on conditions of employment, including leave entitlement and career development. Module 3 discusses the professional roles, responsibilities and accountability of teachers, while Module 4 examines the work environment, including hours of work and workload; class size and pupil–teacher ratios; and issues of health and safety. The question of teacher reward, salaries and incentives policies is discussed in Module 5, while Module 6 deals with the question of social security. Module 7 considers social dialogue and labour relations within the teaching profession. Questions regarding initial and further teacher education and training are examined in Module 8.

8. The relevant international Recommendations and standards are provided as appendices.

Glossary

Appraisal (or performance appraisal or review)

A method by which a teacher's job performance is evaluated, as part of assessing teaching effectiveness or as part of guiding and managing career development.

Attrition

The reduction of the workforce due to voluntary and involuntary terminations of employment, deaths and employee retirements.

Benefit

Financial or non-financial compensation related to employment in addition to base salary, such as allowances for housing, transport, health care, insurance, retirement, day care, sick leave or other forms of social protection, funding of education, etc.

Certification (teacher certification or licensing)

The process of earning qualifications or credentials and the recognition by the relevant education authority of such achievements that allows a teacher to teach in certain subject areas at a specific educational level.

Collective agreement

A written agreement regarding working conditions and terms of employment concluded between one or more employers or employers' organizations, on the one hand, and one or more representative workers' organizations or duly elected representatives of the workers, on the other.

Collective bargaining

All negotiations which take place between one or more employers or employers' organizations, on the one hand, and one or more workers' organizations, on the other, for determining working conditions and terms of employment or for regulating relations between employers and workers. For the purposes of this handbook, workers are understood to mean teachers or other education staff as cited.

Continuing (continual) professional development (CPD)

The process by which teachers reflect upon their professional skills and practices, maintain and develop them further through study or training.

Contractual teachers (also known as “para” or paraprofessional, auxiliary, contract or community teachers)

Teachers recruited on a temporary, contractual basis, often as a response to difficulties in recruiting sufficient numbers of qualified teachers, or to meet budgetary restraints. They are almost always less well-trained and paid, and have less job security, than permanent or civil service teachers.

Cost-of-living index

A price index which measures the relative cost of living over time or regions by recording differences in the prices of goods and services.

Cross-border recruitment

The recruitment of teachers from other countries as a response to a local or national teacher shortage.

Decent work

Work that is dignified, equitable, productive and delivers a fair income. Decent work includes security in the workplace; social protection for workers and their families; prospects for personal development and social integration; freedom for people to express their concerns, organize and participate in the decisions that affect their lives; and equal opportunities and treatment for all women and men.

Deployment

The placement or allocation of teachers to positions within an education system and across a region or nation.

De-skilling

The process by which highly skilled, well-trained teachers are replaced by less- or un-skilled teachers with less, minimal or no professional training, resulting in the lowering of educational standards and the status of the profession.

Direct discrimination

Less favourable treatment explicitly or implicitly based on one or more prohibited grounds, including ethnicity, race, religion, political opinion, sex, disability, age, sexual orientation, national extraction, social origin (including caste), circumstances of birth or on the grounds of membership in a group or organization.

Double-shift teaching

Where the supply of schools (and/or teachers) is inadequate to provide single shift schooling for all pupils, teachers teach pupils in two shifts, one in the morning, the other one (usually) in the afternoon.

Financial incentives

Additional financial compensation to base salary intended to encourage acceptance of work assignments in certain geographic areas or subjects, or to motivate and reward teachers or other staff for their performance.

Flexible working hours

Schedules that allow education employees to structure their work hours around their personal responsibilities, such as through part-time work, job sharing or a compressed workweek.

Freedom of association

The right of workers and employers to freely establish and join organizations of their own choosing, including trade unions, without any distinction, previous authorization or interference, and subject only to the rules of the organization concerned.

"Ghost" teachers

Deceased, retired, or otherwise non-serving teachers, whose names continue to appear on payrolls, where their salaries are fraudulently collected by others.

"Golden hellos"

One-off payments made as an incentive to attract new recruits to the teaching profession, particularly in designated shortage subjects.

Hardship allowances

Allowances paid to teachers who work in remote, inaccessible or difficult to staff schools, in areas of extreme poverty or in difficult or dangerous conditions, such as conflict or post-conflict zones.

Incentives

Financial or non-financial rewards designed to motivate individuals to accept a particular job or responsibility or to achieve certain objectives.

Indirect discrimination

Occurs when the same condition, treatment or criterion is applied to everyone, but results in a disproportionately harsh impact on some persons on the basis of characteristics such as race, colour, sex or religion.

Induction

The process of supporting and training a teacher during the first few years of teaching or the first year in a particular school.

Initial teacher training

See pre-service teacher training.

In-service education and training (see also continuing professional development)

The process by which teachers engage in further education or training to refresh or upgrade their professional knowledge, skills and practices in the course of their employment.

Job sharing

A type of flexible work where two people share the same employment position.

Labour unions

See trade unions.

Licensing

See certification.

Mentoring

A one-to-one process between an experienced and a newly qualified teacher, whereby the former provides support, advice and informal training to the latter.

Multi-grade teaching

A system where a single teacher is responsible for learners in two or more curriculum grades (sometimes for a whole school) at the same time.

Negotiation

A process in which two or more parties with common and conflicting interests come together and talk with a view to reaching an agreement.

Non-financial incentives

Incentives in the form of benefits. See incentives.

Paraprofessional or “para” teachers

See contractual teachers.

Performance review or appraisal

See appraisal.

Pre-service training (initial teacher training/education)

Teacher education before entering a classroom or other educational site as a fully responsible teacher.

Probation

A fixed-duration trial period before entering full-time permanent employment.

Professional licensing

See certification.

Retention

The ability of an education system or organization to retain its teachers or other education staff. The term may refer to the strategies employers adopt to retain employees in their workforce, as well as the outcome.

Returners (returning teachers)

Experienced teachers who come back to teaching after a break in their career (often to undertake family responsibilities such as bringing up children).

Security of tenure

Job security, with protection from dismissal, except in specified circumstances, for teachers who have successfully completed a probationary period.

Self-service human resource (HR) administration

Internet-based applications which allow teachers and other education staff to perform remotely a range of HR functions, such as personal data updates, applying for transfers or calculating benefit entitlements.

Teacher certification

See certification.

Teacher gap

The difference between the number of teachers currently employed and the number needed to ensure education for all learners within defined pupil–teacher ratios and other variables.

Tenure

See security of tenure.

Trade unions (labour unions)

Organizations of workers/employees established for protecting or improving, through collective action, the economic and social status of their members.

Work–life balance

Having a measure of control over when, where and how an individual works, leading to their being able to enjoy an optimal quality of life inside and outside paid work.

Module 1: Employment and recruitment

1. Introduction – Basic principles

1. This module lays out basic principles to be applied in the recruitment and employment of teachers and identifies examples of good practice in these areas. Principles of equal opportunity, non-discrimination and professional competence are crucial to attracting and retaining able, committed and motivated individuals in the teaching profession. The same principles are fundamental to creating and maintaining widespread respect for the profession.

2. Drawing on the principles of the ILO Discrimination (Employment and Occupation) Convention, 1958 (No. 111), the ILO/UNESCO Recommendation concerning the status of teachers, 1996 (Appendix I) urges that "all aspects of the preparation and employment of teachers should be free from any form of discrimination on grounds of race, colour, sex, religion, political opinion, national or social origin or economic condition" (1966: paragraph 7). Subsequent advances in the understanding of human rights [1] require these processes should also be free from discrimination on the basis of ethnicity, caste, language, sexual orientation, family responsibilities, maternity, HIV status, disability or age.

3. Discrimination can be direct or indirect. Whilst national legislation may outlaw direct discrimination (failing to recruit a candidate because they belong to a particular group), those responsible for recruitment should also be aware of the need to avoid indirect discrimination (where the same criteria are applied to all candidates but members of some groups are disadvantaged by their use). For example, where recruitment criteria are based entirely on academic qualifications in a context where the education system has traditionally favoured male pupils, female teachers are less likely to be recruited.

4. In some cases, unequal access to the profession for certain groups in the past has led to a lack of diversity, in terms of gender or ethnic origin for instance. In order to ensure equality of opportunity, promote diversity and recruit the people best suited to particular roles, positive or affirmative action may be necessary. Examples of positive action are suggested in boxes 1 and 2.

Box 1
Checklist of positive action scenarios and actions

- recruiting the candidate from the under-represented group where two candidates are equally qualified;
- improving selection criteria which disadvantage a particular group;
- providing specific development or training for members of an under-represented group to ensure equal opportunity for all candidates;
- setting targets (not the same as quotas) for recruitment from certain groups in the future.
- automatically short listing for interview candidates from an underrepresented group who fulfil the basic criteria for a post.

[1] For example, UN International Covenant on Civil and Political Rights, Articles 2627; ILO Declaration on fundamental principles and rights at work, 1998, Protocol 12 to the European Convention for the protection of Human Rights and Fundamental Freedoms

Box 2
Positive action in the recruitment of disabled primary teachers in the United Kingdom

East Sussex County Council in the UK is committed to equality of opportunity. It's Equality of Opportunity in Employment Policy states that all applicants are to be treated fairly, and selection for appointment is to be based solely on a person's ability to do the job. Its primary teacher pool application form states: "Everyone is unique, owing to differences in age, gender, ethnic origin, religion, sexual orientation, ability etc. The County Council aims to treat these differences positively, recognising that diversity creates a strong, flexible and creative workforce". The application form also asks candidates to declare any disability, and states: "Where an applicant has a disability and they meet the essential criteria of the post they are automatically short listed for interview. This positive action helps ensure people with disabilities get their fair share of jobs".

Source: East Sussex County Council, Children's Services, Primary Teacher Pool Application – Form TS2.

5. To accelerate more equality of opportunity, repair historical patterns of discrimination and ensure recruitment of under-represented groups, particularly in rural and remote areas, even more direct strategies have been applied, including use of teacher training quotas. These may include relaxed entry requirements to initial training programmes for women and people from ethnic minorities or lower castes as for example in countries of South and South–East Asia (UNESCO, EFA GMR. 2009: p. 175; UNESCO, EFA GMR. 2010: p. 197). Such policies need to be viewed as exceptional and targeted to specific objectives where even positive action measures indicated in box 1 have not proven successful. Use of quotas and similar policies have been criticized for simply repeating discrimination and if used indiscriminately as part of recruitment strategies, risk undermining high professional standards.

6. Decisions regarding professional qualification, recruitment and employment of teachers (including access to vocational training, access to employment and to particular occupations, and terms and conditions of employment) should be made on the basis of professional competence. Where decisions, exclusions or preferences in respect of a particular job are based on genuine occupational requirements (the inherent requirements of that job) this is not deemed to be discrimination. Recruiting teachers on the basis of professional competence is a key to both providing good quality education and to maintaining a teaching profession which is held in high esteem. This should not be used as a pretext for failing to recruit from certain groups. However it does mean that policy makers and recruiters to teacher training programmes may need to offer particular support to candidates who are considered to have the potential to develop a high level of professional competence but whose background has been a barrier to developing some of the requisite skills.

Box 3
Pause for reflection

Which of the following scenarios are examples of positive action; which are examples of positive discrimination?

1. To achieve gender parity amongst teachers, a local education authority wishes to recruit more female student teachers, so designs a recruitment campaign using posters and billboards to target female school leavers in particular, in the hope of boosting the number of female applicants.
2. To achieve gender parity amongst teachers, a local education authority wishes to recruit more female student teachers, so decides to admit 80 per cent female and 20 per cent male candidates, regardless of ability, to teacher training college for the coming academic year.
3. To recruit more teachers from an under-represented ethnic group, a local education authority sets a mandatory quota to recruit 40 per cent trainee teachers from that group during the current recruitment period, regardless of their performance in the recruitment process.
4. To recruit more teachers from an under-represented ethnic group, a local education authority sets a target to achieve 40 per cent trainee teachers recruited from that group within the next three years, and puts in place preparatory training for the recruitment process, targeting potential candidates from that group.

1 and 4 are examples of positive action, and good practice in promoting equal opportunities; 2 and 3 may be considered examples of positive discrimination, which should be avoided.

7. The module begins by examining recruitment strategy, policies and management, including a presentation of education or teacher management information systems (EMIS, TMIS). It considers professional licensing and credentials and the licensing authorities, including discussion of alternative routes, re-entry to teaching after a break and cross-border recruitment of teachers. The module presents the recruitment process, probation and security of tenure before examining the questions of the posting, deployment, rotation and transfer of teachers, including deployment to remote and rural areas. It addresses the induction of newly qualified and returning teachers, including mentoring programmes. Service conditions for women and men with family responsibilities are discussed, including maternity protection and provisions for care of children and other dependants. The module examines part-time service, including job sharing arrangements, before focussing on the issues regarding replacement or substitute teachers. The question of contractual, auxiliary and "para" teachers is presented in some detail before an examination of policies for teacher retention. The module ends by examining focussing on questions regarding the recruitment and employment of school managers.

1.1. Recruitment policies and management

1.1.1. National recruitment strategy to meet all current needs in quantity and quality of teachers

8. An estimated 1.9 million additional teachers will need to be recruited worldwide in order to achieve Universal Primary Education by 2015 (although this situation is evolving in the right direction, since the 2008 estimate of a teacher gap of 18 million) (UIS, 2010; ILO/UNESCO CEART, 2009). These needs vary significantly between regions, with more than half of the additional teachers needed in sub-Saharan Africa (1.06 million), where demand for new recruitment by 2015 is almost as much as the current teaching force) (UIS, 2010).

9. Overall, as of 2008, 99 (48 per cent) countries need to increase their primary teaching stock, whereas 108 (52 per cent) do not, according to these estimates (UIS, 2010). On average, the teaching force needs to be expanded by 2.6 per cent annually, although this figure is much higher in certain countries and regions, and reaches 6.3 per cent in sub-Saharan Africa in order to fill additional posts, replace teachers who leave the teaching force and make up for years of under-recruitment in many countries. Shortages in this region are due to many factors but in part have resulted from restrictions imposed as a result of fiscal and budgetary constraints, some due to international financial institution policies discouraging public sector hiring, including that of qualified teachers despite high enrolment increases and persistent shortages (Education International, 2007a).

10. In such situations, governments need to develop costed education strategic plans, including projections of the number of teachers to be trained and recruited each year, based on current and projected student populations. Plans will take account of factors such as current and projected teacher attrition and retirement rates, demographic trends, current and planned pupil-teacher ratios (PTR) and the impact of increased primary school enrolment on future demand for secondary school places. Planning teacher recruitment in sufficient quantity should be closely associated with maintaining and, where necessary, improving teacher quality: to maximize effectiveness, recruitment planning needs to be closely integrated with planning pre-service and in-service teacher training and continuing professional development (CPD) and with attraction and retention strategies (see also 8.1, 8.5).

11. A key to motivating and retaining well-qualified teachers is to offer clear career paths and genuine career development options, associated with good work–life balance and general conditions of service, including sufficiently attractive salaries (see module 4, in particular 4.2.1). The ILO/UNESCO Recommendation affirms a basic teacher recruitment and retention axiom: that "improvements in the social and economic status of teachers, their living and working conditions, their terms of employment and their career prospects are the best means of overcoming any existing shortage of competent and experienced teachers, and of attracting to and retaining in the teaching profession substantial numbers of fully qualified persons" (1966: paragraph 145). The most effective teacher recruitment strategies emphasize a comprehensive package that may vary one or more of these factors, and take account of the evidence that individuals choosing to become teachers in many countries also respond to intrinsic factors, such as the desire to work with children or to contribute to society (OECD, 2005). Experience over the years shows that such application of these guidelines are the key to solving shortages (box 4).

Box 4
Attracting and retaining qualified teachers: Finland and the Republic of Korea

In Finland, education and the teaching profession are reported to be held in high regard, with large numbers of applications to become teachers and, with only a few exceptions in some subjects, virtually no teacher shortages. International assessments based on standard testing in recent years consistently rank Finland's students at or near the top in languages and mathematics achievements. Finnish teachers do not make relatively high salaries compared to average incomes, but they are trained to very high levels (master's degree), enjoy good working conditions and career prospects and have a high degree of professional autonomy that provides job satisfaction.

In the Republic of Korea, teacher salaries are high and so are pupil-teacher ratios, but the overall esteem in which teachers are held encourages high numbers of teacher candidates, with only one in five being hired to teach. This has raised the opposite concern, that talented students are reluctant to enter teacher education

Source: Finland, 2003; OECD, 2005.

12. Recruiting teachers willing to serve in remote and/or disadvantaged areas is a critical challenge in many countries and often requires coherent, well-integrated policies (see also 1.6.2; and 2.6.2). Policies in some countries recognize the difficulties by tying initial training and recruitment with requirements to serve in such areas on initial appointment (box 5, see also initial assignments, 1.6.2). Mandatory deployment of new teachers in understaffed schools as part of their national service is a variant of such an approach.

Box 5
Strategies for recruiting teachers to rural and remote areas in African countries

Two strategies for addressing teacher shortages in rural and remote areas adopted with some success in Africa are deploying new recruits in rural and remote areas, and recruiting candidates from the target area, who will speak the local languages and not face problems finding suitable accommodation.

In **Madagascar** new recruits have been sent to rural locations and to difficult areas: in recent years, new teacher postings have mainly concerned the most remote rural areas.

Eritrea also practices deployment of new recruits in rural areas. After a time of teaching, teachers can request transfer to more attractive areas.

Malawi is moving in the same direction: on applying for a place in a teacher training institution, applicants are informed that they will be assigned to remote areas. In principle, this should ensure that most future teachers would be ready to accept a post in a remote rural area. Malawi also envisages establishing quotas per district amongst teacher training college applicants to facilitate the deployment of newly trained teachers to their home locality.

In **Central African Republic**, it was decided to set up provincial training centres that recruit locally; the individuals who join these centres know that they will necessarily be assigned to that province. This has made recruitment easier in the provinces.

Source: UNESCO, 2009.

13. Such a strategy is not without problems, since it is systematically the least experienced teachers who go to the most difficult areas. To be effective, it is advisable for rural postings to be a transitory measure and a natural part of the career plan (Gottelmann-Duret, 1998, cited in UNESCO, 2009) so that teachers do not feel "stuck" in these posts for their whole career but see them as a way of obtaining a more desirable job eventually. Strategies are needed to ensure that a variety of teachers apply for and accept these posts, not only the least qualified/experienced. Mentoring by more experienced teachers and head teachers can help manage these teachers and foster their CPD (UNESCO, 2009) (see also the example of China in 2.6.2).

14. Recruiting from marginalized groups to promote positive identities, combat discrimination and ensure children learn in their first language is based on evidence that teachers from ethnic minorities have been found to be more motivated to stay in remote areas. Locally recruited teachers are also reported to have lower attrition rates and be more attuned to the school cultural environment (Benveniste et al., 2007). Cambodia has reportedly used such approaches with some success (box 6).

Box 6
Remote area teacher recruitment in Cambodia

The Ministry of Education Youth and Sport has waived Grade 12 entry requirement for teacher training for candidates from areas where upper secondary education is unavailable. Scholarships are provided to students from poor families and ethnic minorities, in order to extend the potential applicant pool and attract into teaching candidates who already have strong ties to underserved communities and are more likely to "return home" and accept long-term postings upon graduation. This strategy has begun to pay off in the staffing of rural primary schools with qualified teachers.

Source: Benveniste et al., 2007, p. 37.

15. In a context of national teacher shortages, ultra-national (cross-border) recruitment of teachers presents both opportunities and challenges. International teacher migration and the professional and cultural exchanges it allows are of value to both education services and to teachers themselves. However the loss of skilled, qualified teachers can have a negative impact on education systems, particularly in developing countries and "smaller countries trying to maintain national schooling systems and striving to reach the goals of universal primary education by 2015" (Keevy, 2008). The *Commonwealth Teacher Recruitment Protocol* (CTRP) seeks to balance teachers' right to migrate internationally on a temporary or permanent basis against the need to protect the integrity of national education systems and to prevent the exploitation of the scarce human resources of poor countries. The CTRP sets out good practice in cross-border recruitment and rights and responsibilities of both recruiting and source countries (box 7).

Box 7
Good practice in cross-border recruitment: The Commonwealth Teacher Recruitment Protocol, 2004

Both recruiting and source countries should manage teacher supply and demand within the context of organized recruitment which includes effective strategies to improve the attractiveness of teaching as a profession, and to ensure the recruitment and retention of teachers in areas of strategic importance.

- Recruiting and source countries should agree on measures to mitigate the harmful impact of cross-border recruitment.
- Terms and conditions of teachers should include provision for release of teachers under international exchange and organized teacher recruitment arrangements and for their subsequent reintegration into the source-country education system.
- Recruiting countries should observe guidelines for acceptable recruitment, such as ensuring teachers are not recruited during the course of the source country's academic year, to avoid disruption of teaching programmes, and obtaining a clearance certificate from a source country prior to concluding a contract of employment; this should not be unreasonably withheld (for more details of guidelines, see CTRP, 2004).

Source: CTRP, 2004.

16. The question of recognition of prior teaching qualifications, credential and certification by the recruiting country is a complex one which teachers contemplating migrating should investigate fully before making a decision (see 1.2.5).

1.1.2. Education or teacher management information systems (EMIS–TMIS)

17. Computer-based Education Management Information Systems (EMIS) allow the systematic collection, organization and analysis of information relating to the management and development of education systems, facilitating planning, monitoring, resource allocation, decision-making and policy formation. They can include and integrate data relating to many aspects of an education system: schools (number, location and material conditions), students (by age, sex, educational level etc.) and teachers. Likewise Teacher Management Information Systems (TMIS), which should be integrated within any wider EMIS if it exists, have the potential to assist and enhance the human resource (HR) management and career development of teachers. TMIS may include data relating to all aspects of the teaching force, from qualifications and employment history to details of appraisals and personal development goals and objectives and can therefore be used to plan recruitment, deployments, transfers and training, as well as for HR administrative functions such as payroll and pensions. Computer-based systems also allow self-service administration of certain HR functions (e.g. applying for study or maternity leave, applying for transfer or promotion) by teachers themselves.

18. Despite the many opportunities offered by computer-based EMIS and TMIS, many countries have had unsatisfactory experiences using them, in some cases leading to their being abandoned altogether. This is because their satisfactory implementation, use and maintenance depend on a number of absolutely essential conditions (see also box 8):

- Data must be reliable and consistent and be collected, processed and updated in an accurate, timely manner (this is particularly challenging in contexts of weak institutional capacity, limited resources and commitment); without reliable, up-to-date data, information is meaningless, so a realistic assessment of the possibility of obtaining and maintaining suitable data should be made before opting for an EMIS.

- Effective training and on-going technical support must be available to users at all levels (HR admin staff, teachers, education managers, policy makers, at national and decentralized levels) and in all geographical locations. Computer-based TMIS/EMIS systems require guaranteed, preferably 24-hour service with sufficient technical support to ensure continued maintenance, availability and confidence in their use.

- Systems used at different levels (decentralized vs national; MoE vs other government or public sector systems; payroll vs other personal data) must be compatible and integrated and use a single database.

- Political commitment, good governance and strong management are all critical to success, as systems require considerable resources and on-going commitment. Professionalism, accountability, efficiency and competence are essential to their functioning effectively (UNESCO, 2003).

- Local involvement and ownership are fundamental to EMIS development based on national education policy and needs, and to its support by national resources. If donor-funded international experts participate in EMIS conception and installation, they should work closely with national counterparts able to continue to develop and support the system to ensure long-term sustainability.

- Users and core professionals should be involved throughout the planning, testing, piloting and roll-out processes and their feedback used effectively.

- Organizational cultural must be able to embrace the principles and practice of data use, integration and sharing among departments, and of employees at different levels being empowered to access and use data.

- Data protection and security systems and polices on privacy and confidentiality must be put in place, understood and enforced (see also 1.3.3 and ILO 1997 Code of practice on the protection of workers' personal data; InfoDev, 2005; Hua and Herstein, 2003: 13).

- Once the data and information is available it can only be effectively used for education decisions if planners and policy makers have the training and capacity to use it effectively and are aware of all the potentialities offered by the EMIS.

- The costs of EMIS development, implementation and maintenance can be extremely high in terms of financial, material and human resources and time; they need to be realistically evaluated and planned for, and financial commitments assured over time.

Box 8
Checklist for institutions deciding whether to introduce an EMIS

1. Data quality: are the data available reliable, consistent and up to date enough for meaningful and efficient use within an EMIS?
2. Are human and financial resources available to provide effective training and on-going maintenance and technical support?
3. Is there political commitment to the introduction of an EMIS (and, if this is planned, to its integration with other information systems across different sectors of government and the use of a single data base)?
4. Is there sufficient local involvement and ownership for an EMIS to be based on national needs and supported by national resources?
5. Can users and core professionals be involved effectively at each stage of the design and implementation of an EMIS?
6. Is the organizational culture compatible with the introduction and effective use of an EMIS?
7. Can systems to ensure data protection, security, privacy and confidentiality be introduced and enforced?
8. Are human and financial resources available to train and assist planners and policy makers in EMIS use? Are planners and policy makers genuinely committed to using EMIS and being trained to do so?
9. Has the process been realistically costed and budgeted? Are sufficient human, material and financial resources available to plan, introduce and maintain the EMIS over time?

1.2. Professional licensing, credentials, councils

1.2.1. Professional standards/criteria for engagement as a teacher

19. Most countries use eligibility criteria for the engagement of teachers and/or recruitment of trainee teachers for pre-service teacher training (see module 8); these criteria vary widely. They may include qualifications, certification, citizenship, proficiency in the language of instruction, medical and security checks. Most countries take candidates' educational level or performance into account, and some use teaching skills as a criterion for selecting teachers, although (somewhat surprisingly) only 11 out of 21 OECD countries do so (OECD, 2005). Eligibility criteria should be drawn up so as to avoid indirect discrimination towards certain groups (see introduction to this module and 3.3). If specific criteria are used for posting teachers in rural and disadvantages areas, these should be designed so as to avoid sending inexperienced or vulnerable teachers to situations where adequate support is not available and should be applied using principles of non-discrimination and equal opportunities (see 1.6.2).

1.2.2. Licensing authorities, conditions and processes for certification/licensing

20. Teacher certification establishes entrance criteria for the teaching profession, setting national professional standards independent of teacher training institutions' own standards, although there should be some means to create coherence between the two where different. This function may be performed by:

- higher education institutions, such as teacher training colleges or universities;
- professional bodies such as teachers' councils composed of a representative sample of education stakeholders, including teacher associations or teachers unions;
- state authorities.

21. Certification may involve passing an examination or successfully completing a competitive recruitment process and/or successfully completing a period of probation or teaching experience. Examinations may include tests of subject matter knowledge, literacy, numeracy and ICT, observation of the candidate's teaching, in-depth interviews or consideration of portfolios recording work experience and achievements.

22. Certification processes should be based on transparent criteria and principles of non-discrimination and equal opportunities. Due process procedures should exist for candidates denied certification, who should have the possibility to be accompanied and supported throughout the procedure by a third party or professional body. If criminal background checks are used, candidates should have access to these and the possibility to appeal against incorrect information. Procedures for certification renewal and de-certification should also be available.

23. Examples of two approaches to these issues are provided in box 9.

Box 9
Certification or registration of teachers: examples of the United Kingdom (Scotland) and South Africa

Any teacher teaching in a **Scottish** state school has to be registered with the General Teaching Council for Scotland (GTC Scotland). Being registered allows someone to teach and also provides assurances to head teachers, parents and children that the teacher meets a national standard of teaching. Teachers pay a small annual registration fee. Teachers who have gained their teaching qualification in Scotland gain registration automatically. Teachers who have gained their teaching qualification in another country need to apply for exceptional registration and may have to undertake a period of probation.

In **South Africa**, every educator must register with the South African Council for Educators (SACE) before appointment to a teaching post; employers may not recruit an educator unless that person is registered with the Council. Registration is a considered a guarantee that teachers satisfy the ethical and standards contemplated in the South African Code of Professional Ethics for Educators and that they have the required academic and professional qualifications. A small one-off fee is payable for registration. Provisional registration is available in certain circumstances: for example if the Council has approved that a person be appointed to a teaching post on the grounds that there are no other suitably qualified teachers available. Students in their final year of a teaching qualification may apply for provisional registration with the Council.

Source: GTC, Scotland. SACE, South Africa.

1.2.3. Alternative entry routes

24. Some countries use alternative forms of certification to allow otherwise well-qualified candidates who have not completed a teacher training programme to begin teaching, in many cases to teach in schools that have difficulty attracting qualified teachers (Feistritzer, 2005). Alternative "fast track" certification programmes have the potential to recruit teachers from under-represented groups, including indigenous populations, ethnic minorities, and from other educational or professional backgrounds into the classroom. They are a pragmatic response to the teacher recruitment challenges experienced by hard-to-staff schools and in certain subject matters, or overall teacher shortages. Policy makers and those responsible for teacher recruitment considering the use of such policies should be vigilant with regard to the risk of de-skilling the teaching profession and devaluing public education (Glass, 2008). Whereas alternative entry routes can provide much-needed beginner teachers (box 10), provision should be made for their on-going training and CPD and for mentoring by more experienced colleagues, even if they have extensive experience in other fields or specialized subjects. Furthermore, "as a condition of continued employment such persons should be required to obtain or complete their qualifications" (ILO/UNESCO Recommendation, 1966: paragraph 144, /2; see also 8.2.2).

Box 10
Alternative Certification of Teachers from the United States: Teach For America

Teach For America (TFA) teachers are graduates from elite colleges who undergo a truncated teacher training process before going to teach in hard-to-staff schools, usually for two years. Recent research shows that their performance outcomes are better than other minimally trained or uncertified beginning teachers but worse than those of fully trained teachers or experienced teachers. If they stay long enough to become fully credentialed, their outcomes match those of other similarly experienced, credentialed teachers. However more than half of TFA teachers leave teaching after two years and 80 per cent after three, before achieving this level. The high turnover of TFA teachers means recruitment and training of replacements is costly. The research authors recommend schools use TFA teachers only when "the alternative hiring pool consists of uncertified and emergency teachers or substitutes" (14).

Source: Heilig and Jez, 2010.

1.2.4. Re-entry to teaching

25. Male and female teachers who have taken career breaks, whether to care for children or other family members or for other reasons, should be encouraged to return to teaching where they so wish, and processes and systems should be in place to facilitate this (see ILO/UNESCO Recommendation, 1966, paragraph 58). Returners to teaching "represent excellent value for money in investment terms, because they have already been trained" (GHK, 2006) and have valuable professional and personal skills and experience. Providing help with childcare, financial or other incentives can encourage returners. Offering flexible working or part-time teaching hours is a further incentive to teachers who wish to combine returning to teaching with family responsibilities (see also sections 1.9, 1.10). Returners should be offered appropriate support and the opportunity to update their skills and knowledge, including updating their certification where necessary, whether through "Return to teaching courses" or through individual mentoring, coaching and CPD opportunities (box 11; see also section 1.8).

Box 11
Pause for reflection on the returnee teacher policy

In the UK, around 8,000–10,000 former teachers return to teaching each year, including those who have been raising a family, taken early retirement or gained experience in a different job. Former teachers have a wealth of skills and experiences to draw on and have lots to offer to schools and students: life experiences can enhance teaching, whether they are skills learned in the classroom, the boardroom or bringing up one's own children. Schools generally like to have a balance of more experienced teachers as well as newly qualified teachers, so returnees should find their teaching skills are still very valued and relevant. Once enrolled on a Return to Teaching course, the course provider will provide a skills analysis to decide how best to support skills updating.

1. Why is it an advantage for schools to have a balance of experienced and newly qualified teachers?
2. Why is it good practice for returner teachers to be offered a Return to Teaching course before they return to the classroom?
3. What is the advantage of offering returner teachers a skills analysis during their Return to Teaching course?
4. What are the advantages to employers of recruiting returner teachers?

Source: Adapted from UK Training and Development Agency for Schools (TDA).

1.2.5. Cross-border recruitment: Recognition of prior qualifications, credentials and certification

26. Policies regarding the recognition of qualifications, credentials and certification obtained in other federal or autonomous jurisdictions (provincial, state, local, etc) vary from country to country; likewise policies on recognition of prior qualifications, credentials and certification across national borders vary worldwide. Although certain countries have bilateral agreements regarding recognition of prior qualifications, in most cases recognition is decided on a case-to-case basis, according to criteria defined by the recruiting body. In the United States, "recognition of teacher credentials from another state is often limited, and recognition of non-US teaching qualifications is also rare" (USNEI, 2007). In Ireland, teachers who qualified outside the State are eligible for restricted recognition. In Sweden, teachers qualified in countries other than Sweden can apply to the Swedish National Agency for Higher Education to have their teaching qualifications recognized. Within the European Union (EU), teachers who are EU citizens may have their professional certification obtained in other member states recognized, provided that the duration and content of their training do not differ substantially from the duration and training required in the recruiting country (EEC, 2005).

27. Where teachers have prior qualifications and/or certification which are not recognized in the destination country or state, they run the risk of being recruited with inferior conditions, security and status, as teaching assistants or "unqualified teachers". The Commonwealth Steering Group on Teacher Qualifications, supported by the Commonwealth Secretariat, has developed a framework to support the recognition of teacher qualifications across Commonwealth countries, including a "comparability table" of primary and secondary teacher qualifications offered in 35 Commonwealth member states, allowing these to be compared country-by-country (Keevy and Jansen, 2010; Commonwealth Secretariat, 2010).

28. Teachers and their potential employers should be aware of the need to verify eligibility for recognition according to the legislation of the recruiting country on a case-to-case basis before entering into contractual recruitment processes.

1.3. The recruitment process

1.3.1. Hearings or interviews as part of competitive examinations or institutional hiring processes

29. Recruitment methods vary between countries and education systems: in decentralized education systems, open recruitment methods may be used, where local education authorities or individual schools are responsible for recruiting and selecting candidates for teaching posts. In such districts, for example in the US and some other OECD countries, teacher portfolios documenting the full range of studies and teaching experience may be required or accepted in support of employment. Countries with career-based public services often use more centralized processes, including competitive entrance examinations and/or candidate lists, where candidates are ranked according to predetermined criteria. Where hearings or interviews are used as part of either competitive examinations or institutional hiring processes, these should be based on clear, transparent, widely understood principles of the qualities and skills beginner teachers are expected to demonstrate. These systems should also provide entry paths into teaching suitable for mid-career candidates (OECD, 2005) (see boxes 12 and 13).

Box 12
Recommendations from the OECD: Broadening the criteria for teacher selection

The selection criteria for new teachers need to be broadened to identify the applicants with the greatest potential: broader selection processes may include interviews, preparation of lesson plans and demonstration of teaching skills. Greater weight should be given to characteristics such as enthusiasm, commitment and sensitivity to student needs. Beginning teacher should only be appointed to difficult and unpopular schools if they have the skills and personal qualities to perform well in that environment.

Source: OECD, 2005.

Box 13
Use of teaching portfolios for certification in the United States

In the US, candidates for certification by the National Board for Professional Teaching Standards (NBPTS) are required to submit a teaching portfolio documenting their teaching practice. Through the portfolio, candidates capture their teaching practice in real-time, real-life settings, thus allowing their assessors to examine how they translate knowledge and theory into practice. The portfolio of classroom practice consists of four elements:

- One classroom-based entry with accompanying student work;
- Two classroom-based entries that require video recordings of interactions between the candidate and their students;
- One documented accomplishments entry that provides evidence of accomplishments outside of the classroom and how that work impacts student learning.

Each entry requires some direct evidence of teaching or school counselling, as well as a commentary describing, analysing, and reflecting on this evidence.

Source: NBPTS, 2011.

1.3.2. Background checks and "due diligence" of the employer

30. In many education systems, employers are responsible for performing background checks on candidates for teaching positions, using due diligence to ensure that candidates are qualified for the positions for which they are applying and do not have convictions for sexual or child abuse or other criminal or professional violations which make them unsuitable to work with children. Research reveals that credential fraud is widespread in certain contexts (Patrinos and Kagia, 2007). In line with national legislation and practices, these checks should usually include: identity confirmation, proof of academic qualifications, proof of right to work, criminal record check, health check, previous employment history and professional and character references. Background checks should be carried out in a thorough manner within a specified time frame.

31. In fragile states or post-conflict situations, where teachers are unable to produce personal documents and proof of academic qualifications due to theft or displacement, employers should use their discretion in exercising flexibility. They should respect due process guarantees to protect candidates' civil rights and liberties. If a candidate is refused employment on the basis of information revealed by a background check, they should be granted access to that information. Due processes should be in place to enable candidates to appeal against such a decision.

1.3.3. Confidentiality standards

32. The recruitment process involves collecting and storing candidates' personal data. The ILO's code of practice on the protection of workers' personal data, adopted in 1997, provides guidance on the collection, storage, combination, communication or use of personal data of current and former workers and applicants for employment (box 14).

Box 14
Checklist for confidentiality standards in information handling

Personal data should be processed lawfully and fairly, and only for reasons directly relevant to the employment of the worker.

- Personal data should, in principle, be used only for the purposes for which they were originally collected.
- Persons who process personal data should be regularly trained to ensure an understanding of the data collection process and their role in the application of the principles in this code.
- All persons who have access to personal data, should be bound to a rule of confidentiality consistent with the performance of their duties.
- Workers may not waive their privacy rights

Source: ILO, 1997.

1.3.4. Transparency standards and procedures

33. As in all professions, teacher recruitment processes should be based on principles of efficiency, transparency and objective criteria such as merit, equity and aptitude (United Nations Convention Against Corruption, 2004, Article 7; ILO/UNESCO, 1966; Hallack and Poisson, 2007). Selection criteria should be equitable, relevant, aptitude-based and transparent and should be applied consistently to all candidates. Candidates should be selected on the basis of the pre-determined criteria and no other, by recruiters and interviewers who are well trained in transparent selection procedures.

34. Selection and interview panels should be composed of several members, respecting principles of diversity (a balance of men and women from different ethnic, religious and language backgrounds that reflect the country's or local area's diversity). Including representatives of parents and community leaders on selection and interview panels can improve transparency and help to strengthen school ties to their constituencies, provided that the professional criteria governing teacher appointments prevail. In that respect, clear and enforceable anti-nepotism and anti-corruption policies and procedures should be in place. These should include provision for recruiters or interviews to disclose a conflict of interest where a candidate is a family member or is otherwise known to them. It is important to ensure that recruiters and interviewers are aware of these policies, trained in their application, and remunerated at a level which removes the risk of corruption.

35. Candidates also have a responsibility in promoting transparency by being truthful in the statements about their qualifications and credentials, not taking advantage of personal relations to secure recruitment, nor offering bribes or gifts to secure recruitment (Poisson, 2009), in line with teacher's responsibilities to maintain the highest personal and professional standards (ILO/UNESCO, 1966: paragraphs 6 and70).

1.4. Probation

36. The ILO/UNESCO Recommendation affirms that "a probationary period on entry to teaching should be recognized by both teachers and employers as the opportunity for the encouragement and helpful initiation of the entrant and for the establishment and maintenance of proper professional standards as well as the teacher's own development of their practical teaching proficiency. The normal duration of probation should be known in advance and the conditions for its satisfactory completion should be strictly related to professional competence. If the teacher fails to complete the probation period satisfactorily, they should be informed of the reasons and should have the right to make representations" (1966: paragraph 39).

1.4.1. Probationary periods

37. As the ILO/UNESCO Recommendation recommends, probation is a trial work period which beginner teachers must complete successfully to achieve full certification. Where probation periods exist, they either begin when the new teacher enters employment or form part of initial teacher education. Probation periods generally last between six months and one year, although in countries such as Denmark and Hungary they last three months and in others such as Germany, Israel and some parts of the US they may last up to three years (OECD, 2005 – see also box 15). Probationers should be informed of the conditions for successful completion and of the evaluation procedures and criteria. If probationers are not successful, they should be informed of the reasons and have access to an appeals process; provision should exist for re-submission and they should have access to remedial measures such as extra training, teaching observation, mentoring and coaching (see 1.8 and 8.4).

Box 15
Recommendations from the OECD: Making a probationary period mandatory

A formal probationary process can provide an opportunity for both the new teacher and their employer to assess whether teaching is the right career for them. Teachers should successfully complete a mandatory probationary period of one–two years teaching in a stable and well-supported school environment before full certification or a permanent teaching post is awarded. The decision about certification should be taken by a well-trained panel with the resources to assess new teachers. Successfully completing probation should be acknowledged as a major step in the teaching career.

Source: OECD, 2005.

1.4.2. Standards and procedures for education systems without mandatory probation

38. Where mandatory probation does not exist, provisions for certification are based on other criteria, such as the successful completion of pre-service training. It is advisable for newly qualified teachers to have access to induction programmes or other forms of professional support, such as mentoring. Some education systems which do not have mandatory probation require new teachers to complete induction periods before they can achieve qualified teacher status (see 1.8).

1.5. Security of tenure – Permanent status

39. The ILO/UNESCO Recommendation affirms the importance of stability of employment and security of tenure in the profession, in the interests of educational stability, as well as that of the teacher, and should be safeguarded even when changes in the organization of or within a school system are made. Teachers should be adequately protected against arbitrary action affecting their professional standing or career (1966: paragraphs 45 and 46). Once in the profession, teachers may also lose their jobs due to restructuring of a system or school for demographic or economic reasons. Where the teaching position is abolished for one of the above reasons, all efforts need to be deployed to reassign the affected teacher to another job in the education system or institution commensurate with their qualifications and experience, accompanied by retraining programmes where necessary.

40. In higher education, the UNESCO Recommendation, 1997, places emphasis on tenure as a guarantor of educational quality and academic freedom. It specifies nevertheless that teaching and research personnel may be released for bona fide financial reasons, provided that all financial accounts are open to the public (transparency), a higher education institution taking such a measure has also taken all reasonable alternative steps to prevent employment termination (in application of the concept of "due diligence" by the employer), and that legal safeguards are in place against bias in termination of employment procedures (due process).

1.5.1. Criteria and authorizing bodies/processes for obtaining permanent employment as a teacher

41. There are three broad models of teacher employment:

- career based public sector: like other public servants, teachers have civil service status, and are often appointed for life, as career civil servants;
- position based public sector: like other public servants, teacher appointment is position-based and focuses on selecting the best-suited candidate for each position, through internal or external recruitment;
- contractual: teachers are engaged on a contractual basis according to general employment legislation; as public sector employees, teachers may be employed by the public authorities at local or school level, or directly by the school concerned.

Within individual countries, these categories are not mutually exclusive: many countries with a career civil service also employ teachers on a contractual basis for example France, most French-speaking countries of sub-Saharan Africa, Mozambique, etc.

42. Whatever the criteria used, and the bodies or processes by which appointment decisions are taken, these should be merit-based, transparent and equitable and based on principles of integrity, non-discrimination and diversity. If the system allows for unsuccessful candidates to reapply, the procedures for reapplication should be clearly defined and transparent. If the system allows for the loss of permanent status, the conditions and procedures relating to this should be clearly defined and transparent and should be communicated to all new and existing teachers. Diversity principles should be applied in making appointments to the authorising body (balance of men and women from different ethnic, religious and language backgrounds), and representatives of this body should be well-trained and remunerated at a level which removes the risk of corruption.

1.5.2. Denying entry into the profession or loss of permanent status: Grounds, information and appeals procedures

43. Provision and effective procedures for appeal should exist for unsuccessful candidates who believe their application has not been considered on the basis of merit or who believe they have been the victim of discrimination.

44. Where present, teacher misconduct, negligence, absenteeism or incompetence can be hugely disruptive to schools and to pupils' education. At the same time, removing an experienced teacher is a serious matter. Disciplinary procedures should be in place to deal with teacher misconduct (boxes 16 and 17). These will include, as a final resort, provision to dismiss teachers for gross professional misconduct or incompetence. National legislation should distinguish between the dismissal of a teacher from a particular position or school and loss of permanent teacher status. Effective appeal procedures should be in place for teachers who have been dismissed or to appeal against removal of permanent status/certification. As with appointment bodies, appeals bodies should be composed of well-trained individuals, selected on principles of diversity, and remunerated at a level which removes the risk of corruption.

Box 16
Disciplinary procedures: Good practice from New Zealand

In New Zealand the following principles, defined by both the Primary and the Secondary Teachers Collective Agreements and the New Zealand Employment Court, are established as the minimum requirements for procedural fairness if a teacher is to be disciplined:

- Advise the employee in writing of the reason for the disciplinary procedures being initiated, including notice to the employee of the likely consequences if the allegation is established.
- Invite the employee to respond in writing.
- Advise the employee of their right to seek association/union assistance and/or to seek assistance at any stage.
- The employer must undertake an investigation. The employee is to be invited to attend any such investigation and to make a statement either personally or through their representative.
- Where a breach of discipline is found, the employer shall not impose any penalty without first giving the employee the opportunity to make representations, and taking into account any period of suspension.
- The employer must ensure it gives unbiased consideration to the employee's explanation. There must be no predetermination on the part of the employer. The employer should not take into account any irrelevant considerations.

Source: New Zealand Ministry of Education, 2010.

Box 17
Pause for reflection
Misconduct: Evidence from sub-Saharan Africa and South Asia

Research in selected countries of African and Asia found that relatively few teachers are dismissed for gross professional misconduct, although a number of countries report disciplinary cases or the need for such, having to do with teachers' sexual misconduct with pupils, fraud, substance abuse (drugs and alcohol), pressuring pupils to attend their private coaching sessions and theft of teaching and learning materials. A major problem in many countries is that head teachers lack the authority to be able to discipline teachers effectively.

1. How are cases of teacher misconduct dealt with in your country and workplace?
2. Could effective disciplinary systems help to combat teacher misconduct in the cases cited above?
3. What other policies would they need to be combined with in order to be effective?

Source: Bennell and Akyeampong, 2007, p. 53.

1.6. Posting, deployment, rotation

1.6.1. Administrative requirements for entry and initial posting

45. In line with national legislation and practices, administrative requirements for entry and initial posting will involve new teachers providing some or all of the following to the competent authorities: proof of identity, proof of academic qualifications, proof of right to work, previous employment history (where applicable). New teachers will also undergo a medical examination, as recommended by the ILO/UNESCO Recommendation that provides protection for teachers and for students in relation to underlying psychological or physical conditions incompatible with teaching. They will probably undergo background checks.

46. Medical examinations should be non-discriminatory with regard to physical aptitude, so as to protect disabled candidates. The ILO's Vocational Rehabilitation and Employment (Disabled Persons) Recommendation, 1983 (No. 168), states that "Disabled persons should enjoy equality of opportunity and treatment in respect of access to, retention of and advancement in employment which, wherever possible, corresponds to their own choice and takes account of their individual suitability for such employment" (1983: paragraph 7).

47. Medical examinations should not discriminate against teachers or candidates living with HIV and AIDS. Provision should be in place for the support, protection and treatment of teachers living with HIV and AIDS, which respect their privacy and preserve confidentiality (see also module 2, in particular 2.4.3).

48. The ILO Recommendation concerning HIV and AIDS and the World of Work, 2010 (No. 200), includes the following general principles in relation to workplace recruitment and deployment:

> (c) there should be no discrimination against or stigmatization of workers, in particular jobseekers and job applicants, on the grounds of real or perceived HIV status or the fact that they belong to regions of the world or segments of the population perceived to be at greater risk of or more vulnerable to HIV infection;
>
> (h) workers, their families and their dependants should enjoy protection of their privacy, including confidentiality related to HIV and AIDS, in particular with regard to their own HIV status;
>
> (i) no workers should be required to undertake an HIV test or disclose their HIV status (2010, paragraph 3).

1.6.2. Placement criteria for first assignments

49. Deployment is for the most part either centrally planned at national or provincial level, with teachers being allocated to schools which have vacant positions (as in France, Malawi or Mozambique) or operates on a "market" system, with candidates applying directly to the school of their choice (as in the UK or Lesotho). In each case, new and experienced teachers' reluctance to work in disadvantaged urban and rural or ethnic minority areas creates significant challenges and a need to develop genuine incentives to attract teachers (see also 1.1.1; 1.2.1). Centrally driven placement policies may rely heavily on assignment of newly graduated teachers to less desirable geographic areas or schools. However, in the interests of both career and job satisfaction (see module 2) and avoiding that the most deprived schools and learners are routinely assigned the least qualified and experienced teachers (1.1.1), policies should balance individual teacher and overall service needs by linking first assignment with transparent and equitable transfer criteria (1.6.4) and the necessary incentives to also attract experienced and qualified teachers. Safeguards need to be in place against abuses, as in many countries, entrenched deployment policies and practices, particularly for first assignments, lead to "much patronage and rent-seeking activity" (Bennell, 2004: 44).

50. As with decisions on initial appointments, deployment policies for newly qualified teachers will vary according to the national context but in all cases should operate on principles of equity, merit and transparency. They should take account of specific needs, assigning:

- men or women with family responsibilities, particularly with children of or below school age, to postings which are compatible with the fulfilment of those responsibilities;
- single women and teachers from ethnic minorities to areas where they will not be vulnerable;
- disabled teachers to postings with adequate infrastructure to carry out their professional duties and access to appropriate support and medical facilities;
- teachers living with HIV and AIDS to postings with access to appropriate support and medical facilities.

51. Initial teacher postings may also take account of the isolation factor by posting newly qualified teachers in pairs.

1.6.3. Deployment to rural and remote areas for all teachers

52. Strategies to redress deployment imbalances and overcome the challenges of deployment to disadvantaged urban, rural or ethnic minority areas do not simply rely on postings of newly qualified teachers as part of initial recruitment. A mix of incentives for experienced teachers as well to take up postings in unpopular areas, or the mandatory transfer of teachers have been advocated or applied. The ILO/UNESCO Recommendation recommends the proper incentives by means of special provisions for teachers in rural or remote areas, including "decent housing, preferably free or at a subsidized rental" (1966: paragraph 111), and the payment of removal and travel costs for teachers and their families, including "special travel facilities to enable them to maintain their professional standards" and yearly travel expenses between their place of work and home town (paragraph 112). Where hardship allowances are paid, these should be taken into account for pension purposes (paragraph 113).

53. The major challenge to such policies in developing countries is financial – limited education budgets. A less costly (though not completely cost-free) policy relies on priority access to training and CPD, including flexible hours and study leave: career structures and deployment policies may associate fixed-term deployment of qualified teachers to remote areas with access to further training and fast-track career advancement (box 18 – see also 2.6.2).

Box 18
Diverse policies to staff rural and remote schools

Strategies to staff rural or remote schools in Latin America

One or more HRD measures may be employed to deal with the challenges of recruitment to rural or remote areas. In Bolivia, Chile, Cuba, Ecuador, El Salvador, Honduras, Panama, Peru and Venezuela teachers working in rural or remote areas receive salary bonuses and other incentives. In Peru and Ecuador, new teachers begin their careers in rural or less developed areas. Teachers living in isolated areas of Ecuador receive both an allowance and priority in being granted tenure.

Teacher deployment in rural areas: lessons from Mozambique

In Mozambique, teachers who locate to rural areas receive financial bonuses based on the location and degree of isolation of the school. However this incentive is undermined by two factors: the payment depends on the teacher's administrative grade, which is in turn based on academic qualification. Teachers at the lowest grades of the system – the majority of primary school teachers – receive a negligible bonus or none at all. Furthermore, teachers in highly populated urban areas are able to earn a significantly higher bonus by teaching multiple shifts (60 per cent of basic salary for two shifts). Consequently the rural allowance does not attract significant numbers of teachers to teach in rural areas. Incentives therefore need to be significantly attractive to be effective and they may be negated by counterincentives to teach elsewhere.

Source: Latin America: CEART, 2009; UIS, 2006; UNESCO, 2010; Mozambique: Mulkeen and Chen, 2008; VSO, 2008.

54. As part of solving the rural-urban divide in teacher deployment, data management techniques may be utilized. These include collecting and making use of data on PTRs to reduce disparities in teacher deployment (World Bank, 2006). An innovative approach comes from the Philippines (box 19).

Box 19
Use of data to reduce disparities in teacher deployment in the Philippines

In the Philippines, using a "rainbow spectrum" to highlight disparities, districts are colour-coded according to PTRs. Making the information available and easy to understand has led to better channelling of new teaching positions to shortage areas and the systematic transfer of vacant positions from surplus to shortage areas. As a result, all new teaching posts created in 2006 were allocated to red or black zone schools, namely those most in need.

Source: World Bank, 2006.

1.6.4. Transfer criteria

55. Transfers of teachers between schools and between geographic regions should respect and balance individual teacher employer's needs. The ILO/UNESCO Recommendation states "teachers should be able, subject to their having the necessary qualifications, to move from one type or level of school to another within the education service" (1966: paragraph 40). Policies and procedures governing transfers should be transparent, known to teachers, and based on principles of equity and non-discrimination so that, for example, women, ethnic minorities, disabled teachers and staff and those living with HIV are treated equitably and without discrimination. They should include provision for teachers whose personal or professional circumstances change (health, family responsibilities, further training and qualifications, promotion or conversion to different role) to obtain a transfer, in as far as this is compatible with staffing needs in the respective schools and areas (box 20). Such transfers should not affect their conditions of service and career progression. In particular,

pension entitlements should be transferable from one level of education or employer to another.

Box 20
Criteria for priority transfer in France

In France requests from teachers for deployment or transfer may be given priority on the following personal and professional grounds:

- a teacher has a physical disability;
- a teacher requests transfer or deployment to allow them to live with their spouse;
- a teacher requests a transfer after five years or more working in a school in an urban area with significant social and security problems;
- a post requires specific professional qualifications.

Source: MEN, 2009.

56. Background checks and criminal record checks applied in transfer situations should observe the principles laid out in section 1.3.2, and may be particularly important in decentralized education systems without national TMIS–EMIS to help institutional or local education authorities to verify the background of teachers on transfer.

57. In addition to the transfer of teachers to different schools and geographical areas, the ILO/UNESCO Recommendation calls for education services and individual schools to provide adequate opportunities for and recognition of additional responsibilities with due regard to their teaching work (1966: paragraph 41). Standards and mechanisms should exist for movement between different levels of the education system, so that teachers who wish to undertake additional training, to convert to working in teacher education or management (see 1.14), or to undertake additional professional responsibilities, such as administration, educational planning, curriculum development or teaching and learning materials design, may do so without prejudice to their conditions of service and career. In particular, pension entitlements should be transferable from one level of education or employer to another.

1.7. Management of deployment and transfers

58. In order to ensure a smooth-running and equitable deployment and transfer system, rather than one which is ad hoc, inefficient and subject to patronage, it is important that the management of deployments and transfers should employ mechanisms based on transparent, equitable and systematically applied criteria. The effective use of TMIS–EMIS, where appropriate and available, can help to ensure that deployment and transfers are managed appropriately, in a manner which, as far as is possible, reconciles the wishes and needs of individual employees with the needs of educational establishments and the wider national education system (see 1.1.2). Where education systems are decentralized, effective systems and mechanisms for communication, coordination and interactions between inspectors, national, district and local management will facilitate this. Managers should provide clear, transparent information to teachers regarding the mechanisms and criteria for deployment and transfer at the beginning of a teaching career and thereafter on request, including procedures for requesting transfers at short notice for personal reasons. This may be integrated into the self-service HR functions of TMIS–EMIS, where appropriate (see 1.1.2).

1.8. Induction of newly qualified teachers

59. It is good practice for teachers to undergo an induction process to ensure they receive adequate support at the beginning of their career or when they move to a new role or school. The induction process may occur during the probationary period, if there is one, or at another time; within systems which do not include a probationary period it is strongly advised to provide induction for new teachers. [2] Induction, professional support and mentoring programmes for beginner teachers can enhance the job satisfaction and effectiveness of new teachers, and improve retention: school districts in the US have managed to reduce beginning teacher attrition by more than two thirds by providing mentoring to first year teachers (OECD, 2005). On the other hand, where teachers are "thrown in at the deep end" with little or no induction or other professional support, this frequently has a negative impact on motivation and leads to attrition (Bennell, 2004; Bennell and Akyeampong, 2007).

1.8.1. Induction procedures for new and returning teachers

60. Induction programmes for beginning teachers are mandatory in some countries; in others, induction is at the discretion of the school or the individual teacher; some countries do not offer formal induction. The duration of new teacher induction varies: in OECD countries it ranges from seven months in the Republic of Korea (see box 21) to two years in Canada (Quebec), Switzerland and parts of the US (OECD, 2005). The beginner teacher receives a salary during induction and may have a reduced workload to allow time for professional development and mentoring by a designated mentor. Teachers returning to the profession after a career break should also be offered induction as an opportunity to update skills and renew confidence (see also 1.2.4 above).

Box 21
Induction in the Republic of Korea

Teacher induction in the Republic of Korea begins with a two-week period of pre-employment training in the metropolitan and provincial institutes of educational training, focusing on field-related cases and practical tasks and emphasizing student guidance, classroom management skills and basic teacher capacities. After recruitment, new teachers take part in a six-month-long field training led by the school principal, vice principal and advisory teachers that encompasses instructional guidance and evaluation, classroom supervision, student assessment, and assistance with administrative tasks. A third phase involves reflection and discussion with other beginning teachers and teacher educators.

Source: OECD, 2005.

61. Where new teachers are posted to rural, remote and minority population areas, it is essential that they receive adequate induction to teaching in this specific context: the absence of adequate professional support to teachers in isolated contexts can lead to a downwards spiral of low motivation, poor quality teaching and attrition (Bennell and Akyeampong, 2007; VSO, 2008). The provision of effective induction to teachers in remote areas needs to form part of an effective policy for staffing remote schools, which integrates recruitment, deployment, incentives and questions of professional support. The induction process takes place before deployment to the remote area (see example from Australia, box 22).

[2] Probation is a trial work period which needs to be successfully completed to achieve full certification (see 1.4), whereas induction refers to the professional support provided to new teachers at the start of their career; in practice the two periods may overlap.

Box 22
Attracting teachers to remote and rural areas in the states of Queensland and New South Wales, Australia

The Queensland Remote Area Incentive Scheme provides teachers in remote rural schools with a variety of financial benefits and support, including induction programmes for newly appointed teachers to assist in preparing for service in rural and remote schools, yearly compensation benefits, incentive benefits, additional travel leave and help with travel costs for dependants.

In New South Wales, a pre-service teacher education programme gives students first-hand experience of living and teaching in rural areas.

Source: OECD, 2005.

1.8.2. Mentoring programmes, operational methods and resourcing

62. The induction process will ideally involve regular mentoring with a designated mentor, who should be an experienced teacher, usually a more senior colleague, deputy head or head teacher. The mentoring role may include help with lesson planning and assessment, assistance in translating theory acquired during teacher training into good classroom practice, reciprocal classroom observation, and discussion to talk through problems encountered and provide advice, encouragement and support. School management should provide support for the mentoring process by promoting this as a priority and ensuring both mentor and beginner teacher have sufficient time, space and resources for the activity to be carried out in a satisfactory and productive manner. The mentor may have a reduction in teaching hours or may be remunerated for this role. Where possible, mentors should receive training in mentoring techniques.

63. Research and practice in the United States suggest that well designed mentoring programmes based on high-quality instructional mentoring (selection of experienced teachers for this task and their training is crucial, as well as adequate time with novice teachers and coordination of their work with school leadership) have the capacity to improve new teacher performance and commitment to their jobs as well as enhance learning outcomes (Cooper and Alvarado, 2006; Moir, et. al, 2009). Mentors may also improve their own practice based on their mentoring experiences (OECD, 2005). Norway provides an example of one mentoring programme (box 23).

Box 23
Mentoring practices in Norway

In Norway, school principals are asked to assign an experienced staff member who is considered well fit to guide new teachers. The teacher education institution provides these mentor teachers with training in how to guide new teachers and also takes part in in-school guidance. New teachers take part in local support sessions and in sessions with new teachers from the other schools involved in the programme to help with difficult issues for new teachers, such as student behaviour and collegial relations.

Source: OECD, 2005.

Box 24
Pause for reflection on mentoring practices

What are the most important attributes school managers should look for when assigning mentors to new teachers? Rank the following in order of priority.

Mentors should:

(a) have at least three years teaching experience;

(b) be at least 5 years older than the new teacher;

(c) possess good communication skills and an approachable character;

(d) be enthusiastic and willing to undertake the role;

(e) have enough time to undertake the role in addition to their other duties;

(f) be trained to undertake the role;

(g) be considered good teachers and role models by colleagues;

(h) be popular with students.

How are mentors chosen in the context in which you work?

64. In addition to mentoring of beginner teachers as part of induction, more experienced teachers can benefit from mentoring as part of CPD (see 8.4).

1.9. Service conditions for women and men with family responsibilities

65. Providing family friendly working conditions is good practice for two reasons:

- the "ethical case": to support and protect families, promote equal opportunities for men and women and promote good parenting and well-being for children;
- the "professional/HR case": to enhance motivation and commitment from teachers with family responsibilities, and promote recruitment, retention and the return to teaching of this precious group of workers (see also 1.2.4).

1.9.1. Conditions for maternity protection

66. Support to teachers when they become parents and to encourage them to continue in teaching and/or return to teaching at a later date requires the establishment of conditions that allow them to combine the challenges of their working life with the responsibilities and demands of being a new parent. In accordance with national legislation, these may include maternity leave, paternity leave, parenting leave, the right of return, including return incentives where applicable, providing facilities for breastfeeding mothers, providing childcare facilities and flexible hours, including the possibility of part-time work (see 1.9.2).

67. The ILO/UNESCO Recommendation states that "Employers should be prohibited from terminating contracts of service for reasons of pregnancy and maternity leave" (1966: paragraph 55).

68. The ILO's Maternity Protection Convention, 2000 (No. 183), (ILO, 2000a), sets out a number of principles to protect the employment of female employees who become pregnant, and to ensure that maternity does not constitute a source of employment discrimination. These include:

- the right to return to the same position, or an equivalent position paid at the same rate, at the end of maternity leave;
- the outlawing of mandatory pregnancy tests during recruitment procedures; and
- maternity leave of not less than 14 weeks, including at least 6 weeks after childbirth (see ILO, 2000a for more details).

69. The Maternity Protection Recommendation, 2000 (No. 191), (ILO, 2000b), establishes principles of fathers' entitlement to paternity leave (see ILO, 2000b for more details).

70. In accordance with national practice, the employed mother or father of the child (including adoptive parents) should be entitled to parental leave during a period following the expiry of maternity leave (ILO, 2000b, art 10).

1.9.2. Working time and leave provisions for care of children and other family dependants

71. In many countries, social policy designed to support workers in reconciling work and family life includes the promotion of family friendly working hours compatible with the care of children and sick or elderly family dependants (see also 1.10.1; 4.2.7). To be compatible with family life, hours of work should be predictable (but not necessarily standard). Flexible working time measures that are compatible with teaching and the structure of the school day include:

- shorter working hours, such as part-time work;
- compressed, four-day working weeks;
- work-sharing and job-sharing; and
- individualized working hours (ILO, 2004).

72. Flexible working hours have to be associated with regular and reliable sources of income necessary for financial security and independence. Family and tax policies also need to reflect the presence of working parents, including single parents and dual-earner families, in the workforce (ILO, 2004)

73. Where teachers are caring for elderly or sick relatives, including those living with HIV and AIDS, in addition to flexible working hours, measures to provide practical and material support, such as home-based care and antiretroviral (ARV) treatment or therapy, will enable teachers to continue with their teaching work, reducing the risks of absenteeism and increasing motivation and commitment.

74. Flexible working hours depend in part for their success on the availability of affordable public or private childcare. The ILO/UNESCO Recommendation states that: "arrangements such as crèches or nurseries should be considered where desirable to take care of the children of teachers with family responsibilities" (1966: paragraph 56). These may be provided by the employer, within or outside the workplace; alternatively the employer may provide financial support towards childcare. Child-care and family services and facilities should be safe, clean and run by adequate numbers of trained, competent staff (see Workers with Family Responsibilities Recommendation, 1981 (No. 165), paragraph 26/1-3) so as to ensure high quality childcare for teaching parents.

1.9.3. Postings as single teachers/parents or with spouses

75. The ILO/UNESCO Recommendation advocates measures that permit women teachers with family responsibilities to obtain teaching posts close to their homes and to enable married couples, both of whom are teachers, to teach in the same general neighbourhood or in the same school (1966: paragraph 57).

76. Teachers with family responsibilities are not able to dedicate sufficient attention and care to their work if they are not able to reconcile this with caring adequately for their families. Family friendly deployment policies should therefore favour postings of teachers who have children where appropriate childcare and school facilities are available, with particular care taken regarding deployment to rural and remote areas, especially for entry-level female teachers, for reasons of security and, where relevant, cultural norms. Family unification policies should allow for the transfer of one partner where married couples or couples with children are working in zones which are too far apart to allow them to live as a family.

1.10. Part-time service

77. The ILO/UNESCO Recommendation states that: "Authorities and schools should recognize the value of part-time service given, in case of need, by qualified teachers who for some reason cannot give full-time service" (1966: paragraph 59).

1.10.1. Criteria and terms for part-time postings including job sharing arrangements

78. Many countries and school systems allow part-time teaching to meet service needs and as a way of retaining teachers who might otherwise be obliged or choose to leave the profession. A teacher may work part-time at some stage in his or her teaching career for reasons of health, family responsibilities (see 1.9.2 and 4.2.6) or other personal motives. Part-time teaching in some countries is used effectively to reduce working time for teachers at the end of their careers, as a transition to retirement. The need for school organization and management to be flexible in order to accommodate such arrangements is compensated by the advantages of recruiting or retaining valuable teachers who would not otherwise be available.

79. Job sharing is another mode of flexible working, in which two teachers share one full-time post. It differs from part-time work in that, although each teacher works part-time hours, they take joint responsibility for a full-time post, and the accompanying duties and responsibilities. The job sharers organize their division of the teaching and other tasks which make up their job, which dispenses school administrators and managers of this task.

Box 25
Pause for reflection on part-time and job-sharing arrangements

1. What are the (a) advantages (b) disadvantages of well-qualified, experienced teachers taking up part-time postings or job sharing?
2. What are the current provisions for part-time postings and/or job sharing for teachers in your country? How do these work in practice? Would encouraging more part-time postings and/or job sharing help to retain valuable teachers?
3. If so, what policies and strategies could be put in place to enhance the advantages and minimise the disadvantages?

1.10.2. Salary and other benefits (leave, social security/protection) on a pro-rata basis

80. The ILO/UNESCO Recommendation recommends that: teachers employed regularly on a part-time basis should have:

(a) proportionately the same remuneration and basic conditions of employment as full-time teachers (see also box 26);

(b) rights corresponding to those of full-time teachers as regards holidays with pay, sick leave and maternity leave, subject to the same eligibility requirements; and

(c) adequate and appropriate social security protection, including coverage under employers' pension schemes (1966: paragraph 60).

81. The ILO Part-Time Work Convention, 1994 (No. 175) states that part-time workers should receive the same protection as comparable full-time workers in respect of:

(a) the right to organize, the right to bargain collectively and the right to act as workers' representatives;

(b) occupational safety and health; and

(c) discrimination in employment and occupation (ILO, 1994, Article 10).

Box 26
Policy and Guidance from the National Union of Teachers (NUT), United Kingdom

The following key principles should be included in school pay policies.

- The governing body will ensure that the pay of part-time teachers is assessed on the same basis as their full-time colleagues;
- All part-time teachers will be provided with an individual contract of employment clearly defining their contractual working time. Timetabled teaching time should include an appropriate element for planning, preparation and assessment (PPA) time and non-contact time for additional responsibilities which matches that for full time teachers. Directed time for non-teaching duties should similarly be allocated on the same basis as for full time teachers.

Source: NUT, 2010

1.10.3. Conditions for transfer to full-time postings

82. The ILO Part-Time Work Convention, 1994 (No. 175) calls for appropriate measures to be taken to ensure that transfer from full-time to part-time work or vice versa is voluntary, in accordance with national law and practice (ILO, 1994, article 10). Where compatible with institutional and school resources and organization, the flexibility for teachers to transfer between full-time and part-time work can be a valuable element of a flexible or family friendly working policy. As far as possible, in order to support teachers in organizing and reconciling their working and personal lives, employers should endeavour to ensure that such transfers only occur at the request of the teacher.

1.11. Replacement, substitute teachers

83. When regular teachers are absent from work due to illness, study leave or CPD or for other reasons, they need to be temporarily replaced. Where there is not a ready source of replacement or substitute teachers (also known as supply teachers), or where the financial means to pay them are not available, school programmes and students' education are often disrupted and/or other teachers will have to teach the classes in addition to their own. Such difficulties are particularly acute in remote and rural areas where there may be a shortage of teachers.

1.11.1. Recruitment standards and conditions

84. Around one half of OECD countries use some form of replacement teacher pool to manage short-term replacements, whereby teachers, including some who have recently retired from full-time teaching, are recruited on a contract basis by the relevant education authority to cover for short-term absences (see box 27).

85. Some countries (for example Denmark, England and the Netherlands) also make use of private employment agencies to obtain short-term replacements (OECD, 2005).

86. Whether recruited centrally or by the local education authority or school, replacement teachers should be subject to rigorous recruitment requirements and the same background checks as permanent teachers. The recruitment process should be based on principles of equity and transparency and a commitment to equal opportunities and non-discrimination (see 1.3).

1.11.2. Transition from replacement to permanent status

87. Where compatible with national needs and resources, provision should exist for teachers with the requisite qualifications to move from replacement to permanent status. As far as possible, in order to support teachers in organizing and reconciling their working and personal lives, employers should endeavour to ensure that such transfers only occur at the request of the teacher.

Box 27
The replacement teacher pool in the Flemish community of Belgium

During the late 1990s in the Flemish Community of Belgium, the number of permanent teaching positions declined, discouraging beginning teachers, who faced difficulties in obtaining secure appointments: many left teaching altogether. The Replacement Pool, which was introduced in 2000-2001, is a group of teachers whose salary is paid by the Ministry of Education and who supply short-term teaching for schools. Teachers are nominated to work in a particular geographic area, and are available to work in all the schools that register for the pool. Successful applicants are assigned to an "anchor school", and work there when they are not required to replace teachers in other schools. Schools find it easier to locate replacements for absent teachers and are able to assess the suitability of new teachers for longer-term posts. Beginning teachers have job security and a salary for at least one year. Teachers returning to the profession or other employees who are considering a teaching career can also register for the pool. Over two-thirds of Flemish schools participate in the pool.

Source: OECD, 2005.

1.11.3. Alternatives in systems without substitute provision

88. Where substitute teachers are not available or affordable, in some education systems a number of other types of teachers, who may be outside the civil or public service, are used to cover when qualified teachers are unavailable or absent:

- volunteer teachers, who are unpaid;
- "para" or contractual teachers, who are paid less than fully qualified teachers;
- private teachers, paid from school funds, exist in some schools, particularly in church schools where funds are raised through voluntary contribution (Phamotse et al., 2005 on Lesotho).

89. Whilst these solutions fill gaps in situations where qualified teachers are not available, there are significant questions regarding the quality of the teaching they are able to provide, their status and conditions, and the loss of esteem and respect for the teaching profession associated with the widespread use of unqualified teachers. Ideally, these solutions should be considered as short-term measures, within the context of medium- and long-term strategies to phase out the use of untrained teachers, as sufficient numbers of qualified teachers are recruited.

90. Other responses to the problem of replacing absent teachers include:

- multigrade teaching, where one teacher teaches two or more grades simultaneously (though this often requires specialized training);
- head teachers covering for absent staff, often at the expense of their management function.

1.12. Contractual, auxiliary and "para" teachers

91. The ILO/UNESCO Recommendation sets standards for "all those persons in schools who are responsible for the education of pupils" (1966: paragraph 1(a)) including contractual teachers [3] (see 2.2.5 and 8.2.2).

92. Contractual teachers are often used as a response to difficulties in recruiting sufficient numbers of qualified teachers, or to meet budgetary restraints. They are recruited by many governments as part of the drive to extend educational access to all children by 2015. Local recruitment on temporary contracts is often driven by the motivation to enhance local accountability and provide incentives to teachers to reduce teacher absenteeism and improve their performance. It can also ensure teachers are familiar with local environment and speak the local language, and help to increase numbers of female teachers. Local recruitment on a contract basis is also driven by a desire to ensure that there are teachers in hard to reach areas (Duthilleul, 2005: Fyfe, 2007).

[3] Contractual teachers are also referred to as "para", auxiliary, volunteer, temporary, contract or community teachers.

93. In many developing countries, contractual teacher schemes are "large expansion programmes where pre-service training is compressed or abandoned completely, salaries are lowered, working conditions are poorer and career paths are limited"; such massive recruitment is often accompanied by the mandatory early retirement of more experienced, and often more expensive, teachers, with the aim of cutting costs even further. In parts of West Africa, professional teachers now make up less than 30 per cent of the teaching population (GCE, 2006:28). The employment of para-teachers, who often do not have the right to collective bargaining, undermines the bargaining power of unions so they can no longer negotiate liveable wages, fair contracts and decent working conditions, creating inequality in the delivery of education (GCE, 2006: 27-28). The existence of two parallel entry routes, standards of qualifications and training and conditions of service undermines the integrity and credibility of the profession and its ability to deliver good quality education in decent conditions (Fyfe, 2007).

1.12.1. Conditions for phasing out contractual teacher policies

94. Regular and contractual teachers and many international bodies who have analyzed their situation are calling for the progressive phasing out of contractual teacher policies, in favour of the systematic recruitment of well-trained professional teachers employed under standard terms and conditions (ILO/UNESCO, 2007 and 2010).

95. Each country should develop and put in place strategies to move away from parallel recruitment, employment and reward systems and towards a unified teaching profession with single recruitment, reward, training and professional development processes. In most cases, creating a unified teaching force will require more investments in education and therefore teaching, especially where current investment levels are low (for example at 4 per cent or less of GNP) and/or a low government priority (less than 20 per cent of a government's budget), either by more innovative or more systematically applied means of raising government revenues or by substantial reallocations of budgetary priorities, or a combination of the two. Setting a deadline for such integration would help to ensure that the objective is attained.

96. Such strategies should aim to progressively incorporate existing contractual teachers into the profession, by extending specially adapted teacher training opportunities to them, designed to bring their professional skills, knowledge and performance into line with those of standard teachers. Upon successful completion of the training, they should be eligible for certification and incorporation into the standard career and reward structure for the teaching profession, and have access to meaningful CPD. Simultaneously, strategies should be adopted to increase and maintain motivation, retention and performance amongst all teachers. Qualified teachers who are currently unemployed should be given priority over contractual teachers as positions become vacant for recruitment. The phasing out of contract teachers should be carefully planned as a gradual process to avoid negative impact on access and quality, and should be carefully costed and adequately resourced (Fyfe, 2007: 18).

97. The recommendations of the "Bamako+5" conference on contractual teachers held in Mali in 2009 (box 28) set a target date of 2015 by which the recruitment of untrained teachers should have been gradually phased out in African countries. It also calls for the recognition and support of all categories of teachers in their professional and career development, and for teacher training and professional development to be set within a global vision that integrates life-long learning (ADEA, 2009).

Box 28
Some recommendations from the Bamako + 5 conference on contractual teachers

- Accelerate the training and integration of contractual teachers into the public service.
- Formulate policies and strategies to ensure that all new teachers receive sufficient pre-service training.
- Increase the national capacity for training sufficient numbers of teachers and strengthen the capacity of existing teacher training institutions.
- Develop innovative and complementary ways of providing pre-service training and continuing professional development, including ICTs and Open and Distance Learning platforms.
- Develop teacher qualifications frameworks and joint teacher training programmes among countries based on minimum criteria.
- Reinforce school leadership through systematic training for school improvement.
- Set up transparent recruitment mechanisms based on agreed criteria both at the central and decentralized levels.
- Promote national policy dialogue among all stakeholders to ensure that the minimum budgetary allocation to education is no less than 20 per cent of the national budget.
- Put in place education management information systems that generate reliable data for effective planning, implementation, monitoring and evaluation of teacher management issues.

Source: ADEA, 2009.

98. In fragile states or countries experiencing state collapse, contractual teachers are being used as a short-term measure by international agencies providing education services in the absence of government provision. In the longer term, the capacity of governments in fragile states needs to be developed to take over this role and develop systems able to train, recruit and retain an adequate supply of professionally trained and motivated teachers (GCE, 2006: 29).

1.12.2. Recruitment standards and procedures for contractual, auxiliary or paraprofessional teachers

99. Given the diversity of contractual teachers, and pending eventual termination of such policies in favour of an integrated teaching force in which all teachers meet national qualification standards, certain guiding principles may assist education authorities in recruiting and developing less than qualified teachers:

- Establish simple aptitude measurements for candidates through direct interviews and/or written examinations, excluding those considered inapt for any teaching assignment.
- Ensure a minimum of initial pre-service training (six months was recommended by the first conference on contractual teachers in Africa, Bamako, 2004) that focuses on the pedagogical approaches most likely to encourage learning in often challenging conditions (remote and rural areas, ethnically and linguistically diverse student populations, large class sizes and lack of basic teaching/learning materials).
- Provide similar induction and support processes to those available to other beginner teachers, either through the national, regional or local recruiting authority, or through school leadership (see also 1.8.1).
- Assign initial teaching work in posts where experienced (and properly trained) senior colleagues are available to provide mentoring support (see also 1.8.2).

- Carry out assessment of performance at an early stage; successful completion of the assessment and induction process should constitute a requirement for certification as a qualified teacher at a future date.

- Set up a timetable for professional development opportunities to address weaknesses in the initial training or identified from the induction, mentoring and assessment stages; such training should be mandatory and available to all such teachers, with particular attention to those serving in rural and remote areas; successful completion of such training would constitute another indicator for certification as a qualified teacher.

100. Examples of the application of some of these provisions are provided in box 29.

Box 29
Recruiting and supporting contractual and unqualified teachers in Gambia and Senegal

In the **Gambia**, a Primary Teachers Certificate Extension Programme was introduced in 2006 for the in-service qualification of unqualified teachers. The programme combines direct instruction during school holidays with open and distance learning and mentoring during school terms. The programme is designed to provide the same amount of direct instruction hours as the traditional PTC residential training programme and the same qualifying exam is administered at the conclusion of both programmes. Moreover, a school management manual encourages head teachers to pair unqualified teachers with more experienced colleagues in the course of their work.

Senegal initiated widespread recruitment of contractual teachers beginning in 1995. Over the years, improvements have been made in the recruitment, employment and professional development standards of what are called voluntary (volontaires) and contractual teachers:

- Minimum academic qualification increased from lower secondary (BEFM) to upper secondary (BAC) degree;
- Increased initial training to nine months and creation of a special pedagogical corps to assist in professional development;
- Benefits including family and housing allocations, medical care via a special mutual fund, retirement and social security benefits;
- Eligibility for professional exams giving access to higher career posts and clear steps for moving up the career ladder (from initial "volunteer" to contractual to civil service teacher) and the elimination of quotas for obtaining such status.

Source: Gambia: VSO, 2011; Senegal: Diaye, 2011,GDN, Senegal, 2009.

1.12.3. Criteria and procedures for integration as permanent teachers

101. Mechanisms should be available for teachers recruited through contractual teacher training schemes to apply for and receive certification. These mechanisms should be defined by each national employer around the principle that teachers recruited through contractual teacher training schemes should benefit from significant induction and professional development and the opportunity to gain adequate professional experience before they are eligible for certification (see 1.12.2). Once certified, there should be provision for them to join the standard career and rewards structure and become eligible for the same conditions of service and CPD opportunities as teachers who have followed the regular training and qualification route (see 1.12.2).

1.13. Retention policies

102. Given the difficulties experienced by many countries in recruiting sufficient numbers of trained teachers, retaining the existing teaching stock ought to be a policy priority. Yet teacher attrition is a major problem in many countries, particularly in the developing world (GCE, 2006). Teacher retention/attrition is directly related to teacher motivation and morale, which are in turn connected to a whole variety of factors such as working conditions, rewards and incentives, opportunities for CPD, conditions of employment, effective management and support, prestige and professional credibility (Bennell, 2004; GCE, 2006; VSO, 2008; ILO/UNESCO, 2007 and 2010). Because of these complex interactions, retention policies need to be well integrated with other wider policies within and beyond the education system.

103. An effective retention policy needs to be based on knowledge of actual staffing needs, using EMIS–TMIS where available (see 1.1.2), and should involve monitoring attrition rates so as to be able to set teacher retention targets as part of the HR planning process. Although attrition rates are notoriously difficult to calculate, better use of existing human resource databases can help provide timely information on the rate of attrition of teachers at different levels (primary and secondary for example), their postings, subject specialization and qualifications, ethnic or linguistic backgrounds where relevant, as well as the reasons for departure and impact: attrition tends affect the least desirable postings more heavily (Teachers for EFA. 2010). Models will make informed assumptions, based on the available statistical data, and may be revised as and when additional or more accurate information becomes available (see box 29).

104. Effective retention policies also require an understanding of the factors that are currently leading to attrition and strategies for reducing these as far as possible. Attrition comprises resignations, retirements, dismissals and deaths (GCE, 2006) and its effects are compounded by long-term illness and absenteeism, as well as by low teacher motivation and morale due to a number of factors that need to be well understood so as to be effectively addressed (VSO, 2008; Teachers for EFA. 2010; UNESCO, 2009). Whereas it is not possible to entirely reverse all of the negative factors driving attrition decisions, policies should seek to reduce their impact, and need to be well integrated with wider policy, within and beyond the education system.

105. For example, where there are high rates of teacher absenteeism and attrition due to preventable or treatable diseases, including HIV and AIDS, the policy should address these factors in coordination with wider national health and education sector policy. In addition to introducing professional, managerial and material incentives to re-motivate disaffected teachers and encourage them to remain, as well as adopting policies that better select teacher candidates and create service obligations on completion of training (boxes 30 and 31), retention strategies might include inviting newly retired teachers or mothers who have taken career breaks to bring up children to return to work part time or with specially adapted hours and conditions of service.

Box 30
Example of assumptions made in modelling the impact of the national incidence of HIV on teacher attrition rates

Concerning the rate of attrition, the minimum is set at 3 per cent and it increases along with the incidence of HIV and AIDS in the country. Thus, attrition is estimated at:

- 3 per cent for countries where the incidence of HIV is below 5 per cent;
- 3.5 per cent for countries where the incidence of HIV is between 5 per cent and 10 per cent;
- 4 per cent for countries where the incidence of HIV is between 10 per cent and 15 per cent;
- 6 per cent for countries where the incidence of HIV is over 15 per cent.

Source: UNESCO, 2009.

Box 31
Challenges in retaining trained teachers: an example from Mozambique

In Mozambique, teacher training institutions are seen by many as a means to obtain a degree or professional qualification, which will improve general employment prospects within the public education system. Many graduates of such institutions never actually teach but go straight into other jobs. It is suggested that recruitment to these instructions should be more selective and transparent, targeting candidates who are committed to becoming classroom teachers. A further suggestion is to make working as a teacher for a limited period (for example two years) a condition for benefiting from a publicly funded teacher training degree.

Source: VSO, 2008.

Box 32
Pause for reflection on teacher attrition and retention

1. Is retention of teachers a challenge in your country? Is the rate of attrition known and through what mechanism? If a challenge, what are the main reasons for teachers leaving the profession or the country?
2. What are the current policy provisions to reduce attrition and promote teacher retention? How do these work in practice? How could they be made more successful?
3. What other policy initiatives would help promote retention? How should these interact with other policies and strategies, for example those designed to attract new applicants for teacher training, encourage returners and promote flexible working.

1.14. School leadership

106. School leadership is a critical human resources issue (boxes 33 and 34). The function involves diverse and demanding functions: setting direction, managing teaching and learning, developing people (teachers and students) within a professional learning community, and developing the organization (Leithwood et al., 2006). The skills, qualifications and personal attributes required of school managers (head teachers/principals/directors, deputy heads, subject and year heads) are therefore multiple and varied. Although traditionally school leadership has been drawn from the ranks of experienced teachers, head teachers and other managers need management training, appraisal and continuing professional development opportunities in order to provide classroom teachers with the support and guidance they need. They also need support from administrative staff so they can focus on teacher management and support, rather than administrative duties.

107. The ILO/UNESCO Recommendation states that: "posts of responsibility in education, such as that of inspector, educational administrator, director of education or other posts of special responsibility, should be given as far as possible to experienced teachers. Promotion should be based on an objective assessment of the teacher's qualifications for the new post, by reference to strictly professional criteria laid down in consultation with teachers' organizations" (1966: paragraphs 43 and 44). Whilst desirable for those in posts of responsibility to have teaching experience and knowledge of the realities of the school as a workplace, such experience needs to be supplemented with specific training for posts of responsibility. Teachers who wish to move from classroom teaching to other types of education work involving particular responsibilities, whether on a temporary or permanent basis, should have the opportunity to apply for such positions in a transparent recruitment process. If successful they should receive training for the new role, which in many countries has become increasingly sophisticated as the complexity of school management tasks grows. Induction and other forms of profession support, such as mentoring, should be available during the initial stages of the new role.

Box 33
Pause for reflection: Recruiting and developing school managers

1. What are the (a) advantages (b) disadvantages of well-qualified, experienced teachers being promoted to posts of responsibility in education systems?
2. If teachers are to be promoted to such positions, what policies and strategies could be put in place to enhance the advantages and minimise the disadvantages?

108. For many years, OECD and some other middle- to high-income countries have required previous management experience (deputy head/director), provisional appointment before confirmation or university-level education at masters degree level in education management as a condition for promotion or appointment to school head or director. Increasingly a wide range of countries impose national training standards and have developed initial or in-service training programmes for school leadership development (ILO, 2000: 35-36).

109. However, one analysis has suggested that in certain countries head teachers, middle managers, supervisors and local education officials are often promoted from classroom teaching into school management positions with little organized training. Teachers are commonly selected for management positions on the grounds of length of service rather than aptitude. They may even be taken out of classroom teaching and given supervisory duties because of a lack of aptitude. Head teachers may not be trained in or aware of equal opportunities principles, leading to discrimination based on gender, ethnicity, disability or HIV status. Head teachers may favour male teachers over female teachers when they need someone to deputise for them or take on sought after duties, and are reported to be more likely to believe male teachers in disputes between teachers, including those involving sexual harassment by male teachers (GCE, 2006, pp 47–49).

Box 34
Teachers need effective management, supervision and support

Management capacity at the school level is crucial. The quality of school leadership can make the difference between an orderly environment where teachers perform and children can learn, and a chaotic environment marked by absenteeism [both of students and teachers] and classroom indiscipline, poor school maintenance, disappearance of books and materials, and poor relations with parents and the community, as seen in many education systems. Simple and often costless actions, such as assigning the best teachers to the early grades, ensuring that rules are well understood and fairly applied, adapting the school calendar to the needs of the community, and making sure that teachers show up on time and work a full week, can greatly boost student attendance and learning. Effective management at the school level can contribute to making these happen.

Source: Bruns and Mingat, 2003; VSO, 2008.

Box 35
Pause for reflection on school leadership roles and responsibilities

School heads are called upon to play a large number of varied roles. Which of the following do not constitute part of the responsibilities of a school head?

Running a small business;

- Managing human and financial resources;
- Consulting with colleagues to adapt the teaching programme;
- Taking responsibility for outcomes;
- Offering teaching jobs to family members and acquaintances;
- Supporting, monitoring and developing teacher quality;
- Engaging with varied evaluation systems;
- Strategic planning, assessment, monitoring;
- Use of data for improvement;
- Exploring new approaches to teaching and learning;
- Supporting collaborative teaching practice;
- Raising achievement and dealing with diversity.

Source: *adapted from OECD, 2008.*

1.14.1. Qualification standards, initial training and professional development programmes for school leaders

110. National policies should specify qualification standards, initial training and professional development programmes for school leaders. Qualification standards will vary according to the national context: they will usually include a combination of academic qualifications, professional teacher training and management training and a minimum period of teaching experience.

111. As posts become vacant, they should be advertised within and outside the school and a rigorous application, recruitment and selection process should be operated within a well-publicized time frame. Candidates should be assessed according to clear, transparent, previously determined criteria, with the basic qualification standards as a minimum requirement (box 36). Candidates should be interviewed and selected by a panel including representatives of teachers, parents, school governors (if applicable), in addition to employer representatives. Their appointment should be conducted according to principles of transparency, equity and non-discrimination (see also 1.7).

Box 36
Criteria for appointing school heads in France

Primary school heads are employed by local education authorities. They remain teachers but get time to do administrative work. There are no deputy principals in primary schools.

Secondary school heads are employed by the Ministry of Education and are required to pass an examination and an interview before they can be appointed. They must be at least 30 years old and have five or more years of teaching experience.

In France, principals can apply to change post after three years; they are not allowed to stay in the same post for more than five years.

Source: Education International, 2007b.

112. Although in many contexts school managers move directly from classroom teaching into a management role, all school managers should benefit from formal initial training. Where it is not possible to offer long initial training courses, short courses followed by induction and then career-staged personal development and in-service training should be provided. Initial training for school leaders should include approaches to managing a team, budgeting and planning skills, principles of supportive and motivational management, including conducting appraisals and whole school evaluation, and facilitating professional development activities for teachers and other staff (GCE, 2006: 49). Professional development opportunities, including mentoring schemes, enable school managers to carry out their responsibilities in a reflective way. Opportunities need to be created for them to observe and learn from good practice in other schools and discuss management issues with their peers (GCE, 2006: 49). School managers should be given leave for CPD (see 2.6); where they are simultaneously discharging teaching and management duties, they should benefit from a reduced teaching load in order to have sufficient time for their managerial obligations. They should be formally appointed to and remunerated for their management function (see box 37).

113. Other possible policy options to improve school leadership include:

- Distributing school leadership, adopting a broader, more collegial concept of leadership and extending leadership training to leadership teams and middle management (also a strategy for succession planning).

- Making school leadership a more attractive profession, providing adequate rewards, which reflect the level of responsibility, and providing opportunities for career development.

Box 37
School leaders: Lessons from Mozambique

School heads and deputy heads are appointed on the basis of proposals from district directors. Some teachers and head teachers believed the system of appointing head teachers was unfair and lacking in transparency, suspecting that district directors recommended friends, relatives or political allies. Teachers suggested that the process of appointing head teachers should be more transparent, involving an open recruitment process. Because of lengthy bureaucracy, many "acting heads" perform the role for considerable lengths of time, carrying all the responsibility of managing a school without either receiving an official appointment or the appropriate salary. As many head teachers also teach classes, at least in smaller schools, they have both an increased workload and increased responsibilities, with no corresponding increase in reward. This can lead to considerable dissatisfaction among head teachers, which can in turn affect the morale of other teachers in the school. Teachers suggested training for head teachers should be mandatory; those acting as heads should receive the corresponding appointment and rewards.

Source: VSO 2008.

1.14.2. Performance criteria and evaluation processes for school managers

114. National policy should provide mechanisms for the performance of school managers to be effectively evaluated, should determine the frequency and method of evaluation and should establish clear and transparent evaluation criteria. Appraisal systems for head teachers and managers should include gathering feedback on their performance from the teachers and others they manage, as well as from their own managers (GCE, 2006: 49). Evaluation criteria will depend on national education policy and priorities and should be closely integrated with these. According to the national context and needs, these may include criteria such as student learning outcomes, student and teacher care and attention and teacher retention outcomes. Effective training should be provided for those responsible for carrying out evaluations of school managers. The evaluation process should not become a pro-forma, box ticking exercise and should be discerning enough to understand underlying behaviour patterns which have come about as a result of effective management. Evaluation and appraisal systems should be integrated with CPD and with opportunities for career development.

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Module 2: Employment – Career development and employment terms (including leave terms)

2. Introduction

1. Appropriate and relevant employment terms and career development opportunities for teachers are important for attracting and retaining the most qualified, experienced and motivated teachers. As the ILO tripartite constituents have concluded: "Universally attainable and quality lifelong learning depends in large part on highly qualified and dedicated teaching, administrative and support staff" (ILO, 2000a). This is particularly the case in the context of teacher shortages in many developing and developed countries. UNESCO Institute of Statistics (UIS) estimates that sub-Saharan Africa (SSA) would need between 4 and 5 million new teachers to achieve the Education for All Goals by 2015. Therefore, attracting and retaining the best qualified individuals is imperative and requires a careful mix of adequate policies and incentives. In countries where education systems are expanding, it is an even more pressing challenge. While adequate and decent salaries are an absolute minimum entitlement, effective leave and professional development, including study leave and exchanges with private and public workplaces, can contribute opportunities that make teaching an attractive profession and retain the best teachers.

2. Surveys have shown that the job satisfaction of teachers is linked to career prospects and job diversity, and that significant proportions of student teachers were attracted to the profession as a way to maintain a good work–life balance (OECD, 2005). Teacher shortages have tended to be less acute in countries where teachers still enjoy stable civil servant or equivalent status and good working conditions (OECD, 2005). Countries that perform the best in international learning outcome assessments, such as the Republic of Korea, Canada and Finland, have a teaching profession that is held in high esteem where strong support is given to teachers via professional development and adequate working conditions (UNESCO, 2005). Teacher job satisfaction has also been linked to teacher self-efficacy, positive teacher–student relations, instructional practice and learning achievements, with a strong link to a positive classroom environment (therefore the need for student discipline) as a key factor (OECD, 2009: 111, 122 – see also 4.4.3).

3. As module 1 establishes regarding recruitment, key to creating effective career development for teachers and sound employment terms, with respect to leave in particular, is adherence to the principle of non-discrimination in employment, which is highlighted in the ILO/UNESCO Recommendation concerning the Status of Teachers (1966: paragraph 7, Appendix 1). In the same vein, the UNESCO Recommendation concerning the Status of Higher-Education Teaching Personnel, 1997, calls for a just and open system of career development including fair procedures for appointment, tenure where applicable, promotion, dismissal and related matters (UNESCO, 1997, paragraph 43a, Appendix 2).

4. This module begins by examining key principles and good practices for job classification and promotion criteria. It then reviews career development for specific groups of teachers. This is followed by a discussion of leave terms. The module concludes by discussing the importance of continuing professional development as well as good practice in the field.

2.1. Career diversification and job classification

2.1.1. Developing a diversified teacher career structure

5. The importance of a diversified career structure and clear and transparent criteria for advancement of teachers is made clear in the ILO/UNESCO Recommendation, which states that teachers should be given opportunities for varied responsibilities and allowed to move between various levels of schooling (1966: paragraphs 40–43). The importance of basing promotion on an objective assessment of qualifications and of stability of employment and tenure is also highlighted (1966: paragraphs 44–45).

6. A diversified and effective teacher career structure is key to influencing teachers' decision making regarding their choice to join, leave or remain in the profession (OECD, 2005; ILO, 2000b) and needs to be:

- **Responsive to system and individual needs and context specific:** Career structures should respond to the needs of the education system, so as to promote better performance and results derived from higher job satisfaction, as well as of those of teachers, including work and family life balance (see section 2.4). A careful analysis of the reasons behind a teacher shortage, for example, should be carried out before choosing the right structure. If teacher attrition is the main problem, offering easier movement between levels, type of tasks and responsibilities can be particularly appropriate. If, on the other hand, the problem is attracting enough qualified candidates to enter the profession, the focus should be on offering advantageous conditions from the onset, and strong support through induction, mentoring and so forth.

- **Flexible, with multiple and diverse career paths:** Teachers should be given the opportunity to move towards positions such as inspector, head teacher, or director of education (see 2.2.2). However, a good career structure will also be diversified and allow teachers who want to keep teaching to do so. Though more diversified career structures have been developed since the 1990s, in many countries most career advancement opportunities take teachers out of the classroom (OECD, 2005: 194; ILO, 2000b: 45), which can create problems both in terms of rewarding and keeping the best teachers in place, and in terms of offering flexible and therefore attractive career options.

2.1.2. "Horizontal" career development

7. A key problem of many career structures for teachers is that they privilege a vertical route from teacher to head teacher and higher management positions, thereby encouraging teachers to move beyond and outside of the classroom, with the consequent loss of experience and expertise within teaching where it is most needed. This is why more attention needs to be paid to career structures which encourage the best teachers to keep teaching:

- within the traditional classroom: the main function remains teaching;

- within the classroom for part of the time whilst sharing expertise outside.

8. Inside the classroom: Even within the central task of teaching a class, various categories can exist depending on experience and skills, and with various levels of responsibilities (box 1). Moving from one category to another, higher level requires a teacher to demonstrate greater degrees of knowledge and skill as the principal determinant of advancement, but may also incorporate extra-classroom tasks such as willingness and

capacity to assist colleagues in their work, assume specialized tasks such as curriculum development or contribute to school leadership and strategic plans.

Box 1
Diversified career structure for classroom teaching in Victoria, Australia

In the **State of Victoria, Australia**, three categories of classroom teachers exist, with corresponding salary range, and a fourth category with greater leadership and managerial responsibilities. Beyond these teacher grades there are also possibilities of moving towards management positions such as grade level coordinator, assistant principal, principal and regional or district official. To move from one grade to the other, especially at higher levels, teachers must apply to advertised positions and demonstrate their skills.

Graduate teachers:

- First category for the new teacher, receive support and guidance from teachers at higher levels
- Focus on further developing skills and competencies, classroom management, subject content and teaching practice
- Plan and teach their own classes in one or more subjects
- May also assist and participate in policy development, project teams and the organization of co-curricular activities

Accomplished teachers:

- Focus on the planning, preparation and teaching of programmes to achieve specific student outcomes
- Teach a range of students/classes and are accountable for the effective delivery of their programmes
- Operate under general direction within clear guidelines following established work practices and documented priorities
- May have responsibility for the supervision and training of one or more student teachers

Expert teachers:

- Play a significant role in assisting to improve student performance and education outcomes as determined by the school strategic plan and state-wide priorities
- Focus on increasing the knowledge base of staff about student learning and high quality instruction, to assist their school to define quality teacher practice

Leading teachers:

- Outstanding classroom teachers
- Undertake leadership and management roles commensurate with their salary range
- Responsible for the implementation of one or more priorities contained in the school strategic plan
- Co-ordinate a large number of staff to achieve improvements in teaching and learning
- Focus on the introduction of changes in methods and approaches to teaching and learning

Source: Government of Victoria, 2009; OECD, 2005.

9. **Inside the classroom and sharing expertise:** There are a number of ways in which experienced teachers can be retained in the classroom – whilst ensuring that their skills are more widely shared. Depending on the education system's defined objectives and the job requirements, these higher level positions may keep the major focus on teaching students or reduce this role, shifting more emphasis and assigned time to additional tasks such as mentoring, curriculum development, professional development or school leadership.

   - **Mentor teachers:** Are responsible for the supervision of teacher trainees and/or the induction of new teachers, as well as providing advice and support, as for example in Brazil, where strengthening teamwork and knowledge sharing on good practices are expected of experienced teachers.

- **Advanced Skills or Master Teachers:** Provide pedagogical leadership, advice and support to their peers within or outside their school.

- **Curriculum development, research and professional practice specialists:** Teachers can be invited to participate in school curriculum changes, research and advances in professional development and practice.

Higher level career positions usually come with a mix of additional compensation and reduced teaching hours or more flexible timetabling (see also modules 4 and 5). Country examples of these approaches to career development are provided in box 2.

Box 2
Diversified career structures for classroom teaching in selected countries

Mentor teachers: In the province of Quebec, Canada, although the central promotion policy involves teachers moving automatically from one echelon to another every year, there are some more flexible arrangements for teachers who might not want to move into managerial positions once they have reached the top of the scale. One option is that teachers with a certain level of experience can work as mentor teachers for teacher trainees. As part of the teacher training programme, student teachers must spend a minimum of 700 hours in schools, working alongside the mentor teachers who coach and guide them in different aspects of the profession. In exchange, mentor teachers either receive a financial compensation or reduced teaching hours.

Excellent, Advanced Skills or Master Teachers: In the United Kingdom (England and Wales), new categories of teachers were introduced into the career structure beginning in 1998 to provide career path options for teachers who wanted new challenges while still teaching: Excellent and Advanced Skills Teachers (AST). Both levels are achieved by first meeting core and performance threshold standards in addition to the respective standards of the advanced categories, which in practice are the same as far as teaching practice is concerned, with ASTs meeting additional standards for leadership and extra-school collaboration. AST are expected to spend about 80 per cent of their time teaching in their own classrooms and 20 per cent in school improvement work, professional development activities or contributions to other schools through outreach activities and sharing good practice. Tasks can include collaborative projects, classroom observations among teachers and one-to-one support.

Contributors to curriculum development, research and professional development: In the province of Quebec, Canada, experienced teachers are sometimes invited to become co-researchers with university professors for studies on teaching, learning, classroom management and student success or failure. Some are also recruited by universities to coordinate student teaching programmes within education departments. These options once again allow good teachers to remain in the classroom, at least for part of their time, while using their skills to the benefit of the wider education community, as well as undertaking new challenges.

Source: Gauthier and Mellouki, 2003; TeacherNet, 2009; United Kingdom Department for Education, 2010.

10. Similar career policy choices are increasingly posed in post secondary teaching. In contrast to the vertically dominated career structures of the past, technical and vocational education and training (TVET) systems and institutions in many OECD member countries, transition and emerging economies are offering teachers and trainers more opportunities as:

- senior or mentor instructors with additional responsibilities and remuneration while keeping their teaching responsibilities;

- part-time instructors in pre- and in-service teacher training programmes or as coordinators of workplace-based programmes, internships or other non-academic placements;

- external liaison agents responsible for relations and partnerships with enterprises, industrial associations and trade unions, although such positions in particular may also be filled by individuals with specialized training (ILO, 2010: 35).

2.1.3. Vertical career advancement

11. A diversified career structure for teachers is one which enables them to move between different levels of education: they should be able to do so provided they have the necessary qualifications (ILO/UNESCO Recommendation, 1966: paragraph 40). In such cases support for teachers in transition should be provided.

12. While it is important to provide teachers with flexible career options, the vertical route of managerial and administrative positions should be kept available and such posts should be given to experienced teachers as far as possible, accompanied by the necessary training support that such increasingly demanding and multi-faceted jobs require, especially at school level (see 1.14). Vertical promotion routes for teachers usually include for example:

- deputy head teacher;
- head teacher;
- school inspector;
- regional or district education official;
- central education administration or ministry planning, advisory or management posts (box 3).

Box 3
Diversified career structure in South Africa

In April 2003, **South Africa** established a new post and salary structure for teachers, with **two promotion routes for teachers: teaching and learning**, or **management**. Within the teaching route, a teacher can become first a senior teacher and then a senior education specialist in schools, or an adviser to the Department of Education. This option allows teachers to stay in the classroom, while the management route incorporates the more traditional forms of promotion, such as to head teacher or education official.

Source: Government of South Africa, 2003.

13. Higher education in contrast to these other levels of education appears to remain more narrow in its career perspectives, characterized by increased short- and part-time contractual work with fewer long-term and tenured (or permanent employment) teaching and research positions, except at small numbers of elite institutions in mostly developed, OECD member countries (Altbach, 2009; Teichler, 2009). Career structures are still largely built around progression from junior to senior positions, but may diverge according to the type of institution and under the influence of changing relationships with the non-academic world, as the case of Portugal illustrates (box 4). Some countries such as the United Kingdom are shortening the often long career path from entry level to full professor, in the search for greater career attractiveness and departmental or institutional renewal (Santiago et al., 2008).

Box 4
Academic careers in Portugal

Distinct career paths exist for public university and polytechnic staff. In public universities academic staff follow a five step career path from teaching assistant to full professor, whereas staff in polytechnics follow a three stage career path from assistant to coordinating professor. A doctoral degree is not essential in the polytechnic system and changes in 2007 established a second career path ("specialists") to encourage engagement of expertise from industry and the community.

Source: Santiago et al., 2008.

14. The traditional route to advancement beyond teaching and research, in the form of promotion to department or faculty Dean, including non-academic operations of an institution, and eventually President or Chancellor of a higher education institution or system has become more restricted with increased functional specialization in non-academic and management positions. At the same time several trends that work to broaden opportunities – greater mobility of teaching and research staff in search of tenure-track positions beyond the institutions in which they received their PhDs; increased cross-border mobility in a spreading international knowledge-sharing and competitive framework; and more opportunities for creation of external research and entrepreneurial activities/institutions as public–private partnerships grow – have led to calls for considerable innovation and diversification of career structures (Santiago et al., 2008). Particularly the greater opening to external work and awards – allowing, even encouraging, the establishment of income-generating or purely intellectual teaching and research work in other institutions – may help resolve career and remuneration frustrations in resource-poor countries that are a major form of "brain drain" or "brain waste" (departures to other countries or non-academic occupations). At the same time, they require: a) institutional or systemic policies that preserve the core functions and ethics of academic jobs in line with the guidelines of the 1997 Recommendation (paragraph 34), notably with regard to multiple job-holding and potential conflicts of interest; and b) preserving tenure or its equivalent as a guarantor of academic freedom, commitment to the full range of institutional objectives and nationally- and internationally-recognized excellence in teaching, research and service (ILO/UNESCO, 2007: 23).

2.1.4. Non-linear career development

15. Some education systems have in recent years introduced non-linear career development schemes that recognize time off for family responsibilities or work experience in other jobs, in or out of education, for purposes of professional development and career advancement. Short- or medium-term employment in other public or private sector jobs may enhance school leadership and teaching, provided that the financial implications of such plans, including providing relief teachers, ensure that there are no monetary or career track penalties for individual mobility and establish guarantees of return for teachers who leave their posts in education for other jobs (ILO, 2000b).

2.1.5. Post or job classification criteria and procedures

16. Having clear post or job classification criteria is essential for upholding the principles of equity, transparency and fairness in the management and deployment of teachers outlined in the ILO/UNESCO Recommendation. A clear set of criteria for each post ensures that teachers are hired on the basis of merit and qualifications only and that candidates are treated equally. A clear criterion can also help avoid disputes over the hiring process and between employees within a given educational establishment.

Table 1. Post or job classification checklist: Ensuring equity, transparency and fairness

Criteria	Key questions
Transparent	▪ Has an open and consultative process been followed to agree on job definition and classification? ▪ Was the post advertised openly in and out of the school? ▪ Was the post advertised for a long enough period of time and taking into consideration the needs of special groups? (e.g. in Braille for the visually impaired)
Equitable	▪ Have the principles of non-discrimination been fully respected throughout the hiring or promotion process? ▪ In the case of under-represented groups, have special differentiation measures been taken? ▪ Are such special measures clearly outlined and justified within the hiring and promotions policy?
Standardized	▪ Has a clear list of criteria determining different kinds of teaching, supervision and management posts been outlined? (e.g. qualifications, type and length of experience required and professional development training received) ▪ Is the list sufficiently flexible to ensure equity in appointment, particularly in the case of under-represented groups?
Tailored to the post	▪ Do the criteria vary depending on the type of post and type of responsibilities involved? (e.g. an adviser position might require more teaching experience, while a head teacher might require more management experience)

2.1.6. Equity in job classification: The emergence of non-professional teachers

17. When the 1966 Recommendation was agreed by ILO and UNESCO members, teachers in most countries were civil servants or the equivalent, working for their government under permanent contracts. Since the 1990s, however, and increasingly within the past decade, a trend of moving away from teachers as civil servants and towards contracting them on a short-term basis, often with lower or no qualifications, temporary contracts and lower salaries and benefits, has emerged in some countries. These teachers are often referred to as "para-professionals" or other terms, with broad diversity in these teachers' characteristics and employment conditions, [1] and the phenomenon is particularly present in parts of South Asia and West and Central Africa.

18. The key policy challenge for governments with respect to contract teachers is the long-term sustainability of maintaining two groups of teachers with very different conditions of service. When teachers are carrying out similar or even identical tasks, but under different job classifications and working conditions, it can be problematic for the principles of equity underlying the ILO/UNESCO Recommendation. For a more detailed discussion of challenges, proposed policies and good practices, see 1.12.

2.1.7. Equity in careers: Gender policies

19. Teaching is a highly feminized profession in most countries but not all. In some developing countries, there is still a significant gender gap in terms of access to schooling, particularly in sub-Saharan Africa, South Asia and some Arab states, where more boys access and finish primary school than girls. The gap generally worsens at higher levels of

[1] Contract teachers are also called "temporary", "auxiliary", "volunteer", "para" and "community" teachers.

education (UNESCO, 2003). One explanation is the lack of female teachers, especially in rural areas, and one way by which access to school for girls can be increased is for more female teachers to be hired (UNESCO, 2003). To address this issue, educational authorities have instituted special programmes to recruit, train and guarantee accommodation for women teachers.

20. Once recruited, management policies to ensure equity in career progression are important in order to take advantage of the talents and skills of women teachers seeking greater responsibilities and to avoid frustration over the lack of career opportunities (and lower levels of compensation – see module 5, Overview and General Principles) becoming an additional factor in departures from the profession. Although much progress continues to be made, women often experience difficulties in obtaining promotions to higher levels. Depending on the degree of the challenges, measures that may be taken to favour career progression for women include special programmes to award seniority credits for women who interrupt careers for family reasons, creation of joint (male and female) promotion panels, introduction of positive or affirmative action in selection decisions to redress historical discrimination patterns more quickly, and extended training programmes to encourage women to seek and obtain higher level career posts. Similar provisions are recommended to resolve the "glass ceiling" that create barriers to equality of opportunity and undermine good human resource practices for women in higher education (ILO/UNESCO, 2010: 30).

21. Conversely, men are often not attracted to careers in teaching at pre-primary and primary levels, and many of the same kinds of incentives policies may need to be, and indeed have been, introduced to encourage such career choices and provide a better gender balance in the teaching workforce in early years education.

22. As part of eliminating barriers to equal opportunities and ensuring maximum recruitment and retention of women teachers in particular, careful attention to reducing gender-based pay discrimination is required (box 5 and module 5).

Box 5
Teachers' pay and conditions – Issues of gender equality

There are specific factors that contribute to women in education on average earning less than men. These include:

- men are more likely to be promoted to senior positions;
- women take breaks in service for family responsibilities more often than men do;
- women often have qualifications that are not as valued;
- some benefits are disproportionately applied, e.g. superannuation paid as a percentage of wages means that those earning more (usually men) receive more towards their superannuation pensions.

The cumulative impact of low pay during a woman's working life impacts on her ability to support her family and disadvantages her during her old age. Ensuring pay equity across the teaching service and the labour market will generally be beneficial to men as well as women.

Sources: ILO, 2007a; ILO, 2009.

23. A range of systemic policy options for gender balance in teaching careers is presented in checklist 1, box 6.

Box 6
Checklist 1: Policy options for gender balance in teaching careers

- Include gender issues in education policy documents, including national plans, promote gender awareness and give problem-solving training for members of policy and planning units.
- Systematically collect and use sex-disaggregated data on the numbers of women and men teachers and trainers, their location by rural or urban area, rank in the education or public service and position on the salary scale.
- Design and implement gender training packages at teacher training institutions and in continuing training programmes.
- Provide material and administrative support for gender-specific training programmes for women especially, to focus on developing leadership capacity.
- Systematically review and eliminate any overt discrimination in remuneration scales (base salary and allowances) and teaching service regulations, as well as any practices of sexual harassment.
- Within teachers' unions and professional associations, establish awareness and training programmes to help propel more women teachers into positions of responsibility in teachers' organizations and professional bodies (ILO, 2007a).

2.2. Promotion criteria

24. The ILO/UNESCO Recommendation states that promotion should be based on an objective assessment of the teacher's qualification (1966: paragraph 44). The criteria for promoting teachers from one post to another should be based on the same principles as those of post or job classification: the promotion should be transparent, equitable, standardized and tailored to the type of post. Basic principles in the Recommendation reflect those of ILO Conventions, Recommendations and other instruments such as codes of practice and guidelines. In that respect, promotion criteria should ensure:

- equality of opportunity: for women, ethnic minorities, teachers with disabilities and teachers and staff living with HIV;
- non-discrimination: in the movement between different levels of education (pre-primary, primary, secondary, vocational/technical); and
- provisions for part-time teaching: These should be granted to all teachers and should not hinder their promotion possibilities.

25. Promotion can be based on a number of criteria, each with advantages and disadvantages, as shown in the table below. A good promotion policy is likely to integrate elements from all three types of criteria, depending on the needs of the education system or the school and on the type of post (see table 2 and section 2.2.1 on career diversification). The performance criteria listed below may include a wide range of professional tasks such as mentoring. Additionally, in higher education, performance criteria may include factors such as research and publications or service outreach work in addition to teaching. An illustration of school promotion challenges is provided in box 7.

Table 2. Types of promotion criteria

Promotion criteria	Examples	Advantages	Disadvantages
Qualifications: Gaining further qualification or certification can lead to higher career grades.	In Namibia teachers automatically move up to a higher career grade level once they acquire a degree qualification. About two-thirds are undertaking further training to obtain a qualification for promotion.	Can encourage teachers to increase their knowledge and perfect their skills.	Can create incentive for teachers to obtain further qualifications only in the hope of getting an increase in salary. Can be difficult to sustain if there are not enough new or higher posts available for all obtaining further qualifications.
Seniority/years of experience: Promotion from one career teaching grade to another is automatic after a number of years of service.	In Senegal, teachers who have reached civil servant status are automatically moved to the next career grade every two years. In Pakistan promotion in primary school is dependent on five years of experience plus additional qualification.	Simple and transparent system. Rewards teacher experience. May encourage teachers to stay in the profession.	No assurance that those promoted are the best qualified and/or the best performing.
Performance: Promotion, either to higher teacher grades or another position, is based on teaching performance.	In the Cantons of St Gallen and Zurich, in Switzerland, teachers can only reach a higher grade if they are given a positive performance assessment.	Can create incentive for teachers to perform better in the classroom. Helps in ensuring that only the better-performing teachers are promoted to higher grades.	Can discourage team work through increased competition. Can negatively affect teacher morale.

Sources: Senegal (2003); Kucera and Stauffer (2003); Bennell and Sayed (2009).

Box 7
The challenges of establishing effective and equitable promotion criteria in Mexico

In Mexico different types of promotion schemes for basic education teachers have been introduced over the years, with two different schemes currently cohabiting. One, in place since 1973, is "vertical" in that it promotes teachers to posts of greater responsibility of management and administration. This scheme typically means removing the teacher from the classroom, which has been criticized because it moves the best teachers away from the pupils. The other scheme was created in 1993 and allows teachers to move horizontally across levels of teaching.

Both systems use scores based on a mix of different criteria, including qualification, seniority and performance assessments (both evaluation and student performance); however, within the vertical system only professional qualifications are taken into consideration, while in the horizontal scheme exams must also be considered.

There have been some challenges in implementing the system, especially regarding the weighting of the different criteria within the scoring, and some have argued that it has created an incentive for teachers to obtain further qualifications with the sole intention of getting more points. This illustrates the need to carefully consider the pros and cons of different promotion criteria and especially the type of incentives, intended or non-intended that these criteria can create.

Source: Guevara and Gonzalez, 2004.

26. When teachers are promoted from one grade, level or position to another, different options are available in terms of benefits, rewards or incentives associated with the new responsibilities. Such rewards can either be:

- **Financial:** Promotion to a higher grade is usually associated with salary increases and the additional pension benefits this brings: or

- **Non-financial:** A range of non-financial benefits can be given to encourage and reward those being promoted, including additional professional development opportunities, time allowances (for example, a smaller number of teaching hours or overall reduced work load) and increased leave allowances (for example, longer vacations and opportunities to take sabbatical years or extended leave).

27. The availability of financial or non-financial benefits will depend on the type of promotion and the realities of each education system. In most countries, promotions come with increases in salaries, but the range of non-financial incentives should also be considered, especially when there is a need, in order to create a more diversified and flexible career structure, to create new positions that are not necessarily classified at higher pay grades. It should be noted that some of these non-financial incentives do require some investment, but in the case of professional development opportunities, for example, such incentives might not increase recurrent costs, as opposed to salary increases. These types of non-financial incentives can therefore be an attractive option for countries with very limited resources.

2.3. A diversified career structure and leave terms for specific groups of teachers

28. In most countries teachers represent the largest group of public sector workers and are a diversified group with diverse needs. The ILO/UNESCO Recommendation notes that special measures need to be taken to favour some under-represented groups or groups with different needs (1966: paragraph 10(a)). Catering to the needs of special groups is essential to maintain a diversified teaching force, which can give greater flexibility to the education system and help ensure that teachers from various groups are well represented and served.

29. The starting position on the needs of specific groups are two fundamental principles, stemming from the 1958 ILO Convention (C.111) and Recommendation (R.111) on Discrimination (Employment and Occupation), which should be upheld at all times and for all groups. The first principle is that of non-discrimination, expressed in Article 1 of C.111 (ILO, 1958).

30. The countries that have ratified this Convention have committed themselves to pursue national policies to ensure that these principles of non-discrimination are respected in all places of employment (Article 2), and give full equality of opportunity and treatment in respect of employment and occupation. This is especially important in the field of education as not only are teachers a very large part of the working force in any country, but schools are and should be at the forefront of efforts to promote non-discrimination and be leaders in that respect.

31. The second principle recognizes that to achieve the principle of non-discrimination and equality of opportunity, in some cases, some special measures could and should be applied in order to ensure that some groups are represented within the teaching force and their rights respected. Article 5 of the 1958 Convention makes special provision for such cases.

32. To achieve the principle of non-discrimination and to meet the needs of specific groups of teachers who are under-represented or have specific needs, it is important to develop sound policies and practice. Three aspects deserve attention:

(a) Establishment and implementation of workplace policies: Whether for teachers with family responsibilities, teachers living with HIV, disabled teachers, or older teachers, sound national policies should be in place regarding:

- the rights and responsibilities of each party;
- special provisions to be made in favour of these groups;
- mechanisms for settlement of disputes.

(b) Adapted hiring, deployment and promotion policies: In some cases, some modification in the teacher management policies must be made to accommodate the needs of special groups. For example, the rules and criteria for hiring and deploying teachers can include special provisions for teachers with special needs.

(c) Provisions for part-time teaching: Ensuring that a part-time teaching option is available to teachers who need it, for example teachers with family responsibilities or older teachers (see below), is a good way to provide a flexible and more motivating work environment. Part-time teaching can take the form of a reduced number of courses taught, or through positions such as classroom assistants. While part-time teaching provisions should be made available to teachers who prefer this option, in some countries the increased availability of part-time work has unfortunately been synonymous with lower status and unequal working conditions. In order to make part-time work available to groups who need it while ensuring that the status of both part-time and full-time teachers is maintained, a number of principles should be followed to ensure that part-time teachers enjoy the same conditions of service as their full-time colleagues. These include ensuring that:

- part-time teachers enjoy the same pension, salary and leave benefits as their full-time colleagues, on a pro rata basis according to the number of hours they work;
- professional development activities are available to part-time teachers; and
- part-time teaching is the choice of teachers and not a second-best option for lack of full-time positions.

33. National-level and other policies should be designed and agreed upon between the government and teachers' organizations through collaboration and dialogue. Once the basic principles have been established at national level, it is important to ensure that they are translated and adapted into workplace policies at school level. This includes regular sensitization activities (in the form of workshops for example), widespread dissemination of the policies, effective support for implementation and comprehensive monitoring.

2.3.1. Teachers with family responsibilities

34. Article 4 of the ILO Workers with Family Responsibilities Convention, 1981 (C. 156 – ILO, 1981), states that all measures should be taken to cater to the needs of workers with family responsibilities and their right to free choice of employment.

35. For workers with family responsibilities, whether these are caring for a child, an elderly family member, or a disabled partner, juggling work and family commitments can be a real challenge and unless appropriate policies are put in place by employers can become an

important demotivating factor. Long working hours affect women particularly, as in many countries they are still the main care providers for the family (ILO, 2007b).

36. There are several factors that can influence how many females go into teaching and remain in the profession. Training opportunities, career progression (see 2.2.6), developing family-friendly working conditions and providing support for women who want to start families are all important in encouraging females to enter and remain in education. In some developed countries, while there might not be a shortage of female teachers, providing a working environment and conditions that allow men and women to have a good balance between their work life and family life is important for attracting people into the profession.

37. The ILO/UNESCO Recommendation states that "Marriage, pregnancy and maternity leave are not reasons to terminate contracts" (1966: paragraphs 54 and 55) and that "Measures should be taken to facilitate the continuing employment of women teachers with family responsibilities" (1966: paragraphs 56 and 57). In addition to special measures to ensure that the rights of female teachers during pregnancy are respected, a number of policies can be put in place to make the workplace more family friendly, following gender-neutral principles (ILO, 2007b), including:

- recognizing men's caring role: offering paternity leave and parental leave;
- making "normal" work more family compatible;
- making family responsibilities more compatible with work; and
- promoting a more equal sharing of family responsibilities between men and women.

38. Some measures which could be taken to make the workplace more friendly for teachers with family responsibilities include:

- adequate maternity leave terms;
- adequate paternity leave terms;
- parental leave available to both men and women and non-transferable;
- maintenance of seniority and pension during leave;
- crèches or nurseries on the school premises;
- posting women with family responsibilities near their home where possible;
- flexible arrangements with regard to working schedules: rest periods and holidays, provision of annual leave, short leave for emergencies, part time, flexitime, time banking, "teleworking" (work at home), reduction of daily hours of work and of overtime; and
- fast-track career options.

39. In addition, particularly in a context of qualified teacher shortages, human resource planners and managers need to have in place measures that can attract trained teachers who have left the profession to return to teaching (ILO/UNESCO, 1966: paragraph 58). Often these will be women who have taken some years away from teaching to care for young children. Measures that may motivate women teachers who have left the profession for reasons of family responsibilities, include:

- adequate retraining programmes that familiarize returning teachers with evolving content, pedagogical practices and student needs, including effective use of ICT;
- induction, mentoring and other forms of professional support, as for newly qualified teachers;
- Career structures that credit teachers with time dedicated to family obligations for purposes of grade level placement, salary and promotion;
- flexible work arrangements, including part-time [2] and job-sharing work opportunities (see 4.2.6 and 4.2.7);
- childcare provision for women with small children.

2.3.2. Teachers with disabilities [3]

40. The ILO/UNESCO Recommendation calls for medical care and rehabilitation services to be available to teachers with disabilities (1966: paragraph 137.2) In addition, the ILO Vocational Rehabilitation and Employment (Disabled Persons) Convention (C. 159) and Recommendation (R. 168) (ILO, 1983) apply to all employees with disabilities, including teachers. These standards encourage countries to formulate and implement national policies to promote the employment of disabled persons and provide them with vocational guidance and training (Articles 3, 4 and 7 of C. 159). The United Nations Convention on the Rights of Persons with Disabilities (UN CPRD) requires States that are a party to it to recognize the right of persons with disabilities to work on an equal basis with others, and promotes reasonable accommodation and affirmative action measures to this end (UN CRPD, Article 27).

41. There are a number of ways through which the needs of teachers with disabilities can be met, including:

- enacting legislation protecting the rights of disabled people in general and teachers in particular;
- ensuring that school infrastructure is adequate for teachers and students with disabilities;
- providing reasonable accommodation to teachers with disabilities as required, including adapted teaching materials and teaching schedules and assistive devices; and
- affirmative action measures, including the development of special entry, employment, promotion and leave terms for teachers with disabilities.

Examples of measures applied in France are indicated in box 8.

[2] Rates of return to teaching by women are likely to increase if more part-time teaching is available (OECD, 2005).

[3] Also referred to as "disabled teachers" in certain national contexts.

Box 8
Special measures for teachers with disabilities in France

In France, teachers have civil servant status and recruitment is conducted via national "competitions" *(concours)*, or exams that candidates must take once they have the required qualifications. Candidates with disabilities can, however, take advantage of a number of special measures to ensure equality of opportunity. For example, they can be given special time allowances during exams. There is also a special recruitment policy where a disabled candidate, who has the required qualifications to become a teacher, can be hired under a one-year contract instead of having to pass the "*concours*". After one year, if their performance is deemed satisfactory, the disabled teacher is formally hired with civil servant status.

A number of other special measures are also in place for teachers with disabilities, such as special consideration for their post location if they need to be closer to their home because of their disabilities, and medical follow-ups to ensure that they can teach adequately. The July 2005 law on equality of opportunity, participation and citizenship for people with disabilities also guarantees the provision of special infrastructures and materials for teachers with disabilities, as well as a right to part-time teaching.

Source: Government of France, 2009.

2.3.3. Teachers living with HIV

42. The HIV and AIDS pandemic has had a major impact on workers and the workforce (ILO, 2002) including:

- reduced supply of labour;
- loss of skilled and experienced workers;
- absenteeism and early retirement;
- stigmatization of and discrimination against workers with HIV;
- increased labour costs for employers, from health insurance to retraining;
- reduced productivity, contracting tax base and negative impact on economic growth;
- social protection systems and health services under pressure;
- increased burden on women to combine care and productive work;
- loss of family income and household productivity, exacerbating poverty;
- orphans and other affected children forced out of school and into child labour; and
- pressure on women and young people to survive by providing sexual services.

43. HIV and AIDS has a particular impact on education systems, as teachers and other school personnel can both be infected and affected by the disease and at the forefront of prevention efforts. It is therefore crucial that education sector, teacher and workplace policies tackle this issue, including provision of prevalence studies to aid national authorities in their strategic planning and policy response. Based on a code of practice for HIV and AIDS in the workplace developed by the ILO in 2001, ILO and UNESCO have developed workplace policy models for the education sector in cooperation with public and private sector employers, teachers' unions and national AIDS authorities in the Caribbean and in southern Africa. The policy models can be used and adapted for schools, training sites and higher education institutions in the two regions and elsewhere. The models furnish a checklist on how to develop and apply a policy at national and at school or institutional level (ILO/UNESCO, 2006a and 2006b; box 9).

Box 9
Key principles of the ILO/UNESCO model policies on HIV and AIDS and the education sector

HIV and AIDS is an issue for all education institutions and services, not only because the virus affects employees and students/learners, but also because education institutions can play a vital role in limiting the spread and effects of the infection.

Non-discrimination

In the interests of an effective teaching and learning environment there should be no discrimination against an employee or student who has, is perceived to have, or who is affected by HIV and AIDS. Education institutions and services should adopt a proactive approach to avoiding and eliminating stigma and discrimination.

Gender equality

Sexual harassment in the educational setting should be addressed. Any discrimination and/or action that may put an employee or student of either sex at risk of HIV because of their sex should be reported and may be sanctioned in accordance with relevant disciplinary policies. Application of policies should be designed to take account of unequal gender relations and enable all employees and students to successfully avoid risks, the spread of HIV infection and to cope with the impact of HIV and AIDS.

Caring and supportive environment

Education institutions should set up programmes of care and support that guarantee access without discrimination for employees and as appropriate for students to treatment, and provide for reasonable accommodation, provision of or referral to counselling, healthy living information (on nutrition, positive living and sexual behaviour), including life skills education where relevant, and consider the extension of employee and student assistance programmes where available.

Healthy work environment

The teaching/learning and work environment should be healthy and safe, so far as is practicable, for all concerned parties in order to reduce risk of HIV infection and transmission ... universal precautions should be applied to avoid transmission in the event of accidents in the education setting, and risks reduced or eliminated.

Screening for purposes of employment

HIV screening should not be required of job applicants, students who wish to enrol, or current employees or students. Testing for HIV should not be carried out at the education institution except as specified in relevant sections of the policies.

Continuing the employment relationship

HIV infection is not a cause for the termination, suspension, involuntary transfer or denial of career advancement of an employee or the expulsion or suspension of a student. Persons living with HIV-related illnesses should be able to work or study for as long as medically fit in appropriate work or studies and be provided with reasonable accommodation.

Confidentiality

All personal medical information, whether oral, written, or in electronic format, obtained from an individual or third parties should be treated as confidential consistent with existing ILO codes of practice. No employee, student, or parent on behalf of the student, is compelled to disclose HIV status to authorities at the education institution or service.

Prevention

HIV infection is preventable through information, education and the creation of a climate that gives assistance and encouragement to all individuals in assessing and reducing their risk to HIV. Educational institutions should set up programmes for all staff and students to provide information and behaviour change communication, promote voluntary (and confidential) testing with counselling (VCT) and provide information on practical means of prevention, including abstinence, behaviour change, access to condoms, disposable syringes, etc., in accordance with national guidelines.

Social dialogue

A successful HIV and AIDS policy and programme requires cooperation, trust and dialogue between government officials, the governing body of the education institution, administrators, employees, education union representatives, students, parents and other relevant stakeholders.

Source: ILO/UNESCO, 2006a and 2006b.

44. In addition to workplace policies that are integrated with overall education sector policies on HIV and AIDS responses, appropriate authorities, in cooperation with ministries of education and schools must ensure that teachers living with HIV have access to antiretroviral therapy (ART) should they choose to undertake the treatment (box 10). While treatment should be available in the workplace, programmes should build on existing public treatment programmes instead of building parallel structures for teachers to avoid excessive administrative burden and possible stigma for teachers living with HIV (UNESCO–EI 2007).

Box 10
Access to ART for teachers living with HIV in Zambia

The Zambian Government has been one of the most proactive in terms of establishing an HIV and AIDS workplace policy for the education sector. The policy includes the provision of ART for teachers living with HIV.

Within the policy, the provision of ART is accompanied by ART and Voluntary Counselling and Testing (VCT) education. Teachers needing treatment are referred to a private clinic where their anonymity is protected, and the payment for the drugs is first covered by the Ministry of Education, then gradually transferred to the public treatment access system.

The programme has achieved significant successes, with 4,500 teachers going for HIV testing, and 4,065 accessing ART according to 2006 information. The Ministry of Education has evaluated that the quality of life of teachers living with HIV has improved as a result of the programme. Some challenges have been noted, however, such as insufficient funding to provide treatment to all who need it and difficulties of monitoring and following teachers using the programme in remote rural areas.

Source: UNESCO–EI, 2007.

45. Additionally a workplace policy should create networking opportunities and support for affected staff and all stakeholders (box 11), as well as for teachers living with HIV and AIDS, including:

- creating peer networks for teachers living with HIV (box 12);
- building links between teachers' organizations and networks of people living with HIV and AIDS;
- providing special support to small schools and teachers working in isolation, for example through a rotation system;
- carefully monitoring teacher deployment and transfers and providing extra teaching cover for schools with teachers who are living with HIV or AIDS; and
- inviting speakers from networks of people living with HIV to schools to talk about living positively and addressing stigma and discrimination (UNESCO–EDUCAIDS 2008a; ILO, 2002).

Box 11
Bridging the gap between policy and practice in Jamaica

In Jamaica, an HIV and AIDS Response Team was established for the dissemination of the National Policy for HIV and AIDS Management in Schools. The policy sets out clear guidance on inclusion and non-discrimination, disclosure and confidentiality; provides guidelines on provision of information and education, and management of students and school personnel with HIV and AIDS; and lists universal precautions to prevent HIV transmission.

The main activity of the team has been policy dissemination workshops for key stakeholders, such as school administrators and sensitization meetings for Parent-Teacher Associations (PTAs), teaching staff, student bodies and community groups. The team provides follow-up support to schools and facilitates referrals to relevant external resources and also plays a monitoring role. Health advisory committees in schools have also been established with the support of UNESCO and school guidance counsellors have been trained.

There have been some challenges and an evaluation in April 2005 identified the lack of links between the policy and the wider response to the epidemic and variations in quality and consistency of training as short-comings. It was recommended, among other things, that workshops should be part of an ongoing programme of activities.

The experience of Jamaica highlights the need to move beyond writing national policies to effective implementation at the school level. This requires continued efforts to sensitize managers, staff, teachers and pupils.

Source: UNESCO-EDUCAIDS, 2008b.

Box 12
Kenya Network of HIV Positive Teachers (KENEPOTE)

Founded in 2003, KENEPOTE was the first network of HIV-positive teachers in eastern and southern Africa and has been followed by similar organizations in several other countries of the region to advocate for teachers' rights, reduced stigma and discrimination in education sector workplaces and increased access to care and treatment for teachers living with HIV. They also provide direct support to their members in these areas, breaking down isolation and helping to better access psycho-social support that enables better treatment and support. KENEPOTE works closely with government authorities and teachers' unions in Kenya and reportedly has had a positive impact on attitudes of other teachers, parents, students and communities towards teachers living with HIV.

Source: UNESCO–EI, 2007.

2.3.4. Older teachers

46. One of the ways in which teacher shortages can be addressed which ensures that education systems retain skilled and experienced teachers is by encouraging near-retirement or retired teachers who still want to teach to stay in the classroom. Some of the flexible career options mentioned above, such as being mentor teachers to new recruits, being Advanced Skills or Master teachers, or contributing to curriculum development, can be particularly appropriate for more experienced teachers.

47. Older teachers should also be given the opportunity to work part-time or a reduced number of hours without losing their pension benefits or seniority. One approach could be allowing older teachers to reduce the number of hours they work gradually, with a corresponding decrease in salary, as an alternative to complete and immediate retirement (OECD, 2005 – box 13 – see also 4.2.6)). In that way, precious experience and skills are retained and can be more easily transferred to new teachers, while giving older teachers a more gradual and flexible route towards retirement.

48. Alternative career tracks or job assignments for older teachers can include:

- master teacher positions;
- in-service advisory roles;

- mentoring new teachers and trainees;
- partnerships with teacher training institutions to support trainees on school placements;
- part-time teaching.

Box 13
Gradual reduction of working hours for older teachers in Germany

Offering gradually reduced working hours for teachers nearing retirement age can be a good way to retain effective and experienced teachers who still want to teach and share their skills, but who want to reduce their workload. This smoother transition towards retirement is offered in Brandenburg, Germany, with attractive salary packages.

From the age of 55 onwards, teachers can choose to decrease the number of hours they work each year. But while they may get to a point where their workload is cut by half, they will still receive about 81 per cent of their previous income. In the school year 2002/03, about 10 per cent of all teachers were benefitting from this scheme.

Source: Ministerium für Kultus Brandenberg, 2003.

2.4. Leave terms

49. Fair and equitable leave is a key to effective teacher motivation and is a right of all teachers. There are various types of leave that should be provided for in any education system:

- scheduled school holidays, following national civil or public service regulations;
- collective agreements for annual leave based on the school calendar;
- personal leave for circumstances such as illness, maternity leave, paternity leave; and
- professional development leave (discussed in the next section).

50. In some cases, additional periods of unpaid leave should be provided to teachers.

51. There are three important principles which should underpin any leave arrangement:

- teachers should remain employed and keep their employment terms while on any period of agreed leave;
- seniority, pay grade, continuity of service and other normal conditions of service should not be discontinued during leave periods; and
- seniority, eligibility for promotion and pension should be safeguarded.

2.4.1. Annual vacation

52. The ILO/UNESCO Recommendation states that "All teachers should enjoy a right to adequate annual vacation with full pay" (1966: paragraph 94). The right should apply to teachers regardless of their employment by public or private schools. Private institutional terms for vacation leave should be substantially equivalent to those of the public service. Provisions in various European countries are presented in box 14.

Box 14
Length of annual leave around Europe

Depending on the country concerned, annual leave is defined as a number of days or a number of weeks. In most cases the number of days of leave is identical for all and is very often determined by the school year. In some countries, the attempt to bring the concept of teachers' working time in line with the working time of other employees involves expressing leave as a number of days per year. For most professions in the public and private sectors the number of days of leave increases with length of service. In a number of Scandinavian countries and in Italy, Hungary and Slovenia, this increase also applies to teachers.

Spain: The law also stipulates that all public servant teachers are entitled to a month of paid leave in the summer and about eight days at Easter, 15 days at Christmas, three days in February and seven additional days of statutory paid leave (as is the case of pupils). While teachers in the public sector adjust their working calendar in accordance with the school calendar, they are nevertheless at school for a few days before the beginning of the school year in September and a few days after it ends in June, including the first days of July.

Italy: Annual leave consists of 30 days during the first three years, and then 32 days.

Portugal: All public servants are entitled to a month of paid leave. While teachers in the public sector adjust their working time in accordance with the school calendar, they are nevertheless at school for a few days before the beginning of the school year in September and after it ends (for examinations, enrolments, etc.). They may divide their annual holiday into two periods, one of which must be at least eight days long.

Finland and Sweden: This leave is notional in that in practice all teachers are on leave on any day that is not an official working day. This leave serves as a basis for calculating holiday pay and compensation paid under the law on health insurance.

Slovenia: Teachers receive between 19 and 25 days of leave depending on their length of service, plus a further two to six days depending on their level of qualification, three to five days to compensate for specific working obligations (project management, teaching pupils with special needs, etc.) and finally five additional days from the age of 50.

Source: Eurydice, 2003.

2.4.2. Personal leave

2.4.2.1. Maternity, paternal and other care-giving leave

53. While there are some internationally agreed-upon minimum standards for leave, many countries have now offered maternity, paternity and parental leave with the aim of providing better work–life balance for their citizens.

54. The ILO/UNESCO Recommendation relies on the ILO Maternity Protection Convention, 1952 (C. 103 – ILO, 1952), as the guideline for maternity leave terms. This standard sets out certain basic entitlements and guarantees to guide policies:

- maternity leave of at least 12 weeks (Article 3.2);
- cash and medical benefits during maternity leave (Article 4.1);
- paid interruptions of work during the time women are nursing (Articles 5.1 and 3.5);
- no dismissal while women are on maternity leave (Article 6).

Good practices in the United Kingdom are outlined in box 15.

Box 15
Maternity leave in the United Kingdom

Annual leave is managed locally and managers are encouraged to take into account the needs of staff when agreeing to leave requests, taking particular account of those with caring or parental responsibilities.

When women (or men) return after a career break, a calculation is used on their return to make sure that they are not disadvantaged in terms of pay progression because of their absence from the workplace. Career break returners would also return to the same grade that they occupied when they went on their career break.

Staff members on maternity leave or a career break are eligible to apply for job vacancies, including promotion. Details of the Ministry of Justice's (MoJ's) "Keep in Touch" policy are included in sick absence and maternity leave booklets.

The Network for Caring has recently introduced two new workshops, a return to work course for new mothers and a separate one for new fathers. Both workshops look at the difficulties that new mothers and fathers face upon returning to work after they become a parent or carer of a child.

Source: United Kingdom Ministry of Justice, 2008.

55. Aside from maternity leave, provision should be made for paternal leave, family responsibility and care-giving leave. Paternal leave in particular is important to ensure that childcare is a shared responsibility and that men have the opportunity to spend more time with their children. Provisions in a number of Latin American countries are outlined in box 16.

Box 16
Work–family measures in collective agreements in selected Latin American countries (1996–2001)

Pregnancy:

- extension of the time during which pregnant women are protected from dismissal (Brazil);
- reduction in hours of work for pregnant women (Brazil);
- leave for prenatal checkups (Brazil);
- leave and protection against dismissal in the event of spontaneous abortion (Brazil).

Maternity leave:

- payment of a wage supplement (Paraguay) and guarantee of full wages during maternity leave (Uruguay);
- extension of maternity leave by up to 36 days beyond the statutory entitlement (Paraguay);
- maternity leave in cases of "unborn children" (Argentina);
- extension of leave in the event of multiple births and children with disabilities (Argentina).

Breastfeeding:

- extension of daily breaks for breastfeeding (Argentina, Paraguay, Uruguay);
- extension of the period during which daily breastfeeding breaks are allowed (Brazil, Uruguay).

Childcare:

- eave to accompany children for health or educational reasons (Brazil);
- up to four hours per day of leave in the event of illness of a child aged under one year (Chile);
- extension of the period of entitlement to childcare (Brazil and Paraguay).

Paternity leave:

- introduction of paternity leave (Uruguay and the Bolivarian Republic of Venezuela);
- extension of the length of paternity leave (Brazil, Chile, Paraguay);
- protection of the father against dismissal in the event of the birth of a child (Brazil);

- xtension of childcare entitlement to the father (Brazil).

Adoption:

- Extension of entitlements for adoptive fathers and mothers (Brazil, Paraguay).

Care-giving leave:

- leave in the event of serious illness of a close relative (Chile, Paraguay).

Source: Abramo and Rangel, 2005.

2.4.2.2. Other leave

56. The ILO/UNESCO Recommendation states that leave should be granted for:

- **Illness or accident:** sick leave with pay (1966: paragraph 101.1);
- **Compassionate leave:** leave of absence with full pay for adequate personal reasons under arrangements specified in advance of employment (1966: paragraph 100);
- **Leave to participate in organization activities:** occasional leave of absence with full pay to participate in activities of their organizations), associated with the right to take up office in their organizations; in such case entitlements should be similar to those of teachers holding public office (1966: paragraph 99).

Negotiated leave provisions in the United Kingdom are illustrated in box 17.

Box 17
Leave of absence agreements, National Union of Teachers (NUT), United Kingdom

Teachers are covered by the statutory rights to unpaid time off for family and domestic reasons in the same way as any other employee, and may have contractual rights to time off which are better than these minimum statutory rights as a result of a local agreement on conditions of service between local education authorities (LEAs) and teacher unions.

Areas which might be covered in a local leave of absence agreement include:

- compassionate leave for bereavement;
- leave for other family and domestic reasons;
- time off for medical visits (hospital, dentist, specialist, optician, GP);
- time off for fertility treatment;
- examination/study leave;
- time off for religious observance;
- time off for weddings;
- time off for moving house;
- time off for the performance of public duties (for example magistrate or school governor duties);
- time off for jury service;
- time off to attend interviews; and
- paternity leave.

Source: National Union of Teachers, 2002.

2.5. Study and professional development

57. The importance of establishing a system of in-service education available to teachers is outlined in the ILO/UNESCO Recommendation (1966: paragraph 32). Such a system is a cornerstone of continuing professional development (CPD), should be designed in collaboration with teachers' organizations and should be free of charge.

58. Research has shown that continuing professional development (CPD – which may be designated as "in-service training", although the term is more narrow in scope) has a positive impact on teachers' attitudes, beliefs and practices, students' learning outcomes and successful implementation of educational reforms (Villegas-Reimers 2003; OECD, 2009). Not only does a good CPD programme enhance the quality of teaching, it is also likely to make the profession more attractive and challenging for teachers. In recent years there has been an increased interest in the importance of CPD and the type of activities and methods that effectively plan for, create and manage change in teaching practices, a vital factor in lifelong learning systems (ILO, 2000a).

59. There are a number of reasons that investing in strong CPD programmes for teachers makes sense. Since teachers form the largest part of education expenditure in all countries, ensuring that they are as competent and qualified as possible will increase their efficiency and for this reason the value of the resources put into them. CPD is essential for the following reasons:

- changes in subject/learning area: the need to keep abreast of changes in areas of specialization;
- changes in pedagogy: the need to keep abreast of new approaches to teaching, learning and assessment;
- policy changes: the need to keep up to date with key policy changes in education;
- teacher motivation: the need to motivate, encourage and revitalize teachers and make staff feel more valued;
- enhancement of knowledge and skills: the need to improve the content and skills knowledge of teachers, individually or as a group.

60. This means that, while CPD has been recognized as an integral part of teacher management and development, it must be supported by corresponding adequate programmes of pre-service training and induction. Teachers should not be expected to learn "on-the-job" but instead be given the opportunity to learn new skills, new methods and learn from their peers as they move forward in their career. An induction period for newly qualified teachers is essential for bridging the gap between the initial teacher training and the subsequent period of teaching as professional teachers. An induction period can tailor individual challenges faced during the beginning of the professional career and make a firm foundation of teaching, and should be built upon individual knowledge, skills and attitudes developed in the initial teacher training (table 3).

Table 3. Checklist for an effective continuing professional development programme

Principle	Key questions
School-based	■ Is professional development taking place in a classroom setting? ■ Is it linked to school-wide efforts, fostering team-building and learning between teachers?
Participatory	■ Have teachers been actively involved from the onset in determining the goals, objectives and content of CPD activities? ■ Are opportunities for discussion and critical examination of teaching practice an integral part of the programme?
Emphasis on practice and content	■ Is there a good balance between introducing new pedagogical skills and methods and increasing teacher knowledge of the content matter of the courses they are teaching? ■ Are activities practically oriented, with opportunities for practicing and testing new teaching methods?
Continuous and ongoing	■ Does the programme include ongoing training, feedback, follow-up and continuous support for teachers?

Source: Based partly on Schwille and Dembélé, 2007; OECD, 2005.

61. In-service training methods in Japan (box 18) provide a concrete example of CPD which includes the key principles outlined above.

Box 18
Lesson study in Japan

One of the most referred to methods of team-based, teacher-led and ongoing CPD comes from Japan and has been translated as "lesson study", coming from the Japanese term jugyokenkyu. This method, which has existed in Japan for 200 years, brings teachers together to plan, discuss and improve their teaching practice.

One key example of a lesson study involves teachers getting together to plan a lesson, then sitting and observing a member of the group giving the lesson to students. Following the lesson, the group of teachers gathers to discuss how the lesson went, how students reacted and what can be improved. This method has been highly successful in Japan and has also been adapted and implemented in other countries such as the United States and Guinea with some challenges but overall positive outcomes. The lesson study methods include all the key characteristics of a successful CDP activity. The lesson study is based in the classroom and usually linked to school-wide efforts as all teachers in the school are encouraged to participate. It is highly participatory because it is entirely teacher led and focuses on discussions on how to improve teaching practices. It is centred on students, what they are being taught and how they are learning and it is an ongoing process with constant feedback.

Sources: Fernandez and Yoshida, 2004, Schwille and Dembélé, 2007, Lesson Study Group, Mills College, 2009.

62. While CPD has widely been recognized as a key improving the effectiveness of teachers, not all programmes are equally successful. In order to be worthwhile, a good CPD programme must produce real change in attitudes and practice and improve teaching in a way that positively affects the learning outcomes of pupils (box 19). Different types of programmes exist, as outlined in table 4, below.

Box 19
Effective teacher resource centres in Uganda

The Kampala Schools' Improvement Project (SIP) was initiated in 1994 for a period of three years, and was funded jointly by the Commission of the European Communities and the Aga Khan Foundation to promote and institutionalise child-centred teaching methods. The project established on-site, on-the-job training and created a teacher resource centre to run regular workshops and seminars aimed at enhancing the teaching skills of nursery and primary school teachers. The project used a whole-school approach, including all teachers, children and parents. The SIP also provided follow-up through in-class support and demonstration. The evaluation of the project revealed that the SIP was successful in transforming the environment of the classroom and in changing the attitudes of teachers. Many teachers developed skills for creating a child-centred and child-friendly teaching environment within a relatively short period (one to three years) and created low-cost teaching and learning materials

Sources: Siraj-Blatchford, Odada et al., 1997.

Table 4. Types of continuing professional development (CPD)

Category	Type	Advantages	Disadvantages
Workshops/short courses	**One-off** Usually led by experts	Can be useful way to introduce new research, techniques, textbooks	Expert-driven, not participatory Rarely leads to change in behaviour
	Cascade Training of trainers Multiplier mechanism	Can reach greater number of participants	Reliance on workshop participants to pass on new knowledge – does not always happen
	Periodic Sites courses geared to individuals Often voluntary and random	Little time investment	Little continuity and few links with real classroom practices
Individual support	**Master Teachers** Experienced teachers share their skills **In-Service Advisers** Similar to Master teachers, sometimes coming from other schools for a number of days	Builds on experience and knowledge of teachers Builds informal links between teachers	Can also produce little change if not continuous
	Release Time Periods of leave for secondments into other schools, or self-directed study	Foster teachers' professional and personal growth Usually more in-depth and longer-term	Requires time away from schools for teachers Can be a route away from teaching when it comes with additional degree or diploma
	Distance education Course usually taken via mail or the internet	Not too costly Useful for teachers in remote areas	Evidence is mixed on effect Removed from classroom reality Can be used as a way out of teaching
Group and network based	**Teacher Clusters/Zones of Pedagogical Influence** Group of schools coming together for CPD activities	Good for team building Not too costly Sharing of experiences between schools	Needs follow-up and commitment from schools and teachers

Category	Type	Advantages	Disadvantages
	Intervisitation and Peer Networks Brings teachers and head teachers in contact with good practice Study tours are a good example	Increase links and communication between teachers Peer based and focused on the needs of teachers	Dependent on who the mentor or the peer is – differences in quality Often sporadic
	CPD Days Designated days in school calendar when there is no teaching commitment	Can be beneficial if participants feel a sense of ownership	Often too few and far between Can be taken as "holidays" by teachers
	External Consultants/School-Based Training Education experts and/or experienced teachers offering their expertise, either to individuals, groups, or entire schools	Often high quality expertise	Can be costly Not always participatory

2.5.1. Leave terms for professional development

63. To ensure that teachers actively and regularly participate in needed professional development activities, it is essential that leave terms are agreed upon and respected. The ILO/UNESCO Recommendation states that teachers should be granted study leave on full or partial pay at intervals and that the period of study leave should be counted for seniority and pension purposes (1966: paragraph 95).

64. Professional development leave includes:

- short-term leave: daily, weekly, continuing professional development arrangements – off-site; and
- long/longer-term leave: sabbaticals, work exchanges and national or international cultural or technical exchanges.

65. Short-term professional development leave must not only be granted at full pay but, as far as possible, government should support such training, particularly where it is related to changes in policy. Many governments make provision for teacher sabbaticals (box 20) and long leave through changes in the salary structure. For example, in Ontario, Canada a teacher's pay of four years is spread over five years, providing the opportunity for the fifth year to be taken as a sabbatical. Such time off could be used by teachers to build on their experience through further development activities, study or research of value to their schools or future schools, thereby contributing to the improvement in standards through the dissemination of good practice.

Box 20
Greater leave opportunities for professional development in Singapore

Since 2007, the Ministry of Education of Singapore has increased sabbatical opportunities for teachers wanting to pursue professional development activities. The Professional Development Leave scheme has been enhanced to introduce up to one year of full-paid leave to teachers with at least 12 years of service. In addition, teachers with at least 6 years of service are entitled to one month of half-paid leave for every year of service.

These leave provisions are especially designed to give the opportunity for teachers to "recharge and renew themselves" and are supplemented by the Learning and Development scheme, allowing teachers to claim between $400 and $700 per year for learning related expenses. In addition to these provisions, part-time opportunities for teachers with family responsibilities as well as teachers over 55 years have been strengthened. These new policies have been introduced to provide greater support and a more flexible working environment for teachers.

Source: Government of Singapore, Ministry of Education, 2006.

2.5.2. Special leave provisions in rural and remote areas

66. Attracting teachers to rural and remote locations (see 1.1.1) is a necessary but not a sufficient condition to enhance education in these areas. The teachers also need to be provided with training and support to enhance their professional competencies to work in such areas. The training needs should take into account the specific context of teaching and learning and include a focus on working in multi grade settings, teaching large classes, adapting teaching to the needs of learners who may, for example, be required to support their families and communities during harvesting times or other economic activities. In addition, the fact that teachers in remote and rural areas often have lower education and qualification levels also means that appropriate in-service training opportunities must be available (see figure 1 below).

67. National governments have tried many different strategies to ensure that teachers are deployed to remote and rural locations. More attractive career structures for teachers in rural areas, such as accelerated promotion and/or preferential access to qualification upgrading opportunities and/or advantageous professional development schemes, can be an effective way to attract teachers. This is why the ILO/UNESCO Recommendation states that teachers removed from population centres should be given leave to study more frequently (1966: paragraph 95.3). Box 21 shows one good practice in China.

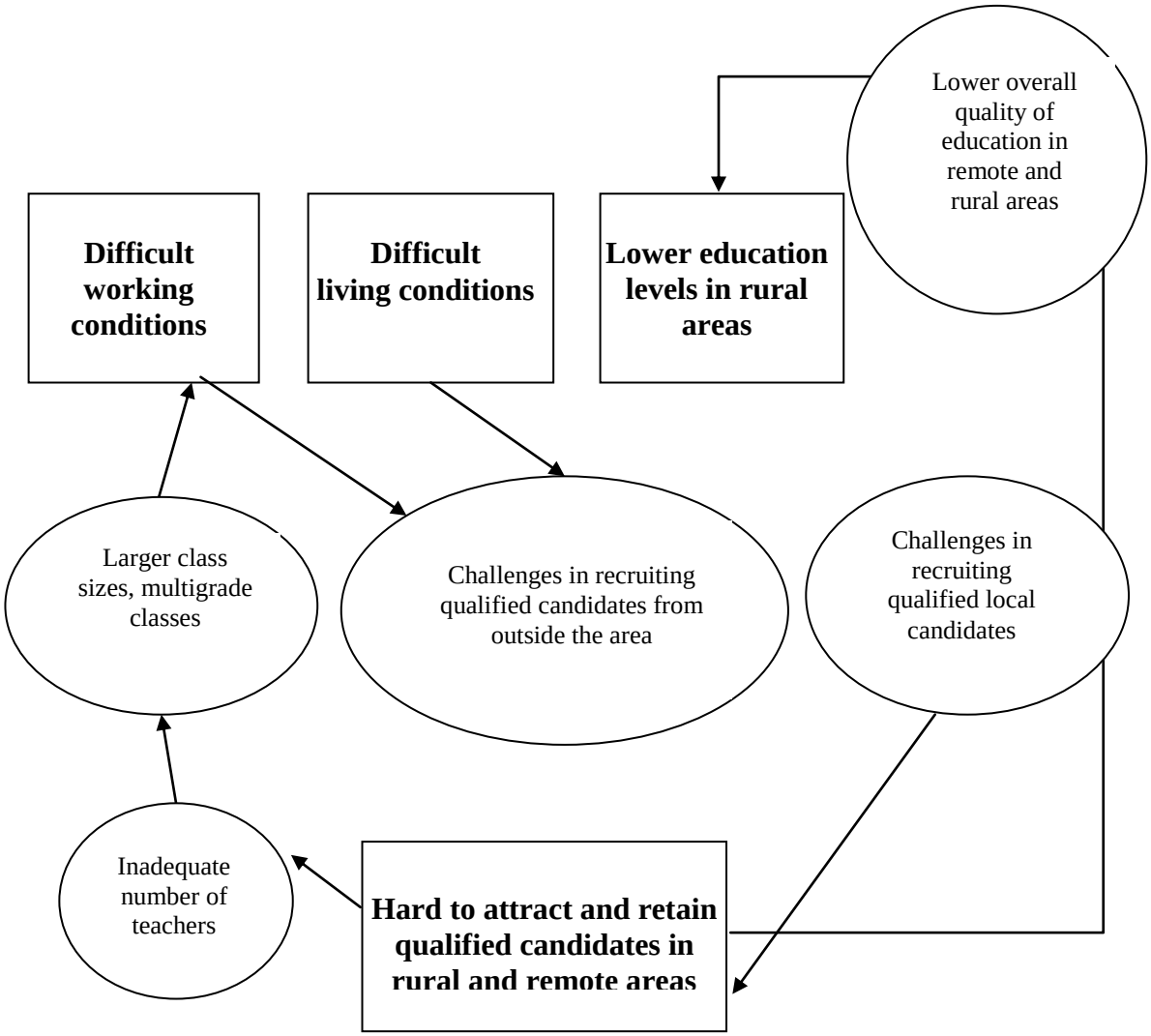
Box 21
Incentives for teachers in rural areas in China

In China, while significant progress has been achieved in terms of access to education, large disparities exist between regions, and, like in many other countries, it is difficult to attract and retain qualified teachers in rural areas. To address this problem, the Chinese Government has undertaken a number of initiatives, such as providing free teacher education to students committed to teaching in rural schools for three years, encouraging training institutions to organize their internships in rural areas and fostering links between urban and rural schools.

One recent initiative that provides both incentives for teachers to work in more remote areas and in-service training opportunities is called the "Master of Education for Rural Schools". The programme, which lasts five years, first sees teachers teaching for three years in schools in poorer regions of the country, after which they can take a one-year Master course at a university. Following the completion of their degree they then return to a rural school while writing their dissertation.

Source: Zhao and Wenbin, 2007.

Figure 1. Teachers in remote and rural areas: A vicious circle



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Module 3: Professional roles and responsibilities

3. Introduction

1. This module considers the roles, responsibilities and accountability of teachers as professionals. It includes those in higher education, in accordance with the principles and provisions of the UNESCO Recommendation concerning the Status of Higher-Education Teaching Personnel (the UNESCO Recommendation – see Appendix II for the full text).

2. A key challenge for many education systems and institutions/schools is to develop systems, procedures and agreements with teachers which seek to balance changing roles, professional support, freedom and autonomy of teachers on the one hand and to institute effective and robust forms of supervision and evaluation, to promote public accountability and improve teaching and learning in schools. Balancing the goals of quality and accountability with rights and responsibilities for teachers requires designing and implementing efficient teacher evaluation systems, promoting codes of conducts and codes of practice as self-regulation strategies, protecting teachers' professional and academic freedom, respecting their civic rights and ensuring that fair disciplinary procedures are in place.

3. This module begins with a brief overview of teacher roles, followed by the professional freedom that teachers should have and the key challenges. It then reviews policy and practice concerning teacher evaluation and assessment, followed by a discussion of a code of conduct and ethics for enhancing professional practice and responsibility. The last two sections of this module consider the civil rights of teachers vis-á-vis professional practice followed by recommendations on disciplinary procedures.

3.1. Roles and responsibilities

4. The ILO/UNESCO Recommendation (paragraphs 5, 62, 66 and 70–76, Appendix I) and recommendations of education authorities, private employers' and teachers' organizations (ILO, 2000a: 34–35: OECD, 2005: 97–98) outline teacher roles and responsibilities within the framework of teaching as a profession and (largely) a form of public service. These focus on multiple roles and responsibilities in a constantly changing, lifelong learning environment and operate at several levels:

Individual teacher and learner

- *Knowledge:* Acquisition and maintenance of expert knowledge in at least one field of learning.
- *Pedagogic skills:* Development of specialized skills to transmit knowledge to learners, acquired and maintained through continuing professional development (study and training), including integrated use of ICT.
- *Dynamic learning:* Facilitating learners' acquisition of generic skills for managing one's life and further learning, including fostering active, interactive learning, problem-solving skills and self-directed learning.

- *Evaluation:* Assessing learners' strengths, weaknesses and progress and guiding their further development (with due regard to fairness and individual capacity and needs) through a range of methods – observation, test results, homework, project work and others, both formative and summative.

- *Student welfare:* Applying and communicating a high degree of personal (and corporate) empathy and responsibility for the education and welfare of students in their charge.

- *Self-learning:* Research, reflection on and change as necessary in teaching practice – the teacher as learner who is also partly responsible for their own professional development.

Classroom and school

- *Collaborative work:* Developing and implementing collaborative and team teaching practices.

- *Learning diversity:* Teaching cross-curricular subjects (life skills, citizenship, sustainable development) to a multi-cultural student population and integrating special needs learners in classrooms.

- *School cohesion:* Working for social inclusion and cohesion in a multi-cultural, ethnically and religiously diverse school population.

- *School planning and management:* Team work to establish common goals through school plans and the organization and management to achieve school and inter-school or system (local or larger) objectives as part of enlarged school leadership.

- *Decision-making:* Participating individually and collectively (through associations or unions) in classroom and school decision-making on instructional and social organization (school councils and evaluation or disciplinary bodies).

Parents and communities

- *Parent guidance/relations:* Communicating professional feedback and guidance to parents or guardians on student difficulties and progress and parents' supportive roles.

- *Community outreach:* Building wider support for individual and school learning capacity and success through outreach and partnerships with community leaders and institutions, private enterprises/employers, professional associations and trade unions.

All of these roles are constantly evolving over time, as social, economic, political and technological change impacts on the teaching and learning environment. For these roles to be fulfilled successfully by teachers, individually and collectively, requires strong understanding, support and training through professional development programmes (see also 2.8 and 8.4 especially).

5. The UNESCO Recommendation (paragraphs 33–36) sets out many of these same roles and responsibilities but also focuses on those specific to higher education, notably:

- *Teaching:* Fulfilling teaching duties for all learners in regard to the individual or institutionally defined curricula, including encouraging critical thinking and free exchange of ideas.

- *Research:* Undertaking scholarly research and disseminating results through professional outlets – publications and conferences – that is intellectually honest, evidence-based and respectful of ethical and intellectual property standards.

- *Institutional Governance:* Participating in collegial governance mechanisms of institutions – department and faculty councils – and professional bodies.

- *External research:* Sharing knowledge, information and technical skills with community leaders and institutions, enterprises and employers, professional and workers' organizations and the general public, in ways that avoid conflicts of interest, material or intellectual.

Roles and responsibilities in higher education must also be defined and implemented in relation to institutional autonomy and accountability (1997: paragraphs 17–24).

3.2. Professional freedom

6. The ILO/UNESCO Recommendation states that the teaching profession should enjoy academic freedom in the discharge of professional duties. Since teachers are particularly qualified to judge the teaching aids and methods most suitable for their pupils, they should be allowed to choose and adapt teaching material and teaching methods, within the framework of approved programmes and with the assistance of the educational authorities (1966: paragraph 61).

7. The ILO/UNESCO Recommendation indicates two key aspects of professional freedom. The first is freedom which pertains to the delivery of the curricula, subject to a nationally approved framework. The second is freedom which pertains to unfair and unwarranted interference by parents in teaching and learning (1966: paragraph 67). While these guidelines assert the principle of academic freedom – the key issue is what this means in policy and practice. The understanding of academic freedom varies from country to country and between levels of education.

8. Within the university sector, professional freedom refers to the freedom of teachers and researchers to pursue their academic interests and research without government or corporate interference or restrictions imposed in the name of institutional autonomy. They should also be given a certain degree of leeway in terms of what they teach and how. Actual degrees of academic freedom vary greatly from country to country, with some (for example Myanmar) where it is in effect non-existent, and are usually linked to the general political situation in the country (Altbach, 2001).

9. Promoting academic freedom in schools means facing a tough balancing act between freedom of speech and the necessary degree of professional autonomy and the need for standardization and uniformity in curricula in agreement with the standards set by educational authorities in democratically elected environments, national or local. The starting point for ensuring the protection of the freedoms of teachers is the need for constitutional and other legal guarantees of freedom in general. However, such freedom must be balanced and pupils and parents should and must be protected from hate speech, discrimination, and so forth. Professional freedom for teachers must incorporate equality and equity in the classroom as a fundamental principle. In other words, teacher professional freedom should not and cannot be used to exclude particular group of learners and discriminate between learners in the classroom. In a study of inclusion and exclusion in South Africa and India (Sayed et al., 2008) it was noted that teachers in some schools in India ran separate home economic classes for upper and lower castes, instituting rules that lower caste pupils and the "untouchables" should not use the same cooking utensils and cook in the same room as the upper caste Brahmin pupils. This example illustrates the

point that teacher professional development should include a commitment to principles of equality and equity. Table 1 and box 1 below summarize and illustrate some of the tensions between teacher professional freedoms and the imperative of accountability and equality.

Table 1. Academic freedom in schools: A balancing act

Teacher needs	System needs
Protecting freedom of speech of teachers Protection of freedom of research for teachers Recognition of the expert skills and knowledge of the teacher with regards to teaching methods and curriculum	The need for a uniform and common curriculum framework Enhancing teacher accountability to the local community and to the nation Protecting learners and parents from the religious and political beliefs of teachers and other pupils

Box 1
Academic freedom v. following the curriculum: The case of the teaching of evolution in US classrooms

Recent events in the United States have brought the question of academic freedom for primary and high school teachers to the forefront. Typically, the school curriculum teaches the Darwinian theory of evolution as the central scientific precept regarding the origins of human life on Earth. However, some teachers have expressed reservations about that theory, mainly on religious grounds, saying it is not compatible with the belief that humans were created by God in their present form.

In 2008 a number of "academic freedom bills" were introduced in some US states in order to allow teachers to teach competing views on the origins of human life in biology lessons, for example some known as "intelligent design".

From the point of view of the supporters of the bills, teachers should be allowed to teach different positions regarding evolution and should have the "freedom" to express their doubts to students, especially when it contravenes their own beliefs. From the point of view of opponents of the bill, there is no credible scientific opposition to evolution, and allowing teachers to veer away from the agreed curriculum on that subject would mean teaching highly questionable "theories" to pupils.

This case illustrates the complexity of a notion such as academic freedom, especially at the basic education level. How much control should teachers have over what is taught? While some degree of flexibility should be granted, it is important to balance it with adherence to minimum standards and respect for the agreed teaching curriculum.

Source: Simon (2008).

10. In the context of schooling, the following principles should guide the process of reaching an agreement in balancing the professional freedom of teachers and the need for accountability.

- Promote the active involvement of teachers, individually and via teachers' organizations, in the development of the curriculum, course work and teaching materials.
- Allow teachers flexibility in terms of teaching methods and assessment within a nationally defined curricula framework (see box 2).
- Develop a national policy on professional freedoms which clearly outlines roles and responsibilities of teachers with respect to teaching and relationships with parents.
- Ensure that any policy on professional freedom is effectively implemented and monitored.

Box 2
Professional freedom in South-East Asia

A report of teacher policies in South-East Asia noted that, in most cases, countries required teachers to follow a national curriculum and guidelines from ministries of education in terms of assessments. A greater degree of freedom and flexibility was permitted in teaching styles and methods, particularly in remote areas where the curriculum sometimes needed to be adapted, for example to the needs of indigenous groups, or to more difficult and resource-scarce teaching and learning conditions.

Source: UNESCO–ILO–EI (2003).

3.3. Teacher evaluation, assessment and feedback

11. Teacher assessment and evaluation are essential and sometimes under-used teaching management tools. A Teaching and Learning International Survey (TALIS–OECD, 2009) of 24 countries [7] found that teachers overall felt positive about teacher appraisal and feedback and noted that it was:

- fair and useful to their development as teachers;
- increased their job satisfaction and to a lesser degree their job security.

12. There is therefore both a benefit to the teacher and to the school and education system as a whole in conducting regular, fair and transparent evaluation activities. The ILO/UNESCO Recommendation is clear that any teacher evaluation and assessment should be supportive of efforts to enhance teacher professional competencies and that it should be fair and objective. Teachers should also have a right to appeal against assessments which they deem to be unjustified (1966: paragraphs 63–64, see also 3.3.3).

13. A trend is growing in many countries to rely more heavily on teacher performance assessments. Such performance assessments should not be overused, however, to focus teacher assessment only on "supervisory" objectives related to accountability (including discipline) and rewards, nor should they be confused with the application of codes of ethics by professional bodies. Teacher evaluation goals of accountability, career and professional development and student progress need to achieve a certain balance (see 3.3.1).

3.3.1. Purpose and principles of teacher evaluation

14. Teacher evaluation systems serve several purposes, for which objectives should be set, and which can distinguish between two primary functions.

15. One is for purposes of appraisal to ensure that accountability and career objectives are met:

- *Accountability:* mechanisms for teacher assessment and evaluation can increase accountability to school management and administration, pupils, parents and the wider education system, with positive by-products of greater stakeholder engagement in the learning process.

[7] Australia, Austria, Belgium, Brazil, Bulgaria, Denmark, Estonia, Hungary, Iceland, Ireland, Italy, Republic of Korea, Lithuania, Malta, Malaysia, Mexico, Netherlands, Norway, Poland, Portugal, Spain, Slovakia, Slovenia and Turkey.

- *Career progress:* teacher evaluation has as a key objective the measurement of performance standards to enable teachers to move to a higher grade or a different position.

16. The second purpose of an evaluation system is to promote positive teacher professional growth so as to attain professional development and improved teaching and learning objectives:

- *Enhance professional development:* teacher evaluation is an important way to identify areas for future professional development. Once an evaluation has been carried out, the teacher can, along with his or her evaluator, identify missing or weaker skills and develop a plan for improvement.

- *Improve teaching and learning:* teacher evaluation should have as its central goal the improvement of teaching and learning. Within this perspective, an emphasis should be placed on the reward of good practices, as much as on the improvement of weaker ones. Such appraisal should be largely diagnostic and formative, identifying weaknesses in skills and competencies, and should be holistic, based on all variables in the school setting which affect teaching and learning (ILO, 2000a). Effective teacher evaluation should thus enhance teacher solidarity, collegiality and team cohesion.

17. Tensions can arise when attempting to design a system to fulfil both functions. There are two main potential sources of tension within any evaluation and assessment process. The first is between the two main functions, namely appraisal on the one hand, and the professional growth of the teacher on the other. While there will be a desire from pupils, parents and society as a whole to evaluate teachers and ensure that the best ones keep teaching and those with weaknesses are not rewarded, at the same time the evaluation processes should not be threatening to teachers and should be a means to identify professional growth opportunities. Increasingly it is believed that one way to deal with this tension is to separate the two functions. This can mean in practice two separate assessment and evaluation activities with different outcomes but with interconnecting links, including with whole school performance (box 3).

18. The second potential source of tension is between internal and external evaluation (Weber, 2005). Self-evaluation and school-based evaluations are increasingly common, shifting the responsibility from outside to inside the school. However, in many cases, there is still a role to play for an external evaluator, and achieving the right balance can be tricky. Whose evaluation should have more weight? Achieving a balance will be easier if the process is transparent and based on dialogue.

Box 3
Reforms in school evaluation in South Africa

In 2003, South Africa introduced a reform in the monitoring and evaluation of its education system and put in place the **Integrated Quality Management System (IQMS)**, with three main components:

- **Development appraisal** for individual teachers and educators based on transparency, the need to identify strengths and weaknesses in the teaching practice and draw up professional development programmes
- **Performance measurement** to evaluate teachers for salary and progression as well as rewards and incentives
- **Whole-school evaluation** to assess the overall effectiveness of the school and the quality of teaching and learning

The idea was to separate those three functions while maintaining the links between them and therefore build a more comprehensive evaluation system. Emphasis is given on self-evaluation, both at the individual teacher level and the whole-school level, and the definition of quality as well as the improvement of performance is seen as the responsibility of those delivering education outcomes, i.e. the teachers and the schools themselves. To balance self-evaluation with a view from the outside, the concept of a critical friend is also used, in the form of a development support group, usually made up of the teacher's immediate superior and another teacher, who will come in and confirm or criticize the teacher's self-evaluation.

There has been some criticism of the IQMS however, not so much of the goals it aims to achieve and its central principles, but of its implementation and feasibility in the larger context of South African educational reform and challenges. It was noted that there is a tension between the internal and external aspect of evaluation, at both the individual and school level, and that the process is not always as participative as it should be. However, it should be acknowledged that the system is still relatively new and that building a culture of self-evaluation can take time, especially within an education system facing many other challenges such as a history of segregation, insufficient resources and poverty.

Sources: Carlson, 2009; Weber, 2005.

19. To achieve the objectives of appraisal and professional growth it is essential that the teacher evaluation system is sound and robust. To this end, it should be based on the following criteria and principles:

- *Formative:* A sound evaluation system will be formative in that it focuses on identifying strengths and weaknesses in skills and competencies and ways to improve professional practice. The feedback from the evaluation should encourage freedom, initiative, responsibility and responsiveness to students needs.

- *Linked to school-wide evaluation, strategy and goals:* School-wide evaluations, rather than individual appraisals, are increasingly common and seen by some as a way to foster teamwork and decrease the pressure on individuals and competition between teachers. Evaluating the performance of an entire school is a distinct activity from evaluating individual teacher performance, and in many cases both will be carried out within a school. The TALIS research (OECD, 2009) found that teacher appraisal could be made stronger if it was more closely aligned with school-wide evaluation, strategy and goals.

- *Based on holistic criteria:* A holistic approach to teacher assessment and evaluation will consider all variables in the school setting which affect teaching and learning and be context-specific. It should take into account diversified teaching situations and profiles, including gender and difficult or highly specialized teaching conditions. For example, teachers teaching special education or disabled learners, or teaching disadvantaged populations, should be assessed with this in mind. Some classroom factors such as class size, whether there is multi-grade and double-shift teaching and general conditions of teaching should also be taken into account.

- *Transparent:* For assessment and evaluation processes to be fair and seen positively by teachers, it is important that the process is transparent and that teachers receive detailed feedback.

- *Objective:* A basic set of objective criteria should be outlined for teacher assessment and evaluation, although the criteria should be sufficiently flexible to take into account specific teaching context as noted above. To increase the objectivity of the evaluation, it is also good practice to ensure that more than one person assesses the teacher and that the different views are canvassed e.g. views of head teacher, external evaluator and students.

- *Equitable and fair:* All teacher assessment and evaluation processes should be equitable and fair and include the right of appeal by the teacher. If the teacher has reasonable grounds to believe that he or she has been unfairly evaluated, he or she should have the right to be represented by a teacher organization or other for an appeal. Rights and procedures of appeal of unsatisfactory assessments should be clear and part of the evaluation and assessment policy.

- *Balance need for improvement with positive feedback:* While improving the practice of teachers receiving less favourable assessment is important, teachers around the world often express the desire for more balanced appraisal and particularly for recognition of their progression. The TALIS (OECD, 2009) survey revealed that teachers often felt that they received little recognition when they improved their teaching. Positive feedback and reward has a positive impact on teacher motivation and effectiveness.

- *Based on professional self regulation:* The ILO/UNESCO Recommendation puts great emphasis on teaching being a profession, and teachers as professionals with deep skills, training and knowledge about learning processes and education. This idea of the professional teacher should underpin any assessment and evaluation framework and therefore should encourage professional self-regulation.

Boxes 4 and 5 illustrate working teacher assessment systems, their criteria and processes.

Box 4
Evolving teacher assessment in Japan

In the context of an evolving teacher assessment system recommended by the Government of Japan and applied by prefecture boards of education to address perceived weaknesses and improve teaching performance of a certain percentage of teachers, teacher organizations have taken issue with the orientation, criteria and procedures. The Joint ILO/UNESCO Committee of Experts on the Application of the Recommendations concerning Teaching Personnel (CEART) has recommended some improvements:

- ongoing review and modification as needed of national guidelines and their use by prefecture boards particularly with regard to their influence on professional standards, responsibilities, initiative and autonomy in the classroom;
- greater emphasis on school-based systems and mentorship, with external training deployed to consolidate daily experience, to address more general areas and to provide the opportunity to establish peer networks and support groups;
- more objective criteria and procedures guaranteeing due process for teachers who may be designated as not having sufficient aptitudes or skills to carry out their teaching responsibilities and require remedial training or reassignment, including ensuring the individual teacher's right to be heard and represented before any recommendation is made, and guaranteeing the impartiality and sensitivity of the appeals procedure; and
- more opportunities for the boards to share experiences and good practices and for teachers and their organizations to actively contribute through a process of full and effective dialogue with a view to making sustainable improvements, widely accepted by all education stakeholders, including parents and students.

Sources: ILO and UNESCO (2008).

Box 5
The Teaching Performance Evaluation System in Chile

In Chile, since August 2003, all teachers in schools belonging to the municipal system are evaluated every four years via the Teaching Performance Evaluation System (Evaluación del Desempeño Profesional Docente) agreed between the Ministry of Education, the Teachers Association and the Chilean Association of Municipalities. The agreement followed two rounds of country-wide consultations, which resulted in over 10,000 written contributions by teachers.

The process of negotiations between actors was long and arduous because of the tension between a formative and a summative understanding of teacher evaluation. On the one hand teachers' unions wanted a system that would allow teachers to grow professionally, and on the other hand the government wanted to improve accountability and performance. A compromise was reached for a system that served both functions.

The municipalities administer the evaluation process and take responsibility for teacher improvement plans. The Ministry of Education, through the Centre for Training, Experimentation and Research in Pedagogy (CPEIP) provides the legal framework, reviews and updates the teachers' performance standards, designs and validates the evaluation instruments, selects and trains the evaluators and monitors the operation of the evaluation system. University experts assist the CPEIP in the production of evaluation tools and the training of evaluators.

Evaluation is based on criteria defined by the "Good Teaching Framework" (Marco para la Buena Enseñanza). The framework covers four domains: preparation of the teaching; creation of a setting which promotes learning; teaching for the learning of all students; and professional responsibilities. Each domain takes account of between four and six criteria.

The evaluators must:

- be teachers selected, accredited and trained by the CPEIP;
- belong to the same level and type of school as the teacher being evaluated; and
- not work in the same school as the teacher concerned, although preferably work in the same community.

The evaluation uses four instruments:

- portfolio of the teacher's work including a video with a sample of the teacher's classroom teaching;
- a written self-evaluation by the teacher;
- a peer interview structured according to the "Good Teaching Framework"; and
- a report on the teacher's performance by the principal or other senior staff member.

The appraisal informs teachers about the strengths and weaknesses of their practice, the priorities for professional development actions they can take and is also used to inform municipalities and teacher education institutions about overall training needs.

Teachers are ranked in four categories: excellent, competent, basic or unsatisfactory:

- teachers evaluated as excellent or competent have preferential access to professional development opportunities, internships abroad, mentorship positions and participation in conferences and seminars, among other things; and
- teachers rated with a basic or unsatisfactory performance follow a tailored professional development programme and receive another evaluation a year later. If the second evaluation is still not satisfactory the teacher is removed from their teaching post and follows a second improvement plan, after which a third evaluation is organized one year later. A third unsatisfactory evaluation results in removal from the educational system.

The system was implemented gradually, starting with a pilot, with more and more teachers being evaluated each year. Overall the results have been fairly satisfactory with teachers in large parts accepting the system, although some have contested the result of their evaluation. Interestingly, most teachers who received an "unsatisfactory" evaluation improved in the next one, suggesting that the framework might be effective to improve teacher performance.

Source: OECD, 2005; Avalos and Assaelb, 2006.

3.3.2. Forms of teacher assessment

20. Several teacher assessment methods exist around the world: which ones are used will depend on the purpose and desired outcomes of the process, as well as the means available to the education system. Traditionally, teacher evaluation has been associated with the image of the "inspector", an outsider of the school coming to assess and criticize performance, which in many cases was perceived negatively by teachers (Carlson, 2009). Increasingly schools are moving away from this model and opting for *more collegial, flexible and school-based systems* of teacher evaluation. Table 2 below shows different approaches to evaluation in different countries, based on who conducts the assessment. Teacher evaluation can be performed internally by peers, head teachers, or students. Another option is to have the evaluation carried out by an outside person or body, for example by an inspector. Additionally, evaluations can focus either on the individual teacher, or on the whole school. It is important to note that these are not mutually exclusive and that comprehensive assessment and evaluation system will utilize a range of methods and approaches depending on and adapted to the specific context.

Table 2. Teacher evaluation systems

Type	Description	Examples
Internal/collegial forms	Individual teacher	
	Peer evaluation: Rare, but other teachers can be brought into the evaluation process	In Iceland and Hungary, self-evaluation is the main method for teacher accountability
	Student evaluation: Students asked to fill in questionnaires about their teachers – common in higher education	In Greece, as a complement to evaluation by school advisors, other teachers are consulted during teacher assessments
	Individual self-assessment: Teachers evaluate themselves against a set of pre-determined criteria	In the Shanxi province of China, teacher evaluation is done regularly via classroom observations, both by other teachers (peers) and school administrators.
	School head: In many cases the head teacher or the principal is the main evaluator of teacher performance	In large secondary schools in the UK, the school head evaluates the management staff, who in turn evaluate the teachers
	School management body: The school management body can be involved in teacher assessment	In Hungary evaluation of teachers is at the discretion of the school principal, in Japan some prefectural boards of education are now introducing teacher evaluation and in Mexico evaluation occurs when teachers voluntarily apply
	Whole school	
	Whole school self-assessment: Collaborative process of school self-evaluation with teachers, head teachers, pupils, staff and parents	In Sweden, in addition to external evaluation, every school must write a quality report every year
		In South Africa the Integrated Quality Management System (IQMS) includes whole-school and self-evaluation

Type	Description	Examples
External evaluations	Individual teacher *Teacher inspections:* Specialist inspectorates evaluate the work of individual teachers and report to national or regional authorities	In France, outside inspectorates have the main authority over teacher assessment and evaluation. School heads contribute to the evaluation, but they are not considered above teachers in the school hierarchy
	Whole school *Inspections of schools by education standard agencies*	In the UK, the Office for Standards in Education (OFSTED) is a government agency responsible for whole school inspection as well as a range of other government educational services.
	Advice from a critical friend/outside expert	In Ireland and Norway, the emphasis is on whole school evaluation rather than individual teacher evaluation

Sources: Eurydice, 2008; Wang, 2007, OFSTED, 2009.

3.3.3. Process of teacher evaluation

21. Earlier it was noted that any process of evaluating teachers should be objective, holistic, standardized but flexible and transparent. The process of evaluating teachers begins with a planning and preparation stage to determine baseline data or reference marks and to clarify and communicate criteria and procedures. It will not end before the assessment results or feedback are communicated, all clarification or appeals procedures are exhausted (see below) and the necessary post-evaluation training to improve performance and correct weaknesses has been completed. The process usually utilizes a range and methods and tools of obtaining information about teacher performance including:

- classroom observations;
- interviews with the teacher, either one to one or with a panel;
- self-evaluation questionnaire for the teacher;
- the teacher's qualifications, for example if professional development activities have been undertaken, can also be used as an assessment tool and be part of the evaluation criteria questionnaire to students; and
- the use of teacher portfolios based on a range of teacher activities, in print or video format.

22. Especially if summative with a view to denial of rewards, application of sanctions or disciplinary measures, teachers should have the right for assessment results to be clearly communicated (preferably in writing) and to appeal negative assessments. It is important that appeals' procedures ensure the individual teacher's right to be heard and represented before any final recommendation is made and guarantee the impartiality and sensitivity of the appeals procedure and decision-making body. Independence from the initial assessor, for instance by means of an independently constituted board of peers and experts not connected to the school leader or body making the assessment and careful attention to gender and cultural sensitivities enhance a sense of fairness and acceptance of the final results. Unless a final decision concludes with termination of employment, teacher assessment then continues through the remedial training recommended as needed for

improving/strengthening teacher performance or correcting weaknesses (see also boxes 4, 5 and 6).

Box 6
Performance Threshold Assessment Appeals in the UK

The Performance Threshold Assessment scheme is an important career and compensation determinant in the UK (see also module 5). When unsuccessful, teachers may appeal.

In such cases, head teachers should provide teachers with a written explanation for unfavourable assessment decisions and must notify teachers of a decision within 20 working days of informing the governing body of that decision. Feedback should be in writing, explaining the outcome of the application in relation to the ten post-threshold standards including which standards have/have not been met and why. Head teachers are not permitted simply to state that an application has not been successful or that particular standards have not been met without explaining why. The Department for Education advises that feedback should be "sensitive, informative and developmental" and help the teacher and line manager to identify priorities for future professional development.

If unsuccessful, a teacher's appeal against the head teacher's decision uses the procedures set out in individual school's policies. Teachers are permitted to appeal on grounds that relevant evidence was not accounted for or reasons for failing to meet standards were not provided. The appeal may request the appeals committee to determine that the teacher did meet the standards or ask it to direct the head teacher to carry out a further assessment.

Source: NUT, 2011.

23. Teacher assessment, formative or summative, requires a proper allocation of resources, both time and funds, especially for adequate and proper training (part of the time and fund allocations) on the objectives, criteria and processes to be used by assessors and those being assessed. Periodic evaluation throughout a teaching career (every three to five years at a minimum, more frequently if serious weaknesses require correction) and universal accessibility (especially for teachers in rural and remote areas) are essential for assessment systems to serve their intended objectives. These factors must also be costed and funded (see box 7 for one illustration of solutions in a limited resource environment).

Box 7
Reforming school supervision in Uganda

Uganda's recent strides towards improving the quality of education have included a strengthened inspection service. After a slow start, the Education Standards Agency began operating in 2001, replacing an outdated inspectorate in the education ministry. Efforts have been made to tailor the service to what is feasible with limited resources. Where the former body covered such disparate areas as policy, curriculum development, exams, troubleshooting, staff development and independent school registration, the new one focuses on school visits.

The inspection service reform drew on experience in Masindi, one of Uganda's poorest districts, with many internally displaced families from conflict-affected Northern Uganda and refugees from neighbouring countries. In 2000 Masindi scored among the lowest districts in the national primary-school leaving exam. An extensive district-based programme of school improvement, combining internal school evaluation and external district-based supervision, produced remarkable results: Masindi went from one of the poorest-performing districts in 2000 to one of the top five in 2007. Know-how from Masindi was fed into the revised national inspection approach, which was subject to a national consultation in 2005.

Source: Taken from UNESCO (2009).

3.3.4. Licensing and recertification

24. Teacher licensing and recertification, or its equivalent in countries that apply similar processes under different terms, describes a process by which teachers who are already working in the school system renew their teaching licence at regular intervals. This renewal is typically based on teachers demonstrating positive assessments in performance

evaluation and/or having taken part in a required number of professional development courses, based on core standards of teaching (see also 8.2 on national qualifications and recognition). Recertification of teachers is a rare practice, but it occurs in Israel and in a number of states in the United States, where teachers must undergo a number of professional development activities in order to retain their teaching licence, usually every five to ten years (OECD, 2005: 123; 193).

25. A teacher licensing and recertification system has certain benefits (OECD, 2005: 194):

- It provides strong incentives for teachers to update their knowledge and skills continuously and it allows school systems to identify core areas in which teachers need to keep improving.
- If recertification is based on profession-wide standards of good practice, it enables a system to create a coherent understanding of what teacher professionalism means and should help to build public confidence in schools and teaching.

26. However some problems have been noted:

- Recertification programmes based on teachers completing designated developmental activities are difficult to implement when educational authorities at the appropriate level do not allocate adequate resources for training and when such programmes are not based on the needs of teachers.
- Professional development is important, but there also needs to be a close link between recertification, what teachers are actually doing in schools and what their students are learning.

27. Recertification may also apply across state or regional borders within federal states and across national borders, as teachers migrate to obtain opportunities for better employment or professional growth and receiving education systems seek to maintain national qualification standards. Such is the case in the UK (box 8).

Box 8
Recertification of overseas trained teachers in the UK

Within a certain number of years of obtaining work as an instructor or "unqualified" teacher in the UK (England and Wales), overseas trained teachers with the requisite qualifications must achieve Qualified Teachers Status (QTS) through the Overseas Trained Teacher Programme (OTTP). QTS may be obtained through assessment-based training (England only) that includes submission of a portfolio of abilities, or through a Graduate Teacher Programme (GTP) that provides on the job training, as for UK nationals changing careers to become a teacher. Both paths may take up to one year to complete (the maximum). Recognition of QTS and registration with the teaching councils of England and of Wales involves successfully achieving standards in three major domains: attributes, including relationships with learners and communication with others; knowledge and understanding of various teaching and learning parameters including core curriculum, ICT and learning diversity; and skills in core areas such as teaching, assessment and teamwork.

Source: TDA, 2011.

3.4. Codes of ethics and conduct

28. The ILO/UNESCO Recommendation notes the importance of teachers self-regulating their actions as professionals and recommends that teachers should display the highest level of professional conduct and ethical behaviour (paragraph 70). These standards should be defined and maintained in collaboration with teachers' organizations (paragraph 71) and

codes of ethics and conduct should be established by teachers' organizations to further enhance professionalism and the exercise of professional duties (paragraph 73).

29. A teacher code of conduct has many benefits:

- It can support and protect teachers by outlining clear guidelines and rules of behaviour, serve as a reference point when ethical dilemmas arise and prevent unfair accusations against teachers.
- It can protect parents and pupils against unethical behaviour by teachers and provide rules and procedures for complaints.
- It can promote accountability of schools and teachers to pupils, parents and the community.
- It can enhance teacher professionalism and commitment by holding them to high standards of ethics and increasing their ownership and responsibility over their behaviour and teaching practice.

30. The terms "code of conduct", "code of ethics" and "code of practice" are sometimes used interchangeably, however they mean "slightly different things" (Thompson, 1997; Dresscher, 2007).

- A code of ethics is generally a short document with a set of ethical principles, usually limited to broad and general fundamental values that are meant to guide the teacher in their everyday practice (see Annex 1 for a more detailed set of principles recommended by Education International).
- A code of conduct is more detailed and addresses specific situations as well as actions to be taken or not. Codes of conduct are often broad, apply to the overall conduct and behaviour of the teacher and are likely to be more effective if they include specific sanctions to be taken if a teacher breaches the code.
- A code of practice contains ethical standards, as well as rules of professional duties. Codes of practice are often designed and implemented by professional bodies and they are concerned mostly with what kind of teaching happens in the classroom, as opposed to the overall conduct of the teacher.

31. For example in Ontario, Canada, two reference documents exist for teachers. One is the Standards of Practice for the teaching profession and the other is the Ethical Standards for the Teaching Profession (see below box 11). The Ethical Standards focus on the principle and values of care, respect, trust and integrity, while the Standards of Practice refer to professional knowledge and commitment to students. Both documents are quite short and general, while South Africa's Code of Conduct for teachers (see below box 10) is more detailed and outlines specific actions and behaviours.

32. The more precise the actions are, the more enforceable the code can be, so in that sense a code of ethics is more a declaration of principles that teachers voluntarily choose to follow. It therefore serves a different purpose than a code of conduct or practice, which in some cases can be enforceable by an outside authority such as a teaching council or administrative authority. Design and use of codes of practice require careful attention to the process and means of implementation, as experiences from South-Asian countries show (box 9).

Box 9
The positive outcomes and challenges of implementing teachers' codes of practice: The experience of Nepal, Bangladesh and India

In Bangladesh, Nepal and the Uttar Pradesh Province of India, teacher codes of conduct have been in place implicitly or explicitly for a long time. A survey of teachers and administrators' perceptions of the codes found that overall they had a positive impact. Respondents from the three countries felt that the code helped them to resolve ethical problems and dilemmas of their everyday teaching experience.

Despite the overall positive effect of the codes, a number of areas for improvement were noted in the study. In terms of design, it was found that in India and Nepal, the process had been highly centralized and top-down, because stemming from concerns over corruption in the public service. In Bangladesh however there was greater participation of teachers and teachers' unions in the process of formulating the code. Respondents also noted that while the majority of them had seen the code of practice, they did not have easy access to it and some elementary teachers in Uttar Pradesh found the code difficult to understand. In terms of enforcement, it was noted that the problems of lack of access and understanding acted as constraints and that many did not know how to lodge a complaint against teachers infringing on the code. There were also concerns in India and Nepal that when there were complaints, they were not taken seriously. Lastly, it was found that there was no systematic capacity-building programme relating to the code of conduct in all three countries.

Source: Van Nuland and Khandelwal, 2006.

3.4.1. Elements of a code of conduct

33. A code of conduct or practice should include some general statements of principles related to commonly agreed ethical principles of good teaching practice and behaviour, including:

- accountability to employing authorities, either different government levels or school authorities;
- accountability and commitment to pupils, parents and the community;
- general behaviour and attitude;
- relations with educational authorities and co-workers based on respect;
- relations with students and parents in the framework of mutual respect, professional autonomy and responsibility;

34. In addition to general principles, a code of conduct should include a list of binding and sanctionable actions. The exact list of which actions should systematically be carried out and which ones should be sanctioned is likely to differ from country to country but should cover:

- specific description of unacceptable relationship with students, abuse and sexual harassment;
- rules on disciplinary measures, including corporal punishment and violence against students;
- neutrality/impartiality regarding political and religious matters in curricula and instruction;
- presence and absences;
- relationships with parents and staff;
- procedures for grading and evaluating students;

- management of school funds and procurement of school materials;
- rules about private tuition and extra-curricular activities that may create conflicts of interest.

35. An illustration of content for a code of conduct is provided in box 10.

Box 10
The code of conduct for teachers in South Africa

The South African Council of Educators is the main implementer of the Code of Conduct for Teachers and the body responsible for investigating any complaint by a parent or teacher, having the authority to fine a teacher found to have breached the code or strike them from the teachers' register.

The code of conduct covers the relationships between the educators and learners, parents, the community, colleagues, the profession and the employer. It includes general statements of principles such as:

An educator:

- Respects the dignity, beliefs and rights of learners and the right to privacy and confidentiality
- Acknowledges the individuality and needs of each child and guides and encourages them to learn
- Promotes good relationships with parents, recognizing them as partners
- Keeps parents informed of a learner's progress
- Acknowledges that his or her duties require cooperation with and the support of colleagues

It also includes more specific actions to be taken, as well as actions that can be sanctioned by the Council, for example:

An educator:

- does not humiliate learners, or have sexual relationships with them
- does not harass learners, sexually or physically
- uses respectable language and behaviour and acts in a way that will earn respect from learners
- does not abuse his or her position for financial, political or personal gain
- does not undermine the status and authority of colleagues
- does not sexually harass colleagues
- does not discuss confidential and official matters with unauthorized people

Source: SACE, 2006

36. To be relevant, a good code of conduct should be rooted in real problems and sources of unethical behaviours by teachers. Conducting a participatory survey among teachers and administrators prior to the designing of the code is an effective way to ensure any code of conduct that is developed is relevant and linked to the realities of the specific country context (box 11).

Box 11
Unethical teacher behaviour

In a wide-ranging survey of teachers and administrators having experience with teachers' code of practice in India (Uttar Pradesh), Bangladesh and Nepal, respondents identified the following main areas of potential unethical behaviour by teachers:

- human resource management
- procurement of materials
- conduct of school inspection
- school admission
- school examinations and qualifications
- embezzlement and mismanagement of school finances
- attendance and absenteeism
- poor human relations among staff
- private tuition

This example shows how teachers and administrators are well-placed to identify sources of unethical behaviour. While this survey was not carried out with the purpose of designing a code of conduct, similar exercises can be used as a starting point when a new code is to be designed and implemented.

Source: Source: Van Nuland and Khandelwal, 2006.

3.4.2. Process of developing a code of conduct

37. While a code of conduct is essential to teaching, its significance and effect on teachers' behaviour will be greatly diminished unless: teachers are engaged in its design; it is widely disseminated; there is capacity building and sensitization of teachers about it; capacity for its enforcement is developed; and it is widely supported by teacher organizations.

38. To ensure the efficacy of a code of conduct, participation in its development is key. Ratteree (2005) notes that changes in policies are sometimes met with scepticism by teachers and teachers' organizations, but this may be due to the fact that the level of teacher involvement is limited to superficial consultation. Meaningful participation means an active involvement in the formulation of policies from the onset. This is especially crucial in the case of a code of conduct or ethics for teachers – the ownership must be as deep as possible. Real involvement takes time, resources and commitment, but failure to integrate fully teachers' views will seriously undermine the credibility and effectiveness of a code of conduct or practice. In order to ensure a participatory preparation process, a number of activities and tools can be used in the design and revision phase (Van Nuland, 2009), such as:

- focus groups;
- school-based forums;
- case studies;
- feedback forms;
- discussion guides.

39. Similarly, during the implementation phase and on a continuing basis, sensitization and dissemination activities should be carried out to ensure that a code is well understood by teachers and that it can make the leap from policy to practice (Van Nuland 2009). Some ways that this could be done include:

- dissemination of newsletters and brochures about the code;
- maintenance of an up to date web site, highlighting the code and its use;
- use of teachers' and principals' "hotline", they can call to express their concerns or ask questions;
- regular seminars and workshops for teachers, school administrators, representatives of teachers' unions and others about the code, how to use it and more in-depth sensitization of some issues (for example, sexual harassment or the potential ethical issues of private tuition).

40. An example of one successful effort in Canada is provided in box 12.

Box 12
The province-wide standards of practice for teachers in Ontario, Canada: An inclusive process

The province of Ontario, Canada, has a provincial standards of practice for all teachers, as well as ethical standards for the teaching profession. The enforcement of these standards is the responsibility of a self-regulating body, the Ontario College of Teachers, which is in effect a teacher professional organization, run for the most part by teachers. The development of the standards followed a long, in-depth participatory process to ensure that all actors, and teachers in particular, would not feel threatened by these new standards and this new body.

A national and international literature review was first carried out to inquire into teaching standards around the world. From this review emerged seven key themes that were used as the starting points for discussions in subcommittees and focus groups with large numbers of teachers. Over a period of six months, more than 600 people participated in the process. Following that exercise, a draft of the code grouped the standards identified through the survey into five groups and this was widely circulated for feedback. The final version was approved in 1999 and has been revised since then. It outlines five key areas for teaching practice:

- commitment to student and student learning
- professional knowledge
- teaching practice
- leadership and community
- ongoing professional learning

Overall, the Ontario experience is a good example of actively involving teachers in the designing and implementation of standards of practice. The process, while it was long and demanding, had at its centre the concept of the teacher as a professional, accountable for his or her practice.

Source: Van Nuland and Khandelwal, 2006.

41. The UNESCO International Institute for Educational Planning has also developed guidelines for the design and use of teacher codes of conduct (box 13).

Box 13
UNESCO IIEP guidelines on teacher codes of conduct

The IIEP's Guidelines for the design and effective use of teacher codes of conduct provide guidelines, resources and tools for national and local education stakeholders on the following subjects:

- defining a code of conduct
- formulating code contents
- developing and adopting a code
- disseminating and promoting a code
- implementation
- reporting and sanctioning misconduct
- reviewing and evaluating impact

Source: Poisson, 2009.

42. For a checklist on the process of developing a good code of conduct and its contents see table 3.

Table 3. A checklist for process and content of a good code of conduct or practice

Principles	Key questions
Inclusive and participatory	– Did the drafting process include teachers, school administrators, parents, students and community representatives? – Was the draft shared with a large group of actors? Was their input gathered to revise the code?
Clear, relevant and understandable	– Were teachers and school administrators surveyed to identify specific actions and sources of unethical behaviour? – Is the code short and written in simple and clear language? – Are the aims of the code clearly defined?
Enforceable	– Are there rules and procedures for the respect and enforcement of the code? – Is there a clear and easy to use complaints mechanism?
Well-known and disseminated	– Has the code been published and disseminated widely? – Have capacity building activities (such as workshops) for teachers been organized? (for example covering the content of the code, sensitization on key aspects of the code and rules and procedures for complaints and sanctions) – Is code of conduct sensitization included in pre-service and in-service teacher training?

3.5. Civic rights in the framework of civil or public service regulations

43. The ILO/UNESCO Recommendation encourages the participation of teachers in social and public life, in the interests of teachers' personal development and the interests of education and society. It also calls for teachers to be free to exercise all civic rights generally enjoyed by citizens and to be eligible for public office (paragraphs 79–80, Appendix I). The effective exercise of such rights implies the right to express their political views and to participate in political activities, including being members of political parties. Regarding eligibility for public office, special unpaid leave provisions can be made if the teacher is elected to public office, where she or he is allowed not to teach for a certain period of time or to reduce her or his number of working hours. The amount of time allowed away from teaching should be outlined in leave term policies. The ILO/UNESCO Recommendation

also specifies that, where the requirements of holding a public office require relinquishing teaching duties, seniority and pensions should be protected and that teachers should be able to return to their previous or an equivalent post once the term of public office has terminated (paragraph 81). Such provisions ensure that teachers will not be penalized for exercising their rights and responsibilities as citizens in democratic societies.

44. National political contexts clearly affect the exercise of teachers' right to fully participate in public life as full citizens. Some examples of the challenges faced and solutions arrived at in different countries are provided in boxes 14–15.

Box 14
Teachers' involvement in civic education and peace building in Sierra Leone

While teachers and teachers' unions must often walk a fine line between exercising their civic rights and maintaining a certain degree of political impartiality, teachers' organizations have been and should continue to be involved in their own country's civic development. In countries coming out of civil conflict, the role of education in peace building – and, by extension, of teachers – can be important.

Following 11 years of conflict, the Sierra Leone Teachers' Union (SLTU) has been involved in organizing workshops on ethnic conflict and education, tackling subjects such as governance, corruption and generally the politics of ethnic conflict. Participants in a workshop on the subject felt that unions had a role to play in the promotion of peace and that they should be at the vanguard of the promotion of human rights.

Source: Education International (2006).

Box 15
Teachers' membership of political parties: The case of the General Teaching Council of England (UK) and the British National Party

Teachers should be allowed to engage in political activities and be members of political parties, which is a fundamental civic right. However difficult questions arise when the political party in question promotes values that are deemed to be against those of the teaching profession. In England (UK) a debate occurred in 2008 when the question arose of teachers being members of the British National Party (BNP), a far-right organization holding strong anti-immigration views.

Following legal advice, the General Teaching Council (GTC) of England, the body which is responsible for enforcing the teachers' code of conduct, decided that teachers could not be banned from being members of the BNP. As the GTC pointed out, they "cannot regulate against the beliefs of professionals, only their actions and conduct".

Source: General Teaching Council of England, 2009.

3.6. Disciplinary procedures [8]

45. It is important that any education system have in place clear and transparent procedures, processes and mechanisms for dealing with violations of service regulations and professional conduct. The ILO/UNESCO Recommendation provides (1966: paragraphs 47–50) that:

- Disciplinary measures for teachers guilty of breaches of professional conduct should be clearly defined.
- Proceedings and any resulting action should only be made public at the teacher's request, except where prohibition from teaching is involved or the protection of the pupils requires it.

[8] See also 1.5.2.

- The authorities applying sanctions and penalties should be clearly designated.
- Teachers' organizations should be consulted within the process.
- Every teacher should enjoy equitable safeguards at each stage of any disciplinary procedure.
- There should be a right of appeal to competent authorities or bodies.

46. In New Zealand, disciplinary procedures for secondary school teachers have been agreed between the Government and teachers' organizations through a collective agreement. The process has been designed to avoid unnecessary formal procedures when an agreement can be reached between parties and to ensure that the teacher is fully informed and has a right of representation and appeal throughout. Each step of the process is represented in the diagram below (figure 1).

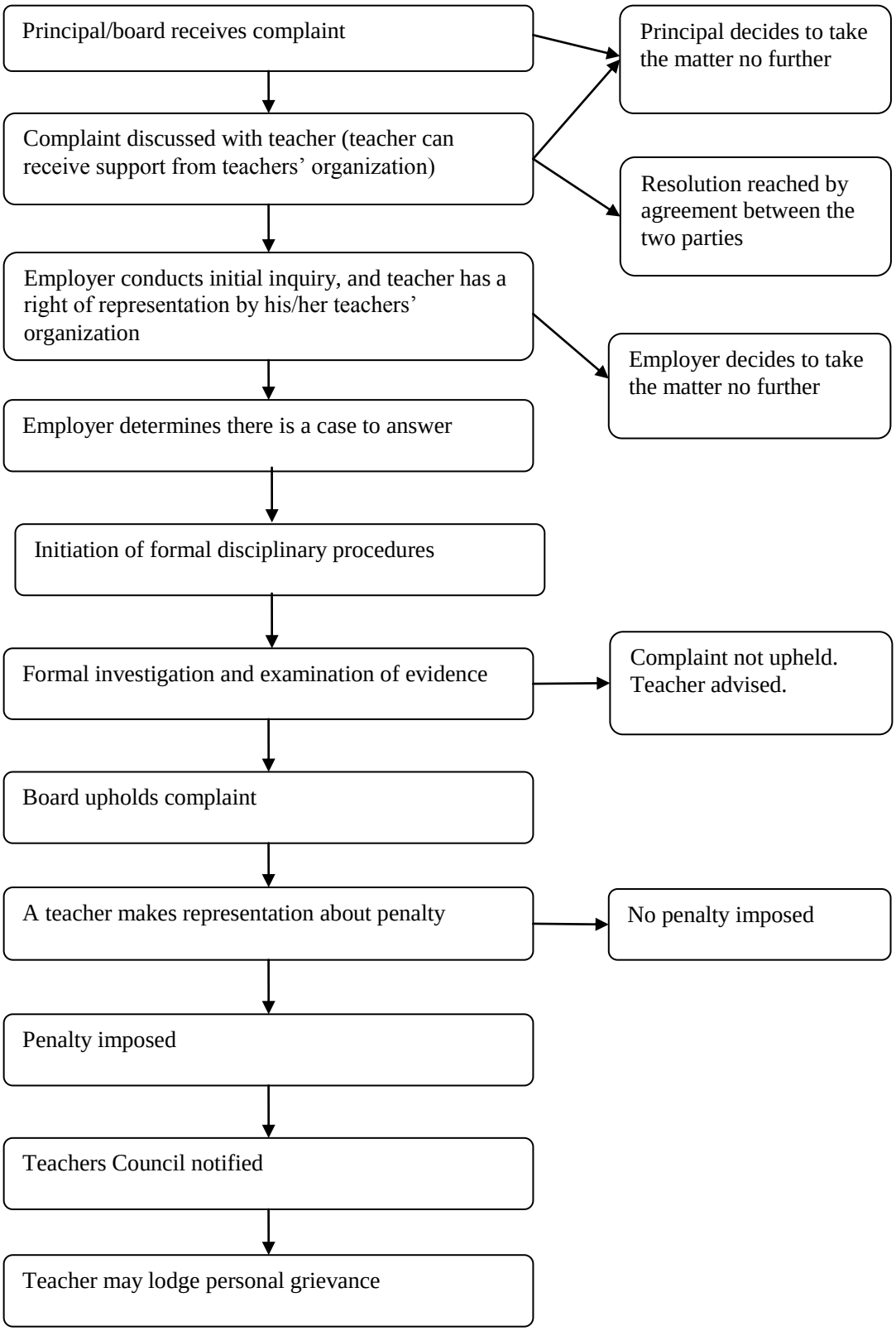
47. An effective system for dealing with infractions should have clear definitions of what kind of violations can be sanctionable, under what circumstances and the corresponding sanctions and penalties. It should also be fully transparent. In accordance with the ILO/UNESCO Recommendation (1966: paragraph 50(a)–(e)), any disciplinary procedures against teachers should ensure that they have:

- written information on allegations, their grounds, decisions reached and their reasons;
- access to all information being used in the case, such as evidence, letters and witnesses;
- access to defence and/or representation, among which the right to have their teacher organization (such as a union) involved in the proceedings, including participation as peer reviewers on panels or disciplinary bodies;
- the right to appeal any decision.

48. Disciplinary procedures may have their source in legislation, administrative regulations, school board rules, collective bargaining agreements or other legal or cultural influences.

49. The authority set up to promote and apply codes of conduct and associated disciplinary procedures varies by country from administrative authorities to voluntary or mandatory professional bodies, but the concept of a teaching council or equivalent is increasingly adhered to in many countries. One specialized body for professional conduct is indicated in box 16.

Figure 1. New Zealand secondary school teachers' disciplinary procedures



Source: New Zealand Post-Primary Teachers Association (2009).

Box 16
Code of conduct enforcement by a specially appointed body:
The case of Hong Kong, China

In Hong Kong (China), there is a specially appointed body responsible for ensuring that teachers respect their code of conduct, the Council of Professional Conduct in Education. The Council was created in 1994 with the following terms of reference:

- To advise the Government on measures to promote professional conduct in education.
- To draft operational criteria defining the conduct expected of an educator and to gain widespread acceptance of these criteria among all sectors of the education community through consultation.
- To advise the Permanent Secretary for Education on cases of disputes or alleged professional misconduct involving educators.

The Council is a partly elected, partly appointed body, with teachers and organizations nominating candidates and the Government appointing the remainder. Specially designated bodies are quite rare for the enforcement of teacher codes of conduct and can have the advantage of making them more meaningful and enforceable. However in order to be accepted by teachers it is important that they are not seen as outsiders imposing standards, but rather developed, disseminated and implemented in a fully collaborative manner.

Source: Government of Hong Kong, 2008; UNESCO, 2005.

Annex 1

Module 3

Education International – Declaration on Professional Ethics (2004)

Article 1. Commitment to the profession

Education personnel shall:

(a) justify public trust and confidence and enhance the esteem in which the profession is held by providing quality education for all students;

(b) ensure that professional knowledge is regularly updated and improved;

(c) determine the nature, format and timing of their lifelong learning programs as an essential expression of their professionalism;

(d) declare all relevant information related to competency and qualifications;

(e) strive, through active participation in their union, to achieve conditions of work that attract highly qualified persons to the profession; and

(f) support all efforts to promote democracy and human rights in and through education;

Article 2. Commitment to students

Education personnel shall:

(a) respect the rights of all children to benefit from the provisions identified in the UN Convention on the Rights of the Child particularly as those rights apply to education;

(b) acknowledge the uniqueness, individuality and specific needs of each student and provide guidance and encouragement to each student to realize his/her full potential;

(c) give students a feeling of being part of a community of mutual commitment with room for everyone;

(d) maintain professional relations with students;

(e) safeguard and promote the interests and well-being of students and make every effort to protect students from bullying and from physical or psychological abuse;

(f) take all possible steps to safeguard students from sexual abuse;

(g) exercise due care, diligence and confidentiality in all matters affecting the welfare of their students;

(h) assist students to develop a set of values consistent with international human rights standards;

(i) exercise authority with justice and compassion; and

(j) ensure that the privileged relationship between teacher and student is not exploited in any way, particularly in order to proselytize or for ideological control;

Article 3. Commitment to colleagues

Education personnel shall:

(a) promote collegiality among colleagues by respecting their professional standing and opinions; and be prepared to offer advice and assistance particularly to those beginning their career or in training;

(b) maintain confidentiality of information about colleagues obtained in the course of professional service unless disclosure serves a compelling professional purpose or is required by law;

(c) assist colleagues in peer review procedures negotiated and agreed to between education unions and employers;

(d) safeguard and promote the interests and well-being of colleagues and protect them from bullying and from physical, psychological or sexual abuse; and

(e) ensure that all means and procedures for the implementation of this declaration are the object of thorough discussions in each national organization in order to ensure its best possible application.

Article 4. Commitment to management personnel

Education personnel shall:

(a) be knowledgeable of their legal and administrative rights and responsibilities and respect the provisions of collective contracts and the provisions concerning students' rights; and

(b) carry out reasonable instructions from management personnel and have the right to question instructions through a clearly determined procedure.

Article 5. Commitment to parents

Education personnel shall:

(a) recognize the right of parents to information and consultation, through agreed channels, on the welfare and progress of their child;

(b) respect lawful parental authority, but give advice from a professional point of view that is in the best interest of the child; and

(c) make every effort to encourage parents to be actively involved in the education of their child and to actively support the learning process by ensuring that children avoid forms of child labour that could affect their education.

Article 6. Commitment to the teacher

The community shall:

(a) make it possible for teachers to feel confident that they themselves are treated fairly while attending to their tasks; and

(b) recognize that teachers have a right to preserve their privacy, care for themselves and lead a normal life in the community.

Source: Education International, 2004.

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Module 4: Work environment: Teaching and learning conditions

4. Introduction

1. The work environment in which teachers operate is key to their ability to exercise their professional roles effectively, experience job satisfaction and to ensure the best possible teaching and learning outcomes are achieved.

2. When establishing, reforming and implementing appropriate teaching and learning environment policies and practices, it is suggested to consider the work environment profile by addressing the following questions:

(a) What is the profile of individual schools or learning sites within the education system?

- size of school (numbers of students);
- level of education;
- school location – urban, rural and disadvantaged areas of each;
- multi-level classrooms and other factors such as double shifts;
- availability of qualified and specialized teachers and assistants;
- special needs of individual students and numbers of students with special needs.

(b) What similarities and differences in student profiles will need to be taken into account?

(c) What socio-economic factors will have an impact on policy and practice?

3. The module begins with general principles and assumptions underlying the policy–making and implementation processes, followed by sections relating to specific aspects of the work environment for teachers. The module provides guidelines and examples of good practices addressing major factors of teachers' work and therefore the learning environment, among which:

- hours of work and workload;
- class size and pupil–teacher ratios;
- health and safety, including student indiscipline, stress and violence;
- HIV and AIDS;
- information and communications technology (ICT) in schools.

4.1. General principles

4. In accordance with the tenets of the ILO/UNESCO Recommendation's call to maximize the time and energy of teachers as skilled professionals (1966: paragraph 85, Appendix 1),

policy-makers, managers and teacher unions should strive to establish a working (teaching/learning) environment that is the most conducive to motivating individual teachers and the school team to achieve three simultaneous and interlocking goals:

(a) produce the highest levels of professional teaching and job satisfaction;

(b) focus on core teaching and learning responsibilities; and

(c) maximize teacher productivity measured by learning achievements or outcomes.

5. A number of principles should guide the establishment and improvement of education working environments:

- recruitment and retention of qualified professional teachers is enhanced by the provision of a supportive working environment;
- teachers are more likely to provide a high level of professional service when they are able to work autonomously in a supportive working environment, in which their responsibilities are clearly delineated;
- teachers will provide a high level of professional service based on sound policies, which they contribute to constructing, implementing and evaluating;
- teachers will be able to foster the best learning environment for students and to help achieve the highest learning outcomes if they are provided the time and support to engage in collegial activities within the school team, to engage in appropriate and regular interaction with students and parents, and to engage in professional development and other reflective activities as a regular part of their professional activities.

6. A number of assumptions underpin the general principles:

- the work environment for teachers should be developed and maintained from the position of a sound policy base;
- teachers should be involved in the development and implementation of policy at the organizational and school level in all instances, through the mechanism of the teacher organization: collective bargaining or other consensus-building and decision-making processes within the broad framework of social dialogue;
- the same principles can apply equally in systems that use both "career-based" or centrally-hired and "position-based" or school-based models of employment;
- staffing policies for individual schools and systems should support the principles of an optimal teaching/learning environment.

4.2. Hours of work and workload

4.2.1. Work–life balance in education

7. Evidence shows that one of the key elements leading to the choice of entering the teaching profession relates to the fact that this offers potential recruits a satisfactory work–life balance, which is also recognized by employers and professions as a significant factor in recruitment (OECD, 2005a). Survey results and advocacy briefs from teachers and their unions in countries such as Canada, France and the United Kingdom (box 1) in recent

years point to the importance of adequate work–life balance in teachers' work as a key factor in recruitment and job satisfaction.

Box 1
Importance of work–life balance in education work environment

In France, as early as 2000, 35 per cent of beginning primary teachers nominated achieving a balance between professional and private life as one of the three main reasons for becoming a teacher.

In the United Kingdom, the Equal Opportunities Commission (2002) has argued that, while in the past, teaching attracted entrants who saw it as "family friendly" because of the shorter contact hours and long holidays, this is no longer the case. The National Union of Teachers (NUT/UK) addressed work–life issues in a 2008 document, arguing that it is an essential factor in staff recruitment, teacher effectiveness, morale and job satisfaction, which in turn support pupil learning. A better balance between work and private life has been proven to reduce stress and sick leave, leading to financial savings on supply cover and improved outcomes for pupils in primary classes, in particular where classroom teachers are not affected by ill health absence, and improving workplace communication. It has benefits for equal opportunities, by reducing the disadvantage experienced by women working within the teaching profession who still face greater family responsibilities than most men, and by making it easier for disabled teachers to stay in the profession.

These sentiments have been echoed by Canadian teachers, who report in research studies undertaken by affiliates of the Canadian Teachers' Federation that increased demands of the profession have not only eroded their ability to provide the best possible professional service, but have seriously encroached on their personal and family life.

Source: CTF, 2003; NUT, 2008; OECD, 2005a.

8. Overall, teaching still seems to offers considerable flexibility. In reality, though, the ability of teachers to achieve the desired work–life balance is dependent on limitations placed on expectations of the amount and duration of an individual teacher's work. Hence, issues of hours of work and workload, including for part-time teachers (see 4.2.6), are particularly relevant in the teaching profession.

4.2.2. Fixing hours of work in education

9. The complexity of teachers' work makes it difficult to measure workload, but standard measures refer either to teaching, instruction or classroom contact time or to a statutory working week. The term "*teaching hours*" equates to the *time teachers are required to teach*. However, it is generally understood that teachers have multiple responsibilities, which extend beyond just teaching hours in a classroom or amongst a group of pupils, hence many countries establish teachers' contractual working time that includes all working hours specified in the teacher's contract or conditions of service (Siniscalco, 2002). Various national and international surveys have shown that teachers often work on average longer hours than those required by law or administrative regulation (ILO: 1981b; 1996; 2000b and section 4.2.4). It is important therefore to establish overall working time that takes account of the multiple functions of teachers.

10. The ILO/UNESCO Recommendation (1966: paragraphs 89–93, Appendix 1) calls for hours of work to be based on all dimensions of teachers' work and on personal and family needs. The factors to be used in calculating teachers' hours of work include:

- number of lessons (classes) and pupils (or students) to be taught;
- lesson preparation time, including ICT-based teaching practice;
- student assessment time – assessing homework, testing, other forms of qualitative and quantitative assessment;
- collaborative or team teaching opportunities;

- research, reflection on and change in teaching practice – teacher as learner;
- student meetings/counselling;
- supervisory duties;
- extra-curricula activities;
- parent meetings;
- administrative responsibilities – department or school management;
- continuing professional development time – external or on-site;
- maximum hours of work.

11. Each set of activities has measurable time components that, when expressed as a sum total of the individual parts should fit with the desired goal of acceptable work–life balance. This balance benefits not only the teacher, but also the students and, by extension, the system at large.

12. The fixing of teaching hours in particular depends on a number of factors, including the length of lesson (or class) time (usually between 45 to a maximum of 60 minutes), the length of the school day (which may vary from as few as four to as many as eight hours or more) and the length of the school year (varying in most countries from 180 to 200+ days of instruction time).

13. The level of education is also important. Primary teachers almost everywhere teach considerably more hours than secondary teachers, in no small part because the latter are considered to need more preparation and pupil assessment time for each hour of teaching. Exceptions do exist however. Among OECD and partner countries, in Mexico and the Russian Federation secondary teachers complete a substantially larger number of hours of instruction than primary teachers, largely because of greater daily contact time (OECD, 2009a).

14. Education authorities also vary the required hours of work according to the nature of the education system's management – centralized, decentralized to regional (province, state, district or municipal) or devolved to school level – and conceptions of what components of teachers' work is important to define. Clearly, no one method of defining required work is preferable over another. The ILO/UNESCO Recommendation states very clearly that teachers' organizations should be consulted in this process and that working conditions should be the subject of negotiations (1966: paragraphs 89 and 82 respectively, see also Module 7). The diversity in teachers' required hours is illustrated for mostly high-income countries of Europe – box 2).

Box 2
Statutory definition of working time in Europe

In European countries, statutory definitions of teachers' working time are defined in teachers' contracts of employment, job descriptions or other official documents (national, regional, local or school) and, as far as overall working time is concerned, collective bargaining or negotiated agreements. The number of teaching hours refers to the time spent by teachers with groups of pupils. The number of hours of availability at school refers to the time available for performing duties at school or in another place specified by the school head (principal or director).

Teachers' hours of work are defined in terms of three main variables: the number of teaching hours, the number of hours of availability at school and overall hours, including an amount of working time spent on preparation and marking activities which may be done outside the school.

Teachers' working time is contractually or otherwise defined in terms of the number of teaching hours in a small number of European countries. Many countries apply an overall number of working hours, which in principle covers all services performed by teachers, over and above the specified number of teaching hours. The most common are standing in or substituting for absent colleagues and providing support to future teachers and new entrants. Specified time for teamwork in at least one teaching or teaching support duty is required or encouraged in contracts or official conditions of service in most European countries.

In three countries, the Netherlands, Sweden and the United Kingdom (England, Wales and Northern Ireland), the number of hours that may be required of teachers is not specified at a central level. In the Netherlands, only the overall annual working time (including the list of all activities) is specified in the legislation. In Sweden, an overall annual amount of working time in hours is specified, along with time during which teachers should be present at school. In the UK (England, Wales and Northern Ireland), regulations specify only the amount of time for which teachers should be available to perform duties at school or elsewhere as determined by the head teacher. These duties include teaching, planning, preparation and assessment of students' work, other activities connected with pupil well-being, staff meetings, continuing professional development (CPD), meetings with parents and management tasks.

Teaching time is relatively uniform across EU countries, while the largest variations in working time are determined by the time prescribed for non-teaching duties: preparation for lessons, marking student work, meetings with parents.

Source: Eurydice, 2005 and 2008.

15. This variation by type of education system leads to a great range of hours of work required of teachers in, for example, countries who are members of the OECD (box 3). Many of these have quite favourable working hours, but also positive learning outcomes, suggesting that the total number of hours, though important, is not the only determinant of success in teaching and learning results.

Box 3
Hours of work in OECD countries

In OECD countries, there is considerable variation in the way in which teachers' working time is determined. In most countries, teachers are formally required to work a specific number of hours; in others, teaching time is specified as the number of lessons per week and assumptions are made on the amount of non-teaching time required per lesson either at school or elsewhere (usually at home). National regulation fixes teaching time in some countries, whereas schools, as the basic workplace unit in highly decentralized systems (and in private education), may be the primary determinants of teaching and working time.

In 2006, the number of teaching hours in public primary schools averaged 812 per year (more than in 2005), but ranged from less than 650 in Denmark, Turkey and a non-OECD member country Estonia to 1,080 in the United States. The number of teaching hours in public lower secondary schools averaged 717 hours per year, ranging from 548 hours in Republic of Korea to over 1,000 in Mexico (1,047) and the United States (1,080). In upper secondary general education the average number of teaching hours was 667, ranging from 364 in Denmark to 1,080 in the United States.

Source: OECD, 2009a.

4.2.3. Teaching hours and overall workload

16. As international surveys over the last 20 years have tended to show (ILO, 2000b; Iliukhina and Ratteree, 2009; OECD, 2005a and 2009a), average working hours have not changed appreciably over time (with exceptions in some countries due to major education reforms), but the variety of tasks and the intensity of that work has evolved considerably. This evolution calls for teacher working time obligations, whether fixed by legislation, administrative regulation or collective bargaining agreements, to take account of these changes, in order to maintain good work–life balance and a focus on core teaching responsibilities. Some of the changes and policy responses in European countries are cited in box 4.

Box 4
The changing nature of teachers' work and policy responses in European countries

In the early years of this century, it became increasingly clear that the nature of teachers' work had considerably changed in many European countries, driven by education reforms and external factors such as diversification of student populations, but often leading to increased dissatisfaction on the part of teachers who perceived that their work was less and less focused on the core tasks of teaching and learning for which they were trained. Such changes included:

- increases in management tasks reported in for example Greece, Sweden and the United Kingdom (England and Wales);
- changes in the curriculum as in Sweden, the United Kingdom (Scotland) and Romania;
- the introduction of coordination and teamwork cited by Denmark and Sweden;
- responsibility for mixed groups of pupils, in Poland, Spain, and Sweden;
- new or increased involvement in internal evaluation activities in Iceland and Sweden;
- new or greater amount of work associated with the integration of pupils with special needs in Romania, Slovakia and Sweden;
- cross-curricular work reported by Poland, Sweden, and the United Kingdom (Scotland).

The responses have varied as well. In countries such as Sweden there have been proposals to limit workload by reducing administrative tasks as far as possible and refocusing teachers on their main activities of teaching and attending directly to pupils.

In the Netherlands, the ambition to keep teachers focused on their main teaching activities for which they were trained has led to the creation of different types of position within schools, such as classroom assistant, ICT expert, or consultant.

One of the most extensive (and despite the restrictions on collective bargaining, negotiated) responses took place in the United Kingdom (England and Wales), where in January 2003, the Government, most of the teacher unions and employers signed a new agreement on teacher workload. Raising standards and tackling Workload set out a plan to progressively reduce the overall hours of teachers over the next four years and work towards the provision of guaranteed time for planning, preparation and assessment. Amongst the proposals intended to lighten the workload were the identification of administrative tasks or technical maintenance that could be carried out by staff qualified for these tasks and not by teachers. Similarly, in the United Kingdom (Scotland), a recently published report on the working conditions of teachers contained a list of tasks that they should not be obliged to carry out and which could be entrusted to other professionals with lesser qualifications or qualifications in other fields (management and supervision, etc.).

Source: Eurydice, 2005.

4.2.4. Instruction time

17. Whether teachers' hours of work are calculated on a weekly or yearly basis, and however required hours of work are defined, concerns over effective instruction time for students in the early years of education have led international organizations in recent years to advocate that students receive a widely accepted threshold of instructional time equivalent to an international benchmark of approximately 850 hours per year for the primary level (box 5). Respect of the benchmark also helps to enforce protection against child labour, by setting minimum standards for presence in school.

Box 5
Ample instructional time based on actual, not official hours – Recommendations on instructional time from the EFA GMR 2005 and 2008

Several international agencies and reports have recommended that primary schools operate for between 850 to 1,000 hours per year or for about 200 days, assuming a five-day school week. Countries vary in the number of days they require schools to operate; typically, the range is between 175 and 210 days per year. The number of hours per school day also varies. Countries using double- or triple-shift school days reduce the yearly instructional time. Recent data for 125 countries indicate that official intended yearly instructional time increases with grade level. Worldwide, countries require an average of nearly 800 annual hours of instruction in grades 1 and 2 and nearly 850 hours in grade 3. By grade 6, the average is 1200 hours. These averages do not include countries such as the United States, the Russian Federation and Brazil which are countries of significant size. In the United States, the number of hours has typically been higher than the average. It must also be noted that between 2005 and 2008, the number of hours appears to have increased significantly.

Overall, students are expected to receive an accumulated total of almost 5,000 hours of instruction in grades 1 to 6. Regionally, countries in North America and Western Europe require the highest median number of instructional hours over the first six years of schooling (835 hours), followed by East Asia and the Pacific (802 hours), Latin America and the Caribbean (795 hours), and the Arab States (789 hours). The lowest medians are recorded in Central and Eastern Europe (654 hours), and Central Asia (665 hours), while sub-Saharan Africa, and South and West Asia are close to the global median.

Source: GMR 2005 and 2008.

18. Notwithstanding what seem to be rather favourable workload requirements based only on required teaching hours, educational authorities need to be careful about excessively longer weekly hours existing in some countries. A recent survey of data reported to the ILO (which is not without methodological question marks, therefore subject to caution in their interpretation) revealed that several countries in Latin America, Africa and Asia had officially reported overall hours of work exceeding 45 hours per week and, in one case, more than 50 hours. The figures had not changed over many years (Iliukhina and Ratteree, 2009; Siniscalco, 2002). Such situations call for immediate action to bring down the official hours in line with the recommendations above on proper work–life balance and good teaching/learning conditions.

4.2.5. Multi-shift schooling

19. In many low-income countries, occasionally in urban or disadvantaged areas of higher-income countries and in schools impacted by human-created or natural disaster emergencies, double- or multi-shift schooling is necessary due to a shortage of teachers or facilities. In such circumstances, educational authorities need to take account of the impact on teaching hours, efficiency and learning outcomes (quality) with reduced instruction, teacher preparation and student assessment time, generally tired teachers and a reduced commitment to school mission by teachers and pupils when teachers are allowed or required to teach more than one shift (Bray, 2008). Where multiple shifts are applied, good practices restrict teachers' work to only one shift (box 6).

20. It is also advisable to view such schemes as temporary, to be phased out if and when possible. As a double-shift system concerns teaching and working conditions, it should be subject to consultations with individual teachers and negotiation with the teachers' union in accordance with the relevant provisions of the ILO/UNESCO Recommendation (1966: paragraphs 82, 89 and 90).

Box 6
Double-shift schooling in Asian and African schools

In Hong Kong (China), primary school teachers work in either morning or afternoon sessions. They are prohibited from teaching in both to avoid teacher tiredness and a perceived reduction in quality of instruction. A similar policy was followed in Singapore until the 1990s, and South Korean schools, both of which also limited after-hours tutorials, and in parts of Nigeria.

Source: Bray, 2008.

4.2.6. Reduced work time and part-time teaching

21. If it is difficult to make recommendations that are applicable to all countries regarding maximum work-hours for teachers, it may be even more of a challenge to apply reductions in working time for certain categories, recognizing the variety of circumstances that teachers face in their specific working environment and at given points in their career. Reduced hours may be applied to difficult working environments or for professional and personal activities that benefit teacher development or adjust for the challenges they face as part of achieving work–life balance. At the same time, such reductions are known to favour better teaching and learning.

22. "Reduced hours" should be considered where teachers carry out additional responsibilities (such as advanced skills teachers, department or school management), at early and late stages of a teacher's career, or in case of special part-time arrangements, usually favouring workers with family responsibilities and others. An example of a part-time scheme that has considerably reduced early retirements, therefore recruitment costs and loss of experienced teachers in the German state of Bavaria is summarized in box 7.

Box 7
Reduced working time for older teachers in Bavaria, Germany

One example of a very well accepted model for early or easier transition to retirement for civil servants exists in Bavaria (the *Altersteilzeit* scheme) where teachers have the choice of two paths as follows:

Teachers who apply for age-related part-time work four years before the official retirement age may work for four years with reduced hours of teaching (16 instead of the statutory 28) without justifying the reasons for the lesser hours, against a reduced salary.

A more appreciated and well accepted model is to work part-time "en bloc", meaning that the teacher can work two years full time and then leave active service for the remaining two years receiving 80 per cent of salary throughout.

Teachers who undertake either path receive a final pension equivalent to 60 per cent of net salary according to the option chosen.

Source: Bavaria, 2009.

23. Part-time teaching (defined broadly as less than full time, for instance 80–90 per cent of a full-time equivalent or less) is possible in almost all high-income countries (only in Greece, Japan and Republic of Korea are "regular" teachers unable to work part time) and most countries also enable teachers to hold more than one part-time teaching job. The country average of part-time teaching in this category of countries is 19 per cent in primary education and 24 per cent in secondary education. The incidence of part-time teaching is

more common in secondary education, even if countries vary widely in the extent to which part-time teaching is used. In Israeli primary schools and Mexican secondary schools, around 80 per cent of the teachers are classified as part time, as are around 50 per cent of the primary teachers in Germany and the Netherlands. On the other hand, less than 5 per cent of primary teachers in Finland, Greece, Ireland and Japan work part-time, and there are very few primary or secondary part-time teachers in Italy and Republic of Korea (OECD, 2005a). Part-time arrangements are much less common in the more difficult resource-constraint environments of developing countries.

24. Many teachers express appreciation for this flexibility, as it enables them to prepare for their teaching in ways that suit them best, and to combine this with family or other responsibilities. Rates of return to teaching by women are likely to increase if more part-time teaching is available (OECD, 2005a). Greater flexibility in hours and timetabling has also been urged to meet the changing needs for education and students (ILO, 2000a). However, having a high proportion of part-time teachers can pose management and programme co-ordination difficulties for schools. Hence, successfully making part-time teaching more readily available often necessitates more support resources.

25. A specific area of provisions for determining working hours within the teaching profession concerns "working time family measures", which can help make the workplace more responsive to the needs of teachers with family responsibilities, whether for their children, their parents or others that require their care. These provisions can be important for teachers facing situations such as HIV and AIDS (see also relevant section below).

26. These general measures, applicable to all workers, should contribute towards the reconciliation of work and family life, while at the same time optimizing productivity and expanding equal opportunities for all, regardless of circumstance. In many countries, governmental social policy provides for extended, financially supported statutory parental leave arrangements with job security for the parent on leave, and a comprehensive system of public day care or support for private day care. Moreover, changes in the organization of work have also contributed to the development of working time measures potentially helping workers to better combine work and family life (ILO, 2004).

27. A variety of flexible working time measures include:

- flexible working hours, such as staggered hours and "flexitime";
- shorter working hours, such as part-time work;
- compressed, four-day working weeks;
- work-sharing and job-sharing;
- certain types of shift work; and
- individualized working hours, i.e. the possibility for workers to arrange their hours over the working week or even over a longer period. Such working time arrangements (e.g. "time banking") enable workers to work a few hours a day less, when needed, as long as they catch up on these hours within a specified period of time.

28. Where such provisions do not cover all workers in a country, education management may consider their application to teachers through special schemes. Some considerations are provided in a checklist (box 8).

Box 8
Checklist/tool for introducing reduced hours and flexible education timetabling

When determining how to make working time more "family-friendly" and also meet changing student and education system needs, the following considerations are usefully kept in mind:

- predictable (but not necessarily standard) hours of work and school presence;
- adequate employment benefits and social security on a pro-rata or equal basis, as appropriate to the benefit;
- adequate care or substitute/cover services;
- further training or CPD needs;
- flexible leave arrangements for professional or personal reasons (see below and Module 2);
- an entitlement right for workers to get flexible working hours (length and distribution)
- consultation and/or negotiations with teachers and their organizations, notably for particular part–time or job–sharing arrangements;
- the administrative time (cost) associated with introducing and managing the scheme.

4.2.7. Job-sharing provisions and conditions

29. One specific tool that can increase the time flexibility of teaching is **job-sharing**. Job-sharing is a method of working where two teachers share one full-time assignment. It differs from other forms of part-time work in that, although the hours worked by each teacher are part time, together the teachers take responsibility for one full-time assignment and are regarded as a full-time teaching "unit". They plan and carry out the full range of a teacher's duties and responsibilities as a team. Job-sharing is, for legal purposes, a form of part-time working and therefore implies the same employment and working conditions applicable to other part-time teachers, including pro-rata or full benefits as appropriate.

30. Job-sharing provisions and conditions can be granted in special circumstances and for particular cases, and appear to be increasingly used in higher-income countries. They may be applicable to other countries carefully weighing the costs and benefits. Job-sharing may benefit a wide range of teachers:

- men and women with family responsibilities, children or other dependants;
- existing part-time teachers seeking to obtain posts of responsibility;
- mature teachers wishing to return to teaching after some years of absence from the profession;
- teachers wishing to pursue professional development programmes;
- teachers with disabilities or progressive medical conditions who can remain in employment longer with a lightened teaching load;
- older teachers nearing retirement age interested in a "phased retirement".

31. Properly planned by educational managers and by the job-sharers themselves, this form of work need not be a burden on administration. Moreover, in education systems that employ job-sharing as a management strategy, there is no reported adverse impact on learning outcomes. Rather, it has been shown to have several human resource benefits in education workplaces:

- *teacher recruitment:* the flexibility of job-sharing can incite individuals to take up a teaching career or return to teaching after a career break;
- *teacher retention:* lower rates of stress, illness and turnover among job-share teachers affords greater continuity in school or other education unit service delivery, saving on administrative overheads;
- *school operations:* job–sharing can give greater flexibility in timetabling where job-share partners are able to teach at the same time and, in certain cases, the job-share may allow for coverage of absences due to sickness by the other job-share partner, thus saving on supply cover;
- *learning outcomes:* pupils receive a wider range of teaching experiences from teachers who may have two specialist areas of expertise between them and represent different role models (complementarity) and reduced stress, fatigue and illness enables teachers to be more dynamic and focused on their different tasks (added value or productivity).

See checklist in box 9.

Box 9
Checklist/tool for introducing job-sharing in schools and education systems

Questions or issues to be settled in introducing and managing teacher job sharing schemes:

- Is there actual or potential demand for job-sharing of teachers or a perceived benefit from the education manager (recruitment, retention or motivation of teachers)?
- What are the costs in management time and career or material benefits to apply job-sharing, versus benefits to the employer and teacher?
- How will initial recruitment and filling of subsequent vacancies occur?
- Are job descriptions clearly defined and potential job sharers complementary?
- Will conditions of full-time teaching apply equally or will exceptions be made according to the task requirements (for instance presence in school, staff meetings, teacher assessment, career progression, etc.)?
- Is there a communications strategy to inform other stakeholders – students, parents, etc.?
- Will the scheme be adopted as part of administrative regulation, nationally, locally or by school, or negotiated as part of a collective agreement?

Source: Australia, 2009; INTO, 2009; Ireland, 2008.

32. An example of job-sharing applicable to Irish teachers is provided in box 10.

Box 10
Job-sharing in Irish primary schools

Since 1998, job-sharing arrangements are permitted to most primary school teachers in Ireland, regulated by a series of administrative circulars updated in 2003. Basic conditions include:

- *Eligibility:* Permanent teachers in the same or linked schools sharing a teaching job on a 50:50 basis;
- *Policy:* School Boards of Management are required to have a job-sharing policy which addresses numbers of teachers eligible in a school year, duration, applicable class levels and pupil welfare, exceptions to eligibility, time-sharing arrangements and communications with parents;
- *Conditions:* The conditions specified include permissible length of schemes, termination, eligibility, application and approval procedures (including advice of the school principal), resignations and replacement of job-sharing teachers, operation within the school, attendance at meetings and participation in professional development, salaries, posts of responsibility, redeployment, resumption of full-time teaching, seniority, various forms of leave, permissible outside activities and pensions.

Source: Ireland, 2003; INTO, 2009.

4.2.8. Teacher presence and provision for leave from professional duties

33. A key issue concerns conditions and procedures related to teachers' presence at school (administrative requirements and provisions for special leave and teacher absenteeism). Systematic and equitable provision for absences is an important mechanism for the achievement of work–life balance. At the same time, educational administrators have to ensure effective presence of teachers for all classes, including cover for teachers on leave and particularly teacher presence in rural areas of poorer countries where difficulties of transport, salary payments and other administrative matters, second jobs of teachers, etc., create special challenges.

34. Teacher absences may occur on a predictable or unpredictable basis, depending on the nature of the reasons for absence, and may be structured through policy, administrative regulation and/or collective agreements as being paid or unpaid leave. There are and will be circumstances where the determining factor in a leave of absence cannot be considered voluntary on the part of the individual. These include the need to attend events such as family funerals, or family care needs that are unforeseen and unavoidable. Teachers are often obliged to attend to administrative duties outside the community of the school or their residence, where such attendance is mandatory to the health and well-being of the individual teacher and/or the teacher's family. For provisions on leave related to personal or professional reasons, see Module 2.

35. Employing organizations have to balance the competing needs of teacher well-being and responsibility to children and communities for teachers' presence in schools. Provisions regulating teacher absences for extraordinary needs may also be included in collective bargaining agreements or their equivalent in consultations/negotiations on employment terms in civil service regimes.

4.2.9. Process for decision-making on workload: A checklist for management and teachers' organizations

36. In summary, issues for consideration in determining teacher work hours and workload policy and practice include:

(a) The implications of teacher work hours and workload on:

- teacher recruitment and retention;
- provision of the best possible professional service;
- desirable learning outcomes.

(b) The factors that need to be considered in establishing teacher work hours and work load, among which:

- number of lessons (classes) and pupils (students) to be taught;
- lesson preparation time, including ICT-based teaching practice;
- student assessment time – assessing homework, testing, etc.;
- collaborative or team teaching responsibilities;
- research, reflection on and change in teaching practice;
- student meetings/counselling;
- supervisory duties;
- extracurricular activities;
- parent meetings;
- administrative responsibilities – department or school management;
- continuing professional development time – external or on-site;
- maximum hours of work;
- available human and financial resources;
- class sizes (see also section below);
- leave provisions for family and personal reasons;
- provisions for job-sharing;
- other challenges arising from country- or system-specific circumstances;
- the special conditions faced by resource-poor systems or schools in low-income countries.

(c) The specific needs and expectations of education systems, institutions and teachers, and special circumstances that require attention to make the desired policy and practice fit more closely to local or school reality.

(d) Fairness and equity among teachers with regard to work hours and workload accomplished in the context of different school profiles and unique local requirements.

(e) The processes and who will be involved: education authorities and management (inspectors, school heads, or others); teachers and teachers' unions in fixing the framework and drafting, implementing and assessing the suitability of policy and practice on teacher workload.

4.3. Class size and pupil (student)-teacher ratios

37. The ILO/UNESCO Recommendation does not recommend a specific numerical benchmark for the ideal class size or maximum limits at any level of education. Rather it calls for class sizes that permit teachers to give pupils the maximum individual attention, with provisions as needed for small group or individualized instruction or larger groups with audio-visual support (1966: paragraph 86).

38. Class size is usually defined as the number of students enrolled in the same teaching group for a longer period, or the *average number of students in a teacher's classroom during a school year period* (Siniscalco, 2002). Class size may also be changeable, as pupils move and are sometimes taught in more flexible groups for some subjects. The pupil-teacher ratio (PTR) is more of a mathematical calculation representing the absolute or average number of full-time study pupils per full-time working teacher or equivalent (FTE) (ILO, 2000b). The two are sometimes used interchangeably, but the reality is that PTRs are even less precise measurements of teacher workload and student learning conditions than average class sizes, which can often account for significant differences between schools, depending on urban or rural location or socio-economic differences between students.

4.3.1. Why class size is important

39. The size of classes influences two important factors in education: the quality of teaching and learning conditions; and teacher recruitment and retention. On the first, much research evidence shows that smaller classes in early years of education positively influence learning outcomes, and many education systems now place a ceiling on or set targets for class sizes in the first years of primary school (Iliukhina and Ratteree, 2009, and boxes 11 and 12).

Box 11
Class size evidence from the United States, United Kingdom and Israel

Research on the impact of class sizes on learning outcomes in the US extends back at least 30 years. Since 1989, several pilot programmes in various states (STAR in Tennessee, SAGE in Wisconsin, California CSR) point to smaller classes having an impact, provided that certain additional teaching and learning factors are met. The results broadly show:

- Smaller classes in the early grades, 1–3, can boost student academic achievement.
- A class size of no more than 18 students per teacher is required to produce the greatest benefits.
- A programme spanning grades 1–3 will produce more benefits than a programme that reaches students in only one or two of the primary grades.
- Minority and low-income students show even greater gains when placed in small classes in the primary grades.
- The experience and preparation of teachers is a critical factor in the success or failure of class size reduction programmes.
- Reducing class size will have little effect without enough classrooms and well-qualified teachers.
- Supports, such as professional development for teachers and a rigorous curriculum, enhance the effect of reduced class size on academic achievement.

Separate research from the UK has shown that in primary schools, classes with more than 25 pupils encouraged bad behaviour and put unnecessary strain on teachers. In secondary school classes of 30 students, there is likely to be more than twice as much off-task behaviour by low-achieving pupils as in classes of 15. Class size reportedly has no significant effect on the engagement levels of high-attaining and medium-level secondary pupils in this research.

According to research in Israel, where class sizes had until recently been limited to 40, students in smaller classes had higher test scores in maths and reading after their second and third years in small classes. Their advantage over students in large classes was greater in the third year than the second, suggesting that learning gains are cumulative over time. Researchers used data from third- to fifth-graders, demonstrating that small classes are beneficial beyond the earliest years.

Source: Center for Public Education, 2009; Institute of Education, 2008; AFT, 2009.

Box 12
Class size standards in European countries

In most European countries, official requirements place upper limits on the size of classes in primary education. In 11 countries, a minimum number of pupils is also required. As a rule, the upper limits are between 25 and 30 pupils per class. The lowest maximum sizes (less than 25 pupils) are in Lithuania, Liechtenstein and Bulgaria. In a few countries, special recommendations exist in certain circumstances. In Cyprus or Slovakia, for example, the requirements for the first year of primary education are for smaller groups.

Source: Eurydice, 2009.

40. Overly large class sizes in many low-income countries threaten EFA goals and the needs of every child, particularly when combined with poor learning support at school and at home. They do not meet international standards and parental expectations for quality learning and where they exist should be a time-bound solution to acute teacher shortages (ILO and UNESCO, 2007). One international benchmark, the EFA Fast Track Initiative (FTI), recommends an upper limit of 40 pupils per teacher in basic education, which would represent a large improvement in many poorer countries, but not necessarily all. Educational authorities at all levels, public and private, are urged to work closely with teachers' organizations through processes of social dialogue to focus resources so as to reduce or maintain class sizes at adequate levels, including observance of the FTI benchmark of 40 pupils per class where appropriate (ILO and UNESCO, 2010).

41. The second consideration for education management is that large class sizes have an impact on teacher workload and especially the quality of the teaching environment, and

therefore constitute a variable in teacher job satisfaction. When this variable interacts with hours of work (see above) and health and safety (see below), this in turn influences teacher decisions to remain in teaching or not, or to demand transfers more quickly, especially in more difficult classroom situations of disadvantaged urban areas with diverse student populations.

4.3.2. Setting standards or benchmarks: A delicate balancing act

42. Ideal standards may not be attainable immediately, nor in the long term, due to national or local constraints, especially in systems facing teacher shortages and/or budgetary restrictions. However, it is useful to maintain learning and operational goals in mind while addressing and testing these constraints, in light of changing educational needs and capacity to finance them. Even though fiscal restraints are very real, succumbing to the temptation to subordinate public education consistently to other demands does a disservice to the needs of children and youth, and entails other costs in terms of learning gains foregone and potentially greater teacher recruitment costs, particularly in the environment where EFA is a stated priority and a global goal. Education and national political authorities engaged in public budgetary decisions (ministries of finance, national parliaments) need to find a balance in fiscal priorities that lives up to the EFA commitment.

43. Proposals to set standards of one teacher organization in a high-income country – Canada – are presented in box 13.

Box 13
Proposals for fixing class sizes in one Canadian province

In Canada, elementary and secondary education is a provincial responsibility, but decisions on class size are made at the local or school division level. The Alberta Teachers' Association (ATA) 2003 submission to the provincial government's Commission on Learning is broadly indicative of the views of most teacher organizations in Canada. ATA recommended the establishment of clear targets for class size, as opposed to legislated limits, along with required annual reporting of actual and weighted class sizes by schools, school boards and the province, so as to ensure public accountability and the availability of additional funding sufficient for adherence to class size targets. Class size targets and accompanying funding should be adjusted where necessary to compensate for integration of students with special needs, including English as a second language and multiple grade/subject classes. Recommended targets for the maximum number of students per class were: 17 for kindergarten to grade 3; 23 for grades 4 to 6 and; 27 for grades 7 to 12.

Source: ATA, 2003.

44. Where the ideals cannot be met immediately, taking into account persistent teacher shortages especially in low-income countries, alternative strategies need to be employed where large classes either in single or double shifts are inevitable. In such situations, teachers need to be prepared in the use of specific strategies for teaching large classes effectively (ILO and UNESCO, 2010). These may range from targeted training, continually updated, to the use of teaching assistance support (see box 14).

Box 14
Tool for setting class size limits or benchmarks

Targets for desirable class sizes in the first place and pupil–teacher ratios in overall teacher resource planning should represent a planning tool differentiated by:

- educational level – with maximums needed for early childhood education and the first years of primary school, as well as ceilings on excessively large classes at any level;
- desirable learning outcomes – in relation to individual and small group learning, for specialized subjects such as ICT, sciences, languages, or to help disadvantaged learners or those with special needs;
- teaching strategies to be employed and support provided to maximize the benefits from smaller classes;
- the expected impact on teacher job satisfaction and performance:
- financial capacity of the employing authority.

4.3.3. International trends

45. As a comparative guide to planning on class size, recent evidence for mainly high-income OECD, middle-income and low-income countries is presented in box 15.

Box 15
Trends in class sizes in high-, middle- and low-income countries

At the primary level, the average class size in OECD countries is slightly more than 21 students per class, ranging from 32 students per class in the Republic of Korea to fewer than 20 in Austria, Denmark, Greece, Iceland, Italy, Luxembourg, Mexico, Portugal, Slovakia and Switzerland. In lower secondary education, the average class size is 24 students, ranging from 36 students per class in the Republic of Korea to 20 or fewer in Denmark, Iceland, Ireland (public institutions), Luxembourg and Switzerland. Across the OECD, average class sizes at the primary and lower secondary levels do not differ by more than one to two students per class between public and private institutions, although in countries such as Poland, Turkey, United Kingdom and United States, the average class size in public primary schools is higher – four students or more per class – than in private schools. Long-term trends are for stable or slightly declining average class sizes.

Surveys of a selection of mostly middle-income countries reveal average class sizes in primary schools ranging from more than 40 in Egypt to around 15 in Peru and the Russian Federation, and in lower secondary schools from over 50 in China and the Philippines to less than 20 in the Russian Federation. Significant gains in terms of lower class sizes in recent years have been made in primary schools of Brazil, Chile, Peru and Tunisia, and in lower secondary schools of Brazil, Chile, Paraguay and Tunisia. On the other hand, class sizes have increased substantially in primary schools of Argentina, Egypt, Philippines and Uruguay, and to a lesser extent in Malaysia, and in secondary schools (remaining at or reaching 30 or more students per class on average) in Argentina, Egypt, Jordan, Malaysia, Philippines and Uruguay.

In very low-income countries teachers face extremely large class sizes due to demographic and enrolment pressures to achieve EFA and the general shortage of teachers. Across a range of English-speaking countries in sub-Saharan Africa, more than half of students are reported to be in classes above 40 pupils (including relatively wealthy South Africa), nearly 20 per cent in classes averaging over 55. Around one third of students or more are studying in classes exceeding 70 students in Chad, Malawi and Mali where average class sizes nationally are over 65 students per class. Class sizes are larger in cities and urban areas than in villages and rural areas, with on average almost seven pupils more per class in cities and towns across the surveyed countries.

Source: Bonnet, 2007; Iliukhina and Ratteree, 2009; OECD, 2009a; UNESCO/UIS, 2008; Zhang et al., 2008.

4.3.4. Process for decision-making on class size: A checklist

46. In summary, issues for consideration in determining class sizes and pupil–teacher ratios in policy and practice include:

(a) The implications of class sizes on:

- learning outcomes;
- teacher performance and job satisfaction;
- public or private institutional budgets.

(b) The factors that need to be considered in establishing maximum or standard class sizes among which:

- desirable learning outcomes;
- desired alternative teaching strategies, including:
  - use of a combination of individual/small group/large group learning;
  - diversity of student needs (academic, social, linguistic, cultural, other);
  - specialized subject areas to be taught;
  - availability and expected use of ICT strategies;
- recruitment and retention of teachers related to performance and job satisfaction;
- availability of qualified/specialized teachers and/or teaching assistants;
- geographic distribution and access to specialized professional support and resources;
- financial capacity and resources, actual and future.

(c) The specific needs and expectations of education systems, institutions and teachers, and special circumstances that require attention to make the desired policy and practice fit more closely to local or school reality.

(d) Fairness and equity among geographic regions and levels of education in the context of different school profiles and unique local requirements.

(e) The processes and who will be involved: education authorities and management (inspectors, school heads, or others); teachers and teachers' unions in fixing the framework and drafting, implementing and assessing the suitability of policy and practice on class sizes.

4.4. Health and safety

47. Teachers, as any other workers, have the right to work in healthy and safe work environments and students to learn in them. The provision of the same conditions for teachers and students in the school environment ensure that optimal teaching and learning conditions exist to the benefit of all. Educational employers, public and private, have the responsibility to ensure these conditions (both for students and teachers) in cooperation with teachers and/or their representative organizations. This responsibility extends to improved safety and health in schools and other learning sites, so as to reduce occupational hazards that are often quite distinct from other sectors, services or industries, particularly for women. Provisions should respect the provisions of ILO standards, box 16.

Box 16
Key provisions of the Occupational Safety and Health Convention, 1981 (No. 155)

The principal ILO standard on occupational safety and health covers all workers, including teachers, and calls for policies and practices on:

- design, testing, arrangement, use and maintenance of the material work elements in workplaces, working environments and work processes;
- relationships between elements of work and the persons who carry out or supervise the work, and adaptation of equipment, working time, organization of work and work processes to the physical and mental capacities of the workers;
- training, including further training to achieve adequate levels of safety and health;
- communication and cooperation at the levels of the working group, organization, up to and including regional level;
- protection of workers and their representatives from disciplinary measures as a result of actions taken by them to implement policies.

Source: ILO, 1981a.

4.4.1. Responsibilities of employers and teachers

48. The provisions of the ILO/UNESCO Recommendation call for teachers to exercise due care in the protection of their students' well-being, in line with their professional responsibilities. They further call for teachers to be protected and indemnified against consequences of injuries during their teaching work at school and in school activities away from school premises, for example during educational trips (1966: paragraphs 6 and 69).

49. Protection of teachers and students, as well as indemnification of all involved, is also the responsibility of the employing organization, in line with the concept of "due diligence". Even in low-income countries, health coverage of teachers for activities and injuries suffered during teaching or when engaged in school activities within or away from the school premises require attention as part of good human resource policies (see also Module 6). Health and safety audits are required or have voluntarily been introduced by educational authorities in some countries. An occupational safety and health programme applied in Mexican schools and the outlines of a health and safety audit in UK education institutions are presented in box 17.

Box 17
Preventive safety and health and health and safety audits in schools: the programme "*Accidentes*" in Mexico and health and safety audits in the United Kingdom

In Mexico under the umbrella of the Focusing Resources on Effective School Health (FRESH) programme, the *Accidentes* programme aims at defining strategies and taking actions to prevent accidents, with a particular focus on schools.

Actions have included:

- strengthening prevention;
- improving the system of information and awareness raising;
- strengthening epidemiological research;
- adapting the normative national framework to accident prevention;
- promoting actions focused on potential injured people and pre-hospitalization for medical urgencies;
- enhancing the training and certification of staff for first aid and medical emergencies in different workplaces;
- developing indicators for evaluation.

In the United Kingdom, universities and schools are expected to comply with national health and safety legislation and regulations. Examples include:

- Cardiff University's policy on safety, health and environmental monitoring, that sets out the responsibilities of all levels of education management, staff and students, provides for independent audits to be organized by an Occupational Safety, Health and Environmental Unit and sets out risk levels.
- Local education authorities and schools undertake periodic audits to determine if a school has and applies a health and safety policy in areas such as risk assessment, stress and well-being, communication, consultation and involvement of staff, training of new staff and monitoring and reporting systems, and propose improvements via an action plan.

Sources: Mexico, 2002; UK: Cardiff University, 2009; Hertfordshire County Council, 2010.

4.4.2. School infrastructures

50. The international standards also recommend school buildings that are safe and functional in design to facilitate effective teaching and learning, and safe to use for extra-curricular activities, for example as a community centre in rural areas. They should meet established sanitary standards (especially important for female students and women teachers), be durable and easy to maintain. Consultation with teachers and other staff should be sought in school design and construction, as well as ongoing maintenance and repair (ILO and UNESCO, 1966: paragraphs 109–110).

51. Sometimes schools are not safe due to inferior or inadequate infrastructural integrity. This is often the case (although not exclusively) in developing countries, where such factors as rapid population increase cause overcrowding, there are difficulties to construct and maintain proper schools due to budgetary constraints and building inspection standards are often weak or not respected. In some countries, proper safety measures are lacking during construction or renovation. In other situations, school buildings are very old and have not been properly maintained, causing the integrity of the structures to be compromised, and leading to general and specific safety concerns for students and teachers.

52. Schools in zones at greater risk of natural disasters require particular attention to avoid tragic consequences, as has occurred in several countries of Asia in recent years. It must be the responsibility of education administrators to ensure that the physical environment within schools is safe, including inspection of community-constructed schools in resource-poor environments where the public authorities are unable to ensure school construction. The OECD has published research and adopted guidelines (OECD: 2004 and 2005b) on safe school construction in earthquake prone zones that emphasize:

- the adoption of specific safe school policies and accountability for implementation;
- building codes and their enforcement (often the weakest element in the protection chain);
- proper training and qualification of professionals, builders and technicians;
- preparedness and planning, community participation and risk reduction elements for new and existing education facilities.

53. When natural disasters strike, it is also important to foresee psychological support for survivors. As one example, trauma counsellors trained through a cooperative programme by the Japan Teachers Union (JTU) reportedly helped to alleviate trauma of school children in Aceh province (Indonesia) and Sri Lanka following the 2004 tsunami (Lok, 2010).

4.4.3. Student indiscipline and stress in schools

54. There is evidence in a wide range of countries and teaching environments that teachers are exposed to increased levels of student indiscipline while performing their daily duties, leading to significant levels of stress, and sometimes degenerating into violence. In such a climate, teaching and learning suffer. A report in OECD and partner countries has found significant loss of lesson time (up to 30 per cent or more) due to disruptive student behaviour or administrative tasks, and an estimated 60 per cent of teachers worked in schools whose principals reported that classroom disturbances hindered learning and effective teaching (OECD, 2009b).

55. Some degree of stress is a more or less prominent feature of teaching and is not always negative (ILO, 1981b, 1996, 2000b). Research has shown (ILO, 2007) that, as in many workplaces, teacher stress may arise from individual fears and anxieties, from inherent workplace environment sources, from changes over time in the expectations and organization of education and from external factors, especially:

- the interpersonal relations (between staff and between staff and students) which condition educational work, accompanied in some cases by feelings of inadequacy or lack of training for tasks;
- internal work organization factors and the physical environment (such as excessive working requirements and hours, large class sizes, improper organization of tasks, pupil indiscipline and inadequate administrative support or communication);
- deep-seated changes in the content and modes of delivery of educational services;
- issues concerning professional autonomy in relation to demands for accountability about academic performance from educational users – students, parents and political leaders.

56. In the mid-1990s, an estimated 25–33 per cent of teachers in most OECD countries experienced high levels of work-related stress and national surveys since have tended to confirm the extent of the problem. Consequences include psychological and physical ailments, absenteeism, reduced empathy with students and, in extreme cases, suicide. The consequences are thus negative for teachers, students and schools (ILO, 2007). Measures to reduce the incidence or impact of stress (as with violence, see below) require a comprehensive approach to address root causes and a collective effort by individuals and schools or systems. Considerable reflection on how to address the causes of stress and measures to reduce its negative impact has been carried out in European countries in recent years, involving comprehensive school-based risk assessments, definition of organizational action plans, their communication and evaluation and establishment of dedicated individuals or units to monitor and report on actions taken (ETUCE, 2009) (see also tools below).

4.4.4. Violence in education settings

57. Workplace violence can be defined as *any action, incident or behaviour that departs from reasonable conduct in which a person is assaulted, threatened, harmed or injured in the course of, or as a direct result of, his or her work* (ILO, 2003). Internal workplace violence may take place between workers, including managers and supervisors, while external workplace violence is that which takes place between workers (and managers and supervisors) and any other person present at the workplace. Violence in schools refers to any violent action or behaviour between principals, teachers, pupils, non-teaching personnel and also parents. Women are very often the victims of violence, as evidence coming from both the developed and the developing world confirms. This violence can be physical, sexual, emotional, and can affect female staff and students, but not exclusively.

58. In some African and Asian countries civil conflicts, insurgency and insecurity have had a major impact on teacher motivation and commitment. Teachers are particularly the target of armed violence and insecurity in a wide range of countries (O'Malley, 2007). The lack of secure and safe school compounds is also a widespread concern, especially in urban schools in Africa (Bennell and Akyeampong, 2007). A seven-point international Declaration on means to address violence against schools has been adopted by Education International (box 18).

Box 18
EI Declaration "Schools shall be safe sanctuaries"

Adopted in 2009, the EI Declaration affirms the following seven principles to guide the actions of education and political authorities, teachers' organizations, community representatives and others:

1. Reaffirm the commitment to the principle of the right to education in safety.
2. Take practical measures to ensure protection.
3. End impunity for attacks.
4. Strengthen monitoring of attacks.
5. Prioritise action and share expertise on resilience and recovery.
6. Make education an agent for peace.
7. Support campaigns of solidarity.

Source: EI, 2009.

59. Education authorities and management, public and private, teachers and their representatives have a responsibility to promote workplace practices that help to eliminate workplace violence. To this end, cooperation between all education actors and their representatives is essential in developing and implementing appropriate policies and procedures to minimize the risk of such violence (ILO, 2003). A culture of dialogue in schools is indispensable to create a positive learning and teaching environment. This dialogue should be open, first, within the educational community, and thereafter in strengthening collaboration with outside experts, such as police forces or social workers (ILO, 2000a and 2003; ILO and UNESCO, 2010 – box 19).

Box 19
Tools for dealing with stress and violence in schools

Preventing, reducing, managing and coping with stress and/or violence in education settings imply involvement of a range of actors and response levels engaged in cooperating on common objectives. School and higher-level management, teachers' union representatives, medical and insurance staff and affected individuals all have roles in addressing violence, stress or both by means of a constructive workplace culture based on decent work, professional respect, basic health and safety principles, tolerance, equal opportunity, and quality of service.

At the individual level, solutions to violence and stress emphasize training to recognize potential problems and symptoms, counselling and support for victims and sufferers and transfers to other less stressful or violent environments.

Initiatives to promote school or organizational healthiness – the soundness of organizational coherence and its integration of objectives, tasks, problem-solving skills and development efforts – can moderate teacher stress levels, and reduce the negative impact on their health and work behaviour. Organizational interventions to help manage stress in education include redesigning work, ergonomics, teacher training and counselling to assist teachers in coping, and organization of school teams to help restore organizational healthiness.

Special measures to prevent violence based on workplace violence recognition, risk assessment, intervention, monitoring and evaluation include:

- developing safe schools policies and programmes, including a clear statement that violence will not be tolerated;
- redesigning school access in extreme measures (screening for weapons, installing gates and cameras, and adopting extra security measures);
- a safer physical environment (improved lighting, changing the layout to reduce isolation);
- redesigned work (team teaching, open parent/teacher meetings);
- establishing crisis management teams; and
- information, education and awareness raising, and training on interpersonal violence prevention and management of violent incidents should they occur for students and staff.

Source: ILO, 2003 and 2007.

4.5. HIV and AIDS

60. The impact and implications of HIV and AIDS on teachers' employment and careers and on education is dealt with in Module 2 (2.4.3). Good practices to ensure a safe and healthy work environment that works against the spread and negative impact of the disease (ILO and UNESCO, 2006a and 2006b) depend on a strong partnership between education authorities, ministries of health, teachers and their representative organizations and civil society to establish:

- a caring and supportive workplace environment, free of violence and intimidation, including application of codes of conduct where necessary;

- education sector workplace programmes that give assistance and encouragement in assessing and reducing HIV risk;

- adequate measures regarding first aid kits to prevent transmission, universal precautions to avoid accidents in the use of sharp instruments and transmissions of fluids, procedures relating to hygiene and school health in accordance with national or international norms and availability of latex condoms at education institutions or local health providers free or at prices affordable to employees;

- cooperation, trust and dialogue between government officials, the governing body of the education institution, administrators, employees, education union representatives, students, parents and other relevant stakeholders, based on principles of social dialogue.

See checklist in box 20.

Box 20
Checklist for HIV and AIDS policies within workplaces

Has your school or institution adopted a workplace policy on HIV and AIDS, or is it covered by a sector-wide policy?

Does the policy cover essential workplace health and safety issues, including:

- Non-violence and a relevant code of conduct governing staff-student relations;
- First Aid, exposure to blood, management of sharp instruments and teachers and students with open wounds;
- Hygiene; and
- Practical measures to support risk reduction.

Does the policy implementation and assessment follow a checklist of actions to take at the appropriate level (national, district or school), and does it fully associate teachers' unions and other stakeholders?

4.6. Information and communication (ICT) in schools

61. The use of ICT in schools is a mounting issue, which cuts across different aspects of the teaching profession, such as infrastructure, workload, work organization and health and safety. A number of questions have to be addressed in effectively introducing and using ICT in teaching and learning environments. These include:

- the resources needed and available for hardware and software development and maintenance that meet quality teaching and learning requirements and do not reduce necessary human resources in the process;

- health and safety issues related to types and levels of chosen technology and the physical environment in which they are used;

- training and professional development and support in use of the chosen technology, to maximize instructional time and effectiveness, respect teachers' professional autonomy (choice of teaching strategies, provision of individualized or small group instruction) and reduce teachers' workplace stress;

- adequate planning organization of work that takes account of working hours, tasks, class size and other teaching workload considerations.

62. An ILO-supported process in one region has offered a number of considerations in dealing with this issue (box 21).

Box 21
Managing ICT in the school teaching and learning environment

Investments should be based on four major components – hardware, software, communications provisions and trained human resources, and should be assured on a sustainable basis.

Teachers should have adequate planning time as part of their work obligations to ensure they are able to introduce ICT into their pedagogical practice in ways that favour high quality and appropriate learning.

Technical/professional support should be available in all instances.

Changes in working conditions as a result of the introduction and use of ICT in teaching and learning methodology should be negotiated with teachers and their representatives.

New teaching methods – such as collaborative, team teaching – should be encouraged and supported.

Class sizes should be maintained at levels that allow teachers to give learners individual and/or small group attention for full and effective student learning through ICT use.

The use of teaching assistants in classrooms may be considered to help teachers, provided that they are not employed to take over the teaching functions of qualified teachers.

An ICT implementation plan should be promoted as part of schools' development plans. The role and commitment of school leadership is crucial to realizing this objective.

Health and safety – a safe working environment should be ensured when introducing ICT equipment.

Source: ILO, 2002.

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Module 5: Salaries – Incentives

5. Introduction: Overview and general principles

1. The way teachers are rewarded for their work sends vital messages to teachers, students, parents and the rest of society about the value of that work and the status and esteem in which they are held. Rewarding teachers adequately and appropriately is a key to recruiting and retaining a skilled, motivated and committed teaching force able to concentrate fully on their role as educators, and thereby to improving education quality. The ILO/UNESCO Recommendation (1966: paragraphs 115 and 117, Appendix I) states that teachers' salaries and benefits should meet a certain number of systemic objectives and individual expectations:

(i) reflect the importance to society of teaching and its responsibilities;

(ii) compare favourably with salaries paid in other occupations requiring similar or equivalent qualifications, skills and responsibilities;

(iii) provide a reasonable living standard for teachers and their families;

(iv) provide teachers with the means to enhance their professional qualification by investing in further education and the pursuit of cultural activities;

(v) take account of the higher level qualifications and experience required by certain posts within teaching/education;

(vi) avoid injustices or anomalies that create tensions between groups of teachers.

2. These principles integrate both the general interest of society to attract and retain the best individuals in teaching and key motivational factors influencing individuals to decide on teaching as a career, to remain in the profession and to come to work on a daily basis dedicated to their principal task to advance learning.

3. The salary structure should also be conceived and applied without discrimination on the basis of sex, race, ethnic origin or other distinctions not strictly related to professional experience and competence (ILO, 1951; ILO, 1990), so as to avoid injustices or anomalies between different groups of teachers. Adherence to these guiding principles is not only an important pillar of equity for individual teaching professionals but avoids destabilizing and helps to build cohesive professional teams within schools and other educational institutions. Thus all elements in the pay system should be measurable, based on fair and rigorous criteria and procedures (see below) and should be reliable and valid among teachers and across schools or other education authorities.

4. One of the most sensitive points of potential discrimination concerns differences between men and women. In many cases, female teachers continue to earn less than their male counterparts (EI, 2006: 8; ILO and UNESCO, 2007: 17, 21), and trends in recent years suggest that gaps are not closing in many countries especially at secondary and higher education levels (Iliukhina and Ratteree, 2009; ILO and UNESCO, 2010: 30). Where pay gaps exist, for example because the salary structure is being applied unequally to male and female teachers, or career structures undermine equal pay principles, measures are needed to tackle this challenge for individual equity and the general interest. These include eliminating sex biased job classification systems and pay structures through job evaluation

criteria based on objective and non discriminatory criteria and methodologies (ILO, 1990; ILO, 2009) (see also box 1 for some recommended measures).

5. This module begins by examining compensation policy, focusing on policy objectives, levels and financing. It then presents and discusses salary criteria, salary scales and salary adjustments. The module presents the question of merit of performance assessment and pay in some detail, including a review of the impact of merit/performance pay schemes on recruitment, professional responsibilities, staff job satisfaction and learning outcomes. Finally it addresses the question of the reward and incentives of teachers in rural, remote and disadvantaged areas, before briefly discussing the question of salary management.

Box 1
Tackling gender pay gaps: Recommendations from Education International

Governments should take measures, including legal, to:

- Ensure the right of every woman to receive equal remuneration to male counterparts for equivalent work or responsibility;
- Require employers in both the public and private sectors to provide equal pay for work of equal value, whether or not the jobs are the same;
- Ensure that the design, methodology, and implementation of job evaluation systems are free of discrimination;
- Give priority when designing public policies, programmes and allocating resources, including timelines, to ensure the achievement of pay equity;
- Have an employment policy that eliminates forms of insecure employment.

Source: EI, 2007b.

5.1. Salary policy: Objectives, levels and financing

5.1.1. Multiple compensation objectives

6. All countries need to provide teachers with rewards which meet the two equally important strategic objectives mentioned above: (1) the recruitment, retention and performance needs as defined by the relevant education authority; and (2) the incentives for individuals to become and remain teachers over the full length of a professional career as defined by the education system, as well as foster dedication to professional responsibilities by enabling teachers and their dependants to live in dignity without taking second jobs.

7. To these ends, salary levels should be established as a function of national income levels, but also and especially in comparison with national comparator professions requiring similar professional qualifications, knowledge, skills, and responsibilities, in both the public and private sectors. International benchmarks for recruitment and retention should also be identified on the basis of comparator professions.

8. Although not the only factor in determining professional vocation, especially in education, which has many intrinsic rewards, salary levels impact on the numbers and quality of individuals who enter and remain in every profession. Research since at least 1990 in OECD countries shows a positive relationship between salaries and individual decisions to become a teacher, return to teaching after career interruptions and remain in the profession rather than choose other careers. Various "labour market" conditions may affect the importance of the salary factor, notably better or worse employment prospects for professionally oriented graduates, especially in countries with limited formal sector employment. Nevertheless, compensation remains a prime determinant of teacher

employment decisions, both for males and females in a largely feminized profession (various sources cited in OECD, 2005: 70 71). In certain cases, the higher the salary level, especially in relation to other professions, the higher the quality of individuals entering and remaining in the profession, the greater the number of individuals wishing to do so and the greater the propensity to seek out higher paying education jobs (see Milanowski, 2008a, for an overview in the United States).

5.1.2. Absolute and relative values in compensation policies

9. However in far too many countries, teachers are paid salaries that either:

- fall below indicators of average national income or decent standards of living (at or just above officially defined poverty levels in some very poor countries – UNESCO EFA GMR, 2009: 172; UNICEF, 2010);
- are less than jobs that require similar knowledge, skills and responsibilities; or
- do not reflect teachers' own perceptions of performance and reward (see also 5.3).

10. Under valued absolute or relative salary levels, or those perceived as unfair in relation to job requirements, lead to a loss of prestige for the teaching profession and disadvantage the education system in recruiting and retaining some of the best and most committed individuals (Iliukhina and Ratteree, 2009). For example, international comparative surveys of income levels across professions worldwide show that, in terms of purchasing power parity, primary school teachers' remuneration compares unfavourably with most other professions surveyed in the 70 largest cities in the world (Fredriksson, 2008). On average in OECD countries, the ratio of teachers' salary after 15 years of experience (minimum training) to earnings for full time, full year workers with tertiary education aged 25 to 64 ranges between 77 per cent (primary) to 86 per cent (upper secondary) (OECD, 2010: table 3.1) a gap that is only partially compensated by other benefits such as pensions. Such differences are a major contribution to recruitment difficulties in most if not all of these countries. Despite improved starting level salaries for entry level teachers in some developed countries in recent years under the pressure of teacher shortages, in many countries teachers' salaries are either declining absolutely or falling relative to other professions, often due to a failure to adjust their real value against increases in the cost of living (ILO and UNESCO, 2010). In New Zealand, research has shown that, although teachers are held in high esteem by the public, teaching is not seen as an attractive career "because the pay is not commensurate with the effort and because outstanding performance is not rewarded" (Hall and Langdon, 2006, cited in Ingvarson et al., 2007: 27).

11. Together with a tendency for late or non payment of teachers' salaries, these are amongst the factors which lead teachers in many countries to take on second jobs, to the detriment of their teaching, morale and well being, or to leave teaching altogether (EI, 2006; EI 2009; ILO and UNESCO, 2010; UNESCO EFA GMR, 2009; VSO, 2008).Examples of changes in teacher compensation policies that have turned around national shortages by addressing some of the compensation gaps also point to the need to respond to all variables for a national/systemic response that is sustainable in the long run (boxes 2 and 3).

Box 2
Teachers' remuneration in Uganda: salary influences on recruitment and retention

Uganda suffered a severe shortage of teachers during the 1980s, following the departure of both Ugandan and expatriate teachers during the 1970s and early 1980s. Teaching conditions for remaining teachers became difficult. In 1993, untrained and under trained teachers constituted nearly 50 per cent of the country's teaching force. Low and irregular salaries for teachers made it hard to recruit and retain qualified teachers, particularly in rural areas. There were almost no incentives for potential teacher trainees to join the teaching profession as teaching was considered a profession of last resort. This reduced the quality of teaching and reinforced regional disparities in the provision of basic education since the burden of financing education was in the hands of the local communities. In 1993, the Primary Education Reform Programme was implemented: in particular, untrained and under trained teachers were given opportunities to upgrade their qualifications. Consequently, the percentage of unqualified teachers decreased by half from 50 per cent in 1993 to 25 per cent in 2004. A major salary upgrading took place, increasing salaries ten fold in nominal terms and tripling them in real terms over a period of ten years, leading to reduced teacher attrition rates. However, the average teacher salary is still below the African average and teacher shortages remain a major challenge.

Source: Lambert, 2004; UNESCO BREDA – Pole de Dakar, 2009.

Box 3
Teachers' salaries compared to other professions in the United Kingdom and United States

In the UK in the last few years, real terms improvement in teacher rewards, involving above inflation basic pay increases, structural changes and workload reform, have led to the teaching profession enjoying some improvement in competitiveness in relation to other graduate professions. However longer term decline in the value of teachers' rewards relative to those of other groups means that both teachers' starting salaries and salary progression still compare unfavourably compared with those of many other graduates.

United Sates

The US Bureau of Labor Statistics has developed a detailed database that allows one to compare jobs across knowledge, skills and responsibilities in that country. Analyses showed that jobs similar to teaching in knowledge, skills and responsibilities include instructors in community colleges and vocational institutions, college professors, counsellors, social workers, nurses, psychologists, and many positions in the health care professions. Analyses of salaries for such jobs find that on average US teachers nationally earn about $10,000 below individuals in comparable jobs, particularly when appropriate incentives for teachers in mathematics and science as well as performance bonuses are considered. However teacher benefits in the US generally are more generous than benefits for private sector jobs, thereby partially compensating for the base salary gap (although the relevant databases do not include salary and benefits data, particularly at the state or regional level, so comparisons of all forms of compensation – salary and benefits – cannot be made with precision). Nevertheless, the salary comparisons suggest that some overall salary hike is needed to make teaching more labour market competitive; one compensation expert estimates the range is from $5,000 to $10,000.

Source: UK: EI, 2006; US: Odden and Wallace, 2007b; Odden, 2008a.

5.1.3. Financing teacher salaries

12. Government commitment to improving and maintaining education levels therefore needs to be associated with a commitment to improving and maintaining education funding, since teacher salaries are by far the largest component of recurrent education expenditures in all countries. [1] Given this fact, salary and benefits must always be considered within the context of educational authorities' fiscal or revenue capacity at the same time as the compensation meets the systems' needs for sufficient numbers of qualified teachers.

[1] For example in African countries, on average 70 per cent of recurrent expenditures go to classroom teacher salaries, but the figure rises to more than 90 per cent in some. On average more than 60 per cent of current expenditure in primary, secondary and post-secondary non-tertiary education in OECD countries goes to teacher compensation and may rise to more than 75 per cent in some countries (OECD, 2010; 267; UNESCO BREDA/Pole de Dakar: 45).

13. In certain countries this implies prioritising education funding over other claims on national resources. Where countries are dependent on international aid, it implies donors and national governments agreeing to make education funding a priority, and donors making long term commitments to support national budgets in aid dependent countries, so that these countries are able to base their budgets on predictable resources. Currently, international reports indicate that multinational donors are reluctant to support recurrent and operational costs such as teachers' salaries as part of their support to education systems [2] (UNESCO, 2009: 43), and many developing countries are understandably reluctant to use international development aid for recurrent expenditure, due to its unpredictable nature. Furthermore, macroeconomic policies which determine wage bill "caps" or ceilings need to be based on realistic assessments of decent living salaries for teachers, as well as acceptable pupil–teacher ratios (Action Aid, 2007) (see box 4).

Box 4
Creating "fiscal space" to increase spending on teachers' salaries

Policies to increase funds available for spending on teachers' salaries include:

1. **Increasing domestic revenue** through faster growth and increased tax collection (for example by including the informal sector and preventing tax avoidance and evasion by corporations and individuals).
2. **Reprioritizing spending within existing budgets:** gains can be made by rationalising government expenditure, cutting expenditure within non priority budgets such as defence, and reducing corruption.
3. **Giving national governments more autonomy over macroeconomic policies** such as decisions to borrow responsibly, rather than being constrained by IMF deficit reduction models.
4. **Looking for additional donor aid:** donor aid must be predictable over time if it is to be used to finance recurrent expenditure such as public sector salaries. However policies designed to promote macroeconomic stability must also allow donor aid to be spent in this way.

Source: Action Aid, 2007; ILO and UNESCO, 2010.

14. Outside basic education, at technical and vocational education and training (TVET) and higher education levels, there is considerable need and scope for public/private partnerships or cooperation in financing capital and recurrent education expenditures, notably teacher compensation, to deal with increasing disequilibria in teacher compensation in post secondary education and training (ILO, 2010a and 2010b; ILO and UNESCO, 2010). Such partnerships should be framed by government regulation to ensure that funding equity is maintained, both in terms of student access (i.e., required fees) and levels of teacher compensation across regions and institutions. Such means include cost recovery measures that do not deny access to students from poorer families through a comprehensive student grants and loan programme. They also include a mix of enterprise funding and flexibility in the source of compensation for public teachers that allows TVET trainers and tertiary teachers to supplement basic pay with outside earnings provided that the overall mission of the education institution is respected and reductions in expenditure are not viewed as an excuse to cut overall spending, for example by recourse to large contingents of part time educators in higher education institutions (ILO, 2010b; 2010c; UNESCO and ILO, 2010).

[2] The 2005 Paris Declaration for Aid Effectiveness seeks to overcome this situation by explicitly calling for donor funding mechanisms to be aligned with education sector strategic targets; however donors continue to favour support to projects over budget support, for reasons such as fear of financial mismanagement and the absence of reliable mid-term budget frameworks, etc. (UNESCO, 2009: 46).

5.1.4. Teacher salary components

15. When deciding on teachers' rewards or compensation, at least five key elements should be considered: basic salary (base pay); basic salary progression or adjustments; variable pay; benefits; and working/employment conditions that may condition whether more or less remuneration is appropriate. All are important for the well being of teachers and play a role in their recruitment, retention and motivation, and equally constitute important elements of human resource planning decisions. This module deals primarily with the first three elements, since the last two are addressed in other modules.

16. Basic salary: the amount paid weekly or more often monthly and generally determined by a unified salary scale or schedule.

17. Salary progression: the means by which a teacher earns incremental pay increases over time. In nearly all countries, teacher salary increases are triggered by a combination of years of experience, educational and professional qualifications. In some countries progression on the scale may be subject to performance assessments (as for example in Australia, see Ingvarson et al., 2007: 38–39)

18. Variable pay: a pay element that might or might not be earned every year or at all. Variable pay may be provided as a bonus or allowance for undertaking a certain activity or responsibility or achieving a specific outcome. Merit or performance based pay is one form of variable pay.

19. Benefits: elements such as health insurance, medical care, social security, retirement pensions, family benefits, childcare, sabbatical periods or leave for study or continuing professional development (CPD), fee support for further study/training and CPD, housing provision or subsidy, transport provision or subsidy (see 5.5 and module 6 on social security) – the degree to which these benefits are available will influence decisions about joining, remaining in and professional commitment to the teaching profession in addition to the salary components.

20. Working/employment conditions: aspects such as hours of work, class size and annual leave (see module 4) that may be more or less beneficial to teachers' employment terms, therefore impacting on job satisfaction in relation to higher or lower salaries (one of the "trade offs" cited in some human resources analyses).

21. For a series of questions to guide further reflection on these questions see box 5.

Box 5
Pause for reflection: Teachers salaries to reflect the importance to society of teaching and its responsibilities

1. In your country, what message do teachers' salaries send about the importance of the teaching profession to: a) teachers; b) students; c) the general public?
2. Are teachers' rewards a barrier to attracting, motivating and retaining good quality teachers in your country?
3. If so, how could more funds be made available to improve teacher salary levels?
4. Is there a salary gap between men and women teachers or between teachers of different ethnic backgrounds in your country? If so, why is this, and how could the situation be improved?

5.2. Salary criteria and scales

5.2.1. International standards

22. The ILO/UNESCO Recommendation states that teachers' salary scales should be established in agreement with the teachers' organizations, including the use of "merit rating systems" if these are to be used (1966: paragraphs 116 and 124 – see module 7). Salary differentials should be based on objective criteria, such as academic and teaching qualifications, years of experience and levels of responsibility (1966: paragraph 119). Where teachers of vocational or technical subjects have no academic degree, the value of their practical training and experience should be taken into account (1966: paragraph 120). Teachers' salaries should be calculated on an annual basis (1966: paragraph 121). Advancement should take into account the following principles:

- salary increments should be granted at regular intervals (preferably annually);
- the progression from the minimum to the maximum of the salary scale should be possible within ten to 15 years;
- salary increments should be granted for periods of probation or temporary appointment (1966: paragraph 122).

23. The Recommendation further states that all teachers should benefit from adequate annual leave with full pay (1966: paragraph 94) and should be granted study leave on full or partial pay: these should count for seniority and pension purposes (1966: paragraph 95).

5.2.2. Salary scales: Job content evaluation and performance indicators

24. Many countries use a single salary or unified scale for both primary and secondary teachers with seniority, or years of experience, as the primary trigger for incremental salary progression, within classes or bands based on levels of academic qualification. Increasingly, education systems also use skill or performance levels as the basis for salary increases as part of a broader movement to more closely measure and link teacher performance with learning outcomes (see section 5.4). Table 1 shows an example of a simple teacher salary scale constructed on this basis that has been advocated in the United States. Various points in such a salary scale, such as the lowest beginning salary, could be determined through evaluating job content, skills, responsibility and qualification and by benchmarking salaries at similar levels for comparable jobs in the broader labour market.

Table 1. An example of a knowledge and skills based teacher salary scale (USA)

Skill level [2]	Step within level [1]	Academic qualification[3]		
		Bachelor (First) degree ($)	Master (Second) degree ($)	Doctorate (Third) degree ($)
Entry – Initial licence	1	40 000	41 600	43 264
	2	40 600	42 224	43 913
	3	41 209	42 857	44 572
Professional licence	1	45 330	47 143	49 029
	2	46 010	47 850	49 764
	3	46 700	48 568	50 511
	4	47 400	49 297	51 268
	5	48 112	50 036	52 037
	6	48 833	50 787	52 818
Accomplished	1	53 716	55 865	58 100
	2	54 522	56 703	58 971
	3	55 340	57 554	59 856
	4	56 170	58 417	60 754
	5	57 013	59 293	61 665
	6	57 868	60 183	62 590
Expert	1	63 655	66 201	68 849
	2	64 610	67 194	69 882
	3	65 579	68 202	70 930
	4	66 562	69 225	71 994
	5	67 561	70 263	73 074
	6	68 574	71 317	74 170

[1] Per cent increase for step within level 1.5 per cent. [2] Per cent increase for skill/performance level 10 per cent. [3] Per cent ncrease for academic qualification 4 per cent. US$ figures cited for illustration only.

Source: Adapted from Odden, 2008a.

25. In the example shown, although the scale includes incremental increases or "steps" for years of experience (1.5 per cent in the illustration), the largest pay increases (10 per cent in the illustration) are provided for movement up skill/performance levels. The highest salary level within any performance category is always lower than the first salary level in the next performance level, so the structure sends the signal that improved skill/performance levels is the best way to earn the highest pay level. The structure also includes pay increases for improved qualifications in the form of a master's (second level) and a doctorate (third level) degree. According to this type of scale, teachers would earn the full professional licence after teaching for several years (three in the illustration) and when their practice met the performance standards for that performance category. Earning the professional licence [3] would also trigger a large salary increase (10 per cent in the illustration). The teacher would earn "accomplished" and "expert" classification once their practice, as assessed through a rigorous appraisal process, met the standards for the respective performance category, and these career markers would also trigger a large salary increase (10 per cent).

[3] This example scale assumes a two-tiered teacher licensing system, but could operate the same way in systems with only the initial teaching licence.

26. A variation of a unified salary scale based on performance indicators has been in operation in the United Kingdom since 2000 (box 6).

Box 6
The Performance Threshold salary scale in the United Kingdom (England)

Since 2000 teachers in England (UK) who have achieved Qualified Teacher Status (QTS) are eligible to move from an incremental main scale to an "Upper Scale" (UPS) by passing the Performance Threshold. Benefits include an annual bonus payable without revision until the end of a teacher's career and included in calculations of pensionable salary. The UPS comprises additional increments, each of which depend on performance in areas such as knowledge and understanding of teaching, teaching management and assessment, wider professional effectiveness, professional characteristics, and pupil progress. Additionally the scale allows for progression to Excellent Teacher and Advanced Skills Teacher levels on successful completion of assessments according to the defined criteria, provides additional points for special education needs and leadership achievement and is targeted towards learning achievement and continuing professional development.

One assessment suggests that the modified scale has motivated teachers to improve pupil progress as measured by test scores, but the report does not measure whether this resulted from additional effort on the part of teachers nor diversion from other professional tasks.

Source: Atkinson et al., 2008; UK Department of Education, 2010.

27. Where teachers with non academic qualifications are employed, salary scales should also take account of equivalent experience for teachers with non academic (technical and vocational) qualifications and for mid career change teachers. Where appropriate they should provide incentives for teachers to pursue appropriate CPD, obtain further qualifications and improve their skills and performance. A novel approach is outlined in box 7.

Box 7
The Denver, Colorado (USA) ProComp alternative salary structure

Well known in the US, this alternative compensation scheme was designed and implemented in a large urban school system characterized by a high percentage of minority and disadvantaged students with low learning achievement and (reportedly) a shortage of high quality teachers willing to serve in often difficult schools or positions. In operation since 2006 after an initial pilot phase, the plan was targeted to improve student achievement and teacher retention. One of its acknowledged strengths is the joint development by the city's teachers' union and the education administration. The new structure operates from a base figure, which is used for beginning teachers. Each individual teacher's salary is determined by several factors that provide both ongoing additions to a teacher's salary as well as one year bonuses, of which:

- an ongoing increase of about 3 per cent for creating and implementing a professional development plan;
- a 3 per cent ongoing increase for creating and implementing a "student achievement project", a focused effort to boost student achievement in some ways;
- an ongoing increase in pay for obtaining a satisfactory rating on a new evaluation system every three years;
- working in a hard to serve school or in a hard to staff position.

The evaluation system includes five performance dimensions: instruction; assessment; curriculum and planning; learning environment; and professional evaluation The system provides bonuses for student learning gains, as measured through a value added student growth model linked to the scores of an individual teacher's students. The scale provides more salary increases for activities – engaging in professional development, implementing a student growth project –than direct measures of instructional expertise. The plan has features that are increasingly attractive to teachers and principals, including annual pay increases based on professional development and student growth initiatives, and satisfactory evaluation of performance. A recent appraisal of the scheme concluded that district wide student achievement had increased considerably, as had teacher retention in hard to staff schools and support from teachers and principals, though the research cautioned that other factors may have also been at play.

Source: Heneman and Kindall, 2008; Odden and Wallace, 2007b; Wiley et al., 2010.

28. Performance enhancing compensation systems that differentiate from unitary salary scales should rely on a comprehensive approach that takes account of the many factors that determine teaching and learning success, using effective assessment, professional development and material awards to achieve objectives (see also modules 3 and 8). Singapore provides one example of such a system (box 8).

Box 8
Singapore's approach to teacher appraisal and compensation

Singapore's Enhanced Performance Management System includes an appraisal of teachers' contribution to the academic and character development of the students in their charge, their collaboration with parents and community groups, and their contribution to their colleagues' development and to the school as a whole. Annual evaluations offer the possibility of performance bonuses of 10 per cent 30 per cent of base salary. The evaluations also identify areas of needed improvement that form the basis of the following year's personal professional development plan. All teachers have access to 100 hours of professional development each year, at no cost to the teacher, which they can use to make progress on these development plans. In addition, teachers receive annual reimbursements for improving their knowledge and skills through professional development, subscriptions to professional journals, language learning, or technology training. Teachers assessed as poorly performing are provided assistance to improve but may also be dismissed if they do not. A series of career steps include increased compensation for greater responsibility and contributions to the profession and the school.

Source: OECD, 2011.

Box 9
Pause for reflection on salary scale design and use

1. How is the salary scale in your country or education authority constructed?
2. Does the salary scale used in your country/education authority reflect the needs of the education system; does it enable and motivate teachers working within the system to fulfil those needs?
3. Could it be improved or made more appropriate to the specific characteristics and challenges of your education system? If so, how?
4. Would the structure (although not necessarily the figures) of the illustration salary scale in Table 1, or the salary structures illustrated in boxes 6 and 7 be compatible with your education system? How could they be adapted to be more appropriate?

5.2.3. Salary scales established as a function of the full range of teacher responsibilities

29. The ILO/UNESCO Recommendation [4] calls for the full range of teacher tasks and responsibilities to be taken into account when determining teachers' hours and reward. Factors such as student contact time, course development and planning (taking account of the number of lessons to be taught each day and the fact that such planning and preparation may take place outside of the hours of presence in school), student evaluation, participation in research, extra-curricular activities, counselling of pupils and consultation with colleagues etc. are integral to teachers' discharging their professional role (1966: paragraph 90).These factors therefore condition their workload and need to be accounted for in compensation; class contact hours are not the only basis for calculating either one. Where a maximum number of class contact hours is specified, "a teacher whose regular schedule exceeds the normal maximum should receive additional remuneration on an approved scale" (1966: paragraph 118).

[4] See also ILO, Teachers and International labour standards: A handbook (Geneva, 1990).

30. Within this basic framework, two approaches to teacher salary structures may be identified:

(i) the basic salary covers a job description which allows for differentiation, seeing the school as a workplace necessitating a more complex set of activities, and is calculated on the basis of time of expected presence in the school (or other education workplace). Premiums are less extensive, but are paid for certain tasks, such as school management responsibilities (Eurydice, 2004: 31–32): see example of Denmark in box 10 below;

(ii) the basic salary is calculated on the basis of hours of teaching, and is supplemented with premiums for extra tasks and responsibilities over and above classroom work, preparation and marking. Progression up the scale depends mainly on years of service (Eurydice, 2004: 31–32).

31. Using a scale basis that distinguishes teaching hours and other teaching tasks requires careful planning and application to avoid a fragmented compensation system that is difficult or more costly to manage, may create the basis for inequitable remuneration among different categories of teachers and may go so far as to undermine the overall salary levels as the basis for professional recruitment, retention and motivation (box 11).

Box 10
Working time agreements for teachers in Denmark

In Denmark, time spent in school outside of classroom work is often used for teamwork and professional development activities. Agreements on working time include development hours for all teachers, which may be used for pedagogical days and meetings, planning and evaluation of special development related teaching processes at schools and in teams, development of evaluation forms, supervision, reflection on experience and practice as well as development of local curricula and teaching materials.

Source: Eurydice, 2004: 32.

Box 11
Teacher salary structure in the Caucasus, Central Asia and Mongolia

A nine country study in Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan Turkmenistan, Uzbekistan), the Caucasus (Armenia, Azerbaijan, Georgia), and Mongolia prepared for the EFA Global Monitoring Report, 2009, revealed that in these countries the basic salary is calculated on basis of the weekly statutory teaching load (usually 18–20 hours), rather than on the weekly workload which includes all the diverse responsibilities of teachers (35–40 hours), and varies by education background and rank. The total teacher salary is fragmented into six different components: base salary, additional teaching hours, salary supplements, bonuses, allowances, and fees from parents. The base salary only accounts for 50–60 per cent of the total salary, which perpetuates the public perception of teachers as being impoverished or underpaid. Since salary supplements vary according to grade level (e.g. all primary school teachers receive a class teacher supplement), subject (e.g. teachers of certain subjects receive a supplement for grading student notebooks) and the bonuses and allowances local governments can afford to pay, teachers' salaries vary considerably within schools and across districts and regions.

Source: UNESCO, 2009: 8–9, 24–27.

5.2.4. Provisions for responsibility allowances and other financial incentives

32. The ILO/UNESCO Recommendation recommends that teachers' salaries should reflect all the responsibilities they undertake and the fact that some posts require higher qualifications and experience and carry greater responsibilities (1966: paragraph 115). Salary adjustments may reflect and reward the extra responsibilities carried by teachers in

their roles as department heads, [5] lead or mentor teachers, instructional and induction coaches, and teachers with advanced skills. Many countries experience shortages of mathematics, science, ICT, languages and special education teachers, including those with expertise in working with immigrants learning the country's native language, in part because the teacher labour market is segmented and the skills required for these posts are in demand in other sectors (ILO/UNESCO, 2009b). Paying allowances to teachers in shortage subjects may be part of a strategy to attract and retain teachers in these subject areas.

33. There are arguments for and against paying allowances to retain gifted teachers in positions of instructional leadership and responsibility, and to recruit and retain teachers in subjects experiencing shortages. One the one hand, public school systems, through the single salary scale, have long valued pay equity for teachers and this is a guiding principle of employment and salary equity in terms of the ILO/UNESCO Recommendation (see also modules 1 and 2). The goal has been to pay teachers with similar qualities – years of experience, education units, and degrees – the same salary. But as education systems experience shortages of capable individuals willing to teach in, for example, large urban districts with high poverty and minority schools in many developed countries, or rural and remote areas of developing countries, many are coming to the realization that such teachers are in a different education labour market. In order to attract and retain better qualified teachers to these posts, higher salaries or other material incentives may be necessary.

34. However economic incentives are not the only factor needed to encourage teachers into both hard to staff schools and certain subjects. Research from the US shows that new teachers might be more interested in the quality of the head teacher and the success of the school than a salary incentive (e.g., Milanowski et al., 2007). These and other factors, such as the quality of teachers' relations with students and colleagues, support by school leaders, professional development opportunities and the general attractiveness of teaching conditions, play a role in many systems (OECD, 2005: 169 – see also module 4), as does career structure (box 12). Simple salary incentives either for high need schools or subjects experiencing teacher shortages will work better if they are accompanied with innovative or targeted recruitment strategies (see module 1, especially sections 1.1, 1.2, and 1.14). Examples of different incentives schemes for mainly high income countries are provided in boxes 13 and 14.

Box 12
New career paths for teachers in South Africa

In April 2003, South Africa established a new post and salary structure for teachers. This involves performance related salary increases and two promotion routes for teachers: one in teaching and one in management.

1. In the teaching route, one can become a senior education specialist in schools while staying active as a teacher. Another option is to become an adviser to the Department of Education. The opportunities opened up by the teaching route are seen as an enrichment of the support structure, enhancing evidence based practice in schools and strengthening links between daily practice and national policy.
2. The management route incorporates the more traditional forms of promotion, such as promotion to head teacher or official.

Source: UNESCO EFA GMR, 2008.

[5] Department head stipends may be expended from the budget for school administration, most department head responsibilities being administrative rather than instructional.

Box 13
Incentives paid to attract specific categories of teachers in the United States

The US federal Government supported Teacher Incentive Fund (TIF) programme provides funds to states and districts to design incentives for teachers and principals who teach in high poverty, high minority schools, in subjects with shortages (mathematics and science), though the plans must also condition the pay incentives on improved student test scores. Most TIF incentives take the form of bonuses, rather than base pay add-ons, whereas base pay add-ons may be more appropriate, at least for the time the subject or school is designated as one with a teacher shortage.

Source: Odden, 2008b.

Box 14
Financial incentives to attract trainee teachers in shortage subjects in the EU

In the Belgian French speaking community, those registered as unemployed willing to train as lower secondary teachers for mathematics, sciences, ITC and foreign languages can continue to receive unemployment benefits throughout their studies. In Estonia, teachers who are not fully qualified are offered the opportunity to obtain teaching qualifications in specific high demand subjects (for example, Estonian as a second language, English, and special needs education). Local authorities in Estonia may offer extra pay to attract potential candidates to teach these subjects. Similarly in France, an allowance equal to legal minimal wage during the first year of study is available to student teachers in subject areas where there are shortages. In Malta each year, the Government selects subjects or areas of study for which financial incentives (in the form of a monthly grant) are awarded student teachers. Since October 2002, specialization in mathematics teaching has been offered in order to attract more prospective teachers to the subject. In the UK "golden hellos" in the form of cash bonuses are available in subjects for which there are shortages of teachers.

Source: GHK, 2006.

5.2.5. Salary scales established in line with demographic profiles and recruitment/retention needs at different stages of teachers' careers

35. The ILO/UNESCO Recommendation states that teachers' salaries should compare favourably with those in other occupations requiring similar or equivalent qualifications (1966: paragraph 115(b)). Each country/education authority needs to (a) benchmark its entry level salary for new teachers against the beginning salaries of comparable professions, as beginning salary is a significant variable in recruiting talent into any system; and (b) set salary benchmarks for major teacher career markers, as well as progression over time, to ensure that teacher salaries remain comparable to other benchmark occupations.

36. Despite the ILO/UNESCO Recommendation's guideline that the progression from the minimum to the maximum of a basic salary scale should not take longer than ten to 15 years (1966: paragraph 122(2), in practice there is considerable variation between education systems in the time it takes teachers to reach the top of the scale. In countries where teachers reach the maximum basic salary after a relatively short career span (for example lower secondary teachers in countries such as Australia, Denmark, Estonia, New Zealand and Scotland (UK), who reach the highest step on the salary scale within six to nine years – OECD, 2011), teachers can benefit from maximum salary at a younger age, but challenges exist in retaining motivated teachers within the profession until retirement. In those where teachers have regular salary increases for many years, but have to wait for many years before receiving their maximum basic salary, this may motivate them to stay until they receive the maximum salary, but the need to wait until relatively late in life before receiving the maximum salary may be frustrating. However a number of different and interconnected parameters must be considered when analysing the relative merits of quick or slow salary progression in terms of retention (Eurydice, 2004: 55–6).

37. Career structures need to be constructed so that good quality teachers do not leave the classroom to work in education management, or outside education altogether, once the maximum salary is obtained. Thus salary scales need to be integrated with policies to keep excellent teachers teaching and providing leadership and CPD opportunities to colleagues. This may involve paying for jobs or positions with specific responsibilities (e.g. head of subject area or coordinator of curriculum or professional development), paying for evidence of increased knowledge and skills, or paying for individual performance (Ingvarson et al., 2007:9). Schemes, such as Advanced Skills Teachers in the UK for example, who are paid on a separate pay "spine" based on leadership salaries (NUT, 2010 – see also section 5.2, box 6), may help motivate and retain teachers who have reached the top of the basic salary scale, whilst drawing on their expertise and experience (see also module 2 on careers). A mix of financial and professional incentives form part of teacher career and retention policies in Singapore (box 15).

Box 15
Career and salary structures to retain teachers in Singapore

In 2002, Singapore's Ministry of Education introduced a new incentive payment scheme to encourage teachers to make teaching their long term career. Teachers receive a retention bonus for every three to five years they stay in the service. This has helped keep the resignation rate for teachers at less than 3 per cent. To encourage a culture of learning in schools, the government pays for 100 hours per year of professional development for all teachers. After their first three years in the classroom, teachers can choose to pursue one of three career tracks: a leadership track, a specialist track, and a teaching track, which caters to the majority of educators, who want to make excellence in classroom teaching the primary focus of their careers. Within that track, teachers can move up from a "senior teacher" to a "master teacher" to a "master teacher, level 2," with their pay rising to reflect both their demonstrated expertise and the assumption of additional responsibilities.

Senior teachers serve as mentors and role models for teachers in their schools. Schools have the flexibility to arrange their workload so that senior teachers can spend more time mentoring younger teachers. A master teacher can earn a salary equivalent to a career "specialist" level 1 or 2, while a master teacher level 2 can earn a salary equivalent to a school vice principal. Excellent classroom teachers can now be well rewarded whilst remaining in the classroom, rather than becoming managers.

Source: Ingvarson et al., 2007.

5.2.6. Range between minimum and maximum scales and between levels of education to reflect equity and efficiency

38. The ILO/UNESCO Recommendation states that salary differentials should be based on objective criteria (qualifications, experience, responsibility) whilst maintaining a "reasonable order" between the highest and lowest (1966: paragraph 119). Furthermore the salary structure should not lead to injustices or anomalies likely to lead to friction between different categories of teachers (1966: paragraph 117). There is no clear consensus on what the ratio between minimum and maximum salary should be, and practices vary between education systems. In EU countries maximum and minimum levels generally differ by less than a factor of two (box 16). The salary scale in Table 1 (section 5.2.1) has a top salary that is 1.7 times the starting salary for the first degree column and 1.85 for the third degree column.

39. There has been discussion in many countries about whether primary and secondary teachers should be paid according to the same salary scale, the assumption being that secondary teachers are more subject matter experts, who are harder to recruit and retain. Using a single scale has the merit of rewarding the specialist skills and training of primary teachers and recognising primary teaching as a speciality in its own right. However this may be unrealistic in many developing countries where the vast majority of teachers work at primary level. Where a single scale is used, additional incentives may need to be

provided for TVET teachers and for specific subject areas for which actual teacher shortages emerge, such as mathematics and science (see 5.2.4).

40. Another issue is salaries for pre-school teachers. The practice often is to pay such teachers a lower salary, since education systems often put less trained teachers into preschool classrooms. However research shows that fully trained pre-school teachers are much more effective (Whitebrook, 2004); and the best way to recruit and retain fully trained teachers is to place them on the same salary scale as other teachers.

Box 16
Salary scales, practice in Europe

In the majority of European countries, minimum basic teacher salaries in primary and general lower secondary education are lower than per capita GDP. Teachers need to have completed a certain number of years in service and/or to have satisfied other conditions before their salary is higher than per capita GDP. In **Bulgaria**, **Latvia, Lithuania**, **Norway, Romania** and **Slovakia,** the basic gross annual salaries of teachers remain less than per capita GDP.

The relation between maximum and minimum basic annual salaries generally differs by less than a factor of two. In **Denmark** (primary and lower secondary education) and **Latvia**, teachers may hope for no more than very modest salary increases (corresponding to some 10 per cent). However, in **Cyprus, Luxembourg** (in the case of teachers in primary education), the **Netherlands** (for teachers in general upper secondary education), **Austria, Poland** and **Portugal,** salaries may reach more than double their original level. Together with the frequency of salary increases, this may explain why teaching may be more attractive at some stages of a career than others. Clearly, teachers whose salaries rise significantly throughout their entire career may be less inclined to leave the profession than those whose salaries do not progress beyond the first few years of experience. In the UK **(England**, **Wales** and **Northern Ireland),** measures introduced in 2000 sought to extend the salary scale of teachers who had reached its upper limit to encourage them to remain in the profession.

Source: Eurydice, 2005; Eurydice, 2009.

5.2.7. Negotiated salary levels

41. The ILO/UNESCO Recommendation sets out the principles that teachers' salary provisions, salary scales and working conditions should be determined through consultation and/or negotiation between employers and teachers' organizations, and assured by statutory or voluntary conventions (1966: paragraphs 82–83 and 116). Salary scales should be reviewed regularly and, where adjustments are made automatically on the basis of a cost of living index, the choice of this should be determined in consultation with teachers' organizations.

42. Following these principles, negotiated solutions through collective bargaining represent the highest form of social dialogue mechanisms applied to employment terms and conditions (see also module 7). Some countries, such as Cameroon, Gabon, Madagascar and Tunisia have alternative means of determining teachers' remuneration that rely on legislation rather than negotiating the change via collective bargaining (EI, 2009), and others decide salary questions through pay review boards or bodies, such as the School Teachers Review Body in the UK, which allows teachers' unions a voice in arguing for changes in the salary structures, levels and adjustments. Any major restructuring, reform or move towards a more performance oriented salary scale would need to adjust all current references to current salary scales in legislation or collective agreement, preferably through the consultative or negotiating provisions advocated by the ILO/UNESCO Recommendation, and generally accepted as the basis for sustainable reforms (ILO and UNESCO, 1966; ILO and UNESCO, 2007 and 2010).

43. Respect for negotiated teachers' compensation is most challenged by economic difficulties such as the post 2008 economic recession that affected especially high to upper middle income countries of North America and Europe. A consensus developed in the ILO is that

employers and workers, including those in education, need to rely on collective bargaining to elaborate and apply sustainable responses to such situations, despite the pressures to do otherwise (box 17).

Box 17
Social dialogue and the recession

The Global Jobs Pact, agreed at the 98th session of the International Labour Conference in June 2009, calls for engaging in social dialogue through tripartism and collective bargaining between employers and workers to work out constructive and sustainable responses to the current recession. A number of countries have followed such advice, although negotiations and other social dialogue mechanisms are not consistently applied and have failed to achieve results in some cases. In **Estonia** negotiations between municipal authorities and trade unions have led to preserving pre recession salary levels instead of their reduction to 2008 levels. In 2010 the **Netherlands** reportedly agreed to the creation of a foundation to promote social dialogue and a social pact between social partners in education and the Government along the lines of existing arrangements in the private sector. It was also proposed to preserve funding for a 2007 action plan for the teaching profession that includes many provisions advocated by teachers' unions, including teacher recruitment and retention incentives (investments until 2020 for better pay for qualified teachers), professional development measures (a study fund for teachers by which individual teachers will obtain funding and time to undertake university courses of their choice), professional autonomy (a professional charter for teachers, outlining school subjects that are to be decided by teachers themselves) and more career development by opening up more career possibilities within teaching rather than management. In **Nigeria**, following negotiations, planned 2009 salary increases were maintained, despite a worsening economic situation, and a national employment summit in which the teachers' union participated called for investment in sectors favouring economic growth, including education.

Despite some positive examples, in most of the countries in which plans were adopted in the period 2010–11 to reduce public budget deficits and therefore investments in the education sector, there is little evidence that social dialogue has played an important role. Education sector unions have sometimes been consulted but rarely engaged in full blown negotiations leading to agreements on the way forward. The result has often been wide ranging protests against unilaterally imposed budget reductions and therefore reduced terms and conditions of employment of public servants, including teachers in European countries such as France, Greece, Ireland, Spain and the United Kingdom, among others.

Source: ILO, 2010a; ILO, 2011.

5.3. Salary adjustments

44. The ILO/UNESCO Recommendation affirms that salary systems for teachers should be reviewed periodically to reflect such factors as a rise in the cost of living, increased productivity leading to higher standards of living in the country or a general upward movement in wage or salary levels. If a system of salary adjustments automatically following a cost of living index is adopted, the choice of index should be determined with the participation of the teachers' organizations and any cost of living allowance granted should be regarded as an integral part of earnings taken into account for pension purposes (1966: paragraph 123). The principle of regular salary adjustments is designed to ensure teachers' salaries remain competitive with jobs requiring similar qualifications and skills and remain in line with changes in the cost of living and national productivity levels (ILO and UNESCO, 2010).

5.3.1. Review factors and mechanisms taking account of education system needs and individual motivation

45. A salary system needs to have periodic adjustments to keep it current and should be reviewed regularly on the basis of factors and mechanisms which take account of education system needs and individual motivation. A country or regional salary scale may be adjusted to reflect geographical variations in the cost of living and other factors such as recruitment and retention considerations within those jurisdictions' boundaries. Salaries for

schools and education systems are often adjusted upwards in metropolitan areas, where prices and salaries and particularly the cost of housing, are high, and downwards for more rural, non metropolitan areas. However such strategies produce a shift in education resources toward metropolitan areas and the consequences of their introduction should therefore be considered carefully, particularly in countries which are struggling to recruit teachers to rural and remote areas. Differences between factors that motivate individuals and meet the needs of education services have to be carefully considered in policies to adjust teacher salaries (box 18).

Box 18
Intrinsic and extrinsic salary adjustments

Salary adjustments represent the part of teachers' pay packages that is context specific, not universally available to all teachers. Adjustments can be of two types: **intrinsic** salary adjustments relate to characteristics which are inherent to the teacher him or herself; **extrinsic** salary adjustments relate to characteristics of the teaching post itself. The two types of adjustment fulfil different purposes: intrinsic salary adjustments serve essentially as an incentive to attract teachers with particular profiles, whereas extrinsic adjustments target particular types of teaching posts, and are used to draw teachers into those posts.

Extrinsic factors taken into account include additional responsibilities, geographical location and mixed classes. Intrinsic factors taken into account are evaluation of teaching skills, professional experience in a sector other than teaching and further qualifications. Extrinsic type salary adjustments include premiums offered to teachers to work in schools located in areas that are perceived to be less attractive. This covers a number of possibilities: remote or sparsely populated areas, or those with an exceptionally high cost of living, or with a high incidence of socio economic disadvantage. These adjustments are designed not only to iron out the cost of teaching in such areas, but also to make it positively advantageous in financial terms to take on a teaching post there.

Source: Eurydice, 2004.

5.3.2. Necessary salary adjustments

46. Adjustments should account for overall local or national cost of living fluctuations and changes in salary levels for comparator professions or occupations. The guiding principle should be to ensure that the teacher salary scale remains competitive with jobs requiring similar qualifications and skills, whilst reflecting overall country wealth and changes in cost of living, in line with the multiple functions that salaries serve in attracting, retaining and motivating teachers.

47. Where countries desire to have teacher salaries at a certain benchmark to comparable jobs, but are not able fiscally to do so, alternative education financing will need to be found. This is necessary to ensure that teacher salaries do not slip significantly behind similar occupations, public and private, and teacher salary scales are bolstered as the country's economic growth or GDP rises (box 19).

Box 19
Teacher salary reform: Good practice from Mongolia

The Government of Mongolia lifted teacher salaries three times in a short sequence in 2006 and 2007, as much as 36 per cent in the period 2006 to 2007, to reflect the economic growth that the country had been experiencing since 2005. The biggest increase, however, was the increase that went into effect in 2007/2008. In September 2007, teacher salaries underwent a structural reform: the weekly workload (36 hours) was introduced and used as the foundation to calculate the salaries. It replaced the previous system that was based on the weekly teaching load of 19 hours. This structural reform more than doubled the salary of teachers.* The structural reform benefited especially teachers in small rural schools that were not able to supplement their salary by taking on additional teaching hours. With the introduction of the weekly workload in Mongolia, a system that is also used in North America and Europe, the public perception of the teaching profession has visibly improved.

** In Mongolia, teacher salaries were 1.7 times the GDP per capita in 2005 but then in 2008 after the structural reform of 2007/08, 3.58 times the GDP per capita. Mongolia is the only country in the region that approximates, and in fact slightly exceeds, the EFA FTI benchmark (whereby the teacher salary should be 3.5 times the average GDP per capita).*

Source: UNESCO, 2009.

5.3.3. Provision and criteria for annual adjustments

48. The teacher salary scale should be periodically adjusted as salaries in the benchmark occupations change, so as to keep teacher salaries competitive with other jobs that attract similarly trained professionals, or where the cost of living rises, national wealth increases or there is a generalized upward movement of salaries in the country. Many education systems have introduced provision and criteria for annual adjustments, often within the context of public sector pay review mechanisms.

5.3.4. Periodic adjustments based on negotiations with teachers organizations

49. Where provision exists for annual (or other periodic) adjustments these should be based on negotiations with teachers' organizations (see also module 7). Where cost of living indices setting automatic increases are the rule, the choice of index should be determined with the participation of the teachers' organizations and any cost of living allowance granted should be regarded as an integral part of remuneration used to determine pensions (see also module 6).

Box 20
Pause for reflection on salary adjustments

1. Does the salary scale in your country/education authority include adjustments to reflect geographical cost of living variations and recruitment and retention considerations? What are the consequences (positive and negative) of this?
2. What is the policy regarding adjusting teachers' salaries to keep pace with the cost of living in your country? What are the consequences of this policy? How do teachers' salaries compare with salaries in professions requiring similar qualifications and skills?
3. Are teachers' organizations involved in determining periodic salary adjustments? What are the consequences of this policy?
4. Are you aware of examples of good practice regarding salary adjustments from other countries or sectors which might be of benefit in your own?

5.4. Merit or performance assessment and pay [6]

50. The ILO/UNESCO Recommendation does not take a position for or against merit or performance pay, but does argue that any such scheme should only be introduced or applied in consultation with and acceptance by the concerned teachers' organization(s) (1966: paragraph 124).

51. Despite evidence that merit pay is not necessary and may even work against overall education objectives (OECD, 2005; Ingvarson et al., 2007), over the past two decades there also has been considerable movement in many countries (e.g., Chile, Japan, UK, local and state school systems in the USA – supported by a federal Teacher Incentive Fund in recent years – to name a few) to provide new pay elements that are directly related to student achievement, almost always related to standardized student achievement test scores. Though controversial wherever they have been developed and implemented because they tend to narrow curricula, reduce teacher autonomy and innovation and together lessen learning diversification, these new pay elements are considered strategic for the education systems of those countries that have introduced them, as they are tied to the key education goal of measurable, improved learning outcomes.

5.4.1. Performance pay definition, criteria and schemes – Pros and cons

52. Performance related reward is designed to send a signal to employees that they deserve to be rewarded for superior contributions, to attract and retain high quality employees and in education to improve learning outcomes.

53. Performance pay systems must address three issues:

- Whose performance is being assessed? Pay can be related to an individual teacher, a team or group of teachers (and other school employees) or all the employees in an educational establishment.
- How is it to be measured and evaluated? Performance refers to both outputs (the achievement of individual or group targets and objectives) and inputs (what a teacher brings to their task in terms of skills, knowledge and behaviour).
- How is it to be rewarded? The relationship between performance and pay will be based on "some kind of assessment of the individual's or the group's performance undertaken by another and requiring the exercise of judgement or discretion by this other party" (Kessler, 2005: 320–21).

54. Performance may trigger a payment which is consolidated into base pay; alternatively the performance payment can remain unconsolidated and have to be earned again in subsequent years (a form of variable pay). There are basically three types of performance pay systems:

- Systems based on appraisal or assessment of the individual employee, either founded on inputs (merit, skill or competency schemes) or on individual outputs (individual performance related schemes); the payment is usually integrated into base salary, either as a percentage increase or as additional increments on a pay scale.

[6] This section should be read in association with section 5.2.2 above that considers knowledge and skills based elements of revised or alternative single salary scales applied to all teachers.

- Systems involving an unconsolidated bonus payment to individual employees on the basis of achieving specific targets or objectives.

- Systems involving an unconsolidated bonus payment to individual employees on the basis of the performance/achievements of targets by the whole work team, department or establishment.

55. A pay system may include two or even all three of the above elements (Kessler, 2005: 321 22). Some additional questions that must be addressed in a performance related pay system are set out in box 21.

Box 21
Checklist of questions on performance related pay systems

- **The performance indicators:** Will they be limited to the very narrow, measurable indicators of student achievement via standardized tests in core subjects such as literacy and numeracy or encompass a broader array of learning objectives: progression to higher education levels/graduation rates; capacity to reason/problem solving; demonstrated understanding of citizenship norms for a democratic society; etc.?
- **Measuring progress:** Will standardized tests determine success or a more diversified array of measurements, such as student learning profiles; teacher evaluation results – peer, supervisory or external? Is the measurement based on progress from year to year, in comparison with a desired benchmark, or some value added definition? What weight is to be given to the contributions of teaching support staff in achieving learning improvements? Is the data to be used sufficient and reliable, particularly over time, as a basis for reward decisions?
- **Adjusting for external factors: H**ave the measurement instruments taken account of factors outside the school: poverty and disadvantage, such as the place of non native speaking or minority learners; roles of parents; differences in funding between schools or school systems?
- **Eligibility and funding: W**ill all teachers/staff be eligible under an individual scheme or do quotas limit this accessibility to a certain number? Will the plan focus on individual, whole school performance or both? What will be the size of the bonus (it must be significant to act as a motivator benchmarks used or recommended in the US range from 2 to 8 per cent of base salary) for teachers and non teaching staff? Are funds for the rewards sustainable over time?

Source: Goldhaber and Hannaway, 2009; Goldhaber and Hansen, 2008; Milanowski, 2008b; Odden, 2008a and 2008b; Odden and Wallace, 2007a and 2007b.

56. Performance related pay is assumed by many to attract and retain better people into teaching, and to motivate teachers to work hard to improve student performance, by delivering the message that performance is important, and good performance is paid more than poor performance (Durbridge, 2007). Advocates of performance related pay and some earlier research results claim that financial incentives do improve at least student test performances, and where based on student test scores, they help teachers to understand the most important goals of the education systems (for example those student performance areas included in the performance bonus) and channel their time, effort, and energy towards producing improvements in student performance in these areas (see for example Atkinson et. al., 2008; Kelley, Heneman and Milanowski, 2002). It is argued that where applied within school based programmes, performance related incentives reinforce the teamwork ethos; where based on appraisal, the motivational dimension of appraisal is reinforced by reward. Thus the optimistic view of performance related reward is that it brings teachers simultaneously the intrinsic rewards of seeing their students' performance rise in a more successful school environment and the extrinsic rewards of financial compensation.

57. Many of these assumptions are not borne out by either research or experience. First, measuring teachers' performance or merit is not straightforward. Learning outcomes depend on many factors outside the classroom or school (poverty, difficulties with languages, lack of parental support to students, etc.) over which teachers have little or no

control. The process of setting objectives and measuring performance is complex, time consuming and requires skills and training, with the risk of overloading school managers or subject heads and of demoralization and divisiveness when staff feel unfairly treated (Marchington and Wilkinson, 2008).

58. Second, when reward is based on appraisal it may undermine professional development by the focus on reward. Assessing teachers' performance on the basis of student scores is based on a reductive understanding of both teaching and performance: it assumes that what can be measured is what is of value and encourages teachers to focus on measurable outcomes at the expense of non measurable but highly valuable personal and social outcomes (Durbridge, 2007; Adams et al., 2009). It also encourages unreliable data measurements through what is known as "score inflation," by the ways in which test results are counted, the choice of students being tested and how they are prepared for tests, as well as excluding from the equation certain staff (for example librarians, ICT and other teaching support staff as well as previous teaching staff) that are not directly involved in the testing process. [7]

59. A third difficulty arises from financial limitations of many performance based award systems: quotas are established where funding is restricted, therefore limiting benefits to only a few teachers and creating difficulties for management to explain why other staff who may have equal claims on the awards do not receive them (Chamberlin et al., 2002, cited in OECD, 2005). Such practices narrow teaching methods, limit the curriculum taught, reduce teacher autonomy and are fundamentally inequitable if reliable learning outcome measurements cannot be established, linked accurately to every teacher, and are not the object of subjective appraisals by supervisory staff (see 3.2).

60. Research shows that, rather than having positive impact on classroom teaching or student achievement, merit pay based on student performance impacts negatively on teacher morale, collaboration and teamwork, encouraging individualistic assumptions and attitudes, and introducing competition between colleagues for the best classes and schools, particularly where there are limited financial resources available to reward good or excellent performance (Durbridge, 2007). Teachers often react sceptically to performance based incentives, and resent the assumption that they are "not working hard enough and that promises of money would exhort them to greater effort". Where teachers believe the assessments on the basis of which extra pay is awarded to be unfair, these may have a demotivating rather than a motivating effect; where teachers do go along with such schemes it may be through "opportunistic compliance" rather than genuine commitment (Ingvarson et al., 2007). Performance related pay may reinforce the disparities between schools, with disadvantaged schools and education systems with limited resources unable to compete to attract the qualified and experienced teachers they need. A further drawback of Individualized performance rewards is that they may be divisive and undermine collective agreements; in some cases they may be used by employers or governments as a means of undermining trade unions or teachers organizations, rather than as a path to improve education quality. Finally, there is little unequivocal evidence of improved teacher performance as a result of merit based pay schemes (Durbridge, 2007). Some examples of often unintended consequences of performance related pay are provided in box 22.

[7] For a more detailed discussion of these issues in the United States in particular see: Adams et al., 2009; Goldhaber and Hansen, 2008; Goldhaber and Hannaway, 2009; and Milanowski, 2008b.

Box 22
Research showing mixed evidence on performance related pay

Gearing teaching towards the tests can impact negatively on equity. In **Chile**, for example, a school based incentive programme for teachers tended to reward teachers and school with high socio economic status, which were already performing well, rather than those improving yet still needing to do better. In **India** and **Kenya**, the improved test results reflected a tendency for teachers to focus on the best students and train students for the test, often excluding other aspects of the curriculum. Improved learning achievements were found to be short lived in **Kenya**. In **Mongolia** a performance related pay system was abandoned a year after introduction, following conflicts prompted by the increasingly hierarchical nature of teacher and management relations and the heavy administrative burden and paperwork imposed on head teachers and inspectors.

Source: Country sources cited in Iliukhina and Ratteree, 2009.

5.4.2. Criteria for performance related pay schemes

61. Performance related pay schemes should not be implemented without careful consideration of the goals to be achieved, the specific context and the process by which such a scheme is applied. The most effective schemes appear to be based, not on standardized student test results (even if better learning outcomes are the ultimate objective), but on evidence of professional development, in the form of carefully developed knowledge and skills based systems. Where teachers and their organizations are involved in the development of standards and performance measures, these are both more valid and more widely accepted by teachers than when they are imposed by employers. Standards based performance assessment schemes developed by teachers' professional organizations "are often more searching and rigorous than those developed by employing authorities" and have a high level of credibility with all stakeholders. Such schemes have the most positive impact when developed and operated jointly by employing authorities and professional associations (Ingvarson et al., 2007 – box 23).

Box 23
Successful performance based pay systems

Performance based pay schemes are most likely to gain professional commitment and improve student learning outcomes when:

(a) the guiding purpose is to give substantial and valued recognition to teachers who provide evidence of professional development to high teaching standards;

(b) valid (research based) standards have been developed by expert teachers in their specialist field of teaching to provide long term goals for professional development;

(c) appropriate research is used to develop reliable and valid procedures on evidence to indicate that teachers have met those standards;

(d) the assessment of performance procedures are conducted by an agency external to the school to ensure reliability, comparability and fairness;

(e) teachers have adequate opportunities to learn the knowledge and skills required to put the standards into practice;

(f) a teacher's ability to demonstrate that they have met the relevant standards leads to professional recognition, enhanced career opportunities and significant salary increases;

(g) teachers who reach high standards of performance gain access to interesting, challenging and well supported positions in schools where they can provide leadership to improve teaching and learning; and

(h) governments and other employing authorities are convinced that the assessment system is valid and reliable and make long term commitments to support the system.

Source: Ingvarson et al., 2007.

62. Where adopted, then, performance related compensation schemes should be based on objective assessment criteria using clear, measurable performance indicators and transparent assessment and award procedures. The procedures must be clearly communicated to all teachers, and the performance indicators on which they are based should be widely known and understood. These should take account of the full range of teachers' responsibilities, including mentoring, induction, and professional development tasks of senior teachers (see also 5.2.3).

63. Those responsible for assessing teachers should be thoroughly trained in the use of the assessment tools and in the principles of administering performance related pay schemes, including the principles of non discrimination and objectivity in applying criteria to all employees regardless of gender, age ethnic origin etc. A range of data and validation methods is necessary (see box 24); these may include self assessment, peer assessment, assessment by trained assessors from within the school (for example school or subject heads, or master teachers) and from specialist inspectorates from outside the school concerned; they should be clearly set out and widely known.

Box 24
Need for high quality, independent, multi sourced evidence in evaluating teachers' performance

An international review of performance related evaluations prepared for policy makers in **Australia** concluded that, in order to be valid and reliable in assessing individual teachers for "high stake decisions" regarding rewards and career, schemes need "multiple, independent sources of evidence and multiple, independent trained assessors of the evidence". Schemes should include evidence about the context of the teaching environment and be based on demonstrated improvements of teachers' knowledge, skills and expertise.

Source: Ingvarson et al., 2007.

64. Where individual performance related pay is applied, care should be taken to separate ongoing developmental or formative appraisals, for example with a mentor, from summative appraisals used to assess eligibility for merit reward. Appeals procedures should also be in place to review cases of teachers who feel that that they were unfairly assessed and denied merit awards (see 3.2).

5.4.3. Whole school assessments and award systems

65. School wide bonus schemes involve variable payments to individual employees if performance targets are met by the whole work team, and are based on the assumption that responsibility for performance and achievement lies with all the school workforce (teachers, administrators, librarians, maintenance staff etc.). School employees depend heavily on teamwork to achieve learning objectives, and teachers benefit both professionally and personally from solidarity and formal and informal support from colleagues. It is in the interest of teachers, other school employees and students for a cooperative, supportive culture to prevail, rather than a competitive one, which may be divisive and discourage team work and cooperation between colleagues. If student output based performance related reward schemes are to be used, there is some evidence of the desirability of basing them on the performance of whole schools, rather than individual teachers, and that school based performance awards lead to improved student outcomes. Whole school or team based awards are also more appropriate for measures of performance related to student welfare, engagement and satisfaction (Ingvarson et al., 2007). Chile provides an example of a limited whole school award system (box 25).

Box 25
Whole school performance awards in Chile

In addition to individual performance awards, teachers in Chile may also be rewarded collectively when they work in schools which are identified as performing at high levels by the National Performance Evaluation System of Subsidized Schools (SNED). This programme, which was established in 1995, is based on the amount of improvement in school performance on a variety of indicators, including student achievement on standardized tests, and assesses schools against other schools with similar student characteristics such as socio economic background. Every two years, the SNED awards a monetary bonus to all teachers who work in the top performing schools within each group. This reward in the past has benefitted up to one third of the workforce on an annual basis, with bonuses averaging about 4 per cent of the average annual teacher salary.

Source: OECD, 2005.

66. Although whole school award schemes entail fewer measurement problems than individual evaluation schemes, they do not eliminate them, and the same perverse incentives for teaching to testing and "gaming" the system exist (see 5.4.1). Furthermore, such reward systems may cause high performing teachers to leave low performing schools, where they are most needed; and may encourage "free riding" by teachers who benefit from the hard work of colleagues (Harris, 2007). An examination of a whole school reward system to improve student results in the New York City (USA) system found very mixed results, with only small school and already collaborative teaching staff showing positive results (Goodman and Turner, 2010).

5.4.4. Non-salary performance awards – Professional development, leaves, etc.

67. In addition to performance related pay schemes, teacher performance may be recognized with non salary rewards. If administered equitably, transparently and credibly, these can foster motivation and morale, through the recognition and public acknowledgement of teachers' professional achievement. Skilful and effective appraisals can allow the identification of appropriate awards for teachers' work, which fit their aspirations and CPD needs: these might include career advancement, CPD opportunities, access to study leave or training courses, changes in responsibility, roles in school development initiatives, or public recognition from school managers and colleagues. An important issue is whether teacher appraisal and feedback should be seen uniquely as rewarding performance or whether it can assume a developmental role (OECD, 2009) (see also 5.4.2).

5.4.5. Impact of merit/performance pay schemes on recruitment, professional responsibilities, staff job satisfaction and learning outcomes

68. Performance related pay schemes based on individual teacher performance (often known as merit schemes) were popular in the USA in the mid 1970s and 1980s until found to be unsuccessful and abandoned: research demonstrated that they did not have a positive impact on either teacher or student performance but did impact negatively on teacher collaboration and morale (Durbridge, 2007; Ingvarson et al., 2007) (see also 5.4.1). Incentives do not of themselves improve what teachers know or can do, or make them more effective teachers. More effective teaching is "more likely to result from long term, high quality professional learning, promoted by knowledge and skills based approaches to performance related pay"(Ingvarson et al., 2007). Recent research suggests that where pay for performance schemes have been successful in the USA and in Australia, these have:

(i) been implemented with the support of teachers, and other stakeholders;

(ii) rewarded group performance, rather than that of individual teachers;

(iii) used knowledge and skill based or "evidence of professional development" based reward systems, which encourage teachers to engage in professional learning, rewarding teachers who have "satisfied the requirements of an evaluation perceived to be fair, valid, rigorous and consistent" (Ingvarson et al., 2007).

69. Research conducted in industrialized countries where teachers receive rewards which afford them a decent standard of living, demonstrates that salary is less important in attracting, motivating and retaining teachers than the intrinsic rewards of teaching, altruistic motivations and teachers' individual professional efficacy and opportunities for professional development (Dinham and Scott, 1998; OECD, 2005). Salary does play a role in societal perceptions about teaching and teacher status (Durbridge, 2007). In many developing countries where teachers' salaries are too low to allow a decent living standard, the situation is more complex: although teachers are similarly attracted and motivated by intrinsic and altruistic motivations, low salary levels do impact negatively on teacher recruitment, retention and motivation (Iliukhina and Ratteree, 2009; ILO and UNESCO, 2010; VSO, 2008) (see also 1.1 and 1.13). The focus of salary policies in developing countries should thus be on paying teachers decent salaries to enable them to carry out their vital social role, rather than rushing down the route of performance pay.

70. Teachers' motivations are complex and go far beyond salary: teachers value opportunities to develop professionally; recognition of their work and commitment; and the quality of their relations with colleagues, students and parents. Salary policies need to take account of this deeper understanding of what motivates good teaching (Eurydice, 2004: 40; Durbridge, 2007: 58).

Box 26
Pause for reflection: Performance related rewards

1. Are teachers' salaries currently related to performance in your country/education authority? Have they been in the past? If so, what are/were the criteria and the measurements used?
2. In your opinion, have such schemes been of benefit in enhancing teacher attraction, retention and motivation in your country and/or elsewhere?
3. In your opinion, are such schemes perceived as a) fair and b) effective by teachers and other stakeholders in your country and/or elsewhere?
4. What are/would be the advantages of performance related reward schemes in your country? What are/would be the risks? How could the risks be overcome or minimized?
5. What would be the most appropriate and effective way of rewarding teacher work and commitment and improving teacher motivation in your country?

5.5. Teachers in rural, remote and disadvantaged urban areas

71. The challenges of recruiting and retaining teachers in rural, remote and disadvantaged areas are treated at some length in modules 1 and 2. Policies to attract and retain teachers in these areas need to be coherent, compatible and integrated with other education system policies, including rewards policies. Where material and non material incentives are used, to be effective these need to be integrated with one another and with other HRM and CPD policies to form a coherent strategy.

5.5.1. Material incentives/bonuses for rural and disadvantaged areas

72. The ILO/UNESCO Recommendation calls for special provisions for teachers in rural and remote areas, including hardship allowances, which should be taken into account for pension purposes, (1966: paragraph 113); housing provision or subsidies (1966: paragraph 112); and removal and travel expenses (1966: paragraph 111). Research in Mozambique has shown that inadequate housing and transport contributed substantially to the difficulties experienced by teachers deployed in remote areas and to problems of teacher retention and motivation in those areas (VSO, 2008). The provision of good quality housing with running water and electricity has been found to be a cost effective way of attracting and retaining teachers at hard to staff rural schools (UNESCO FMA GMR, 2007). Even if not always sufficient as the only means to reaching this objective, safe housing provision is particularly important to encourage female teachers to locate in rural areas (Mulkeen and Chen, 2008).

73. Provision for accelerated leave and for priority or enhanced medical care also constitute significant incentives in certain contexts, since the distance from family and from facilities such as health structures are amongst the factors which make remote deployments unattractive to many teachers (VSO, 2008).

74. Where salary incentives are provided, countries/education authorities may consider different incentive levels, and designs – such as increasing the incentive for every year the individual stays in the remote school. Incentives need to be substantial enough to be attractive in the first place, particularly for qualified teachers and in relation to other income generating opportunities in urban areas, such as the opportunity to teach double shifts, undertake extra coaching or teach in private schools. The hardship allowance in Lesotho is estimated to be the equivalent of 31 per cent of an unqualified teacher's entry salary, but it barely represents 6 per cent of a qualified teacher's salary and therefore in relation to other costs and the deferred benefits of an urban posting, is not considered attractive enough. A larger hardship allowance in relation to base pay – in Uganda and Zambia, it represents 15 per cent and 20 per cent of salary respectively – may still not be considered attractive (UNESCO BREDA Pole de Dakar. 2009; Mulkeen and Chen, 2008).Where substantial in relation to net salary, clearly defined and targeted, material incentives have been reported to have considerable effect in attracting teachers to rural and remote areas. The Gambia has tested a progressive financial incentive system, based on distance from the main road as the main indicator, with the bonus higher in relation to the remoteness of the school, varying from 30 to 40 per cent of basic salary. Initial results when introduced suggested an increase in demands from qualified teachers to work in the remotest areas, and a survey of teacher trainees showed that one quarter of them would be ready to accept a posting in areas offering a hardship allowance and 95 per cent of them would accept such an assignment if offered upon completion of their initial training (World Bank, cited in UNESCO BREDA Pole de Dakar, 2009: 152).

75. Another effective incentive in countries with higher charges for post secondary training, is to offer scholarships for individuals to enter teacher training in exchange for a commitment to work for a fixed number of years, for example three and a half, in rural or isolated schools. These programmes work much better if the post secondary training costs are covered by the state rather than provided as a loan forgiveness programme.

76. Although acknowledged as an additional barrier to individuals accepting posts and performing effectively in remote and rural areas, few countries or education authorities offer transport facilities, subsidies or allowances to address these issues. The challenges posed by transport constraints, and suggestions from teachers and stakeholders to resolve them are set out in box 27.

Box 27
Transport in rural areas of Mozambique: Issues raised by teachers and other stakeholders

Access to transport is a major concern for many teachers, particularly in rural areas. Not having access to transport exacerbates the problems of remote rural postings. Many teachers live a certain distance from their schools and have to get to work any way they can, whether by collective minibus taxi or by hitching a lift with a passing vehicle. Even if they live in or near the remote school, the lack of transport prevents teachers from going into town. In remote country areas, poor roads and limited public transport make the distances seem even greater. Living in remote areas without transport means teachers and their families often do not have easy access to medical care. Lack of transport compounds the difficulty of dealing with administrative procedures and is also an impediment to rural teachers continuing with their education at night school.

Solutions suggested by teachers and other stakeholders

- Provide transport for teachers, either by laying on busses and collective minibus taxis, or by enabling teachers to buy their own vehicles or motorbikes.
- Give teachers access to credit so they can invest in motorbikes or bicycles.
- Encourage teachers to club together to buy motorbikes, which are either shared or are bought for each member of the syndicate in turn.

Source: VSO, 2008.

5.5.2. Non-material incentives for rural and disadvantaged areas

77. In addition to the material incentives discussed in 5.5.1, non material incentives may promote attraction and retention of teachers in rural and disadvantaged areas. These include offering enhanced opportunities for continuing professional development or study leave, in exchange for a commitment to work in a rural or remote school for a specified period (see 2.6.2); enhanced opportunities for promotion (box 28); opportunities for networking with teachers from other remote schools and personal leave considerations (see 2.6.1).

Box 28
Incentives for rural teachers: What works – Best practices from the Global Monitoring Report 2007

Strategies which have been shown to be effective in filling posts in rural and remote areas include more attractive career structures for primary school teachers, with regular promotions based on clearly specified and transparent performance related criteria. Teachers who work at hard to staff rural schools can, for example, be given accelerated promotion and/or preferential access to professional development opportunities.

Source: UNESCO, EFA GMR , 2007.

78. One way of realizing the resources to fund these and other incentives is to rethink school funding so as to free up resources to provide incentives in rural and isolated schools. Many countries resource schools through staffing formulas which allocate a similar number of teachers to schools of similar size. The country then pays the actual teacher salary. But because many rural schools have less experienced or qualified teachers, the cost per pupil supporting this staffing approach ends up providing more funding per pupil to urban schools and less to rural schools. If the education system moved to fund schools on a per pupil basis and charged each school the "actual" teacher's salary, rather than an average teacher salary across the system, then rural schools with less experienced teachers would have additional funds that could be used for both ongoing professional development programmes and networking activities or other material or non material incentives to attract teachers to work in rural schools.

Box 29
Pause for reflection: Incentives for rural and disadvantaged areas

1. Does your country/education authority experience difficulties in attracting and/or retaining teachers in remote, rural or disadvantaged regions or schools? If so, what are the main factors behind these difficulties?
2. If so, what policies have been introduced to try and improve this situation? Have they been effective? In your opinion, why is this? How could they be improved?
3. How else could teachers be motivated to teach and stay in such schools?
4. Do you know of policies in other countries or sectors which could benefit your own?

5.6. Salary management

79. Especially in some developing countries, inefficient salary management can sap precious education funds through the process of paying "ghost" teachers or staff where education records are not up to date or are deliberately manipulated as part of corrupt management practices. Poor salary administration in the form of non or late payment, particularly in emergency situations and fragile states, or overly centralized payment procedures such as requirements for teachers/staff to collect salaries from district offices in rural areas where transport is poor also provoke discontent, low morale and are frequent cause for teacher absenteeism (ILO and UNESCO, 2010: 15, 26; UNESCO EFA GMR, 2008). A trip from a rural or remote area school to a payment centre may take two to three days in some areas where teachers have no reliable means of transport; their absence often means the cancellation of classes where replacement teachers are non-existent (Mulkeen and Chen, 2008).

80. More efficient salary administration can be obtained through a workable and up to date EMIS/TMIS (see 1.1.2) (or periodic audits or site visits) that regularly cleans payrolls of staff who have left service and maintains safeguards against corrupt practices associated with "ghost" teachers/staff particularly at local and school levels.

81. Efficiency in salary administration can be crucial to efficiency gains in teaching instruction time, increased morale and commitment. Where possible, alternative forms of payment through bank accounts in rural areas or, as in Kenya, registering teacher salaries through mobile phones, a practice under consideration in other countries with limited banking systems but extensive mobile phone coverage and interest to collaborate by phone operators (UNESCO, 2010; UNESCO BREDA Pole de Dakar, 2009). Innovations of this type need to be established taking account of the difficulties of logistics and transport in rural and remote areas.

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Module 6: Social security

6. Introduction

1. Social security is of critical importance in the recruitment and retention of qualified teachers. It is a key part of the support system that helps them to perform at their best, and thus to create environments where a country's next generation can learn to learn with curiosity and enthusiasm. In addition, social security systems that are designed to allow for job mobility help to ensure the best match between teacher skills and the educational needs of school systems and communities. Yet too often social security issues are missing from policy discussions aimed at improving education; they are instead relegated to the realm of institutional budgets and collective bargaining. This module seeks to bring the social security coverage extended to teachers closer to the centre of education policy discussions, by highlighting the conditions necessary to attract bright and talented individuals to the profession and enable them to give their best to their students.

2. The ILO/UNESCO Recommendation makes an important contribution toward ensuring comprehensive social security for teachers, by calling for a uniform benefit package for all members of the teaching profession, whether they work in the public or private sector, and including teachers on training, probation, and long-term leave. The Recommendation (1966: paragraphs 125–126 and 139, Appendix I) stipulates that:

- teachers should receive protection in the event of all nine contingencies laid out in the Social Security (Minimum Standards) Convention, 1952 (No. 102): old age, disability, death of a family breadwinner, employment injury and disease, unemployment, sickness and maternity, as well as provision of family benefits and medical care;

- the same or similar protection should be extended to all teachers and teacher trainees in the country; and

- benefits should, as far as possible, be assured through a general scheme applicable to employed persons in the public sector or private sector, as appropriate.

3. If applied widely, this standard would do much to raise the status of teaching as a profession, eliminate regional teaching shortages driven by inadequate working conditions, and address differences in the quality of instruction between public and private schools.

4. The realization of the ILO/UNESCO Recommendation's provisions, however, remains a challenge in most countries. Since social security for teachers is often financed in whole or in part by general taxation, a key part of this challenge involves building public support for comprehensive social security coverage for teachers, coverage that may exceed that available to other groups. Another challenge is to establish horizontal equity for teachers in the private and public sectors, given that their work is often subject to different levels of remuneration and regulated by different laws. Similarly, it is necessary to rally political support for a uniform level of protection for teachers in parts of the country with differing levels of prosperity – i.e. the national capital versus remote rural locations. In addition, one must find ways to fulfil the three provisions above simultaneously: that is, to provide comprehensive social security coverage of teachers with limited reliance on special schemes.

5. All these issues are serious ones which merit consideration and strategic thinking by those concerned with the improving working conditions for teachers. They are intended to serve as a backdrop for this entire module, as it examines the ILO social security Conventions and the ILO/UNESCO Recommendation in more detail and presents relevant practices, issues, problems in teacher social security coverage from around the world.

6. The module has three parts. Section 6.1 focuses on international social security standards and the main principles that they embody. Section 6.2 reviews particular branches of social security in relation to teachers' situations and needs, including medical and sickness benefits; employment injury and invalidity; and retirement and survivors' protection. Section 6.3 focuses on three issues of scheme design and operation that are of special importance for teachers: their inclusion in general versus teacher specific schemes; the design of supplemental pension schemes for maximum mobility, security, and efficiency; and the role that teachers can play in the governance of social security.

6.1. International social security instruments

6.1.1. ILO Convention No. 102

7. The Social Security (Minimum Standards) Convention, 1952 (No. 102), hereafter C.102, is the most widely ratified ILO social security Convention and the only worldwide benchmark for social security benefit adequacy. Adopted in the period following the Second World War (1952), it consolidates earlier ILO social security Conventions into a unified whole, defining nine branches of protection (see table 1).

Table 1. Nine branches of social security

Short-term contingencies	Long-term contingencies
Sickness	Old age
Unemployment	Disability
Maternity	Loss of breadwinner (survivors)
	Extra costs of childrearing (family benefits)
Medical care Employment injury	

8. ILO member States may comply with this minimum standard for just three out of the nine branches; at least one of these must be old age, unemployment, employment injury, invalidity, or survivors' benefits (ILO/ITC: 20). The thresholds for cash benefit adequacy in C.102 are as follows (see table 2).

Table 2. Minimum standards for cash benefits provided by Convention No. 102

	Percentage of insured's lost wages to be replaced
Sickness	45
Unemployment	45
Old age	40
Employment injury/disease:	
Short-term	50
Disability	50
Survivors	40
Maternity	45
Disability	40
Survivorship	40

9. In consolidating earlier Conventions, C.102 eliminates many specific requirements as to scheme design and administration, replacing them with general objectives. It deliberately allows these general objectives to be achieved through a variety of methods. The most important of the objectives set out in C.102 are as follows (ILO/ITC: 20).

- **Periodical payments:** Any social security benefit made in payment should be a periodical payment provided "throughout the contingency". This ensures that individuals will not exhaust their social security benefits while still unable to work.
- **A benefit promise:** Benefits should replace income to a specified extent. Individual savings schemes (so-called defined contribution schemes) lack this certainty.
- **Collective financing:** The costs of benefits and administration should be borne collectively by way of insurance contributions or taxation. The contributions paid by employees should not exceed 50 per cent of the costs of the scheme.
- **State responsibility:** The State should assume at least general responsibility for the due provision of benefits and proper administration of institutions.
- **Inclusive governance:** Representatives of persons protected by the scheme should participate in the management of the scheme or at least be associated with it in a consultative capacity.
- **Equality of treatment:** Migrant workers should receive the same social security as nationals.

In terms of benefits, exceptions apply to medical care and sickness, which may be limited to 26 weeks on any one occasion. Sickness may be withheld for a three-day waiting period. Unemployment may be limited to 13 or 26 weeks in any 12 months, depending on how the scheme is structured (to cover employees or residents), and a seven-day waiting period imposed. Maternity may be limited to 12 weeks. A three day waiting period may be imposed on employment injury benefits, and invalidity benefit may be superseded by old-age benefit.

10. Several social security Conventions adopted subsequent to C.102 provide higher standards for minimum benefit levels and more liberal eligibility rules. These will be discussed in the context of specific branches of social security below. Box 1 suggests a checklist to guide policy review and implementation.

Box 1
Checklist on ratification of Convention No. 102

1. Has your government ratified C.102?
2. If so, has it opted to meet its requirements for the minimum number of three contingencies, or has it applied the convention more broadly?
3. Were any important issues or problems encountered with respect to ratification?
4. Was ratification of C.102 important for the social security afforded to teachers in your country and, if so, how?
5. Did the national teachers' union comment on the government's latest report on C.102 to the ILO, or provide inputs for that report?

6.1.2. The ILO/UNESCO Recommendation

11. The ILO/UNESCO Recommendation calls for social security benefits for teachers to be at least as favourable as those laid out in ILO standards, in particular in Convention No. 102. However, it calls for teachers to be protected in the event of all nine of the C.102 contingencies, rather than the minimum standard of three contingencies set in the Convention. All teachers, including those working in the public and private sectors (see box 2) and those who are in training or on probation, should enjoy the same or similar social security protection. Recognizing that teachers face special professional circumstances, the ILO/UNESCO Recommendation calls for social security to take account of these with specially designed benefits.

Box 2
Comparable pensions for public and private school teachers

Japan is noteworthy in having achieved the ILO/UNESCO Recommendation's guideline for comparable pension benefits for public and private school teachers. In 1951, private school teachers lobbied successfully to receive the same benefit package as public school teachers, though the two groups of teachers continue to be members of different schemes.* The benefit package includes a flat rate benefit based on years of service (with the maximum benefit paid to those who work 40 years), an earnings related pension and voluntary third-tier individual savings. As a result of this equalization of teacher pensions, private school teachers receive higher pensions than some other groups of private sector employees. The financing of these pensions is made possible by Japan's substantial government subsidies for private schools.

* Public school teachers are covered by the Mutual Association for Central Government Officials or the Mutual Association for Local Government Officials, while private school teachers are covered by the Mutual Association for Private School Teachers.

Sources: Government of Japan: 1985; Yoshida: 1974.

12. The UNESCO Recommendation concerning the Status of Higher-Education Teaching Personnel (1977: paragraphs 64, 72(c), Appendix II) recommends the following points to guide policy and implementation of pension rights earned by higher-education teaching personnel:

(a) pension rights be transferable nationally and internationally, subject to national, bilateral and multilateral taxation laws and agreements, should the individual transfer to employment with another institution of higher education;

(b) organizations representing higher-education teaching personnel should have the right to choose representatives to take part in the governance and administration of pension plans designed for higher-education teaching personnel where applicable, particularly those which are private and contributory;

(c) part-time higher-education staff should be entitled to adequate and appropriate social security protection, including, where applicable, coverage under employers' pension schemes.

13. The ILO/UNESCO Recommendation recognizes that the welfare of teachers is best secured through their inclusion in a general public or private scheme. It suggests that governments rely on special schemes for teachers only in situations where no general scheme exists. Where the level of benefits provided by a special scheme is below that provided in the ILO/UNESCO Recommendation, teachers should receive a supplemental benefit (1966: paragraph 139).

14. The ILO/UNESCO Recommendation (1966: paragraph 140) also suggests that, "consideration should be given to the possibility of …" associating representatives of teacher organizations with the administration of special and supplemental schemes, including the investment of their funds (for examples, see section 6.3.3).

15. For a rough estimate of the cost of financing the ILO/UNESCO Recommendation's provisions on social security, see box 3.

Box 3
The cost of financing the ILO/UNESCO Recommendation's benefits package for teachers

The rate of contribution needed to finance social security is determined by the demographic structure of a country, the extent of coverage of the population and the financing method (pay-as-you-go, partial prefunding, or full prefunding).

For purposes of simplification, assume that a pay-as-you go social security scheme is in a steady State with no demographic changes on the horizon, that the entire working population is covered by the scheme, and that there is full compliance with the contribution requirement. Assume further that all workers contribute to social security for 40 years and receive pension benefits for 20 years.

Under this simple scenario, the contribution rates needed to meet the ILO/UNESCO Recommendation's provisions are approximately:

- pension (old age, disability, survivors) – **20 per cent** (10 per cent for employers, 10 per cent for worker);
- medical care – **8 per cent** (4 per cent for employer, 4 per cent for worker);
- sickness, including maternity and childcare benefit – **2 per cent** (1 per cent for employer, 1 per cent for worker);
- unemployment insurance – **3 per cent** (1.5 per cent for employer, 1.5 per cent for worker); and
- employment injury – **1 per cent** for employer, only.

Thus, under the highly simplified assumptions above, the total contribution rate would be approximately **34 per cent** of a worker's wage.

Source: ILO calculations, based on consultation with the ILO Social Security Department.

6.2. Branches of social security

6.2.1. Medical care and sickness benefit

16. Here the ILO/UNESCO Recommendation builds on ILO Conventions C.102, as described above, and the Medical and Sickness Benefit Convention, 1969 (C.130). C.102 (Article 10) calls for the minimum medical benefit to include:

- general practitioner care, including home visits;
- specialist care in hospitals and similar institutions for inpatients and outpatients;

- essential pharmaceutical supplies;
- maternity coverage, including prenatal, confinement and post-natal care by medical practitioners or qualified midwives; and
- hospitalization when necessary.

17. C.102 also allows for ceilings on covered earnings and benefits and permits coverage to vary with the cost of care in different regions of a country. As noted above, benefit and waiting period limitations may be set for medical care, sickness and maternity.

18. The ILO/UNESCO Recommendation (1966: paragraphs 128–129) adds to these ILO protections that:

- medical benefits for teachers working in remote areas should include travel allowances;
- sickness benefits should:
  - be paid throughout incapacity for work, without time limits;
  - begin the first day of earnings suspension, with no waiting period; and
  - be extended in cases where teachers need to be isolated from students.

19. Adequate sickness benefits are of special importance to teachers for several reasons. First, teachers of young children are exposed to childhood illnesses and, as a result, tend to have higher rates of sickness leave than other public workers. In addition, many teachers are young mothers, and some are young fathers, who must stay home occasionally to care for their own sick children. A third factor is job-related stress (box 4), due to heavy workloads and the constant interaction that is part and parcel of teaching.

Box 4
The stress factor in teaching

A British Broadcasting Corporation (BBC) report has suggested that stress was responsible for one third of teacher sickness days in the United Kingdom (2004). The Ministry of Education and Culture in Japan reported in one survey that a full 61 per cent of teacher sick days were related to stress (2007). In a Michigan (United States) survey, many teachers reported taking occasional sick days as a way of getting respite from the heavy stresses of the job (2008).

Sources: BBC, 2004; Jackson City Patriot, 2008; The Japan Times on Line, 2007.

20. Box 5 offers a checklist as a guide to reviewing and where necessary adjusting benefits coverage for teachers.

Box 5
Checklist of benefits coverage

1. What does your teacher employer authority offer in the way of benefits for teachers?
2. Do these meet the minimum medical benefits set out in ILO Convention No. 102? Do ceilings on covered earnings and benefits apply, and does coverage vary with the cost of care in different regions of your country?
3. Do extra or targeted medical and sickness benefits apply that take account of the special needs facing teachers, especially in rural and remote parts of the country?
4. If the recommended benefits are not applied, what are the chief obstacles to making them available?
5. What policy changes, financing or administrative, would be needed to realize the recommended coverage for all teachers?

21. Medical benefits are of special importance to teachers in countries with high rates of HIV and AIDS (see also 4.5). The need is particularly acute in sub-Saharan Africa, where teacher illness, related absenteeism and projected mortality are so high as to undermine continuing operation of school systems and the quality of learning. Like other workers, teachers need testing, access to treatment and care. The medical benefit package must include sustained antiretroviral treatment, and it must also be made accessible. In rural areas, this can be done through mobile units providing voluntary treatment and testing near schools, as well as through provision of transport or travel allowances and time off to enable rural teachers to make regular visits to medical clinics (box 6).

Box 6
HIV/AIDS prevention, care and treatment for South African educators

Four South African teachers' unions – South African Democratic Teachers Union (SADTU), National Association of Professional Teachers' Organisation of South Africa (NAPTOSA), National Teachers Union (NATU), and South African Teachers Union (Suid Afrikaanse Onderwysers Unie – SAOU) – have established an innovative programme combining peer education, HIV testing and counselling, and antiretroviral treatment for teachers. In operation since 2005, the programme is providing ARV treatment to teachers and their spouses in the East Cape area, Kwa-Zulu Natal and Mpumalanga Provinces. It also helps teachers find testing and treatment, for which the government grants time off from teaching responsibilities. Peer educators have been trained by master trainers to hold workshops for their colleagues in their own schools. Teachers send monthly reports by cell phone text messages to report on their efforts.

Source: McElligott, 2005.

6.2.2. Employment injury and invalidity benefits

22. The ILO has developed many Conventions in the field of employment injury, some of which date back to its establishment. [1] In recent decades, a gradual process of revision has resulted in their consolidation, with narrower requirements being replaced by broader ones. As a result, the later conventions embody a set of general principles:

- employment injury benefits must be financed solely by employers, in contrast with other forms of social security (e.g. sick pay, maternity benefits, pensions) for which governments may require employees to match employer contributions;

[1] The main Conventions are Nos 17, 18, 19, 102, and 121. For their relevance to teachers' social security and guidance in defining national schemes, see the website of the ILO Social Security Department: http://www.ilo.org/public/english/protection/secsoc/index.htm.

- compensation must be paid in the form of a periodic payment that lasts through the contingency, as opposed to a lump-sum benefit – exceptions are granted for minor injuries and specific cases where the administering agency is satisfied that a lump sum will be used appropriately;

- employers must provide workers not only with cash payments but with needed services, including follow-up care at the workplace, rehabilitation and attendant care allowances for disabled workers – C.121 adds prevention to employers' responsibilities;

- cash compensation must meet minimum adequacy levels, set at 60 per cent of reference wages for temporary loss of work capacity, 60 per cent for total loss and 50 per cent for loss of a family breadwinner – these are the highest minimum standards, set in C.121. C.102 calls for 50 per cent and 40 per cent, respectively.

- migrant workers must be given the same employment injury protection as nationals, to be achieved by reciprocal agreements among governments.

23. The ILO/UNESCO Recommendation (1966: paragraphs 130–131, 135) adds to these requirements that:

- employment injury coverage should apply not only to teaching but also to after-school activities, including activities away from the school grounds;

- infectious diseases that are prevalent among students should be regarded as occupational diseases for teachers; and

- disability benefits should be payable to teachers who, due to a physical or mental impairment, are only able to teach part time.

24. A number of professional risks to teachers should be recognized by occupational injury and disease schemes. These include the need for teachers to lead and participate in physical education programmes; increased emphasis on experimentation in laboratory science classes and the associated need to store and handle hazardous substances; and wide-ranging field visits and trips. In addition, school violence has escalated in many countries, posing threats to teachers as well as students.

6.2.3. Retirement and survivors' benefits

25. As shown previously (table 2), ILO Convention No. 102 requires that retirement and survivors' benefits replace at least 40 per cent of reference earnings. This requirement applies to pensioners who made contributions for at least 30 years. A reduced benefit should be available after 15 years.

26. The Invalidity, Old-Age and Survivors' Benefits Convention, 1967 (No. 128), provides higher standards:

- wage replacement rates of at least 45 per cent of reference wages for old-age and survivors' pensions;

- qualification for full benefits after 15 years of contributions and for reduced benefits after five years; and

- a pensionable age no higher than 65 unless the government fixes a higher age based on economic, social or demographic conditions, in which case there should be early retirement for those in heavy and hazardous work.

27. The ILO/UNESCO Recommendation (1966: paragraphs 133–134 and 138) adds to these requirements that:

- teachers who work beyond the normal retirement age, for instance to meet teacher shortages, should receive additional benefits;
- pension calculation should be based on a teacher's final earnings; and
- survivors' benefits should be set so as to maintain an adequate standard of living for families and provide for the education of surviving dependent children.

28. In developed countries, a major threat to benefit adequacy is population ageing, caused by longer life expectancy (a great benefit for workers but a burden for pension scheme finance) and lower birth rates. In coming years, ageing is expected to worsen shortages of teachers, along with workers in other economic sectors. The problem can be mitigated by increasing the age of retirement, an issue on the political agenda in many countries. However, the stressful nature of the teaching profession makes more years of work a particularly difficult proposition for teachers. There is evidence that the stresses are cumulative, leading older teachers to take more sick days (an OECD report from 2003 reported that teachers in Sweden who were age 60 at the time used three to four times more sickness benefit than teachers in the 25–35 age range) and for most teachers to retire as soon as they can (cited in European Commission, 2004: 57, 51).In OECD countries until recently, under the impact of changes provoked by the 2008 financial crisis and subsequent economic downturn, the age of teacher retirement varied between 60 and 65 years old, but in most countries, the average age of retirement was well below the age of full benefits: many teachers choose to retire early related to their lack of job satisfaction, including stress and burnout, even if only taking partial benefits. In 2001, only 6 per cent of German teachers worked to the full retirement age of 65 (OECD, 2005: 174–175, 202–203). Thus, achieving longer work in education needs to involve addressing the reasons that teachers retire early. For example, some European countries are allowing teachers to reduce classroom time as they approach retirement age, while others are increasing the financial incentives and rewards for longer work careers. Box 7 provides examples of approaches being taken.

Box 7
Encouraging longer work in Europe

In **Malta**, teachers aged over 57 with at least 30 years of experience can reduce their teaching loads to three-quarters time, while using the fourth quarter for other curriculum-related tasks.

The **Netherlands** provides flexible pension allowances after age 61 and is taking measures to reduce the financial attractiveness of early retirement.

Sweden's defined contribution pension system bases a worker's benefit amount on the projected life expectancy of his or her age cohort at retirement, thus reducing pension benefits as populations age, unless individuals opt for longer work.

Source: European Commission, 2004.

29. In Africa, national legislation may provide an adequate level of teacher pensions, but there are major issues concerning timely payment and financial sustainability. In many countries, teachers continue to be part of civil service schemes established during the colonial period and funded from general government budgets. These schemes place heavy burdens on state finance and are increasingly regarded by governments as unsustainable. Some governments are moving to make the schemes contributory and to make benefits more individualized, that is, more closely related to the actual contributions that each scheme member pays. The Government of Sierra Leone carried out such a reform in 2001, requiring teachers, civil servants, and the military to pay a 5 per cent contribution rate,

matched by 10 per cent from government. A similar change has been proposed in Kenya, where the government is seeking to eliminate the statutory pension benefit promise and base payments entirely on each worker's own contributions and investment earnings. It is proposing a contribution rate of 7.5 per cent for teachers, civil servants and the judiciary, to be combined with a 12.5 per cent government match.

30. Box 8 sets out a checklist to use in measuring how well a country meets teacher pension benchmarks.

Box 8
Which of the nine contingencies in the ILO/UNESCO Recommendation are provided to teachers in your country?

Old age	Sickness	Employment injury
Survivors	Maternity	Unemployment
Disability	Family benefits	Medical care

6.3. Current issues in scheme design and operation

6.3.1. Teacher inclusion in general schemes versus special ones

31. The ILO/UNESCO Recommendation recognizes that teachers are advantaged by belonging to a general social security scheme that covers more categories of workers, whether public or private (1966: paragraph 139(1)). This is advantageous, first, because larger social security schemes pool more risks and resources and can thus provide more comprehensive protection. In European and other OECD member countries, national social security systems generally provide a full range of long-term benefits, including retirement benefits for life with a cost-of-living increase, family insurance in the case of death of a breadwinner, and disability protection. This is not true for all sectoral or professional schemes. For example, in the state of Massachusetts (United States), a state without mandatory social security coverage for state and local government employees, widows and widowers of deceased teachers may have no survivors' benefits.

32. Second, other things being equal, larger schemes are more solid financially, due to greater resources and higher economies of scale. Thus they are better able to weather economic downturns. This advantage is very relevant in the current economic climate. For example, in the state of Georgia (United States), the metropolitan Atlanta school system opted out of social security in the 1980s and invested teacher savings in the American International Group (AIG), whose assets plummeted in the 2008–09 economic crisis, leaving teachers without retirement resources.

33. Third, teachers who are included in larger schemes are more likely to be able to change jobs while retaining the same benefit package. Thus, they face a lower risk of losing social security rights by accepting a better position (see section 6.3.2 on "Employment and Mobility" below).

34. Finally, just as portability helps teachers to avoid losses in coverage, it also avoids unexpected "windfalls" that sometimes accrue to them when they are covered by two different pension schemes with duplicative benefits. Such windfalls are positive for the individuals who receive them, but they are costly for pension finance and can create public resentment, thus undercutting political support for specialized schemes. An example from the United States illustrates such a scenario: until public resentment and the extra costs to

the social security system motivated the United States Congress to pass legislation to recoup windfall benefits from teachers and other state and local employees who obtained a social security benefit through working in a second job or having a spouse with social security coverage, dual coverage enabled these employees to receive higher benefits than workers who spend their entire career under a single system.

35. Recognizing these advantages, many governments have unified special schemes for teachers and other public employees with national schemes, at the same time providing them with a top-up occupational pension. This provides teachers with the same basic protection as other workers in the economy, plus an additional payment that can reflect professional compensation levels, local living costs, and the availability of local resources to enhance teachers' retirement security. Through such two-tier systems, retirement protection can be both standardized and individualized. This arrangement exists today in Australia, Canada, Costa Rica, Denmark, Finland, Iceland, Japan, Netherlands, Norway, Sweden, Switzerland, United States (federal workers and some teachers), and the United Kingdom (Carvalho-Pinheiro, 2004).

6.3.2. Supplemental pension coverage

36. A discussion of supplemental coverage must begin with the notions of defined benefit (DB) and defined contribution (DC) pensions. These terms represent a "great divide" in pension policy, and their relative merits are the focus of a major policy discussion.

37. **Defined benefit (DB)** schemes are the more traditional form of pension provision. They provide workers with a benefit promise, usually defined in relation to number of years of contribution to the scheme and earnings levels. In DB schemes, the sponsor assumes most of the risks associated with pension provision, such as increased longevity or stock market fluctuations.

38. **Defined contribution (DC)** schemes, by contrast, do not provide workers with any promise of future wage replacement levels. They consist simply of a tax deferred individual savings account. Most DC plans do not require the individual to purchase an annuity at retirement, nor do they offer this option. The DC savings that individuals have at retirement are determined by the value of their contributions during their working careers, plus or minus investment earnings, and minus administrative charges. In this arrangement, the worker assumes the risk associated with pension provision.

39. Recent decades have witnessed a worldwide shift toward more DC supplemental schemes. This has been driven in large part by cost considerations, but also by the notion that workers should assume greater responsibility for their own retirement. Following the lead of Chile, nine Latin American countries shifted their national pension systems from DB to DC, thus substituting privately managed individual savings accounts for social insurance. In 2008 Argentina reversed this DB component. However, teachers there are subject to a special regime that enables them to retire earlier (60 years for men, 57 for women) with fewer years of contribution (25 instead of 30 years, with at least ten years of teaching) with a replacement rate of 82 per cent. They are also subject to a higher contribution rate than other workers. In Central Europe, many governments have carved out DC schemes from the existing DB pension system and diverted a portion of workers' contributions to fund them. This has created a large and enduring "hole" in the financing of the public pension systems, creating pressures to cut public pension benefits. Italy, Latvia, Poland, and Sweden have revamped their public, pay-as-you-go systems to pay benefits based on DC principles (i.e. based on each worker's own contributions to the system), creating so-called notional defined contribution (NDC) systems. However, despite a trend of private companies in the United Kingdom and the United States to convert their supplemental

pension coverage from DB to DC, this shift has been much less marked in public supplemental schemes that cover teachers, which are still mostly of the DB type.

40. Box 9 describes DB and DC supplemental schemes for teachers in Japan, Sweden, and the United States.

41. DB and DC schemes provide different bundles of features and thus entail different mixes of advantages and disadvantages. The most important of these relate to: (a) employment mobility, (b) retirement security and (c) economic efficiency.

Box 9
Supplemental pension coverage for teachers in three countries

Japan

Tier one: National Pension Fund, flat rate basic benefit.

Tier two: **Defined benefit.** Public school teachers participate in local mutual aid associations (MAAs) that provide Defined Benefit supplemental coverage. Private school teachers may participate in MAAs, or in the Employees' Pension Fund, like private sector employees generally. Either way, the supplemental benefit is DB. The second tier benefit package for public and private teachers is identical.

Tier three: **Defined contribution.** Since 2001, Japan has given all workers the option of additional voluntary savings in defined contribution plans and personal retirement accounts (PRAs).

Sweden

Tier one: National DC pension with two parts, pay-as-you-go and capitalized savings.

Tier two: **Defined contribution.** Collective agreements provide supplemental DC pensions to over 90 per cent of Swedish teachers. The second largest of Sweden's four occupational funds, KAP-KL, covers education and other public services. Teachers, like other workers, contribute 3.5 per cent of covered earnings.

Tier three: **Defined contribution.** Swedish teachers may save extra amounts for retirement in individual savings (DC) plans, managed by insurance companies. More than half the workforce participates.

United States

Tier one: Above half of public school teachers participate in social security and the other half in their own pension plans. Private school teachers are all covered by social security.

Tier two: **Defined benefit.** 75 per cent of public school teachers are covered by professional pension plans, of which 86 per cent are traditional Defined Benefit plans, and 14 per cent are individual savings schemes (Defined Contribution).

Tier three: **Defined contribution.** Almost all public school teachers have access to tax free individual savings schemes, but participation rates are low, in the range of 6 per cent. This is due in part to the fact that teachers make a large contribution to their own second tier professional pensions, in the range of 5–10 per cent of earnings.

Sources: Japan: Government of Japan, 1971; Sweden: Stavberg, 2009; United States, NEA, 2008.

Recruitment and mobility

42. Recent evidence from the United States indicates that DB pension plans help to recruit high quality teachers, and to retain highly productive teachers longer, as compared with DC accounts. Because the cost of teacher turnover is substantial, the retention effects of DB pension plans also save local school authorities time and funds to fill vacancies (Boivie, 2011: 1, 14).

43. Benefits of such plans extend to the mobility of teachers within countries, particularly large federal States and others seeking to recruit teachers to hard to attract areas and to meet subject shortages. The importance of full pension portability for teachers is recognized in the ILO/UNESCO Recommendation, which holds that (1966: paragraph 132);

> Pension credits earned by a teacher under any education authority within a country should be portable, should the teacher transfer to employment under any other authority within the country.

44. In processes of regional integration, the issue will assume even more importance. Within European universities there have been calls for improving teacher mobility as a goal in the Bologna Process to improve coherence among university systems and wider career opportunities for teachers and researchers, including by the removal of obstacles to mobility such as pension rights (EUA, 2008: 1–2).

45. Defined contribution (DC) pensions respond to these calls, providing full pension portability for teachers who move from one school system to another, or internationally. This advantage derives from the simplicity of DC schemes, which offer no future benefit promise, only a cash balance in a tax deferred pension savings account. When a worker changes jobs, this balance is easy to move or, in the alternative, to keep it where it is without posing any difficulty.

46. In DB schemes, portability is much more difficult to achieve. These schemes typically have minimum vesting periods before which a teacher's contributions will simply be lost if they leave a post for another job. And even if a teacher is vested, the eligibility rules and benefits of the current and future pension systems may differ, posing a risk of loss of protection. An important means for improving portability in this situation is to allow a teacher to withdraw pension contributions when leaving a school district and to purchase service credits in the new pension system. A recent survey by the National Education Association (US) showed that more than 90 per cent of American state and local pension plans offer this option (NEA, 2008: figure 8).

47. However, purchase of service credits has shortcomings. Teachers may be able to withdraw only their own contributions, losing the employer matching contribution. The pension that they can buy in the new scheme may thus be much less adequate that the one they had to forego.

48. In the United States, state and local government pension schemes have made efforts to improve portability by shortening vesting periods, and some states are allowing for partial vesting. In addition, some states have allowed service credits to be purchased with instalment payments or pre-tax purchases. A few states have authorized their retirement systems to transfer a participant's credits directly to other retirement systems.

49. Some research has suggested ways to improve pension mobility between major regions such as Europe and North America that, although identified with private enterprises could also be applied to teachers. These include reducing vesting periods, encouraging development of industry-based multi-employer plans, and reducing the amount of benefit accrual (back loading) that job changers would have to forego. Just as these proposals would benefit workers, they would also raise the costs of pension provision (Turner, 2003: 17).

Security

50. As shown, DC pensions are portable precisely because they are simple savings accounts, lacking any benefit promise for workers or any mechanisms by which employers share the risks of pension provision. While portability is a major advantage of DC pensions, they need to be evaluated in relation to this major shortcoming.

Efficiency

51. Given the high costs of pension provision, it is critically important to obtain the largest benefit for invested funds. DB pensions have strong advantages in this regard: (a) superior management of longevity risk; (b) ability to maintain a balanced investment portfolio throughout the life of a worker; and (c) superior investment returns. These advantages are illustrated in the following simulation (box 10).

Box 10
Efficiency of DB versus DC pensions

Assume that a group of 1,000 female teachers are all hired by a school system at age 30. They all work for three years and then take a two-year break for maternity leave and childcare. They return to work at age 35 and work until age 62, for a total career of 30 years. At retirement, all their salaries have reached US$50,000.

To give them a pension replacement rate of approximately 80 per cent of pre-retirement income, a target occupational pension benefit is set at $26,684, or $2,224 per month, to supplement their United States social security. A cost of living adjustment is provided that will maintain the value of this benefit during the teachers' lifetimes. The model defines certain parameters for life expectancy and investment returns. Then on the basis of all the inputs, it computes the contribution rate required to deliver the target benefit under a DB plan and DC plan.

Required contribution rate:

Plan DB	Plan DC
12.5 per cent	22.9 per cent

The simulation showed that the DB plan can provide *the same level of pension protection* at a cost that is 46 per cent lower than the DC plan. What are the sources of this huge cost difference?

- 15 per cent due to *longevity risk pooling*;
- 5 per cent due to *maintenance of portfolio diversification* throughout a scheme members' lifetime;
- 26 per cent due to *higher investment returns*, achieved through lower management fees and professional expertise in investment.

Source: Almedia and Fornia, 2008.

52. Among the advantages are:

(a) *Management of longevity risk.* Because DC plans rarely offer annuities, individuals who rely on them must draw down their savings in increments over time. To minimize the risk that they will exhaust their savings before their death, they must plan to live longer than the average life expectancy for their age cohort. In the model described above, an individual who chooses the 90th percentile life expectancy in his/her age cohort would reduce this longevity risk considerably. However, if it turns out that the person has an average life expectancy, he/she will leave a portion of DC savings unused at death (in the model, about 24 per cent was left unspent for an average life expectancy). DB plans avoid this inefficiency by pooling the longevity risks of large numbers of individuals. In this way, they provide each individual with a pension that is guaranteed for his or her full lifetime, no more, no less.

(b) *Maintenance of a balanced portfolio.* Individuals with DC accounts will need to shift their savings to conservative investments as they near retirement age, so as to avoid market fluctuations that that may reduce their retirement resources just at the time when they need to make use of them. This shift provides financial stability but at the cost of lower investment earnings. DB plans, by contrast, pool the resources of young, middle-aged and older workers, so the plans do not "age" like the holders of DC

accounts. Thus, they are able to take advantage of enhanced investment returns from a balanced portfolio throughout an individual member's lifetime.

(c) *Superior investment returns.* The higher returns achieved in DB plans result in part from economies of scale inherent in funds with large numbers of members, and in part from professional management of assets as compared to investment decisions by individual account holders.

53. The higher costs of providing similar protection under a DC scheme are often overlooked in pension policy discussions, which tend to focus on the simplicity of DC as its key advantage. However, as more private and public entities switch from DB to DC, the inefficiencies and resulting higher costs of DC are coming increasingly to light. To date, this re-examination has occurred largely in the United States, but its experience is of high relevance for teachers covered by DB schemes in other parts of the world (see box 11).

Box 11
West Virginia (United States) Teachers' retirement system

In 1991, the State of West Virginia teachers' retirement system, a defined benefit (DB) plan, was frozen, and all newly hired teachers were put into a new plan, the teachers defined contribution (DC) retirement system. This was due to large unfunded liabilities in the DB plan, which resulted from the failure of the state and many county school boards to make required contributions for many years.

West Virginia continued placing new teachers in the DC plan until 2004, after which the state's Consolidated Public Retirement Board began to recognize that many teachers had accumulated few assets for retirement. The average Defined Contribution account was just over $41,000. If converted to an annuity, this would provide a monthly income of only about $600 starting at age 65. According to the teachers and school personnel, the most common reason for the "pitifully small" account balances, was their unfamiliarity with investing.

The state Government became concerned that teachers with inadequate retirement income would require some form of government assistance – either in the form of a supplemental retirement benefit or public assistance. Effective 30 June 2005, it decided that all newly hired teachers would be enrolled in the traditional DB pension plan, which had historically proven to offer greater and more secure retirement income.

Source: Boivie and Almeida, 2008: 4.

6.3.3. Governance of social security schemes

54. It is important that teachers be involved in the governance of the social security schemes that protect them, whether these are public schemes, schemes for larger groups of state employees, or special schemes for teachers. This role is envisioned in ILO Convention No. 102, which calls for "… representatives of protected persons to participate in the management of the scheme, or at least be associated with it in a consultative capacity …", as well as in the ILO/UNESCO Recommendation, which suggests that, "consideration should be given to the possibility of associating representatives of teacher organizations with the administration of special and supplementary schemes, including the investment of their funds" (1966: paragraph 140). Both of these provisions are flexibly worded, recognizing that sound governance structures can take many different forms.

55. In practice, arrangements for the governance of social security vary widely. For example:

- in **Canada**, the Ontario teachers' pension plan is governed jointly by the teachers' union, the government and a board that they together appoint. The union and government are responsible for dealing with scheme deficits and surpluses; determining the contribution rate and negotiating benefit changes; and appointing board members. The board is charged with overseeing investment of plan assets, collection of contributions and payment of benefits;

- the board of the **Connecticut (United States)** teachers' retirement system consists of three active teachers, two retired teachers, the Commissioner of the Department of Social Services, the Commissioner of the State Board of Education and five public members appointed by the Governor;

- in **Ghana** and **Sierra Leone**, where public school teachers are covered by the national pension scheme, the National Association of Teachers (Ghana) and the National Teachers' Union (Sierra Leone) have permanent seats on the national pension boards, along with representatives of government, national trade union confederations, employer associations and some other special designates.

56. It is important to note that, in most Latin American and Central European countries where pension provision has been privatized, teachers are required to participate in the new individual savings schemes like other workers (Colombia is an exception: teachers who are covered by the public pension scheme are excluded from mandatory private savings). However, the private management companies do not give scheme constituents a voice in governance. If members do not approve of the management company's policies, they are free to move the savings elsewhere. The omission of a voice for constituents is a serious weakness in the democratic governance of these schemes and an obstacle to compliance with both C.102 and the ILO/UNESCO Recommendation.

57. Wherever boards exist, the main role of a board member is to act as a "trustee" in protecting the interests of scheme participants. Trustees are not delegates of the organizations that nominate them, but are charged with protecting the interests of all the constituents in the category of persons they represent. Likewise trustees do not engage in issues of day to day management, but focus on broad oversight. Nor are trustees expected to become technical experts; they should rather master the art of posing pertinent questions to the experts who report to them, insisting that they avoid bureaucratic jargon and explain their actions and proposals in clear terms (see box 12).

Box 12
The role of a trustee

Board members are in effect "trustees" for social security schemes. A trustee's duty is to exercise a reasonable standard of care on behalf of all beneficiaries of the scheme. This means that a Board member should:

- act in accordance with the rules of the scheme, within the framework of the law;
- act prudently, conscientiously and with good faith;
- act in the best interests of the scheme constituents and strike a fair balance among the different categories;
- seek advice when necessary on technical and legal matters; and
- invest the funds (where this is part of a board member's role) in line with those principles.

Source: ILO, 2005: Chapter 1.

58. Public pension funds have several distinctive features that shape the challenges of their governance. First, many are large schemes and increasingly they are funded with huge amounts of assets invested in financial markets. For example, a few years ago, the top five pension funds internationally in terms of assets were, in order of size, the California Public Employees' Retirement Systems (United States), ABP (Netherlands), the California Teachers' Retirement System (United States), the Federal Thrift Savings Plan (United States), and the Florida State Board of Administration (United States) (Carvalho-Pinheiro, 2004: table 1). Second, public schemes are funded in part or in entirety by taxpayers, and their boards are accountable to the public. Third, public pension schemes are exempt from

many regulations that apply to private ones. Together these factors place a heavy burden on board members to ensure that their governance is efficient and sound.

59. As noted earlier, an increasing number of public pension schemes countries require their members to pay contributions. Many of these schemes invest a portion of this contribution income. As a result, boards increasingly have a responsibility for overseeing investments. Most boards have a committee responsible for drafting an investment policy or strategy and then monitoring its implementation. This investment committee reports to the board and in some cases the same person chairs the board and the committee. The rest of the committee is typically drawn partly from the board itself and partly from outside experts with appropriate skills and experience. The committee may select an independent investment manager to implement its policy and give this individual or firm discretion for day-to-day operations. The manager reports regularly to the committee, may make recommendations for changes in the strategy and provides a detailed annual report.

60. In European and OECD countries, corporate social responsibility (CSR) has become an important issue for many teacher pension schemes, and they are making investment decisions on social as well as financial criteria. In Japan, the Teachers' Mutual Aid Association of Tokyo began allocating part of its funds for socially responsible investments in 2003. It has since set up its own social responsibility investment (SRI) fund, which evaluates corporations in terms of their social and environmental policies. Similar initiatives are being undertaken by the California Public Employees' Retirement Pension System (CalPERS) in the United States, the University Super Annuation Scheme (USS) in the United Kingdom, as well as many others. In the United States, the National Education Association (NEA) calls on teacher pension boards and board members to oppose investments in corporations whose policies or expenditures undermine child welfare and/or public education, when other investments could provide equivalent benefits to retirement system members.

61. In countries where there are difficulties posed by lack of transparency, government requirements to invest in public debt instruments, high rates of inflation and undeveloped financial markets, teacher and other representatives on boards may find the Investment Guidelines of the International Social Security Association useful in providing guidance in steering reforms (ISSA, 2008).

62. The global financial crisis that began in 2008, the subsequent economic downturn and growing pressures on government fiscal capacity has hit public pension funds very hard in some countries, eroding balances in DC savings accounts and leaving DB schemes with huge unfunded liabilities. Dealing with these problems is a pressing priority for the near future, both for board members and for public policy-makers. Emerging analysis suggests that the problem occurred in part because some pension schemes were heavily invested in assets whose risk profiles their boards did not fully understand, such as financial derivatives, packaged mortgages and credit swaps. Thus, the crisis and its aftermath create a need to re-examine scheme governance to ensure that adequate risk assessment architectures are in place, and that those responsible for investment policy are properly trained and knowledgeable (OECD, 2009). Teachers should engage actively in the assessment of what went wrong and the search for new forms of governance that will help to ensure the security of their retirement resources.

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Module 7: Social dialogue in education

7. Introduction

1. Social dialogue is the "glue for successful educational reform". Without full involvement of those most responsible for implementing reform, that is teachers and their organizations, in key aspects of educational objectives and policies, "education systems cannot hope to achieve quality education for all" (ILO and UNESCO, 2003). In general, teachers need to be actively involved in policy formulation, and feel a sense of "ownership" of reform, in order for substantial changes to be successfully implemented (OECD, 2005). Although participatory processes and consultations are not a panacea to resolve difficulties, they are "virtually the only mechanisms for overcoming suspicion and establishing a positive climate for making and implementing education policy" (ILO and UNESCO, 2007). However, depending on the historical experience of social dialogue in different countries and sectors, the different parties involved in it, representatives of teachers, employers and governments, may not share the same vision of social dialogue: they may therefore have significantly different understandings and expectations regarding consultation, negotiation, information sharing and participation.

2. This module takes the position that where social dialogue is applied consistently and effectively it will bring about positive outcomes for education workers, employers and governments alike and will result in improved education for learners.

3. The module begins by defining social dialogue, in general and then with regard to the education sector. It presents the ILO standards and instruments which provide the reference norms for social dialogue in education. It discusses the necessary conditions for social dialogue, examines institutionalized frameworks and presents a number of practical tools regarding technical support before examining a number of features particular to the education sector, particularly with regard to the ILO/UNESCO Recommendation, 1966 (Appendix I). The module looks at social dialogue at international level and includes discussion of international institutionalized frameworks for the education sector. It then examines the different ways social dialogue works within national systems, which differ substantially with regard to their focus on professional or economic matters, or both. Finally it examines decentralized social dialogue at the levels of the local education authority and the school, before offering some conclusions and predictions concerning future trends.

7.1. What is "social dialogue"?

4. The concept of "social dialogue" as an effective means to address social and economic problems has emerged from the ILO's long history of promoting cooperative decision-making among workers and employers and their representatives and governments. The ILO was founded on the principle of tripartism, a system of establishing public policies based on the participation of worker and employer representatives with governments or public authorities. The ILO has promoted tripartism as an effective mechanism for addressing and resolving conflicts or dealing with social and economic problems.

5. Tripartism is based on the right of workers and employers to form independent organizations of their choosing and to bargain collectively over their conditions of employment. But labour and management have interests that go beyond the normal scope of collective bargaining. Depending on national practice, the parties may consult on specific issues, exchange information, or jointly administer social programmes, ranging

from vocational training, to day care facilities to unemployment insurance. Despite the efforts of the ILO and its tripartite constituents, the benefits of engaging worker and employer representatives have not always been widely understood.

6. In 1999, the ILO established a new programme, "to promote opportunities for decent work for all women and men". One of the four "strategic objectives" of the Decent Work Agenda is "promoting social dialogue" as a means by which employers and workers and their representatives can exchange views on the other three strategic objectives of the ILO: (a) the promotion of respect for fundamental principles and rights at work; (b) the creation of greater income opportunities for women and men; and (c) extending social protection (ILO, 1999).

7.1.1. ILO definition/description

7. In this context, social dialogue is defined as "all types of negotiation, consultation or simply exchanges of information, usually between the representatives of government, employers and workers on issues of common interest relating to economic and social policy" (Fashoyin, 2004). This concept of social dialogue covers the traditional activities of industrial relations, including bipartite collective bargaining at local, regional or national levels, plus cooperation between government and representatives of employers and workers on broader economic, social or labour market issues. Social dialogue also encompasses consultation and information sharing in institutions or other mechanisms involving representatives of interested stakeholders, e.g. parents' organizations or indigenous groups on education policy.

8. The CEART summarized these concepts as they apply to the education sector in its Report of the Eighth Session of the Joint ILO/UNESCO Committee of Experts on the Application of the Recommendations concerning Teaching Personnel (CEART) in 2003 (box 1).

Box 1
Social dialogue in education

In its 2003 report, the CEART defined social dialogue in education based on concepts elaborated by the ILO as follows:

"Social dialogue is understood to mean all forms of information sharing, consultation and negotiation between educational authorities, public and private, and teachers and their democratically elected representatives in teachers' organizations. These forms of dialogue variously apply to the major concerns of the teaching professional: educational objectives and policies; preparation for the profession and further education for teachers; employment, careers and salaries of teachers; rights and responsibilities; and conditions for effective teaching and learning."

In its 2006 report, the CEART observed that effective social dialogue depended on respecting certain basic principles:

"The basic prerequisites for dialogue are a democratic culture, respect for rules and laws, and institutions or mechanisms that permit individuals to express their views individually or collectively through unions or associations on issues that affect their daily lives on both a personal and professional basis ... this implies respect for professional issues – curricula, pedagogy, student assessment and issues relating to the organization of education."

Source: ILO and UNESCO, 2003 and 2007.

9. While in the context of education, social dialogue is focused primarily on government and public sector worker representatives because education is primarily a state responsibility, other parties are important too. Where private educational services exist, these employers will consult or negotiate with education workers' representatives in appropriate social dialogue forms. Organizations of parents are often involved in discussions on educational policies, and employers and worker organizations outside of education participate in

discussions of educational policy relevant to their concerns. In many countries, education is decentralized across different levels of government, so subject matter and institutions for social dialogue may differ between national and regional governments.

10. The array of activities covered by the term "social dialogue" is extensive and requires some definition. "Information sharing" means a wide array of communications between educational authorities and teachers and their organizations at all organizational levels. These range from high level policy meetings to workplace discussions. Communications can be oral or written with various degrees of formality.

11. "Consultation" can be formal or informal and implies that management or government authorities listen respectfully to the views of workers or their organizations, without any necessary commitment to act on those views. Because there is no requirement to reach agreement through consultation, the tone of discussions can differ considerably. Consultation should be "meaningful", i.e. the parties should approach the process genuinely open to the possibility of changing policies or procedures based on proposals from other parties engaged in consultation. A risk of formal consultation without real participation by all parties exists when one party, usually the employer or government, meets with representatives of teachers or other interest groups and listens to their positions without any intention of changing previous positions. Consultation is more likely to be meaningful if it occurs before policies are drafted (Fashoyin, 2004).

12. Consultation is most often practised at higher levels of decision-making, such as for education policy, curriculum, etc., but also occurs at the level of the workplace where day-to-day issues on the organization of work, such as schedules, allocation of tasks, etc. are subject to consultation.

13. "Participation" falls between consultation and negotiation. It implies a role for workers' organizations in bodies with the authority to make decisions, but formal agreement of workers is not a precondition to a decision. Many countries have councils or similar bodies in the workplace that operate collaboratively but incorporate the views of workers and employers. In countries where collective bargaining occurs at national or regional levels, councils offer workers' organizations a voice in decisions at the level of the workplace, within frameworks negotiated at higher levels.

14. "Negotiation" is the highest form of social dialogue. Often negotiation takes the form of collective bargaining. This process requires full representation of workers' organizations and competent management authority, exchanges of positions and a formal statement of the results of bargaining, usually a written agreement. Agreements normally have a fixed term. If the parties are unable to reach agreement, workers' organizations may strike to bring pressure on employers or an outside neutral authority can resolve the dispute. Either the agreements create a mechanism to resolve disputes over the application of the agreement, or other formal systems exist to resolve such differences. In many countries, courts or other judicial bodies, specialized or not in labour matters, are the final authority for the resolution of disputes arising from the application of a negotiated agreement or from the employment relationship determined by public or private labour codes.

15. Negotiation frequently occurs in the determination of terms and conditions of employment, salaries, social benefits, leaves of absence, etc. Conditions of employment for educational personnel often have policy implications, e.g. class size in education, hiring procedures, etc. In those cases, negotiation may accompany other forms of social dialogue.

7.2. Social dialogue in ILO standards

16. A number of ILO standards provide the underlying norms for social dialogue in education. The most important standard is the ILO/UNESCO Recommendation concerning the Status of Teachers, unanimously adopted by a special joint conference of the ILO and UNESCO in 1966. This Recommendation is not binding on any member State, but it is intended to guide the actions of the parties in a wide variety of educational policy issues. Although the Recommendation is over 40 years old, its principles are still highly relevant to social dialogue in education.

17. Four other basic instruments provide a fundamental legal framework for social dialogue. Two ILO Conventions Nos 87 and 98, preceded the ILO/UNESCO Recommendation. Convention No. 87 covers freedom of association and protection of the right to organize (adopted in 1948), and Convention No. 98 sets out the principles to protect the right to organize and bargain collectively (adopted in 1949). The ILO/UNESCO Recommendation refers to both Conventions in its preamble. In addition, two later Conventions contain significant principles for education. Since most teachers are employed in the public sector, Convention No. 151 (adopted in 1978) covers labour relations in public services, which is highly relevant. One of the most important examples of social dialogue is collective bargaining, and Convention No. 154 (adopted in 1981) contains the principles under which collective bargaining should be conducted. [1]

18. Ratification of Conventions Nos 87 and 98 by member States is common but Conventions Nos 151 and 154 have fewer ratifications. The CEART, which monitors and promotes the international Recommendations, has noted a wide gap between ratifications of international standards and the principles of dialogue and effective practice at national level, despite some improvements in recent years. According to the CEART, effective and sustainable social dialogue in education remains to be constructed in most member States of the ILO. Checklist 1 provides some pointers to strengthening social dialogue in education starting with a review of the applicable international standards.

Checklist 1
Promoting social dialogue in education

To promote social dialogue, interested parties might raise the following questions of national governments or education authorities:

1. Has the national government ratified Conventions Nos 87, 98 and 151?
2. What actions have governments/education authorities/unions taken to promote the provisions of the ILO/UNESCO Recommendation on social dialogue?
3. What success has been experienced in applying these provisions? What obstacles have been encountered and what measures taken to overcome obstacles to social dialogue?

Stakeholders could also raise questions on how social dialogue could be improved at school level:

1. Are there regular and effective means of information sharing between school management and teachers?
2. What means of consultation – school council or other – exists between school management and teachers on the organization of teaching and learning?
3. Are there provisions for negotiation/collective bargaining on workplace issues in the school in accordance with the agreed framework for bargaining in the country?

[1] Freedom of Association and Protection of the Right to Organize Convention, 1948, (No. 87); Right to Organize and Collective Bargaining Convention, 1949 (No. 98), Labour Relations (Public Service) Convention, 1978 (No. 151), Collective Bargaining Convention, 1981 (No. 154).

7.3. Necessary conditions for social dialogue

19. Success in participation in social dialogue is not easily achieved. A number of conditions must be met by both parties for these processes to work well.

20. The first condition is strong, independent, representative and democratic workers' organizations and, where organized, employers' organizations, public or private. Representative organizations must have access to relevant information to participate in social dialogue and the technical expertise to analyse information, formulate positions that accurately reflect their members' views and to communicate with their members meaningfully. This condition requires adequate financial resources, training for officers, staff and members of organizations in both the subject matter of social dialogue and the processes themselves. In less developed nations or institutionalized social dialogue cultures, these requirements are difficult to achieve and may depend on assistance from international organizations such as the ILO (see tool 1).

Tool 1
Where to obtain technical advice and support for social dialogue?

- Within the ILO, the Industrial and Employment Relations Department (DIALOGUE) shares knowledge and provides advisory services on social dialogue, labour law and labour relations (http://www.ilo.org/public/english/dialogue/ifpdial/index.htm).
- The Sectoral Activities Department (SECTOR) of the ILO (http://www.ilo.org/sector/lang--en/index.htm), is responsible for education, sharing information and technically supporting social dialogue development in public and private educational services (http://www.ilo.org/global/industries-and-sectors/education/lang--en/index.htm).
- The International Labour Standards Department (NORMES) publishes a number of resources on the interpretation and application of standards and provides technical advisory support to tripartite constituents on standards monitoring and application. Two sources specific to education and teachers are the collection of national legislation on the NatLex database (http://www.ilo.org/dyn/natlex/natlex_browse.subject?p_lang=en&p_classification=22.12) and the Digest of Freedom of Association cases (http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---normes/documents/publication/wcms_090632.pdf).
- The ILO can coordinate technical support from other agencies or external donors to promote full participation by teachers' organizations and education management in all facets of social dialogue.

21. The emphasis on independent teachers' organizations is significant. Many decisions on educational policy, curriculum or programs are made with the participation of individual teachers. These persons may offer technical expertise and provide their perspectives based on experience in the classroom, especially at the level of the school. But such individuals are unlikely to represent the views of teachers more generally, particularly at higher levels of the education system, regionally or nationally, for example. Teacher representatives at those higher levels are most likely to contribute to social dialogue when they are chosen by their peers and have the experience and background to deal with broader educational issues.

22. The second condition for successful social dialogue is the political will, trust and commitment of all parties to engage in these processes. Teachers' organizations should embrace the various forms of social dialogue, rather than confining their activities to one or two means of representing their members' interests. Governments and educational authorities must be willing to accept teachers' organizations as potential partners in common goals of providing the best possible educational services. Educational authorities exercise some elements of management prerogative or authority, but social dialogue depends on the willingness to consult, listen and take into consideration the views of teachers' organizations before exercising that authority.

23. Respect for the fundamental rights of freedom of association and collective bargaining is a basic prerequisite of institutionalized social dialogue. Most social dialogue in education occurs through the participation of organizations of teachers or other education workers. Collective bargaining is one of the most significant examples of social dialogue, although, as noted above, its scope often is limited. Unless teacher organizations are able to form, exercise their internal functions, be recognized as representative of teachers and negotiate with employers free of outside interference, social dialogue simply will not succeed. In many nations, several organizations represent teachers, some in direct competition with each other. Freedom of association implies that different organizations can demonstrate appropriate levels of support from potential members.

24. Because of its importance to the basic features of social dialogue, the sometimes precarious existence of independent teachers' organizations needs to be recognized, even in nations that have ratified the relevant ILO standards. ILO supervisory mechanisms and special procedures of the CEART provide means by which teachers' organizations can address such difficulties (see tool 2).

Tool 2
Complaints procedures for violation of international standards on social dialogue

One of the key elements in the ILO system of promoting observance of international labour standards is the Committee on Freedom of Association (CFA), which receives complaints that member States are failing to observe the provisions of the Conventions on freedom of association, collective bargaining and labour relations listed earlier and reports to the ILO Governing Body. Over the years, the CFA has considered numerous complaints of violations of the freedom of association of teachers' organizations from many parts of the world. The sheer volume of complaints and the frequent conclusion of the CFA that basic rights of freedom of association are not being respected indicate that those teachers' organizations face serious obstacles in performing their basic functions and even more difficulties in engaging in social dialogue.

The CEART also reviews allegations by teachers' organizations that the ILO/UNESCO Recommendation's provisions are not being observed in countries. The CEART makes public its findings and recommendations on how to resolve differences in its triennial reports or special interim reports approved by the ILO Governing Body and the UNESCO Executive Board. These allegations concern aspects of social dialogue other than the fundamental standards of freedom of association and collective bargaining, for example social dialogue or its absence on educational policy. In recent years the CEART has called on various governments to adjust teacher hiring, appraisal and academic freedom policies to better apply provisions of the ILO/UNESCO Recommendation.

25. Finally, successful social dialogue should be institutionalized as far as possible, since informal or ad hoc forms of social dialogue are unlikely to have lasting impact. Institutionalized social dialogue requires appropriate institutional support. Such support can take several forms. The highest level of support usually is a statutory framework for the conduct of social dialogue. Many nations have laws regulating the practice of collective bargaining in education, for instance. Other legal systems promote consultation and participation of workers' organizations at the workplace or higher levels of authority. Consultative bodies with defined responsibilities and structures for representation are another important of institutional support (see also boxes 7 and 8 in section 7.6 below, for international examples of institutionalized social dialogue frameworks for education).

7.4. Special features of the education sector

26. Social dialogue can and does occur in most sectors of an economy. However, the parties in education should recognize a number of special features of this sector.

27. First, most teachers' organizations combine the features of professional associations and trade unions. Professional associations are concerned with the qualifications of entrants into the professions, standards of members' performance, the intellectual content of the profession and the role of the profession in society at large. These multiple roles are

recognized in the ILO/UNESCO Recommendation (for more details see section 7.5) in terms of teacher organizations' engagement in: education policy decisions; the establishment of in-service teacher education; disciplinary matters related to professional conduct; development of courses, curricula and teaching aids; defining and maintaining professional standards for teacher performance and codes of ethics; school organization and reforms to meet new education challenges; and educational research and dissemination of new teaching methods in the interest of quality improvements in education (1966: paragraphs 9, 32, 49, 62, 71, 73 and 75–76). Professions traditionally also have a strong element of public service. Thus, representatives of the public often are included in their governance structures, as for example in the composition of professional bodies such as teaching councils in education. The ILO/UNESCO Recommendation underlines the basic principle of such collaboration in its call for: "close cooperation between the competent authorities, organizations of teachers, of employers and workers, and of parents as well as cultural organizations and institutions of learning and research for the purpose of defining educational policy and its precise objectives" (1966: paragraph 10(k).

28. Second, like other trade unions, teacher unions also have functions related to the employment and material conditions of teachers. They advocate for their members' terms and conditions of employment, use collective bargaining, political action, mutual aid and legal representation to advance and protect the interests of their members and teachers more broadly. These functions are strongly emphasized in the ILO/UNESCO Recommendation's provisions on negotiations with teachers' organizations on salaries and conditions of service (1966: paragraphs 82–84; see also section 7.5))

29. Experience in many countries demonstrates that these two functions can coexist successfully in the context of social dialogue in education. Teachers' organizations often represent both the professional and economic interests of their members, but the distinction between these two areas requires careful attention within teachers' organizations. Successful implementation often leads to significant reforms (see box 2).

Box 2
Combining professional and trade union concerns: Good practices across the world

Australia: In addition to collective bargaining at state level, professional standards and development for teachers and school leaders throughout the Commonwealth have been developed by the Australian Institute for Teaching and School Leadership (AITSL), which includes the National Teachers Union, AEU as one of its key members.

Canada: In the most populous province, Ontario, extensive education reforms beginning in 2003 that led to significant improvements in teaching practices and innovation were achieved through the support of teachers by means of a collective bargaining agreement with the principal teacher unions and regular stakeholder round tables. These concerned key issues that met many of the needs of teachers and Government objectives, in areas such as lower class sizes, increased teacher preparation time and hiring of more teachers. The process also ensured labour relations stability that was vital for the reforms to take hold.

Chile: After a long process of restoring democracy and workers' rights that had been swept away by the 1970s military dictatorship, improved bipartite and tripartite means for social dialogue in education (including municipal authorities in a decentralized system) have been developed in the 1990s and first years of the twenty-first century, despite formal restrictions on collective bargaining at municipal level and for civil service teachers. Among the results, incorporated in national legislation, have been new employment regulations, improvements in local education labour relations, salaries and a professional assessment and development programme for teachers designed to improve teacher quality and performance. Several years of negotiations with the teachers' union, CTP, were necessary to get agreement on the programme, which begin in 2003, but the negotiated agreement has reportedly led to much greater acceptance and engagement of teachers in assessment and professional development.

Finland: One of the most successful, high-performing education systems in the world as measured by internationally comparative student test results has relied for many years on a process of extensive consultation and negotiation with the principal teacher union, OAJ. This trust in the teacher's union to represent the views of individual teachers helped to establish the basis with the Government for education reforms in the early part of this century that have led to very high professional standards for teachers, extensive professional autonomy and trust in teachers to manage classroom learning, and a profession that attracts the best students – only one in ten applicants are admitted to teacher training programmes each year.

Namibia: In addition to negotiating collective bargaining agreements on teacher salaries, benefits and pupil–teacher ratios (see also box 9), and participating in the Teaching Service Committee that reviews salaries and personnel policies, the Namibian National Teachers Union (NANTU) engages in information sharing and discussion of educational matters with the Ministry of Education through a monthly meeting of a joint technical committee, with an agenda created by both parties, including on issues not covered in collective bargaining. NANTU also participates in standing bodies dealing with teacher qualifications and evaluation of education and training, and along with the Teachers Union of Namibia (TUN), in broader education reform planning with the Ministry.

New Zealand: Teacher unions in New Zealand, the New Zealand Education Institute (NZEI) and the Post Primary Teachers Association (PPTA), have a long history of negotiating and concluding collective bargaining agreements on behalf of the country's teachers (see also box 12). They also represent teachers on the professional body, the New Zealand Teachers Council, that sets and monitors standards. In the period 2010–11 the unions participated in a nationwide public consultation and an education sector forum that included almost all major education sector stakeholders to review, comment on (including criticism of many provisions on behalf of their members) and make recommendations to the Government on the report of an advisory body set up to advise on a new vision for the teaching profession.

Source: Australia: OECD, 2011a; Canada: OECD, 2011a; Chile: ILO and UNESCO, 2003; ILO, 2006a; Gajardo and Gomez, 2005; OECD, 2005a; Finland: Asia Society, 2011; OECD, 2011a ; Namibia: ILO, 2006b; Lieberwitz, 2009; New Zealand: Lieberwitz, 2009; New Zealand, 2011.

30. A second special feature of education that affects social dialogue is the role of the state. The ILO/UNESCO Recommendation (1966: paragraph 10(c)) recognizes that education is a responsibility of the State, which should provide an "adequate network" of schools and other services to students. Virtually every nation has its own mix of state and non-state education, but normally most teachers are employed in the public sector and therefore engage in social dialogue directly with public education authorities at the appropriate level, in some cases the state or national government.

31. This situation can change when private education is significant in a national system or at specific levels of education. Private education exists in almost every country, although providers may be concentrated at the pre-primary or post-secondary levels. These employers may have a role in social dialogue comparable to public authorities in terms of helping to decide on education policy and reforms, as well as being engaged in various forms of social dialogue with teachers' organizations and teachers as direct employers.

32. Finally, teachers are the largest formal occupational group in the world, and the majority of teachers in almost all countries are women. Thus, the role of teachers in society, including social dialogue, is deeply affected by and in turn influences the status of women in national life.

33. Recognizing the importance of education and the special features of this sector, the ILO and UNESCO jointly enacted the ILO/UNESCO Recommendation. No other examples of such a standard exist in the system of international law. As stated above, the Recommendation incorporates the principles of ILO standards that existed when it was ratified, but also gives specific guidance for the status of teachers that are more directly useable in education than the broader ILO standards which cover all workers and types of workplaces.

7.5. The ILO/UNESCO Recommendation and social dialogue

34. The ILO/UNESCO Recommendation covers a wide variety of educational policies, including educational planning, preparation for the profession, teacher-preparation institutions, the formulation of educational policy and the like. Moreover, its treatment of social dialogue is more extensive and specific than any other international standard, with 20 different provisions that refer to one or more forms of social dialogue.

35. The ILO/UNESCO Recommendation makes frequent references to the roles that teachers' organizations can play in promoting the goals of the Recommendation. Paragraph 9 of the ILO/UNESCO Recommendation underlines the importance of teachers' organizations by declaring that these bodies should be recognized as "a force which can contribute greatly to educational advance, and which therefore should be associated with the determination of educational policy". Teachers in turn rely on the right to associate freely in their own organizations, as protected in ILO Convention No. 87, in order to fulfil their responsibilities under the ILO/UNESCO Recommendation.

36. Although the ILO/UNESCO Recommendation does not use the term "social dialogue", it contains frequent references to processes that constitute social dialogue. Taken together, the processes set out in the ILO/UNESCO Recommendation comprise a very complete plan to implement social dialogue.

37. As already noted above, the broad scope of social dialogue advocated by the ILO/UNESCO Recommendation extends to the role of teacher organizations in the formulation of a wide range of educational objectives and policies, in paragraph 10(k). The Recommendation recognizes that many groups in society have important interests and builds on paragraph 9, to urge that teachers' organizations take part in discussions to determine educational policies. The participation of various groups in these discussions ensures that a variety of viewpoints are heard. Teacher organizations should take part in these discussions on an equal footing with other interested parties.

38. In the context of the ILO/UNESCO Recommendation, participation processes enable teachers' organizations to take part in policy discussions within their professional competence or which are especially important to their conditions of work. Participation does not imply that teachers' organizations may block or refuse decisions made after deliberations on broad educational policy or matters that are clearly within the competencies of educational management, but the ILO/UNESCO Recommendation does state that these groups should be heard before decisions are made. The Recommendation does not specify which mechanisms should be used to incorporate the participation of teachers' organizations. Interested parties are free to craft their own arrangements. The distinction between consultations before and after decisions are made is significant. Meaningful consultation is more likely if parties meet before a policy is drafted or proposed for adoption. A variety of ideas can be discussed, often in confidence, before public pronouncements are made, with the goal of building consensus in support of the results (see the example from Japan in box 3).

Box 3
Consultation and negotiation in education in Japan

An ILO/UNESCO mission to Japan that studied consultation and negotiation between teachers' organizations and employers found that teachers' organizations often were consulted only after a policy had been formulated. After policies had been prepared, teacher groups were asked for their views, but they were seldom able to point to changes made as a result of their comments. This process met the formal definition of consultation, but left teachers' organizations and some employers frustrated with the results.

Source: ILO and UNESCO, 2008.

39. Two areas in which teachers organizations should participate in policy discussions are related to the quality of educational services. Paragraph 61 of the ILO/UNESCO Recommendation points out that "the teaching profession should enjoy academic freedom in the discharge of professional duties". It points out that teachers are especially qualified to play an essential role in the choice of teaching materials, the selection of textbooks, teaching methods and the like. Paragraph 62 states that teachers and their organizations should participate in the development of new courses, textbooks and teaching aides. The contributions of teachers in these policies must be balanced with respect for education standards, approved programs and curricula determined by public authorities. Similarly, paragraph 76 encourages teachers and authorities to recognize the importance of the participation of teachers through their organizations and other ways to improve the quality of educational services. In this case, the ILO/UNESCO Recommendation acknowledges that both individual teachers and representatives of their organizations should participate in efforts to improve education.

40. Consultation, another form of social dialogue, figures prominently in the ILO/UNESCO Recommendation. The tone for the role of consultation in education is set by paragraph 75, which states that authorities should "use recognized means of consultation with teachers' organizations on matters such as educational policy, school organization and new developments in the education service". These are broad policy issues of sufficient importance that teacher organizations should take part in discussions leading to the adoption of educational policies. The Recommendation reflects the importance of teachers' views in decisions based on the experience in classrooms on the most effective policies to achieve learning objectives.

41. The ILO/UNESCO Recommendation also provides for consultation on a number of issues of considerable importance to individual teachers. Paragraph 44 states that promotions should be based on professional criteria developed in consultation with teachers' organizations. Similarly, paragraph 49 declares that teachers' organizations should be consulted when disciplinary machinery is established. Hours of work for teachers should be established in consultation with teachers' organizations (1966: paragraph 89). Finally, when new schools are planned or new or additional accommodation, "representative teacher opinion" should be consulted, as proposed in paragraph 110. In these cases, the Recommendation is pointing toward consultation at the level of the school or the body charged with planning for facilities.

42. The ILO/UNESCO Recommendation refers to negotiation on a number of topics. In the context of education, negotiation generally means collective bargaining. Some parties in education have practiced collective bargaining for decades, while in other locations, the practice is relatively new. Box 4 provides examples of the scope of bargaining in North America.

Box 4
Scope of negotiations in Canada and the United States

In Canada, teacher organizations negotiate with their employers over salaries, allowances, professional development resources and seniority rights. Procedures to resolve differences over the application of these agreements are also subject to negotiation. Pensions and class sizes are generally outside the scope of bargaining. Similar agreements exist in the United States, although the scope of bargaining may be less extensive, and has become even more so in recent years as some states have moved to curtail public sector employees, including teachers, from bargaining on key issues such as pensions.

Sources: Cooper and Sureau, 2008; ILO, 2012; Thompson and Jalette, 2009.

43. Negotiation is only truly possible when employers and worker representatives have independent representation. For teachers, the principles of ILO Convention No. 87, protecting freedom of association and the right to organize collectively is especially important. To negotiate effectively, teachers' organizations should have a clear mandate from their members, have the technical capacity to negotiate and be free from interference by outside forces. For an example of capacity obstacles and possible solutions (see box 5).

Box 5
Building capacity for social dialogue

When the United Republic of Tanzania developed a comprehensive education reform programme to achieve Education for All (EFA) in the years after the Dakar forum on EFA, the Tanzanian Teachers' Union (TTU) insisted that it was not fully involved in all technical committees and district-level decisions. One obstacle was the union's capacity to participate. In 2004, the TTU participated in a policy dialogue forum supported by the ILO and UNESCO that assisted the union in formulating policy positions on education and poverty issues and in expanding its capacity to take part in discussions to formulate national educational policy.

Source: Ratteree, 2005.

44. The process of negotiation implies that neither party can impose its will on the other in case of an impasse. In other words, any decision should be based on mutual agreement. Where an impasse does occur, ILO instruments anticipate that workers should have the right to withdraw their services or resort to an independent party to resolve the dispute. These issues are especially controversial in the public sector, where governments are employers and legislatures may determine teachers' terms and conditions of employment. Given the variety of circumstances under which negotiation occurs in education, there is no single formula for the resolution of disputes.

45. The ILO/UNESCO Recommendation emphasizes the role of negotiation, as opposed to other forms of social dialogue in the determination of teachers' terms and conditions of employment. Thus, paragraph 83 states boldly that the right of teachers to negotiate through their organizations should be assured, by statutory or voluntary machinery. Paragraph 82 requires that salaries and working conditions should be negotiated between teachers' authorities and employers of teachers. This theme is amplified in paragraph 116, which uses slightly different language in reference to teacher salary scales. It states that these scales should be established "in agreement with teacher organizations".

46. Merit or performance pay for teachers is often a controversial topic (see section 5.4). The ILO/UNESCO Recommendation is silent on the value of merit or performance pay, but it does recognize the importance of the issue by stating that a merit-rating system for salary determination should not be implemented without "prior consultation with and acceptance by teachers' organizations concerned" (1966: paragraph 124). Although this paragraph does not use the term "negotiation", the requirement that teachers' organizations must accept a merit-pay system implies a form of negotiation.

47. The ILO/UNESCO Recommendation recognizes that disputes or impasses over these issues will occur and proposes institutionalized means to settle disputes. Paragraph 84 states that "appropriate joint machinery to deal with the settlement of disputes between teachers and their employers arising out of terms and conditions of employment" should be established. The same is contemplated by Article 8 of the Labour Relations (Public Service) Convention, 1978 (No. 151). An ILO manual on dispute prevention and resolution in public administration provides information on best practices on the subject (see box 6). Nevertheless, the Recommendation adheres to the principle advanced by ILO case law that, in the event of a breakdown in negotiations, teachers' organizations "should have the right to take such other steps as are normally open to other organizations in the defence of their legitimate interests", in other words, the right to strike.

Box 6
ILO Manual on collective bargaining and dispute resolution in the Public Service

This manual seeks to build on the work developed in recent years (research and publications, guidelines, technical advice and country-based action programmes) by the ILO's Sectoral Activities and Industrial and Employment Relations Departments. The manual offers a compilation of good practices in dispute prevention and dispute resolution in public services. It outlines an array of mechanisms, mostly interconnected, that governments, employers' and workers' organizations around the world have developed to minimize and resolve disputes – and especially interest disputes in collective bargaining – in the public services. The manual helps to identify approaches and practices which have enabled unions and public sector employers to engage in negotiations regarding wages and conditions of work on a fair footing and with minimal disruption to public services.

Source: ILO, 2011.

7.6. Social dialogue at international level

48. Social dialogue is the norm at the international level in bodies with formal responsibility for education policy. These practices are especially strong in regions where social dialogue is practised in other policy areas. However, even in countries or regions where social dialogue is not fully developed, teachers' organizations participate in education planning and the implementation of policies.

49. The most significant international initiative in education is a concerted effort at the international level to make education more widely available. The primary element of this effort in the developing world is the Education for All (EFA) campaign of UNESCO, with the support of other UN agencies, including the ILO, and many donor nations and organizations. The EFA campaign was launched by the international community in 1990 with the World Declaration on Education for All. The Declaration explicitly mentioned the principles of the ILO/UNESCO Recommendation to support the need for partnerships in organizing efforts to achieve its goals. In 2000 the World Education Forum met in Dakar, Senegal, to renew commitments and to approve a framework for achieving basic quality education for all by the year 2015. The Dakar Framework endorses the ILO/UNESCO Recommendation as a guide to teacher standards. An international teacher task force to accelerate recruitment and quality of teachers for EFA was set up in 2009 with the ILO/UNESCO Recommendation's principles on social dialogue as a founding principle.

50. The EFA framework provides for the participation of many non-governmental organizations (NGOs) at the level of each of five regional focal points, two international focal points and a UNESCO–NGO Liaison Committee. Education International (EI), the Global Union federation that represents almost all national teacher organizations in the world, participates in the planning for EFA at regional and international levels with other non-governmental organizations. EI is also represented at the advisory board for the Global

Monitoring Report, which is prepared for periodic meetings to assess progress in achieving the goals of the EFA campaign.

51. Social dialogue is also well developed in the international and regional bodies that group many of the world's developed economies. Organization-wide advisory and advocacy bodies composed of workers' or teachers' representatives and employers are regularly consulted and provide inputs to the policies and activities of these intergovernmental organizations or, in the case of Europe, participate in an institutionalized social dialogue framework (see boxes 7 and 8).

Box 7
Trade union and employer consultation on education in the OECD

The Organisation for Economic Co-operation and Development (OECD) is an international agency composed of 30 developed nations with a headquarters in Paris. The OECD deals with a variety of issues, including economic policy, global trade and investment and education, training and educational policy. The OECD Constitution explicitly provides for social dialogue with labour organizations through the Trade Union Advisory Committee (TUAC), which represents unions in all member States. The TUAC presents labour's views on any policy debates within the OECD. When these debates concern education, the TUAC includes Education International (EI) in deliberations, including meetings of education ministers, for example a major project and report on teachers in 2004–05. In addition the TUAC actively promotes the principles of the ILO/UNESCO Recommendation. Employers' views on education and training policy, including teacher policies, are also expressed through the Business and Industry Advisory Committee (BIAC), which also participated in the major project on teachers and regularly advises OECD member education ministers on a range of policies concerning teachers.

Source: OECD, 2005a, 2005b and 2011b.

Box 8
Social dialogue on education in the European Union

In the European Union, a relatively new system of social dialogue exists at the transnational level, with special attention to education. In 2009, a European Federation of Education Employers (EFEE) was established, composed of Ministries of Education, associations of local government and public agencies recognized as employers in education, from 15 countries. With the European Trade Union Committee for Education (ETUCE) representing education sector workers, an agreement was reached to create a European Sectoral Social Dialogue Committee for Education. The Committee, which first met in June 2010, provides a forum for the social partners to develop policy and tools at all levels of education. Social dialogue forums, working groups or other forums provide an opportunity for European education employers and trade unions to jointly examine and recommend actions at European level on a host of issues affecting education and the teaching profession: education investments; lifelong learning policy; quality in education; school leadership; teachers' work-related stress and violence in schools; teacher recruitment; and education and training policies.

Sources: EFEE, 2012; ETUCE, 2011.

52. Other forms of international or regional social dialogue are less institutionalized than in Europe but nevertheless offer forums for information exchange and consultation on policies. Within the Commonwealth group of nations, a Commonwealth Teachers Group, formally inaugurated in 2006 (Commonwealth Secretariat, 2006), consults with governments and other education sector stakeholders on desirable teacher policies at the triennial Commonwealth Conference of Ministers and in a standing advisory body on teacher mobility, recruitment and migration. More ad hoc frameworks for social dialogue occur through regionally based seminars or other forums that bring together representatives of Ministries of Education, teachers' organizations and other stakeholders to exchange views on teacher policies in the region and among participating countries. For instance, within the last decade UNESCO and other partners organized a series of such seminars in Asia and the Pacific (for the most recent such meeting, see UNESCO Bangkok, 2010; similar events were held in 2003 and 2006). Although such events provide a useful platform for exchanges of views between education authorities and teacher representatives,

they are not an institutionalized form of social dialogue and do not necessarily lead to policy change at national level.

53. In all cases, the international organizations which support social dialogue in education encourage the establishment of similar institutions at national levels. The success and forms of national systems for social dialogue vary greatly in all regions, even within Europe with its long tradition of institutionalized social dialogue. Some countries have well developed programmes for social dialogue in both the economic and professional dimensions of teaching. More commonly, national systems focus on one of the two areas. Frequently, teachers are classified as civil servants, and their terms and conditions of employment are determined on the same basis as other civil servants. Teachers are represented in discussions over economic issues in coalitions with other organizations of public sector workers. In France, for example, teachers are civil servants. In addition, teachers' organizations also play significant roles in the formulation of education policy.

7.7. Social dialogue in national systems

54. Obviously, national systems for social dialogue differ greatly, even within the same region. In general terms, three models exist in terms of the scope of social dialogue. Some national systems focus on either professional or economic areas. When teachers are classified as civil servants, their terms and conditions of employment are determined on the same basis as those of other civil servants, often by law or government decree. Germany and France are examples of such a system. Public sector labour organizations, including teachers, represent their members before the parliament. Social dialogue in these instances often covers professional areas, while economic subjects are decided in a broader public service context. Another model is social dialogue, in the form of collective bargaining, over economic issues, but seldom over professional issues. Some national systems combine elements of social dialogue in both areas, through separate institutions (see box 9).

Box 9
Social dialogue on professional and economic issues in France

France provides an example of social dialogue over both professional and economic issues. In the education sector, national and regional "joint administrative committees" with equal representation from employees elected from union lists and representatives of the administration advise the Minister or Chief Education Officer on individual disputes. The Minister or Education Officer decides such disputes only as a last resort. The Education High Council is a consultative body that examines curricula, examinations and programmes. The Council must review any legislative proposals before they are submitted to Parliament. A Ministerial Joint Technical Committee and State Civil Service High Council (Joint Technical Committee) consults on conditions of employment, recruitment and working time. French teachers are civil servants, and their terms and conditions of employment are fixed by law and government decrees. Proposed changes in status and working time must be submitted to the Joint Technical Committee before implementation. Education authorities are free to act without the approval of the Joint Technical Committee, however. Other less formal mechanisms exist for social dialogue at other levels in French society. The major teachers' organizations seek to improve the practices of social dialogue and emphasize that they must act from a position of strength. They rely on mobilization: rallies of personnel, national and regional demonstrations and strikes or job actions to demonstrate their organizational strength and make their voices heard.

Source: ETUCE, 2005.

55. A number of countries have established systems for social dialogue over both professional and economic issues. These can be general in scope, covering all social partners, or specific to public services or to education. A mix of systems covers social dialogue in Namibia, for example (see box 10).

Box 10
Namibian social dialogue

In Namibia, the Minister of Labour participates in a tripartite Labour Advisory Council, and the Ministry of Education regularly consults with representative associations of teachers and students. Discussions cover such issues as the gaps in resources between urban and rural schools and teacher qualifications.

In addition, a system of collective bargaining by the Government with public servants exists to set salaries and conditions of work for the public service. The national teacher organizations participate with other unions in negotiations. Thus, issues such as pupil–teacher ratios are included in the bargaining agenda.

Teachers are also represented in consultation on teacher education and professional development through several agencies. Within the public service, there are consultations on personnel policies, pay and allowances, and recommendations dealing specifically with teachers are produced.

Source: ILO, 2006b; Lieberwitz, 2009.

56. Social dialogue in federated or decentralized education systems at local or intermediary (state, province, etc) levels sometimes offers greater possibilities for locally specific conditions to be taken into consideration in consultations or negotiations. However, they also present challenges for capacity when partners' resources are more limited (often the case in developing countries).

57. Federal systems in particular may also pose challenges for a consistent national level policy and conditions, which can work against balanced recruitment and retention of teachers, since processes and outcomes have a more limited territorial application. A federal system such as the United States (see also box 12), without national legislation governing collective bargaining for all teachers, may have considerable variations in rights to bargain. Although more than half of states until recently had laws that provided public employees, including teachers, with the right to unionize and collectively bargain, other states leave bargaining to the discretion of the education authority or prohibit it altogether, notably in the southern region of the country (Lieberwitz, 2009). Moreover, a political trend emerged in 2011 to restrict or eliminate collective bargaining rights of public sector workers, including teachers, even in states that traditionally had supported such rights. Nevertheless, in some federal and decentralized systems such as Canada (see box 11), local social dialogue is vibrant and deeply rooted in national traditions.

Box 11
Social dialogue in provinces and school boards of Canada

Education in Canada is the responsibility of provincial governments, so there is no truly pan-Canadian example of social dialogue. However, every province has legislative provisions for collective bargaining by teachers. The most common model is bargaining for all public schools in a province with a single organization to represent teachers. Educational services are delivered by elected local school boards, with funding and curriculum guides provided by provincial education ministries. Collective agreements regulate compensation, hours of work, fringe benefits, and procedures for the resolution of individual grievances and the like. In most provinces, the government determines the basic formulas for class sizes.

Other forms of social dialogue are limited. Teachers' organizations often participate in the administration of pension plans (see also Module 6), which are excluded from the scope of bargaining, and ad hoc projects in which provincial governments choose to engage in consultation, information sharing and the like. Canadian teachers' organizations are often active politically and seek to improve teachers' conditions or reform the education system through participation in electoral politics.

Source: Thompson and Jalette, 2009.

58. As this module has proposed, social dialogue in education can and should take many forms according to the issues to be discussed and decided between public and private employers and education sector worker representatives. These different forms may also coexist, with consultation on policies exercised in parallel to collective bargaining on employment

conditions. Social dialogue works best when applied consistently to a range of decisions on education, even in the most difficult times when governments as employers seek to exclude teachers' organizations from decision-making. As the case of New Zealand suggests, however (see box 12), it is both difficult and in the long run unproductive to deny the use of social dialogue to engage teachers' voices in helping to resolve education problems in the interests of all stakeholders.

Box 12
Collective bargaining and social dialogue in New Zealand

Teachers' organizations in New Zealand also enjoy the same right to bargain as do other workers, but forms of social dialogue in education have not always been well developed or respected. During the 1980s and 1990s, the national Government sought to eliminate collective bargaining in New Zealand. Unions, including teachers' organizations, resisted. Similarly, the Government removed teachers from any formal policy role and increased the power of principals at the school level as part of a decentralization process known as "tomorrow's schools". An evaluation of teachers' involvement in school decision-making concluded that teachers felt less involved in decision-making than before the reforms. Yet, teachers are now the largest organized occupation in the country, with the right to bargain collectively. Legislation in 2004 specifically sought to promote collective bargaining, good faith in negotiations, and the effective resolution of employment relationship problems.

Decisions about the award of salary increments and other human resource issues are primarily made at the level of the school. However, national level agreements may set frameworks or basic conditions, such as a tripartite agreement between the Ministry of Education, the New Zealand School Trustees Association and the secondary teachers' union (PPTA) to establish a framework for the parties to work together on professional and career issues relevant to secondary teachers, and a 2009 collective agreement between the Ministry of Education and the teachers' union of pre-primary and primary teachers (NZEI) on a range of employment terms and conditions of kindergarten teachers .

Sources: Education International, 2006; ILO, 2012; New Zealand, 2009; Wylie, 1999.

7.8. Social dialogue at local and school level

59. The role of local authorities varies greatly among national systems of education, depending on the degree of centralization in the administration of education. Some local authorities have minor roles in education policy, while others have considerable autonomy. The history of dialogue for individual authorities can influence the effectiveness of formal or informal systems of social dialogue.

60. For many teachers' organizations and education authorities, the possibilities for social dialogue at the local level or school level are great. Workplace problems, the implementation of programmes for special needs students, appropriate class sizes, teacher assignments and decisions on part-time teaching or job-sharing, for example, are just some of the questions that can be and are addressed at the level of local authorities or schools. In addition to examples of social dialogue in other decentralized systems at either provincial, local or school level (see discussion and boxes 11 and 12 above), the experience of the United States (see box 13) sheds light on different approaches to social dialogue in a federal government system that is based on local education authorities, while that of Sweden (see box 14) indicates how decentralization to municipal authorities and schools in a previously national system can work.

Box 13
Social dialogue in the United States

In the United States, education is the responsibility of local government. In some cases, municipal governments operate education systems through school districts, at least at primary and secondary levels. Elsewhere, separately elected school boards are teachers' employers. United States teachers are heavily unionized, so collective representation is normal in American school systems under a variety of legal regimes. Labour–management relations in education vary greatly. In a majority of American states, teachers have the right to bargain collectively in public school districts; private schools may be more restricted. Other states require districts to meet with teachers' representatives. The scope of bargaining generally is confined to terms and conditions of employment (subjects ranging from teacher salaries, benefits, to workload – see also box 4). Procedures for resolving disputes rarely include the full right to strike or arbitration, but often mediation or fact finding, with the final decision left in the power of the employer. However, teacher organizations are active politically and influence education policy through political action, including local school boards.

In the wake of the financial crisis of 2008, many school boards called on teacher organizations to cooperate in reducing costs, by forgoing salary increases, accepting reductions in compensation and the like. Teacher organizations participated in these negotiations where possible, and in most cases mutual agreement apparently was reached. Overall, it appears that all forms of social dialogue were employed in dealing with the effects of the economic recession on employer revenues and impact on education sector workers.

Sources: Enotes, 2006; ILO, 2009; Rychly, 2009; Gutierrez, 2009.

Box 14
Social dialogue in decentralized Sweden

The Co-determination at Work Act in Sweden requires employers to consult with employees before making major decisions about their workplace and applies to the local level and individual schools in Sweden. In addition, agreements between employers and teachers cover workplace conditions. Within this framework, and as part of reforms to encourage greater autonomy for schools in the 1990s, provisions permitting individual salary negotiations between school leaders and teachers allows for differentiated teacher salaries according to differences in qualifications, responsibilities, performance and local labour market conditions for teachers.

Source: OECD, 2011a.

7.9. Conclusion and future trends in social dialogue

61. The previous discussion illustrates several influences on the future of social dialogue and points to several key factors that critically impact on high quality education systems and the success of reforms to achieve this goal. These include acceptance of the need for full teacher engagement in the educational decision-making process at various levels, as individuals and through their unions, trust and confidence between educational employers and staffs, the capacity to meaningfully engage in various forms of social dialogue and the institutional means to ensure success over time.

62. In the first place, the forms that social dialogue can take are extremely varied. Some are very formal, while others depend on informality for their success. If the norms of the ILO/UNESCO Recommendation and the relevant ILO standards are observed, many forms of social dialogue are appropriate. Thus, education authorities, teachers' organizations and other interested parties should be free to devise systems which best respond to their mutual needs, although institutionalized mechanisms provide the best guarantees for sustained social dialogue.

63. At the international level, both globally and regionally, support for social dialogue in education is strong. However, the translation of general principles into concrete action has proven difficult. National political forces, educational structures and the lack of familiarity

of the parties with the various forms of social dialogue, all impede the implementation of the plans for social dialogue at the national level.

64. The increasing integration of the world economy has increased the importance of education as a source of competitive advantage. The developed nations regard education as a means of ensuring that their economies perform well in the shift to knowledge-based industries. Less developed nations see education as necessary for their participation in the generation and distribution of wealth in favour of their citizens.

65. In many nations teachers are the most organized occupation or profession, and their organizations can be powerful actors in national debates over education. Relative to the national level of economic development, many of these groups are able to mobilize the resources, financial and organizational, to participate effectively in social dialogue. Where national or local organizations are unable to generate the necessary competencies, assistance from international agencies, donors, teachers' organizations or other non-governmental organizations can supplement local resources.

66. The combination of the high profile of education in many national political and economic agendas and support for social dialogue at the international level both point to the expansion of social dialogue. Social dialogue has been and continues to be a part of the expansion of democracy in many countries in the late twentieth and early twenty-first century.

67. By contrast, however, prevailing economic orthodoxies in many countries discount the value of participation of popular groups, including teachers' organizations, in policy decisions. Changes in the structure of educational systems can affect social dialogue profoundly. In general, social dialogue with full institutional support occurs most often at higher levels of an educational system. In some countries, programmes to decentralize the delivery of education radically have the intention and effect of undermining regimes of collective bargaining, by concentrating power with management at the level of the school or small number of schools.

68. The parties often have different expectations and even definitions or understandings of the nuances of social dialogue, i.e. consultation versus negotiation; information sharing versus participation, as laid out in the ILO/UNESCO Recommendation, so they may have quite different expectations about the forms and results of social dialogue. These features can be incorporated by the parties more easily in larger organizational units.

69. Overall, social dialogue will most likely continue to expand, but not always in an unbroken progression, taking many different forms, presenting challenges to all participating parties, while producing results that will improve education where social dialogue is consistently and effectively applied.

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Module 8: Initial and further teacher education and training

8. Introduction – Basic principles

1. As outlined in other modules, motivated, well-qualified teachers and support staff are essential to functioning education systems. Effective teacher training is considered increasingly important to meeting international goals relating to educational enrolments, quality, and expansion of all areas of the educational sector, particularly pre- and post-primary education. In addition to initial education and training, the evidence argues strongly for teacher professional development as a critical factor in education reform. The ILO/UNESCO Recommendation concerning the Status of Teachers, 1966, states that "policy governing entry into preparation for teaching should rest on the need to provide society with an adequate supply of teachers who possess the necessary moral, intellectual and physical qualities and who have the required professional knowledge and skills" (1966: paragraph 11, Appendix I).

2. For teaching to be of high status and quality, adaptable to the needs of all learners, teacher education and training should respect the need for:

- extensive and expert knowledge of one or more subject matters or fields of learning depending on responsibilities;
- specialized skills and competencies as educators to maximize learning capacity;
- sense of personal and corporate responsibility for the learning and welfare of students;
- commitment to individual reflection on teaching practices, professional development and learning throughout a career, supported by the appropriate educational authorities.

3. Teacher development has three interrelated stages. The first is initial teacher training (ITT), geared towards those who have chosen teaching as a career. The second and perhaps most neglected aspect of professional development is the induction period, when the newly qualified teacher (NQT) begins to teach and, in many countries, undergoes a period of supervised mentoring and support, prior to being licensed as a teacher. The third stage is continuing professional development (CPD), often provided via in-service education and training (INSET), that should be available throughout a teaching career.

4. The module begins by outlining the need for coherent teacher education policy, followed by sections on the professional standards for entry into teaching and the retention of teaching credentials, key issues in the initial preparation of teachers, teacher educator staffing and development, teacher appraisal criteria, need for and support provided to those entering the teaching profession, the importance of CPD, and concludes with the importance of professional development support for educators working in learning sites other than schools – vocational education institutions, further education colleges, universities and adult education settings.

8.1. Developing coherent policies for teacher education

8.1.1. The teacher gap

5. The presence of sufficient well-qualified and trained teachers is crucial to meeting the EFA Goals by 2015. Teacher shortages are not new – they often reappear in a cyclical manner, depending on how well teacher policies on training, recruitment and incentives are adjusted to prevailing national needs. However, as module 1 (section 1.1.1) points out, chronic shortages in many developing countries have come into sharper focus in recent years, as around half of all countries worldwide are experiencing a teacher gap [1] in relation to meeting Universal Primary Education goals by 2015. Although sub-Saharan Africa suffers the most widespread and chronic shortages, all regions have primary teacher gaps (UNESCO–UIS, 2009; 2010). [2]

6. Considering rates of progress made thus far can help assess the feasibility of bridging teacher gaps by 2015. Although several countries have exceeded necessary growth rates, [3] the majority of countries fall short of requirements necessary to meet Universal Primary Education goals. While certain countries demonstrate that rapid expansion is possible, little information is available on the training of these new teachers and "many countries that succeed in employing sufficient numbers of teachers by 2015 will need to expand their training programmes to ensure quality education" (UNESCO–UIS, 2009: 12). An understanding of these challenges motivated the largest countries engaged in seeking to meet EFA goals to adopt a set of policy commitments on teacher policy, education and training goals (box 1).

[1] Within the module, the UIS (UNESCO–UIS, 2010: 1) definition of teacher gap is used: countries facing a teacher gap are identified as those where the number of teachers currently employed will not be sufficient to provide quality education for all primary school-age children by the target year of 2015.

[2] This does not account for natural attrition of teachers (estimated on average at 5 per cent per annum), therefore countries with severe shortages could face greater actual requirements and some countries, particularly in sub-Saharan Africa, will be disproportionately affected by HIV and AIDS. The estimates also do not distinguish between qualified and unqualified teachers according to national standards, therefore the teacher shortages in terms of qualified teachers and thus remedial teacher training requirements are likely to be higher in most of these countries.

[3] Afghanistan, Benin, Burundi, Cameroon, Congo, the Democratic Republic of the Congo, Guinea, Mozambique, Senegal and United Republic of Tanzania.

Box 1
Bali Declaration of the E-9 Countries [4]

As UNESCO estimates that by 2015 18 million new primary school teachers will be needed globally – 40 per cent of them in the E-9 countries – and that population growth and increasing enrolment rates often place severe strains on the capacity of education systems, we commit ourselves to:

- ensure sufficient teacher recruitment;
- ensure adequate administration for sound deployment, reduced absenteeism and attrition rates and provision of professional and administrative support;
- develop strategies for diverse and innovative routes to teacher certification and ongoing professional development;
- raise the quality of working conditions;
- retain teachers in the system through transparent and accessible career development and promotion pathways;
- re-examine levels of teacher remuneration;
- encourage the development of a comprehensive policy framework and national strategy addressing professional standards for teaching.

The Bali Declaration emphasizes using innovative, cost-effective approaches, improving infrastructure and resources and taking an approach that focuses on female teachers and those in remote or disadvantaged areas.

Source: UNESCO, 2008.

8.1.2. Elements of a coherent policy framework for teacher education

7. Strong, objective-led policy for teacher training, that clearly outlines supply and demand, budgetary and resourcing needs and how these will help meet education goals, is necessary at national and international levels. Several areas of teacher education policy are currently lacking in many countries (UNESCO, 2009a: 14; ILO/UNESCO, 2010: 20–21):

- Policy on teacher education is fragmented, incomplete and more often than not simply non-existent.
- The development of coherent, medium-term and financially sustainable teacher policy is widely neglected; specifically how adequate numbers of suitably qualified, able teachers can be recruited, trained and assisted in their professional development by means of an integrated approach to teacher learning as a continuous process of initial teacher education, induction, professional development and self-study.
- Teacher policy is often an afterthought to the EFA and Millennium Development Goals (MDGs).
- Provisions to monitor effectiveness (including quality assurance mechanisms and accreditation of programmes) are lacking. This could have negative consequences on

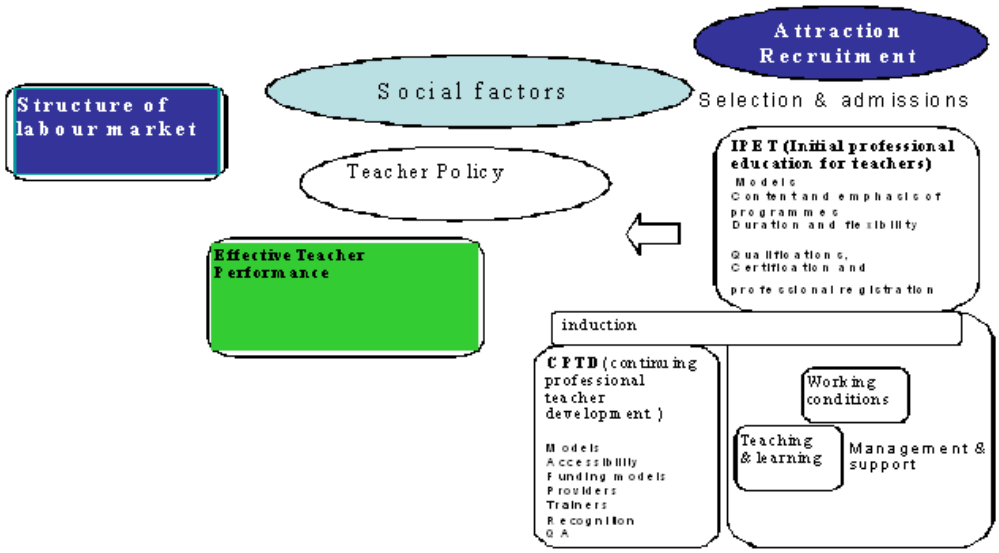
[4] The E-9 initiative is a forum for nine of the most highly populated developing countries (Bangladesh, Brazil, China, Egypt, India, Indonesia, Mexico, Nigeria and Pakistan), representing more than 60 per cent of the world's population and accounting for over two-thirds of the world's illiterate adults and more than half of out-of-school children, to discuss their experiences in education, exchange best practices and monitor progress on achieving Education for All.

the relevance of pre- and in-service teacher training to teacher needs and contexts and diverse pupil needs.

- In many countries, the authority lines within ministries are not clear, costing and subsequent funding is inadequate, responsiveness of the teacher education system to change is low and there is poor planning for teacher supply.

8. The model of teacher education (figure 1) outlines the components of teacher training required for a holistic approach which addresses many of these criticisms.

Figure 1. Key elements in developing a teacher education policy framework



Source: Sayed and Mohamed, 2009.

8.1.2.1. Developing effective cross-sectoral coordination

9. Coordination with government ministries is necessary to develop a complete, cohesive policy approach, focused on teacher education and connected with educational quality indicators. Rather than separated from national policies within education systems, teacher training should be an integral part of a wider approach to education at national levels (Sayed and Mohammed 2009).

10. Government ministries and institutions must understand who they can attract to training programmes. In many countries, teaching is not a respected profession, and pay is insufficient to attract the brightest graduates. In sub-Saharan Africa, teaching salaries have declined in comparison to other professions, and governments are struggling to fund teacher salaries (ILO/UNESCO, 2007; 2010). Educational policy must evaluate strategies for allocating additional resources to attract higher numbers of better qualified teachers.

8.1.2.2. Financing issues in planning

11. State funding versus cost sharing with trainees is a key issue in teacher education policy. The majority of teacher training schemes incur indirect costs to trainees, who earn less while training than working. Advantages in cost sharing, beyond lower government expenditures, are that only candidates with sufficient motivation to pay training costs enter the profession. Together with the desire to recoup training costs, this can decrease early withdrawal from the profession. However, candidates are restricted to those that can afford to pay, disadvantaging candidates from poorer backgrounds and potentially reducing the likelihood of recruiting teachers for poorer areas facing the worst shortages. Programmes

also become less attractive for those with good alternative prospects (Dai et al., 2007). Policy-makers must be careful to design cost-effective programmes without "skimming off" the poorest and highest achieving candidates.

12. The high number of teachers rapidly leaving the profession post-qualification increases attrition rates as well as failing to produce a return on the financial investment of training. The advantages and disadvantages of incentives and penalties are important policy considerations. Penalties for leaving teaching before a certain amount of time ensure a return on training investment, while incentives increase the chances of teachers entering and staying in the profession. However, benefits incurred in increases in the number of years spent teaching may be offset quality-wise if penalties mean teachers remain in classrooms with low internal motivation to do so (Dai et al., 2007). Hence the need to plan and fund a good teaching environment that helps sustain teacher motivation (see module 4), and the importance of viewing teacher policies from an integrated and comprehensive perspective.

8.1.2.3. Balancing supply and demand

13. Projecting teacher numbers provides baseline information for governmental and non-governmental organizations (NGOs) and policy-makers on teacher supply and demand, attrition rates, budget and resourcing. Such projections also indicate which countries are "on track" towards the goal of having sufficient trained teachers to meet Universal Primary Education by 2015. Projections must consider national contexts, including teacher numbers in comparison to need at each level of education, output capacity, attrition rates, pupil–teacher ratios, enrolment targets, retention, parity and equality, budget and resourcing implications (UNESCO–UIS, 2009).

14. Where feasible, central to planning teacher training is establishing an effective Education Management Information Systems (EMIS) responsive to system needs (Hua and Herstein, 2003 – see also 1.1.2).

15. The need for teachers is ongoing and in most parts of the world severe in at least one age group, subject or specialization. Given the plurality of needs, simply "reducing shortages by increasing enrolments in pre-service teacher education programmes seems unlikely to succeed" (Dai et al., 2007). Multiple entry routes, training structures, and potential pools of teachers must be considered.

16. The challenge of training new and existing teachers for EFA has generated much interest and debate about various models of pre-service teacher training. [5] Criticisms of conventional front-loaded pre-service teacher training programmes (the majority of training occurring at the beginning of a teaching career) have included that they tend to be too theoretical with inadequate attention to the acquisition of teaching skills or mastery of content appropriate to the primary level (see for example Lewin and Stewart, 2003). There are also issues of cost and efficiency, particularly where the length of the cycle is long and most training is front loaded. In Zambia, Provincial and District Education Office staff and District Standards Officers are responsible for monitoring the Zambia Teacher Education Course school-based year. In Malawi, District Education Officers are responsible for monitoring the level and quality of support provided to Malawi Integrated In-service Teacher Education Programme learners by zonal Primary Education Advisers. However, a study of teacher training in sub-Saharan Africa found that learner support and assessment are the weakest aspects of teacher training programmes with a significant school-based

[5] Teacher training has received fairly expensive analysis in previous GMRs. See for example, the GMR 2005: the Quality of Imperative which discusses the various challenges facing teacher training policy and practice.

component (Mattson, 2006). Various studies have concluded that effective school-based training relies on extensive mentoring support, which is expensive and, to be effective, must be complemented by periods of good quality residential contact (Lewin and Stuart 2003).

17. A number of countries and projects have experimented with the use of information computer technology (ICT) to support distance education for teachers. Distance education has become more sophisticated, and has largely graduated from print-based materials to the dominance of interactive online approaches, including methods such as video conferencing, emailing, online discussion forums and social networking tools (such as Facebook, blogs and mobile phone technologies (Young and Lewis, 2008, Harrevald, 2010). Methods of delivery are largely prescribed by resource availability and geographical constraints, with radio being more widely used in Nepal and television broadcasting in China (UNESCO, 2001).

18. Distance education has considerable potential to reach trainees in remote areas and/or difficult situations and in recruiting teachers from the areas they are to work in. It provides alternatives for professionals in areas far from training providers, or with existing work commitments. Using technology itself is an effective way of increasing the likelihood of teachers employing such tools in teaching and familiarizing their students with them (Latchem, 2010). Training is flexible and can be adapted to the target audience and objectives of training. Distance education makes simultaneous dissemination possible on a wide scale: Latchem (2010: 83) cites the example of the EU–China Gansu Basic Education Project, which allowed "about 100,000 teachers and head teachers in rural schools to learn about the new national curriculum, teaching methods and uses of ICT by observing and discussing lessons taught live by satellite TV or recorded on CDs and by collaborating with other teachers online". Projects such as the Teacher Education for Sub-Saharan Africa (TESSA, led by the Open University, UK, and the African Virtual University, box 2) and UNESCO's Teacher Training Initiative for sub-Saharan Africa (TISSA), are currently developing and making available multimedia materials for distance teacher education on a multi-national level.

Box 2
TESSA: Collaborative efforts to close the teacher gap in sub-Saharan Africa

Teacher Education for Sub-Saharan Africa (TESSA) was launched as a global effort between key organizations with expertise in delivering education via distance in the sub-Saharan context, including the Open University (UK), the University of Fort Hare (South Africa), the Open University (Tanzania), Nigeria's National Teacher's Institute, the Commonwealth of Learning, the BBC World Service trust, the African Virtual University and the South African Institute of Distance Education. Resources are available for various purposes – pre-service, upgrading and in-service professional development. The project is based on four dimensions:

- **Technological:** Up-to-date technologies are used, but resources are also available in downloadable formats for teachers without access to the necessary ICTs, notably Open Educational Resources (OERs), software and resources freely available for use and adaptation, whether for profit or not. The site has a variety of multimedia resources available in Arabic, English, French and KiSwahili.
- **Research:** Research involved in developing TESSA has led to a significant number of publications, TESSA sponsors doctoral students who wish to study topics related to TESSA from participating countries and institutions and TESSA has initiated a research project on professional and personal aspects of teacher's lives, to feed into the future design of courses.
- **Pedagogic:** Clear parameters guide the design of resources, with a focus on the core elements of primary teacher tasks, active learning, a common design structure (to be familiar for users), explicitly defined learning outcomes and collaborative work between teachers. Over 750 study units for educators are supplemented by various multimedia resources, such as audio clips and radio programmes, focusing on issues experienced by teachers.
- **Take-up:** To ensure that the focus remains on resource use, rather than resource production, TESSA has initiated workshops, expert visits and other activities to support implementation, reinforced by representatives reporting back on their experiences of implementation, progress and areas for future development.

The resources are being adapted and developed on national scales to upgrade hundreds of thousands of teacher qualifications in Nigeria and Sudan (in Nigeria TESSA resources form the basis for all manuals in Colleges of Education). The project places importance on evaluation: reports have revealed that 96 per cent of a sample of students from the Open University of Sudan and the National Teachers' Institute of Nigeria reported TESSA resources had changed their teaching practice; of students in a University of Pretoria sample, 88 per cent reported TESSA units had helped them understand the use of a wider range of classroom activities, and 82 per cent that pupil engagement and behaviour improved when using TESSA activities. To ensure TESSA continues to be effective over the long term, institutional commitment must be strengthened, and supported by institution's leadership so that "the use of TESSA like resources becomes part of the professional culture of participating teacher educators and the teachers they support" (Moon: 133).

Source: Moon, 2006.

19. TESSA points to the potential for collaborative resource development to have a clear impact on teacher development on a large scale. Conversely, small scale distance learning programmes can be targeted at specific groups, to cater for shortage subjects, and specialist fields. This has been done in South Africa to train specialist teachers (for the hearing impaired and in technology) and in the United Kingdom to address teacher shortages in certain subjects (through the Open University; Mayes and Burgess, 2010).

20. Studies of student satisfaction with distance learning versus traditional methods are conflicting, with some evidence that face to face training increases pass and completion rates (Bennell and Sayed, 2009). Assessing satisfaction is difficult, as distance learning programmes vary in the technologies they use, ways of using them and the content and subject matter covered (Schwille and Dembele, 2007). In Korea, distance education has been used successfully to provide INSET training on ICT integration, with comparable satisfaction levels, grades and pre- and post-course attitudes as face to face programmes (Latchem, 2010). The multiplicity of distance learning programmes available makes it difficult to draw conclusions on their effectuality, student satisfaction and cost-effectiveness.

8.1.2.4. Devising policy coherence across initial training and CPD

21. Mainstreaming expectations of teaching professionals is a prerequisite to improving teacher education quality. This has been addressed in the European Union through the "Common European Principles for Teacher Competencies and Qualifications" (European Commission, 2010), which set out the need for teachers to be well-qualified, lifelong learners, within a mobile profession based on partnerships. The principles cite career development as a key priority for teachers to be "equipped to respond to the evolving challenges of the knowledge society, participate actively in it and prepare learners to be autonomous lifelong learners" (2010: 2). To ensure a coherent approach to teacher education, the teaching profession should, as noted in the introduction, be "seen as a continuum which includes initial teacher education, induction and continuing professional development" (2010: 4). Finland sets the example (box 3) of a country where continual policy development and a clear career structure has succeeded in making teaching a career which is on par with and even more attractive than other professions, attracts the brightest graduates and has succeeded in increasing the quality of education and student achievement.

Box 3
Finland: Putting learning before teaching: An alternative approach to the teaching profession

Finland has taken an innovative approach to educational reform, desisting from the widespread tendency to measure student, teacher and school achievement based on learner achievement in high stakes national tests. Instead, educational policy focus is based on the notion that talented, creative individuals join, develop and manage the education system, as "instruction is the key element that will make a difference in what students learn in school, not standards, assessment or alternative instructional programmes". Teacher professionalism increased throughout the 1990s, as did "the prevalence of effective teaching methods and pedagogical classroom and school designs" (Sahlberg, 2007: 167). A great part of this is due to the approach to and quality of teacher training provided, the key elements of which are:

- **High levels of initial education:** Primary school teacher preparation was converted from a three-year programme at teachers' college to a four- or five- year university programme in the late 1970s. Primary teachers must hold a minimum of a Masters in Education to qualify for a permanent teaching post. This degree makes teaching a particularly attractive profession, as it increases graduates' career options, gives teachers access to higher education, and has led to a rise in the number of teachers and principals with Doctorates in Education.
- **Linking training with research:** The high levels of initial education are aligned with the wish for teachers to be prepared for a research-based profession and the need for this to be supported by studying for a higher level degree.
- **Selective recruitment:** With only 10 per cent of graduates applying to Faculties of Education accepted annually, and over a quarter of upper secondary school graduates rating teaching as the most desirable profession, teacher training institutions are able to select the brightest, highest achieving graduates to join the profession.
- **Balancing theory and practice:** Finnish teacher education programmes are well balanced between theory and practice and go into considerable depth and breadth in comparison to other programmes internationally.
- **Individual responsibility for professional development:** Finnish teachers take considerable responsibility for their professional development, viewing it as a right rather than a responsibility – the focus of CPD has shifted from compulsory courses to longer term opportunities based at the school or municipality level.
- **Management decentralization underpins professional autonomy:** Education management has been largely decentralized, with greater accountability held at the level of schools and education authorities for decision making. Teachers are responsible for student assessment, rather than base achievement measures on standardized tests. Teachers are open to innovations which have a clear benefit to teaching and learning.
- **Building trust to reinforce professionalism:** There has been a successful shift, since the 1980s, to a

"culture of trust" where parents, students and authorities recognize teachers as expert professionals.

- **Reforms based on real needs:** Rather than implement waves of successive reforms that lead to teachers becoming frustrated and resistant to change, "sustainable political and educational leadership has enabled Finnish schools and teachers to concentrate on developing teaching and learning as they best see it to be needed [and] ... to meet authentic demands and expectations of schools and individuals" (Sahlberg, 2007: 158).

Source: Sahlberg, 2007.

22. Cohesively addressing teacher training requirements requires sustained and effective dialogue and participation in decisions between education authorities (schools and ministries), training institutions and teachers' unions (ILO/UNESCO Recommendation, 1966: paragraph 32), and pre-service teacher training which is coherent within a wider policy on INSET. Traditionally INSET training has little connection to teachers' experiences in schools, being designed to update large numbers of teachers on new pedagogies, strategies or technologies. Priorities are frequently decided at senior levels and teacher participation simply expected as part of their professional obligations, with often little or no input from teachers as to what is needed to improve classroom teaching. While INSET training serves an important purpose, it must also be expanded, and teachers put at the centre of the process, through a process of social dialogue that allows teachers to indicate their training needs.

8.2. Professional standards for entry into teaching and retention of credentials

23. Successful education systems, as illustrated by the case of Finland, rely on recruiting, retaining and consistently enhancing the quality and training standards of teachers, as set out in the international standards on teachers (ILO/UNESCO, 1966, chapter 5).

8.2.1. Minimum teacher qualification standards for entry

24. Entry qualifications for teachers show considerable variation between countries but generally most systems require basic schooling as a minimum prerequisite. Typically, lower levels of education are needed to teach at primary levels than secondary and tertiary levels. In Ethiopia, schooling levels largely determine which grades teachers are assigned to. In Pakistan, although all teachers receive a year's teacher training, ten years education suffices to become a primary teacher, 12 years education a middle school teacher, and only secondary teachers require a first degree (Westbrook et al., 2009). In countries with few graduates, this allows higher content knowledge to be directed to secondary levels. Certain factors help attract high achieving graduates to training programmes, regardless of the difficulty in selection criteria and qualification process. Box 4 outlines an example in France.

Box 4
Trainee teacher recruitment in France

In France teaching is a respected profession, with a competitive salary structure and high job security: training leads to tenured *fonctionnaire* (civil service) positions within the national education system. Recruitment is rigorous and places limited by being closely linked to demand, helping teaching remain relatively exclusive. Academic merit largely dictates selection, being based on competitive examinations (regional at primary levels and national at secondary levels). The number of applicants is higher than the number of places, in 2002, 54,826 applicants for 12,000 primary-teaching posts and 92,759 applicants for 17,200 secondary places. The academic demands and potential for trainees to prepare for exams with no guarantee of passing represent considerable costs, but are considered worthwhile by many for the chance of securing a well-remunerated, tenured position within a respected profession.

Source: Ministere de l'Education Nationale (n.d).

25. This type of training may not be applicable in resource-poor countries and is predominantly limited to academic achievement as a criteria for acceptance, which can be a poor predictor of success as a teacher (Sayed, 2009). Additional methods of recruitment such as interviews, aptitude, language and calculation assessments are useful, but need to be consistently applied. Box 5 outlines the progress in implementing policy reforms to monitor teacher competency and qualifications in Namibia, challenges and the measures needed to overcome persistent limitations.

Box 5
Teacher education policy in Namibia

In Namibia colleges of education (CoE) fall under the Ministry of Education (MoE) and offer the three-year Basic Education Teachers' Diploma for the three "basic education" school phases, while the University of Namibia (UNAM) offers a four-year education degree, which mainly caters for upper secondary schooling. The following reforms and interventions are being implemented or proposed in relation to the teacher educator system:

- a teacher education competency framework (the National Professional Standards for Teachers), which details competencies and standards for teachers;
- a system of teacher accreditation and licensing: NQTs will complete a one-year internship prior to becoming licensed;
- the introduction of a new school curriculum which would impact on ITT subject specializations, by reducing the number of subjects taught.

The UNAM degree proposes to upgrade academic demands, which is likely to result in higher repetition and drop-out rates. Recommendations have been made to direct funding to priority subjects and assist school leavers who face difficulties in funding their training:

1. The introduction of a well conceived grant–loan scheme for trainees, in which funding levels depend on subject priority areas, combined with cost recovery increases for teacher educators to at least fifty per cent of total recurrent expenditure.
2. Urgent strengthening of education sector human resource planning.
3. Increasing the supply of highly motivated trainees by:
    - increasing and diversifying college admission requirements;
    - introducing standardized tests of suitability and aptitude;
    - rigorously assessing trainee's competence in English and ICT;
    - providing full scholarships for the most able graduates, and for trainees who will teach scarce subjects.

Source: Bennell and Sayed (2009).

26. In countries with severe shortages, training programmes must pay attention to factors that reduce early attrition amongst NQTs. More comprehensive programmes lower attrition

rates, as teachers are better prepared for the job. Trainees with unrealistic expectations are more likely to leave teaching (Kyriacou et al., 2003). In the United Kingdom (England), 25,000 teachers that received training between 2001–07 never entered the profession and over 400,000 qualified teachers have left government schools, the majority early in their careers (Williams, 2010). A survey of primary, middle and secondary teachers in England revealed workload, government initiatives and stress as the three primary cause for changing careers, with salary the least important (Smithers and Robinson, 2003). These factors are less predictable, only becoming apparent after some years in teaching. Increased practical elements of training may reduce early attrition rates by giving more realistic expectations.

27. There are some instances when entry requirements to training may be varied to encourage more diversity in teacher training and recruitment. In Namibia, colleges of education make provision for lower entry requirement for trainees from the San community (Bennell and Sayed 2009). In Ethiopia, there has been a concerted effort to increase the number of female trainees by using quota systems in teacher training colleges. Attention is being paid to increasing the number of female teacher educators, who currently comprise below 10 per cent of teacher educators. This reflects in part that female secondary teachers constitute below 10 per cent of the secondary teaching force, from which most teacher educators are drawn (Eshete, 2003). These programmes are likely to require the provision of additional support to under-qualified trainees, as well as greater flexibility to undertake training for women who are unable to spend long periods away from home and/or have childcare responsibilities (Bines, 2007). In Egypt a Community School Project was initiated for remote areas where enrolment rates for girls were as low as 10 to 15 per cent. The project was based on recruiting as teachers young women living locally and who were selected by the community. The women who were unqualified were provided with training and support which enabled them to become part of the regular teaching force (Zalouk, 2004).

8.2.2. Alternative entry routes

28. To solve recruitment difficulties, teacher training programmes are continually expanding the routes open to different categories of trainees. Important sources of such recruitment are students from non-teaching disciplines taking graduate level courses and mature students changing careers. For example in the United States, shortages in recent years have been "chronic and severe", with a high proportion of unqualified teachers, in particular in high-poverty areas (U.S. Department for Education, n.d.; Dai et al., 2007), leading to increasing recruitment of teachers from untraditional routes to close the shortage gap, with different entry routes designed for different types of trainees (see also 1.2.3). However, the tradeoffs in terms of costs and benefits for policy and recruitment authorities need to be carefully considered. Some strengths and weaknesses of each group are outlined in table 1.

Table 1: Strengths and weaknesses, early and mid-career changers

Population	Strengths	Weaknesses
Mid-career changers	– Greater supply, almost "limitless'" pool of university graduates in other careers – Training can focus directly on teaching as candidates already have university degrees	– More difficult to assess motivation, ability and potential success as teachers – May seek employment close to home following qualification and leave target areas – Recruits may return to previous field if find teaching difficult or if it the previous occupation was more lucrative
Early career changers	– Less potential earnings to lose than mid-career changers – Large pool to recruit from – Unknown job and location-specific capital of candidates brought to teaching	As above

Source: Dai et al., 2007.

29. Paraprofessionals constitute an additional source of recruitment to teacher training – those who have existing jobs as teaching assistants or providing support to teachers. Their aptitude and suitability to be teachers is often easier to assess due to their previous classroom experience, and they may be recruited for the long term and for specific communities of learners.

30. Factors that increase programme costs, such as trained teachers not entering the profession, changing careers or teaching outside the area in which training occurred must be considered (Dai et al., 2007). In the UK (England), the government has taken steps to increase the number of quality graduate teachers entering postgraduate training schemes, and subsequently entering and remaining in the teaching profession. There is a strong focus on recruiting for shortage subjects and urban areas with high levels of poverty. The schemes available are shown in table 2.

Table 2. Incentive schemes for trainee teachers in the UK (England) according to area of need

Training programme/ scheme	Aim of scheme	Eligibility criteria	Financial incentives	When financial incentives are paid	Other incentives
Student Associates Scheme	To attract increased students to teaching	Be a student registered on relevant Higher National Diploma, foundation degree, undergraduate degree or postgraduate programmes	40 GBP tax free per day spent in school (15 days)	Information unavailable on site	n/a
PGCE/ Tax free bursary	More graduates to enter the teaching profession	Undergraduate degree – for secondary in a related discipline	Three-tiered bursary of 4,000, 6,000 or 9,000 GBP depending on subject priority	Monthly for 10 months during the 1 year training programme	n/a
PGCE/ "Golden Hello"	Teachers of shortage subjects to enter the profession	Undergraduate degree	5,000 or 2,500 GBP depending on level of subject priority	At the start of the second year teaching	n/a
"Golden Handcuffs"	Increased high achieving graduates	– Undergraduate degree	10,000 GBP	2,000 in the first and second years	– Fully funded Masters in

Training programme/ scheme	Aim of scheme	Eligibility criteria	Financial incentives	When financial incentives are paid	Other incentives
	and teachers in disadvantaged areas with challenging conditions	– The school must achieve good or outstanding Ofsted rating in Leadership		of teaching, 6,000 at the end of the third year	Teaching and Learning (TL) – Training on strategies for working in schools with challenging conditions
Teach First	Increased high achieving graduates to the teaching profession in disadvantaged and challenging schools, with a focus on preparation for leadership roles	– Minimum achievement of 2.1. in undergraduate degree – Meets the Teach First personal leadership qualities	Salary of between 17,260 and 21,242 in the training year according to where trainee lives (highest salary for inner London), increasing in the second year as an NQT	As monthly salary, starting the first year of training	Fully funded modular Leadership Development Programme that leads to MA in Leadership

Sources: TDA, n.d.a, TDA, n.d.b., Teachernet, 2010, Teach First, 2010.

31. Under such schemes, bursaries vary yearly based on projected demand, with reductions more prevalent in recent years as demand for teachers decreased. Payment is usually deferred, to ensure teachers enter the profession. The Golden Handcuff scheme especially offers strong financial incentives for teachers that stay within a school for a minimum of three years, and is an example of funding being allocated to schools in urban areas that traditionally have trouble attracting teachers. Minimum levels of achievement required in Office for Standards in Education (Ofsted) inspections by the school show attempts to create strong leadership in poor urban schools, and for a cohesive school approach to combating inequalities in achievement. Its application in developing countries requires assessment of the human, institutional and financial capacity. Such schemes also remain an example of front-loaded investment that may not reduce the numbers leaving the profession after a few years.

32. Alternative entry routes to traditional teacher training programmes may help to fill shortages in hard to recruit areas and subjects, but the lowered training standards need to be compensated by strong mentoring and CPD programmes if the investment in training such teachers is not to be lost. Evidence from programmes such as Teach for America in the US show that recruits under such programmes do not perform as well as fully qualified and experienced teachers, and they are highly likely to leave teaching altogether after two–three years (see module 1, box 10).

8.2.3. Roles of professional bodies

33. Professional bodies play a crucial role in bringing education stakeholders together under shared national standard frameworks for teacher education that monitor teacher codes of conduct (see 3.4), curricula and assessment. Such bodies should retain a level of independence from the state, teachers unions, teachers and schools, while fulfilling a coordinating role for all of these. Setting standards within a clear framework strengthens school initiatives, as pedagogy and philosophy have a "trickle down" effect.

34. In New Zealand, teaching councils set guidelines for teacher educators to approve and reapprove teacher education programmes. Their role is:

- to provide professional leadership in teaching;

- to enhance the professional status of teachers;
- to contribute to a high-quality teaching and learning environment for children and other learners (New Zealand Teachers Council, 2005).

35. Belize provides an example of the multiple roles expected of many professional bodies to ensure teacher training quality (box 6).

Box 6
Belize Board of Teacher Education: Roles and responsibilities

The Belize Board of Teacher Education was designed to provide quality assurance of teacher education and training in Belize by making recommendations on teacher training and allied matters to the appropriate authorities including:

- approve education institutions wishing to offer new or existing teacher training programmes;
- recommend or approve new education programmes, services and courses;
- recommend standards for the delivery and assessment of teacher education;
- endorse all rules, procedures and policies governing the delivery of teacher education;
- endorse and publish curricula for each programme and course offered for teacher training;
- review annual reports submitted by teacher training institutions;
- recommend or approve curricula that support the education and CPD of teachers, teacher educators and other instructional leaders throughout their careers;
- advise on the certification of teachers qualified in other countries for employment in Belize;
- recommend annual awards to outstanding teachers for exceptional service rendered in the profession.

Source: Government of Belize, Ministry of Education and Youth, 2010.

36. Teachers' unions also have an important role to play in support of teachers by providing resources for conferences and workshops and developing and supporting new initiatives "that allow teachers to be more involved in educational decision-making, as well as in programmes of induction, mentoring and action research" (UNESCO, 2003: 137).

8.2.4. Appraisal of individuals during initial training

37. Training institutions perform the dual functions of supporting teacher development and ensuring trainees adhere to standards, including filtering out unsuitable candidates during initial training. Possible filtering points and mechanisms for unsuitable candidates include:

- entry to teacher education programmes (academic requirements, interviews);
- evaluation of practical experience requirements (working in schools, or in similar roles):
- exit from teacher training programmes (according to assessment criteria);
- certification procedures;
- hiring practices;
- evaluation of the induction period;
- evaluation of professional development;
- evaluation of the probationary period for permanent appointment (Schwille and Dembele, 2007).

38. Appraisal of potential teachers and thereby filtering out those judged unsuitable must be based on clear, transparent, and objective criteria which reflect the national teacher competencies. Box 7 provides an example of the competencies that teachers in South Africa are expected to demonstrate at the end of their training period, and which are used to judge suitability.

39. Teacher appraisal must be accompanied by opportunities for development and for improving on areas of weakness. Appraisal can also be linked to award of qualified teacher status, as in the UK (England) where trainees who fail to meet one or several standards are not awarded teaching status.

Box 7
Norms and standards for educators in South Africa

South African educators are expected to show a wide range of competencies to succeed a teacher training programme:

Learning mediator: mediate learning in a way that is sensitive to the needs of learners; construct contextualized and inspirational learning environments; communicate effectively showing respect for student differences; demonstrate sound knowledge of subject content, strategies and resources appropriate to South Africa.

Interpreter and designer of learning programmes and materials: understand, interpret and design learning programmes; select/prepare suitable resources for learning; pace learning in a manner sensitive to the subject and learners.

Leader, administrator and manager: make decisions appropriate to manage learning in the classroom, carry out administrative duties efficiently and participate in school decision making structures; take decisions in ways which are democratic, support learners and colleagues, and demonstrate responsiveness to changing circumstances and needs.

Scholar, researcher and lifelong learner: achieve ongoing personal, academic, occupational and professional growth, through pursuing reflective study and research in their learning area, in broader professional and educational matters, and in other related fields.

Community, citizenship and pastoral role: practise and promote a critical, committed and ethical attitude; uphold the constitution and promote democratic values and practices; respond to educational and other needs of learners/fellow educators; develop supportive relations with parents and other key persons/organizations based on a critical understanding of community and environmental development issues (including HIV/AIDS education).

Assessor: understand that assessment is an essential feature of teaching and learning, and assessment purposes, methods and effects; provide helpful feedback to learners; design and manage formative and summative assessment; keep detailed and diagnostic records of assessment; and interpret and use results to feed into processes that improve learning programmes.

Learning area/subject/discipline/phase specialist: be well grounded in the knowledge, skills, values, principles, methods and procedures relevant to the discipline or subject.

Source: Ministry of Education, South Africa.

8.3. Teacher preparation institutions and programmes

40. In recent years teacher education philosophy has shifted towards the concept of professional development as lifelong learning, with trainees at the centre of the learning process and provided with practical opportunities to put skills into practice (UNESCO, 2003). Teacher education should be conceived as an integrated whole, including pre-service training, induction and CPD that is systematic, well funded and accessible to all teachers (Schwille and Dembele, 2007; ILO, 2000). Application of this principle is key to continual improvements in the quality of education, in line with principles set out in the ILO/UNESCO Recommendation (1966, chapters 5 and 6 on initial teacher education and

in-service training), as well as important to other aspects of good teacher policies (see module 2 on teacher employment and careers).

8.3.1. Institutional/programmatic objectives and curricula

41. Successful teacher training requires a consistent approach between teacher educators, balance between theory and practice and giving student teachers the opportunity to reflect, research and question their beliefs. This requires well designed teacher education programmes, well-qualified and motivated teacher trainers and a curriculum and pedagogy which promote active and constructive learning. Darling-Hammond (2006) and Korthagen et al. (2006) identify components of effective teacher training programmes (box 8).

Box 8
Common components of good teaching programmes in Australia, Canada and the Netherlands

Learning about teaching:

- involves continuously conflicting and competing demands;
- requires a view of knowledge as a subject to be created rather than as a created subject;
- requires a shift in focus from the curriculum to the learner;
- is enhanced through (student) teacher research;
- requires an emphasis on those learning to teach working closely with their peers;
- requires meaningful relationships between schools, universities and student teachers;
- is enhanced when the TL approaches advocated in the programme are modelled by the teacher educators in their own practice.

Source: Korthagen et al., 2006.

42. Specifically, in addition to general studies, teacher preparation programmes should include:

- study of the main elements, theory and history of education, and of comparative education, experimental pedagogy, school administration and teaching methods;
- studies in the student's intended field of teaching;
- practice in teaching and in conducting extracurricular activities under the guidance of fully qualified teachers (ILO/UNESCO Recommendation, 1966: Chapter 5).

43. Campaigners for an improved teacher education curriculum as part of EFA efforts advocate the following:

- equipping trainees with the necessary language fluency and capability to serve the needs of the school to which they will be posted;
- training materials that are locally written and produced, if externally produced materials are scarce or insufficiently relevant;
- curriculum that challenges the trainee to reflect on his or her own practice, acquiring an understanding of how learners learn and strategies for dealing with unique and changing circumstances;
- a flexible curriculum that takes the trainee's prior experiences into account;

- equipping teachers with the skills needed to use inclusive, child-centred pedagogies and cater to the different needs of different children – girls, boys, children living with or affected by HIV/AIDS, disabled children or children from caste, ethnic or other minorities;
- support for teachers to develop the skills and motivation to assess, monitor and respond to each child's needs and stage of development;
- encouragement to teachers to promote gender, class and racial equality in their teaching (GCE, 2006).

44. Putting such principles into practice requires more than just establishing an ideal teacher education programme – it requires monitoring and changes in programmes that do not meet these goals (see box 9).

Box 9
The Diploma in Teacher Education (DTE) in Uganda

Uganda's DTE requires two years full-time attendance before qualifying as a teacher educator. Applicants must have a diploma in education in addition to teaching experience. The DTE programme comprises compulsory professional studies, a research project and two seven week practice placements. Student teacher educators specialize in one or two subjects. The objectives of the DTE programme are to:

- develop a deep understanding of the role of teacher education;
- examine and improve the quality of teaching and learning (TL) at the primary training college (PTC) and Primary School level;
- make use of TL materials for both PTC and primary school levels;
- acquire key concepts, inquiry, skills and techniques and appropriate attitudes for use in educational supervision, curriculum development and evaluation;
- acquire knowledge and skills for educational research.

A review of the DTE programme concluded, however, that the DTE was ineffective, for the following reasons:

- only 3 per cent of the DTE curriculum was dedicated to teacher education pedagogy;
- content knowledge did not reflect the content of the primary curriculum;
- content knowledge examinations formed the majority of assessments, not summative and formative assessment methods;
- student teacher educators solely used rote learning techniques and did not sufficiently teach or develop pedagogical skills.

Recommendations for change include:

- ensure minimum standards for teacher educators;
- increase the availability of instructional and reference materials;
- enhance research skills and reflective practice by devoting more time to the research module in the DTE curriculum, improving research supervision and increasing the prominence of research once teacher educators are working;
- align curriculum content to key areas of competence and knowledge;
- ensure teacher educators have the skills for competent supervision.

Source: O'Sullivan, 2010.

8.3.2. Key curricula elements of initial teacher education programmes

8.3.2.1. Promoting active student learning

45. Children learn best from active teaching methods, constructed from their perspective, rather than from rote learning and information recall (UNESCO, 2004). Student centred learning requires higher order thinking skills of students and provides them with better skills to cope with an ever more demanding job market (Mtika and Gates, 2009). Student centred learning is inconsistently applied in classrooms after teacher trainees take up their posts. Trainees must witness, experience and try out child centred methods to avoid disconnect between theory and practice, as has occurred in many countries. In Pakistan, for example, newly qualified teachers have reportedly been frustrated in using child-centred teaching methods by the opposition of senior teachers. Indeed, the impact of poor coordination of teaching practices is exemplified by the challenges NQTs in Pakistan face in implementing student-centred pedagogies while professional standards concurrently allow practices such as caning (Westbrook et al., 2009).

8.3.2.2. Classroom and school management

46. To help teachers deliver effective learning opportunities, initial and continuing training needs to target potential classroom management challenges (e.g. difficult or different student populations, such as ethnic minority or migrant children). Curriculum must be designed for specific circumstances, including large classes, scarce resources and large numbers of un- or under-qualified teachers.

47. Collaboration is effective in building teachers' skills in challenging classroom environments. In Colombia, the "Escuela Nueva" programme has used team teaching (trainees with teachers, trainees alone or teachers alone) in multigrade classrooms. Teachers support each other in teaching strategies and reflect on successes in affecting change within the classroom setting, with positive results (UNESCO, 2003).

48. Studies of multigrade teachers suggest that additional support needs to be provided, among other areas in curriculum development and planning, classroom organization and layout, effective time and classroom management, discipline, assessment and evaluation, and parent and community relationships (Mulryan-Kyne, 2007: 508). Innovative strategies are often required for multigrade schools in remote or rural areas with lower student populations, as in the ZEUS project in Greece, where satellite systems allow teachers in remote areas to receive targeted training to develop their use of ICT and apply teaching and learning approaches that are most appropriate for multigrade classrooms. Research into this initiative revealed that teachers have a positive response to training, feel less isolated, enjoy having increased opportunities to interact with other educators, and have increased the use of ICTs in class (Koulouris, 2005).

8.3.2.3. Disciplinary studies

49. As the ILO/UNESCO Recommendation (1966: paragraph 19–20) insists, teachers must have sufficient knowledge to understand the subject matter they teach, use the curriculum confidently and creatively and transmit their knowledge to students. Inadequate subject knowledge can lower student attainment: teachers working in disciplines they have not studied have lower achievement. Programmes such as those creating links between expert science, mathematics and engineering schools and teacher training institutions in the US offer innovative solutions (UNESCO, 2003).

8.3.2.4. Innovation and creativity: Being a reflective practitioner

50. An important aspect of promoting innovation and creativity, particularly for new trainees who must apply and also adapt what they have been taught to classroom realities, is to develop in teachers a reflective practitioner approach, one of the key components of enhanced teacher professionalism considered crucial to quality learning opportunity (Mevarech, 1995, in UNESCO, 2003; ILO, 2000).

8.3.2.5. Working collaboratively

51. Preparing teachers to collaborate and carry out research is essential to improve educational quality in school and the effectiveness of teacher training. Collaborative relationships increase experimentation, risk-taking, motivation, sense of ownership and enrich professional knowledge (Teklesselassie, 2005). Collaboration between educational leaders, teacher training institutions and teachers encourages a shared vision, change, support to NQTs transitioning into teaching and provision of CPD for more experienced staff.

8.3.2.6. The practicum

52. In recent years, there has been a shift towards an increase in the practical component (actual classroom experience allowing the application of skills learned during studies) to enhance the quality of training and to better understand the dynamics of classroom teaching. Teachers "cite early, frequent and relevant clinical (classroom) experiences as a critical component of high-quality professional preparation" particularly in preparing for more challenging environments, such as those with a high proportion of students of lower socio-economic status; longer placements with mentors enhance the sense of NQT preparation. Evidence indicates that student teachers who receive increased amounts of "field" or classroom experience remain in the profession at significantly higher rates than those prepared through largely trainee institution-based programmes, and are better equipped for the profession (Berry et al., 2010). Examples of different approaches are provided in box 10.

Box 10
School based teacher training in selected countries

Mexico: School-based experience for students in Mexico consists of a placement in a school as part of the final year of training and includes the provision of financial support. Student-teachers are guided by a group of teachers at the host school and followed by a tutor at the teacher education institution. The experience has three main features and is:

- systematic, following a distinct plan agreed by the host teachers and the teacher education institution;
- reflexive, as student-teachers are expected to reflect on and adapt their practice to the situations faced in the host school; and
- analytical, as the student-teachers and mentor teachers analyse and report on the difficulties and achievements of the field experience.

The Netherlands: Students in the final year of their training are employed by schools on a part-time basis and on a training and employment contract for a limited period not exceeding one school year. By relating these experiences back to the teacher training institutes, the trainees help institutes follow current developments in schools more closely and schools benefit from reduced workload of regular staff and new ideas on teaching methods.

Sweden: Teacher trainees work with a teacher team to familiarize themselves with the various roles of teachers as individuals and as team members. They also take part in educational activities such as planning, teaching and evaluation and have opportunities to attend seminars, projects and presentations organized for them at the partner school. The programme, conducted in close cooperation between the school and the university or college, lasts for 20 to 30 weeks and includes a research-based component linked to their academic studies. The student teachers keep in touch with "their" school throughout their teacher education.

Malawi: Research found that trainees in schools picked up the more technical and administrative aspects: they knew how to keep records, write lesson plans and schemes of work and manage a class, but lacked creativity. The Malawi experience reveals difficulties in training new teachers in school conditions where many basic resources, both human and material, are lacking, some advantages of locally-based programmes but also limits of distance-based teacher education devoid of some regular face-to-face contact.

Source: OECD, 2005, Lewin and Stuart 2003, Bennell and Sayed, 2009.

8.3.3. Teacher educator staffing and development

53. Good teacher educators are vital to ensuring that trainees are well trained. They should know and model child-centred methods, be able to instil good ICT practices in pedagogical methods, be good at curriculum adaptation and be effective in supporting training. Many teacher educators lack formal training, as universities often treat teacher education as a self-evident activity both for those in initial teacher educator programmes and those who mentor prospective teachers in classroom experiences, on the mistaken assumption that being an effective class teacher provides sufficient experience. Additional skills needed for effective teacher training include:

- developing students' knowledge and thought processes behind decisions made in classrooms;
- adapting teaching strategies in practice (such as learner centred education), while coping with standardized testing and accountability processes;
- developing learning that encourages trainees to question understandings and beliefs to facilitate adaption of teaching to a variety of settings and situations (Zeichner, 2005).

54. Teacher educator professional development can be strengthened by imposing quality standards, especially where part time, adjunct, temporary and even school-based personnel who work as site-based coordinators and school–university liaisons require such training (Cochran-Smith, 2003). Quality standards need to be combined with sustained professional development opportunities for assessed deficiencies. In addition, as with good practice for teachers, collaborative research between teacher educators and knowledge of evidence on new pedagogical approaches from other researchers can encourage more relevance and questioning of assumptions by educators themselves. These qualities in turn can help to successfully plan teacher recruitment, programme structure and the content of effective teacher training (Cochran-Smith, 2003; Zeichner, 2005).

55. In summary, a set of principles to guide teacher educator training to meet varied and complex tasks include:

- education in pedagogy to convey a variety of teaching methods, techniques, and processes;
- preparation on practical issues related to day-to-day work in the classroom;
- research directly related to their area of expertise;
- understanding of the teacher educator institutions and students' workplaces;
- in-depth knowledge of the national education system and its context;
- teamwork and collaborative work;

- enjoyment of teaching, so as to generate a positive attitude towards teaching in their students (Hernandez 1998, in UNESCO, 2003: 139).

8.3.4. Teacher educator appraisal

56. Despite evidence that appraisal is a positive and necessary part of professional development, contributing to increased satisfaction and development for teachers (see also module 3), there is a lack of clear national and international focus on assessing teacher educators' roles, skills and effectiveness. For example, in Sweden, while it is becoming more common for teacher educators to receive mentoring support, there is little information or focus on further development through appraisal systems linked to CPD.

57. Given the diversity of teacher educators' background and experiences, a cohesive and effective appraisal system cannot be implemented unless more attention is paid to instituting formal systems for teacher educator competences, standards and training at national, regional and international levels; in essence focussing more attention on teacher educator professionalism and the multiple functions of the job, as recommended by the ILO/UNESCO Recommendation (1966: paragraphs 25–28). This may occur through dedicated teacher education associations, as in the Netherlands, whose Dutch Association for Teacher Educators (VELON) publishes a journal for teacher educators, holds an annual conference, stipulates professional standards and holds a professional register for teacher educators, including assessment procedures. The Association of Teacher Education (ATE) in the United States likewise has developed an assessment framework for teacher educators on the basis of nine basic standards and indicators to measure them, built around teaching practice, cultural competence, scholarship, professional development, programme development, stakeholder collaboration and advocacy for high-quality, professional teacher education (ATE, 2003; Snoek and Sanden, 2005; Snoek and Wielenga, 2001).

8.3.5. Management: Duration and location of teacher education programmes

58. The length of initial teacher education programmes varies substantially among countries. On average among OECD countries, teacher education programmes range from four to five years, with minimum requirements usually being a first (Bachelor) university degree and higher levels required for secondary (usually a Masters degree or equivalent), compared to pre-primary and primary teachers. There are some quite large differences in duration within single countries, with courses for some upper secondary teachers being around twice the duration of courses for primary teachers in Italy and Spain. At least until the early 2000s, minimum teacher education courses for all levels of schooling were uniformly four years in length in countries such as Australia, Canada (Quebec), Republic of Korea, United Kingdom (England), and the United States. Finland provides a good example of uniform, high-quality standards (see box 11).

Box 11
Teacher education in Finland: High standards for high-quality outcomes

Often cited for its high learning outcomes, as measured by comparative international tests, Finland requires a Masters degree for all its teachers, whatever the level taught. In Finland Teacher candidates are selected on the basis of many of the criteria noted above, including a belief in the core mission of public education and capacity to convey humanistic, civic and economic values. Teacher preparation focuses on developing individual responsibility for all students' learning and well-being, as well as combining the roles of researcher and practitioner. The teacher recruitment policies ensure the highest standards and a nationally recognized high status of the teaching profession – only one in ten applicants for teaching positions is accepted into teacher education programmes.

Source: OECD, 2011: 11.

59. In developing countries, training periods vary greatly from a high of three to four years, with a minimal period of one year in many poorer countries faced with massive enrolment pressures, down to a few weeks or months for contractual teachers. For non-contractual teachers, a great variety of diploma and degree programmes with varying lengths and qualification requirements operate, depending on the level of education (secondary generally requires more extensive training than primary) and capacity to train, itself dependent on a country's economic level. Full scale four year tertiary training programmes are much less common, though they are sometimes provided for teachers wishing to upgrade their qualifications on a part-time basis (see country profiles in UNESCO–IBE, 2011 for descriptions of a broad range of countries).

60. Teacher education systems also vary with regard to their specificity. In some countries, initial teacher education takes a fairly general form and allows teachers to move across different levels of education, subjects or types of schools. For example: under the reforms introduced in Sweden in 2001 there are now substantial common elements for all teachers from pre-school to upper secondary school. Systems that offer more specialized teacher education pathways qualify teacher trainees for particular types of schools. By contrast in Germany for example, quite different teacher education programmes exist for primary education, for academic upper secondary education, for vocational education and for teaching students with special needs.

61. The Eurydice (2006) studies of teacher preparation in the countries of the European Union (and candidate countries) set out six models (or routes) that have survived the evolution of teacher education and are broadly applicable to most systems (including EU member countries also members of the OECD):

1. Two concurrent models:

   (a) combination of general education and professional education without a final on-the-job training (OJT) phase; and

   (b) combination of general education and professional training with a final OJT phase.

2. Four consecutive models:

   (a) general education only (i.e. no professional training);

   (b) general education, plus required final OJT phase;

   (c) general education followed by professional training, but no required final OJT phase; and

   (d) general education followed by both professional training and required final OJT phase.

62. The main debate on the location of teacher training courses is centred on the advantages of courses being based within university campuses, versus specialized colleges. The dominant trend in restructuring national teacher training systems is to merge free-standing colleges with university faculties of education. Where excess training capacity exists, smaller, less efficient colleges are closed down altogether (see Schwille and Dembele, 2006). This institutional reform model formed the basis for restructuring teacher training in South Africa in the mid 1990s, which is generally considered to have achieved its objectives of rationalizing teacher trainee supply, improving professional training standards and significantly reducing overall expenditures. It is important to ensure that in any process of institutional restructuring, the strengths of diploma-level training, specifically its strong emphasis on the acquisition of practical pedagogic skills, are not lost (from Bennell and Sayed, 2009). A further argument is that "the quality and duration of preparation matter more than the specific pathway" (Berry et al., 2010: 4). Therefore the focus should continue to be predominantly on ensuring that training is of high-quality, with a strong focus on the practical elements of teaching, whether it be at universities, colleges or "on-the-job" training in schools.

63. School-based training has become more of a focus in recent years, with its proponents arguing that it helps to better prepare teachers for the reality of their classroom situation and that this kind of teacher preparation reduces costs compared to either university-based or specialized institutional locations. School-based training is not without its drawbacks. box 12 highlights some of the pros and cons.

Box 12
Advantages and disadvantages of school-based training

Advantages

- Training located in the work environment is potentially attractive because of its direct links with practical problems, advice from successful teachers, and socialization into professional norms and standards.
- With enough support, school-based training is possible even in very resource-poor circumstances if adequate investment is made in print-based handbooks and manuals for trainees and for trainers, and resource persons and selected members of school staff are trained in supervision and support.
- School-based training is generally associated with various forms of distance education allowing teachers to be trained on the job, which saves the costs of replacement; direct costs can also be reduced if part of the training is self-instructional and based on print or other low cost media.

Disadvantages

- Low-income countries find it difficult to offer sufficient resources, appropriate training environments and enough qualified teachers to act as professional mentors to trainees.
- If serving teachers do not accept roles as new teacher trainers or do not have proper training to do so, the training may fail to transmit good practice or even replicate bad practices.
- If distance-based, the materials have to be at the right language level for learners, cover a wide range of topics, as the trainees may have access to few other printed resources, be adapted to the learning culture (oral as opposed to book learning), and be cost-effective – radio vs. video or face-to-face peer vs. computers and internet for example.

Source: Lewin and Stuart, 2003.

8.4. Induction and NQTs

64. In addition to being an important part of teacher recruitment and career development (see 1.8 and module 2), an induction period for NQTs is essential to consolidate teaching foundations gained during ITT. Induction programmes should be built upon individual knowledge, skills and attitudes developed in ITT, supported by experienced teachers. This is an opportunity to link training with CPD from the outset of teachers' careers. In most countries, induction systems and processes for NQTs are inadequately established, especially in sub-Saharan Africa (Sayed, 2009). The high attrition rates during the first few years of teaching indicate this is a time when important decisions are made regarding

teachers' futures as educational professionals. A successful first year teaching influences such choices: higher attrition rates are found amongst teachers with no induction (Smith and Ingersoll, 2004).

65. While effective teacher induction programmes vary, an analysis of the most exemplary teacher induction programmes from Australia, Canada, France, Germany, Japan, New Zealand, United Kingdom and United States found that they shared in common opportunities for experts and newly qualified teachers to learn together in a supportive environment promoting time for collaboration, reflection and a gradual acculturation into the profession of teaching (Howe, 2006). Comprehensive national programmes for teacher induction are also found in several East Asian countries including Taiwan (China) and Japan (Howe, 2006). A promising programme of induction and support for newly qualified teachers is the United Kingdom (Scotland) system, whereby newly qualified teachers are given a one year induction post which provides for 70 per cent teaching time and 30 per cent personal and professional development time. The programme also provides for a location bonus for the induction year if the student chooses a location outside the five most popular areas for initial assignments, thus linking the induction programme to deployment in areas of need. Box 13 gives an overview of how NQT support was incorporated into planning in a Ghanaian programme.

Box 13
Student Internship Programme in Ghana

The "In-In-Out" model in Ghana provides two years of training followed by a full year of school based practice. Training opportunities relating theory and practice are provided through substantial training in the school context. Mentors from senior and junior secondary schools with at least five years teaching experience receive training for no less than a week. In-school mentors:

- observe trainees and assess their competencies and skills in conducting lessons, presentation and communication, questioning, developing learners' thinking, handling small groups and individuals, evaluating lessons and classroom management;
- report on the role of trainees in school administration;
- meet university supervisors in appraising their own mentoring skills.

To ensure effective supervision, the teacher development unit in the university provides a period of training to the lecturers. Challenges encountered during the internship programme include:

- funding challenges for a large number of mentors;
- updating skills of the university lecturers;
- additional workloads of the supervisors and mentors who combined supervision with their normal workloads;
- developing materials such as handbooks for supervisors, mentors and student teachers.

Programme benefits include:

- trainees have opportunities to transform theory into practice and experience "real" challenges existing in schools;
- mentors are given opportunities to develop their skills by supervising trainees, attending seminars and meeting with university lecturers;
- university supervisors upgrade their teacher training skills through interaction with various stakeholders;
- university supervisors have more time to supervise, as their time lecturing is reduced.

Source: Amekadar, M.K. 2005.

66. Teacher training institutions can play a crucial role in developing strong partnerships to promote effective induction programmes. A mechanism used successfully in the United

Kingdom (England, Scotland and Wales) is a *Career Entry Profile* which is provided for each newly qualified teacher by their initial training institution. This personal profile, which is developed jointly by the institution and the graduating teacher, identifies their strengths and developmental needs, and sets targets and goals, both to encourage beginning teachers to develop a reflective attitude to their own professional development and to act as a vehicle of communication from the initial stage to induction and to the early professional development stage. Most induction programmes are geared towards teachers who have just completed a teacher education programme or who have been teaching for less than two years. Some sort of induction and guidance, however, might also provide support for teachers who are returning to the profession after a leave of absence or teachers who are new to a particular school or school district, especially if the teacher is faced with a different community and school environment than the one he or she is used to.

67. Effective induction requires attention to the following:

- recognizing that the first years of experience require special attention and support if new teachers are to become effective;
- need to differentiate induction from the probationary period;
- need to formalize the induction phase, train mentors, provide resources, link successful completion to certification;
- developing diversified and responsive forms of induction including reduced teaching load and mentoring in the first years (e.g. France, Israel, United Kingdom (Scotland)); additional training and support (e.g. Republic of Korea); and portfolio development.

8.5. Further education and continuing professional development (CPD)

68. Module 2 outlines the importance of CPD, features of effective CPD, directions careers can take to retain expertise in the classroom as well as the procedures for clearly linking qualifications, CPD and career progression. The ILO/ UNESCO Recommendation (1966: paragraphs 31–32) clearly states that in-service training should be free of charge and set within wider school professional development policy.

69. CPD has become a concern for three reasons. First, emphasis on external accountability and demonstrable improvements in learners' achievement require public education systems to be concerned with performance, therefore on developing the competence base of practitioners who work in schools. There is a growing consensus that educational reforms are underpinned by professional development support for teachers and school management teams. Countries such as Canada, Finland and the Republic of Korea demonstrate the relation between high performance in international learning outcome assessments, and factors including strong support to professional development (see also module 2). Second, and equally important, teachers as professionals seek support and motivation for the tasks they are expected to perform. Third, CPD is normally associated with negotiation about conditions of service for teachers, with CPD part of the conditions of service package. Table 3 outlines the main types and characteristics of CPD.

Table 3. Types of CPD

Type of CPD	Benefits	Risks
Workshops/Short Courses		
Cascade Workshops One or two people from a school are trained in an off-school course and replicate the process for colleagues	Inexpensive and gives the possibility for affording CPD to large groups of teachers over short periods. Reduces time away from classes and difficulties finding supply cover	In the absence of a regular and sustained monitoring framework, there is little guarantee of diffusion and spread
Periodic workshops are usually off-site courses geared towards individuals rather than groups; not being linked to departments or the school; voluntary and random in terms of participation and content	See above	Limited impact on practice with little or no dissemination or follow-up. Often undertaken during working hours
Master teachers		
Aims to build a group of recognized teachers of high achievement in the profession who mentor incoming apprentice teachers	Makes use of teaching expertise in schools Relaxed, less formal	As cascade models
Teacher clusters		
Several schools come together to promote professional development within the cluster	Multiple forms of professional development activities	Ownership and control
External consultants		
Becoming increasingly popular for CPD in schools	Usually held in high-quality environments and course leaders' presentational skills very good	High costs, difficulty ensuring quality. Slick "packages", which might not suit the needs of each school; school-based training might become insular
Inter-visitation and peer networks		
Brings teachers and head teachers into contact with good practice. Teachers visit other schools, classrooms or buildings to observe, peer teach or watch a model lesson	Can be run locally, nationally or internationally. New head teachers can be paired with senior administrators and spend time in their schools	Lack of external input
Cross national learning and lesson sharing		
Study tours, seminars, and workshops to share good practice across different regional contexts for teachers organized by teacher unions, regional bodies and/or governments	Learning across countries and strengthening national approaches	Uncritical borrowing is a problem if context is not taken into account

Source: Sayed, 2009

70. CPD requires careful planning and application, due to the disparities in frequency, amount, and types of training in different countries, and regions within countries. CPD must be linked to the requirements of the teaching profession, and therefore to a comprehensive needs assessment system. Adequate opportunities and quality of CPD must be assured, as many teachers report dissatisfaction with the CPD they receive. Although 89 per cent of teachers in the higher income countries have reported participating in professional development activities, for an average of one day a month, over half said they would like more overall, with significant variance in results (from 31 per cent of teachers in Belgium wanting more CPD to over 80 per cent in Brazil, Mexico and Malaysia – OECD, 2009).

71. Collaborative networking and teacher self-study should be a prominent part of CPD provision (ILO/UNESCO, 2010: 21–22). In Japan, "lesson study" is applied as part of whole school in-service professional development that brings together all teachers to work

on a school-wide goal identified as important to everyone. Similarly, teacher research groups are common in the school organization of China. Important features include:

- observation based on use of practising teacher classrooms as the CPD "laboratories";
- peer evaluation and learning;
- collaborative learning in teams or study groups;
- linking individual and group study to whole school improvement;
- reliance on action research based on teacher design and assessment of results;
- teacher-led but assisted by university or other external teacher education advisers.

72. A similar system has reportedly been applied nationally in one African country – Guinea (Schwille and Dembele, 2007: 111–117).

73. To be effective CPD should be integrated in national teacher education policies. In developing a policy framework, there are a number of issues which must be addressed from a teacher perspective (table 4).

Table 4. Checklist of issues for a CPD policy framework

Key principles	Key questions
Accreditation	Is CPD integrated and linked to teacher licensing?
	Is CPD an optional extra, which teachers may elect to do, or is it obligatory?
Incentives	Is CPD linked to career advancement and promotion and what role does it play in teacher career paths? How is the CPD programme to be paid for?
	How much time should be granted for CPD in light of teacher and system needs?
Implications for schools	What are the conditions and mechanisms for granting CPD leave? Is sufficient teacher cover provided for programmes outside schools?

8.5.1. CPD supporting un- or under-qualified teachers

74. The widespread recruitment of contract teachers in many countries in sub-Saharan Africa and South Asia (see module 1, section 1.12) and the shortening of ITT for even permanently engaged teachers in response to EFA and teacher shortage pressures is one of the main policy challenges facing governments. A common feature of the wide diversity of contract and other un- or under-qualified teachers across countries is that they have considerably less initial training than teachers engaged by standard means.

75. Given these lower levels of initial training, contract and other under-qualified teachers require more ongoing training and support to deliver quality education. This in turn requires a targeted CPD strategy that is well-resourced so as to reach these teachers, who are often posted to remote and rural areas. In order for these teachers to be effectively absorbed as part of a well-educated teaching profession, the following measures should be taken (ILO/UNESCO Recommendation, 1966: paragraphs 143–144):

- students selected on the basis of norms for fully professional programmes to ensure that they can benefit from subsequent professional development;
- special facilities, including study periods on full pay to facilitate CPD;

- supervision or mentoring by fully qualified professionals;
- requirements to upgrade qualifications as a condition for continuing employment.

76. Recommendations made by a special conference on these questions in African countries (ADEA, 2009) include:

- phasing out of untrained teacher recruitment by 2015;
- support for professional and career development of all teachers in formal and non-formal settings;
- teacher training and professional development to be set within a global, lifelong learning vision;
- use of ICT and open and distance learning platforms to develop innovative and complementary pre-service training and CPD;
- Use of EMIS systems to facilitate effective planning, implementation, monitoring and evaluation of CPD.

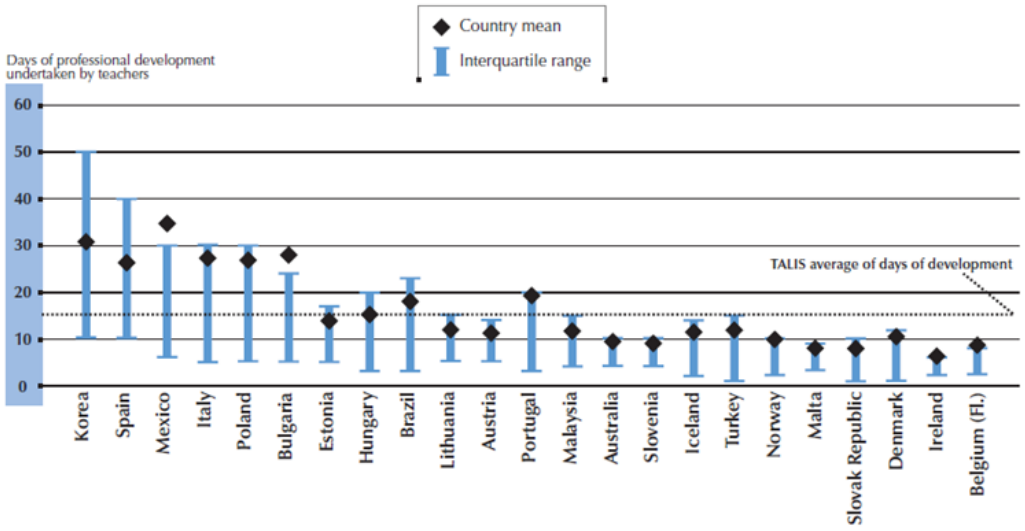
8.5.2. Nature and frequency of CPD

77. There is no consensus on the optional or mandatory nature of professional development, although the changing nature of teaching and learning puts increasing pressure on a policy favouring an obligation to undertake regular professional development in order to remain a teacher. In Europe, over 20 countries have CPD as a professional requirement, while in others it remains optional. There is a contradiction in certain countries where CPD is a professional duty "but in practice optional" (Eurydice, 2008: 47). On average, amongst countries participating in an OECD Teaching and Learning International Survey (TALIS) on effective teaching and learning environments, just over half of CPD was compulsory. This ranged from less than a third of CPD in Austria, Belgium (Flemish-speaking), Denmark and Portugal to 88 per cent in Malaysia (OECD, 2009). The highest number of compulsory days was found in Mexico, Bulgaria, Spain, Italy and Republic of Korea.

78. In the TALIS survey, participation in CPD was found to be high, with 89 per cent of teachers having had some form of training, but diverging widely across countries. In Spain 100 per cent of teachers had received CPD, yet 25 per cent of teachers received no CPD in Denmark, Iceland, the Slovak Republic and Turkey (OECD, 2009). This suggests that the "optional" nature of the CPD requirement, even in countries which consider it a professional duty, leads to a high proportion of teachers electing not to engage in CPD.

79. In countries that stipulate the number of hours or days expected of teachers (often spread over a period varying from one to as much as seven years in European countries, and over a three-year cycle in South Africa – DoE, South Africa, 2007), a common requirement is five days a year. This may also vary from 20 hours (Germany) to 50 hours per year (Cyprus) (Eurydice, 2008). An OECD (2009) study of 23 countries indicated that teachers had engaged in an average of 15.3 days of CPD over the previous 18 months (Figure 2). This is just under one day a month, indicating that participation in CPD activities is not solely based on minimum requirements and time allocations during working hours, but it likely to be much higher than these factors alone can explain.

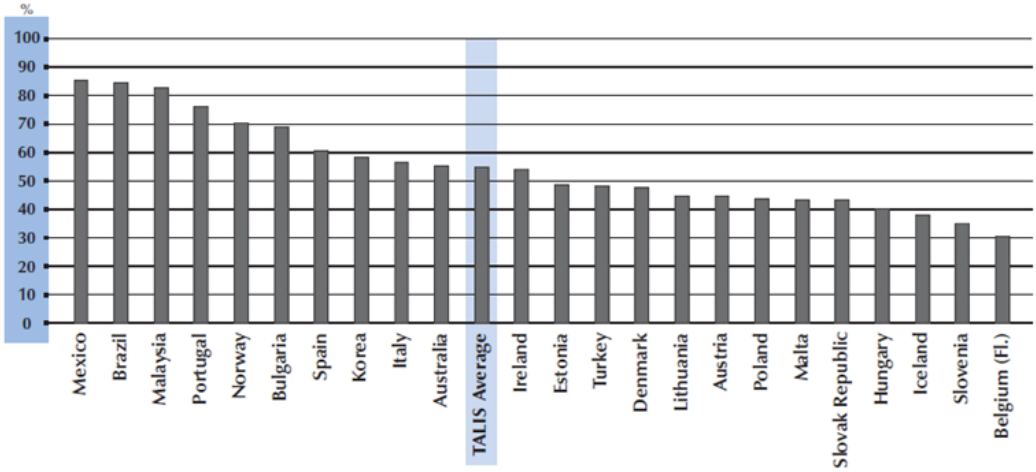
Figure 2. Number of CPD days taken across countries in the OECD TALIS study (2007–08)



Source: OECD, 2009: 54.

80. The figure highlights the caution that should be exerted in generalizing across countries, as the mean number of participation days varied from 34 in Mexico to 5.6 in Ireland. Furthermore, high participation rates and number of days training do not always equate with the teachers feeling satisfied with the amount of training they have had. Figure 3 shows the percentage of teachers in OECD and partner countries participating in the TALIS study who wanted more CPD than they had received in the previous 18 months.

Figure 3. Percentage of teachers who wished for more CPD opportunities in the previous 18 months, OECD TALIS countries (2007–08)



Source: OECD, 2009: 59.

81. There is not necessarily a correlation between wide coverage and teacher satisfaction – in countries where a high percentage of teachers participate, with many days of CPD, dissatisfaction and/or demand for more training can also be high, and vice versa in countries with low participation and number of days. CPD policies therefore need to take account of the quality or type of activities provided to obtain a better match with teacher expectations or needs, as well as ensuring that a "culture of development" and motivation amongst teachers to participate in more training is not lost.

8.5.3. Conditions for participation in CPD

82. Professional development for most serving teachers, other than purely school-based programmes, requires provisions by the educational employer to ensure (scheduled) release time and cover supply. In most countries in Europe, there are opportunities for teachers to undertake CPD during working hours, with their lessons covered by supply teachers, varying from three working days (Finland) to as many as twelve (Czech Republic) (Eurydice, 2010). While time is often accorded during working hours, subject to appropriate timetabling, the majority of CPD is organized outside of school teaching hours, due to the prohibitive influence of the cost of supply teachers and the difficulty of finding them. Major considerations for the organization of CPD outside of working hours are motivation and availability, particularly for women teachers with family responsibilities.

8.5.4. Incentives for participation in CPD

83. Other than the intrinsic professional rewards and responsibilities, incentives to pursue professional development are largely twofold: direct financial incentives (coverage of part or all of the teacher's costs); and career advancement. Policies may differ between conditions for compulsory CPD activities versus those teachers opt to take. In most countries, compulsory activities are generally government funded (Eurydice, 2010; OECD, 2009). This is also the case in countries such as South Africa, which allows a mixture of government funded and teacher funded opportunities. Compulsory activities are free of charge, while those selected by teachers are more often at their own expense. TALIS results show that the countries in which teachers have to pay some or all of the costs of training are those countries with the highest number of days average participation in CPD. Teachers who paid nothing towards the costs participated in an average of 13 days CPD over 18 months; those who paid some of the cost, 23 days; and those who paid all of the cost, 32 days. This is most likely due to a combination of governments being able to fund a smaller number of days more easily, and the fact that the activities which take the most time (such as accreditation courses) are also those for which teachers are most likely to pay some or all of the cost. Similar patterns have been observed for the link between scheduled time and participation (OECD, 2009: 66–69). In poorer countries, however, CPD policies have to compensate for the barrier to undertaking CPD caused by relatively poor salaries and difficulties in transportation to out-of-school opportunities.

84. In many countries, CPD is linked to career opportunities, and in some cases is compulsory for career advancement to a certain post, for example the policy which until recently made the National Professional Qualification for Headship (NPQH) compulsory for first time Heads in the United Kingdom (England). Certain countries link CPD directly to salary increases (see also module 5). In Canada and the United Kingdom (England) teachers with Masters Degrees receive a higher salary than those with a Bachelors or Post Graduate Certificate of Education. In Iceland, only formal education such as Masters and Doctorate Degrees is linked to salary increases, which may partly explain low participation rates in CPD opportunities in comparison to other countries (Eurydice, 2010). Countries with different policies on links between CPD and salaries or career progress are outlined in box 14.

Box 14
CPD and formal opportunities for career advancement/ salary increases in Europe

- ***Belgium (German-speaking community):*** Participation in CPD is one of the evaluation criteria for teachers by the head teacher, and considered when promoting teachers.
- ***Estonia:*** A minimum of 160 hours of professional training is required to advance to the grade of senior teacher and teacher-methodologist.
- ***Hungary:*** Progression on the teaching salary scale is dependent on completing CPD activities every seven years.
- ***Lithuania:*** CPD is linked to teachers gaining the status of "teacher", "senior teacher", "teacher-methodologist" and "expert teacher", which are linked to higher pay.
- ***Spain:*** Civil service teachers can get a pay increase after five to six years teaching, provided they prove they have taken between 60–100 hours of officially recognized CPD activities since they qualified. Five such increments are available throughout the teaching career.

Source: Eurydice, 2010: 48.

85. However, overall not only are there few incentives to encourage teachers' participation in CPD, but penalties for failure to participate even where considered to be a professional obligation appear to be uncommon (Eurydice, 2010).

8.6. Initial and further education for other levels of education

8.6.1. Technical and vocational education teachers

86. Initial training and continuing professional development of educators in technical and vocational education and training (TVET) is as critical to this sector of education as any other. In terms of international standards, TVET teachers and trainers have the same status as general education teachers, meaning that teacher education should follow the principles of lifelong learning that apply to all teaching professionals (ILO/UNESCO, 1966: paragraphs 2, 31 and 32). The UNESCO Convention on Technical and Vocational Education (1989: Art. 5) urges that TVET teachers should have theoretical and practical knowledge of their professional field and appropriate teaching skills for the courses they teach. An ILO tripartite consensus on the subject adds that such technical and pedagogical skills need to include experience in industry and other workplaces (ILO, 2011: 22).

87. TVET teacher training policy and frameworks that are adapted to a rapidly evolving education sector, which interfaces constantly with the world of work, as well as the capacities and needs of countries at different stages of development, comprise several interrelated components:

- establishing the appropriate level of initial teacher education: 1–2 year associate or equivalent degree; 3–4 year Bachelor degree; or higher level Master or Doctoral degree;
- a mix of thorough knowledge in one or more technical fields with vocational, pedagogical skills training;
- demonstrated work experience in industry or services of one to several years;

- certification or licensing of skills and competencies, renewable periodically through CPD.

88. Increasingly, initial teacher/trainer education is set at higher levels (Bachelor degree or above) and mandatory non-academic (workplace) experience to understand enterprise needs and the application of new technologies and processes (ILO, 2010: 20–25). Two different country approaches are illustrated in box 15.

Box 15
TVET teacher training in Germany and Saudi Arabia

TVET Teacher training in **Germany** is composed of the following stages:

- minimum three-years university study in a vocational major field, non-vocational minor field and pedagogy;
- mandatory one year work experience;
- one to two-year pre-service teacher training at a vocational teacher training institute;
- state board exam prior to teacher certification.

TVET Teacher training in **Saudi Arabia** in a three-year Bachelor degree programme, composed of vocational disciplinary training, vocational pedagogy, enterprise field practice, vocational field practice (trial run teaching on TVET courses) and a final project in one aspect of TVET training.

Source: ILO, 2010: 24.

89. Models of TVET training in different countries include:

- occupational practitioners obtaining teaching and management techniques along with certification;
- sequential or concurrent technical discipline and educational science training prior to certification; and
- integrated vocational discipline training derived from the world of work (rather than disciplinary studies) combined with competence-development in the domain (Grollman and Rauner, 2007: 17).

90. In recognition of the fact that many TVET teachers train while still working "in the field", more flexible training routes are increasingly provided or even required to ensure non-academic work experience, including one year's full-time study or over two years part time, provision for students with prior teaching experience to take a competence based degree and up-skilling of individuals with industry experience through specially designed teacher training programmes. Several years of vocational experience in fact is now required before being certified as a TVET teacher in some European and other OECD member countries (ILO, 2010: 22–23).

91. A critical component of TVET teacher training is the requirement for and provision of CPD in a lifelong learning perspective to avoid obsolescence in knowledge and skill sets in relation to rapidly evolving workplace processes and technological progress. Such training may be in the form of short or long courses. Some countries (among them France, Hungary, Italy, Ireland and Slovenia) have dedicated programmes, institutes or national centres that provide in-service teacher training, in some cases also supporting related vocational research. Enterprise-based training through recognized exchange programmes is another valuable source of professional development – in China, vocational teachers in technical education institutes are required to spend two months every two years in related industries or businesses (Santiago et al., 2008: 173). In Australia's highly developed TVET system, including the tertiary Technical and Further Education institutions (TAFE), along

with private provision of CPD for full- and part-time staff based on training allotments, 6 per cent of the salary package is devoted to continuing training provision for tertiary TVET staff in remote areas, and TAFE institutions devote two weeks per year to professional development for all but contractual staff (ILO, 2010: 25–26).

8.6.2. Adult educators

92. Well-qualified adult educators can make a big difference in combating illiteracy and in empowering the marginalized in a world where an estimated 750+ million adults lack literacy skills, of which half are women. Policy- and decision-makers are advised to invest more and ensure greater training and professional development provisions in an educational sector which is often the only educational opportunity accessible to large numbers of people outside formal education systems, in developed and developing countries alike. Box 16 outlines international community recommendations to strengthen the approach to adult educators.

Box 16
CONFITEA VI and Education International recommendations on adult educator training and professional development

The sixth international conference on adult education (CONFITEA VI) recommended improving training, capacity building, employment conditions and the professionalization of adult educators, through the establishment of partnerships with higher education institutions, teacher associations and civil society organizations.

Education International, which affiliates most teachers' unions/organizations, has recommended:

- that governments give priority to the means of enhancing teachers' professional qualifications by developing their knowledge and improving their cultural resources, and focus on providing more opportunities for professional growth and development, as well as support systems for new teachers, such as mentoring programmes;
- the elimination of any form of discrimination that prevents access to further education, continuing in-service training, and to positions of responsibility; that Governments pursue a policy to improve the status of duly qualified teaching assistants through, inter alia, professional recognition, career structure and initial and continuing vocational training. Such a policy should be formulated in conjunction with trade unions in the development of civic education.

Source: Education International, 2007; UNESCO, 2009b.

8.6.3. School management training

93. As set out in 1.14.1, initial training to prepare largely teachers for positions in school management (deputy-head and head teachers, deputy principals or principals, school directors), and CPD to maintain competencies, are both essential in view of the responsibilities and complexities of such jobs, especially in highly decentralized systems. The extensive web of initial training and CPD that exists in the United Kingdom (England) illustrates the various possible programmes to ensure proper development and support for school management (box 17).

Box 17
Programmes to train and support head teachers in the United Kingdom (England)

The programmes fall into two categories: those designed to support aspiring school leaders towards the National Professional Qualification for Headship (NPQH) qualification **(Tomorrow's Heads** and **Future Leaders)**, and those designed to facilitate the transition into a first headship position and beyond **(Be a Head** and **Head Start)**.

Tomorrow's heads:

- free accelerated leadership development programme for teachers and non-teaching professionals;
- all applicants require a minimum of two years management experience;
- offers individual support from a personal leadership development adviser throughout the programme;
- requires schools to sponsor and support all applicants;
- programme duration varies; individuals are expected to be ready to complete the NPQH in three years or less.

Future leaders:

- accelerated leadership development programme allowing teachers to apply to the NPQH after three years of service and become head teachers after four years; focus is on schools in disadvantaged areas;
- reserved to qualified current and former teachers;
- training is a mix of residential and on-the-job, coaching from experienced head teachers and placements in challenging schools;
- trainees benefit from: an intensive initial training course; a year of "residency" in a challenging school under the guidance of a mentor head teacher and dedicated Leadership Development Adviser (LDA); support to secure a senior leadership post following the residency year; continued off-site training and coaching to meet identified development needs; and access to peer-reviewed best practice and advice and support from the Future Leaders alumni network.

Be a head:

- designed for educational leaders who have completed the NPQH but not secured their first headship (for example deputy heads looking to move into a head teacher role);
- provides written guidance (newsletters, case studies, advice) and individual sessions designed to identify how the individual can progress to the next level.

Head start:

- professional development programme for educational professionals who have recently graduated from the NPQH and through the first two years of their headship;
- gives access to: e-learning opportunities (different modules explore different elements of being a head); guidance on finding a job; a professional partner as soon as a job has been secured (an experienced head teacher who acts as a mentor for the first two years); and an online community of first time heads and additional courses and learning materials.

Source: National College for Leadership of Schools and Children's Services, 2010a; 2010b; Future Leaders, n.d.a.

94. As with teaching, CPD needs vary according to the location and experience of school management – rural school heads and those less experienced will often require more professional development support due to their job profile and tasks. A study of school managers in Uganda (box 18) highlights the varying needs and challenges.

Box 18
School management CPD needs in Uganda

A study in Uganda revealed that head teachers placed equal importance on: (1) administration and management; (2) leadership, instruction and supervision; and (3) community and governance. However, there were differences in how confident they felt implementing these aspects in schools. Overall, schools in rural areas had the least qualified staff, poorest, least prepared students and worst facilities. Head and deputy head teachers in rural areas were less confident than urban head teachers in developing a performance appraisal system, assessing school staff, setting school goals, instruction and supervision skills and seeking funds from parents, and deputy head teachers were generally less confident that head teachers. CPD for school management may require modification according to the size of the school and whether it has a rural or urban location. CPD for Deputy heads should aim to prepare them for promotion to the role of head teacher, and allow greater delegation of responsibilities.

Source: DeJaeghere, J. G et al., 2009.

8.6.4. Tertiary teachers

95. The UNESCO Recommendation on the Status of Higher-Education Teaching Personnel (1997: Art. 37) urges that such teachers have the necessary teaching qualities, professional knowledge and skills to do their jobs properly. As with any other education sector, higher education teachers need initial and continuing training in pedagogical approaches that ensure successful learning outcomes. In recent years, the traditional weaknesses in this aspect of tertiary work have been more systematically addressed as part of quality assurance, performance management and other career development frameworks (Santiago, et. al., 2008: 170–171). Approaches adopted in various countries that can inform policies on this question are set out in box 19.

Box 19
Higher education pedagogical training and professional development in OECD countries

In addition to the traditional sabbatical leave that serves as a professional development opportunity, various OECD member countries have begun to develop other initial and CPD possibilities or requirements for higher education teachers.

Australia: A Learning and Teaching Fund rewards institutions that demonstrate excellence in teaching and learning for first-degree students. The Carrick Institute for Teaching and Learning provides grants and fellowships to encourage innovation in teaching and learning in Australian universities.

China: Certain programmes provide special recognition, training and professional development opportunities for distinguished young teachers.

Mexico: The Faculty Enhancement Programme (PROMEP), a cooperative effort between the Federal Government and higher education institutions, uses scholarships and incentives to form networks to improve the qualifications levels of full-time staff in public institutions.

New Zealand: The Auckland Institute of Technology offers specialist training programmes for tertiary teachers. Haynes (1999) surveyed the impact on graduates taking both a face-to-face Certificate in Tertiary Teaching, and a Graduate Diploma of Tertiary Teaching, which was completed via distance learning. Graduates of both programmes reported that teacher education programmes had changed their practice, and was the most important influence in comparison to other factors.

Sweden: All junior and senior lecturers holding permanent positions are required to have pedagogical training. Moreover, academics have the right to professional development, institutions are required to offer such opportunities, and staff members are required to participate in them.

United Kingdom (England): The Higher Education Funding Council confers fellowships through its associate fellow and senior fellow status designations and maintains a database of professional resources for new academic staff.

Source: New Zealand: Haynes, 1999; other countries: Santiago et al., 2008: 172–173.

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Appendix I

ILO/UNESCO Recommendation concerning the Status of Teachers (1966)

The Special Intergovernmental Conference on the Status of Teachers,

Recalling that the right to education is a fundamental human right,

Conscious of the responsibility of the States for the provision of proper education for all in fulfilment of Article 26 of the Universal Declaration of Human Rights, of Principles 5, 7 and 10 of the Declaration of the Rights of the Child and of the United Nations Declaration concerning the Promotion among Youth of the Ideals of Peace, Mutual Respect and Understanding between Peoples,

Aware of the need for more extensive and widespread general and technical and vocational education, with a view to making full use of all the talent and intelligence available as an essential contribution to continued moral and cultural progress and economic and social advancement,

Recognizing the essential role of teachers in educational advancement and the importance of their contribution to the development of man and modern society,

Concerned to ensure that teachers enjoy the status commensurate with this role,

Taking into account the great diversity of the laws, regulations and customs which, in different countries, determine the patterns and organization of education,

Taking also into account the diversity of the arrangements which in different countries apply to teaching staff, in particular according to whether the regulations concerning the public service apply to them,

Convinced that in spite of these differences similar questions arise in all countries with regard to the status of teachers and that these questions call for the application of a set of common standards and measures, which it is the purpose of this Recommendation to set out,

Noting the terms of existing international conventions which are applicable to teachers, and in particular of instruments concerned with basic human rights such as the Freedom of Association and Protection of the Right to Organize Convention, 1948, the Right to Organize and Collective Bargaining Convention, 1949, the Equal Remuneration Convention, 1951, and the Discrimination (Employment and Occupation) Convention, 1958, adopted by the General Conference of the International Labour Organization, and the Convention against Discrimination in Education, 1960, adopted by the General Conference of the United Nations Educational, Scientific and Cultural Organization,

Noting also the recommendations on various aspects of the preparation and the status of teachers in primary and secondary schools adopted by the International Conference on Public Education convened jointly by the United Nations Educational, Scientific and Cultural Organization and the International Bureau of Education, and the Recommendation concerning Technical and Vocational Education, 1962, adopted by the General Conference of the United Nations Educational, Scientific and Cultural Organization,

Desiring to supplement existing standards by provisions relating to problems of peculiar concern to teachers and to remedy the problems of teacher shortage,

Has adopted this Recommendation:

I. Definitions

1. For the purpose of the Recommendation:

   (a) the word ‘teacher’ covers all those persons in schools who are responsible for the education of pupils;

(b) the expression 'status' as used in relation to teachers means both the standing or regard accorded them, as evidenced by the level of appreciation of the importance of their function and of their competence in performing it, and the working conditions, remuneration and other material benefits accorded them relative to other professional groups.

II. Scope

2. This Recommendation applies to all teachers in both public and private schools up to the completion of the secondary stage of education, whether nursery, kindergarten, primary, intermediate or secondary, including those providing technical, vocational, or art education.

III. Guiding principles

3. Education from the earliest school years should be directed to the all-round development of the human personality and to the spiritual, moral, social, cultural and economic progress of the community, as well as to the inculcation of deep respect for human rights and fundamental freedoms; within the framework of these values the utmost importance should be attached to the contribution to be made by education to peace and to understanding, tolerance and friendship among all nations and among racial or religious groups.

4. It should be recognized that advance in education depends largely on the qualifications and ability of the teaching staff in general and on the human, pedagogical and technical qualities of the individual teachers.

5. The status of teachers should be commensurate with the needs of education as assessed in the light of educational aims and objectives; it should be recognized that the proper status of teachers and due public regard for the profession of teaching are of major importance for the full realization of these aims and objectives.

6. Teaching should be regarded as a profession: it is a form of public service which requires of teachers expert knowledge and specialized skills, acquired and maintained through rigorous and continuing study; it calls also for a sense of personal and corporate responsibility for the education and welfare of the pupils in their charge.

7. All aspects of the preparation and employment of teachers should be free from any form of discrimination on grounds of race, colour, sex, religion, political opinion, national or social origin, or economic condition.

8. Working conditions for teachers should be such as will best promote effective learning and enable teachers to concentrate on their professional tasks.

9. Teachers' organizations should be recognized as a force which can contribute greatly to educational advance and which therefore should be associated with the determination of educational policy.

IV. Educational objectives and policies

10. Appropriate measures should be taken in each country to the extent necessary to formulate comprehensive educational policies consistent with the Guiding Principles, drawing on all available resources, human and otherwise. In so doing, the competent authorities should take account of the consequences for teachers of the following principles and objectives:

    (a) it is the fundamental right of every child to be provided with the fullest possible educational opportunities; due attention should be paid to children requiring special educational treatment;

    (b) all facilities should be made available equally to enable every person to enjoy his right to education without discrimination on grounds of sex, race, colour, religion, political opinion, national or social origin, or economic condition;

    (c) since education is a service of fundamental importance in the general public interest, it should be recognized as a responsibility of the State, which should provide an adequate network of schools, free education in these schools and material assistance to needy pupils; this should not be construed so as to interfere with the liberty of the parents and, when applicable, legal guardians to choose for their children schools other than those established by the State, or so

as to interfere with the liberty of individuals and bodies to establish and direct educational institutions which conform to such minimum educational standards as may be laid down or approved by the State;

(d) since education is an essential factor in economic growth, educational planning should form an integral part of total economic and social planning undertaken to improve living conditions;

(e) since education is a continuous process the various branches of the teaching service should be so co-ordinated as both to improve the quality of education for all pupils and to enhance the status of teachers;

(f) there should be free access to a flexible system of schools, properly interrelated, so that nothing restricts the opportunities for each child to progress to any level in any type of education;

(g) as an educational objective, no State should be satisfied with mere quantity, but should seek also to improve quality;

(h) in education both long-term and short-term planning and programming are necessary; the efficient integration in the community of today's pupils will depend more on future needs than on present requirements;

(i) all educational planning should include at each stage early provision for the training, and the further training, of sufficient numbers of fully competent and qualified teachers of the country concerned who are familiar with the life of their people and able to teach in the mother tongue;

(j) co-ordinated systematic and continuing research and action in the field of teacher preparation and in-service training are essential, including, at the international level, co-operative projects and the exchange of research findings;

(k) there should be close co-operation between the competent authorities, organizations of teachers, of employers and workers, and of parents as well as cultural organizations and institutions of learning and research, for the purpose of defining educational policy and its precise objectives;

(l) as the achievement of the aims and objectives of education largely depends on the financial means made available to it, high priority should be given, in all countries, to setting aside, within the national budgets, an adequate proportion of the national income for the development of education.

V. Preparation for the profession

Selection

11. Policy governing entry into preparation for teaching should rest on the need to provide society with an adequate supply of teachers who possess the necessary moral, intellectual and physical qualities and who have the required professional knowledge and skills.

12. To meet this need, educational authorities should provide adequate inducements to prepare for teaching and sufficient places in appropriate institutions.

13. Completion of an approved course in an appropriate teacher-preparation institution should be required of all persons entering the profession.

14. Admission to teacher preparation should be based on the completion of appropriate secondary education, and the evidence of the possession of personal qualities likely to help the persons concerned to become worthy members of the profession.

15. While the general standards for admission to teacher preparation should be maintained, persons who may lack some of the formal academic requirements for admission, but who possess valuable experience, particularly in technical and vocational fields, may be admitted.

16. Adequate grants or financial assistance should be available to students preparing for teaching to enable them to follow the courses provided and to live decently; as far as possible the competent authorities should seek to establish a system of free teacher-preparation institutions.

17. Information concerning the opportunities and the grants or financial assistance for teacher preparation should be readily available to students and other persons who may wish to prepare for teaching.

18. (1) Fair consideration should be given to the value of teacher-preparation programmes completed in other countries as establishing in whole or in part the right to practice teaching.

    (2) Steps should be taken with a view to achieving international recognition of teaching credentials conferring professional status in terms of standards agreed to internationally.

Teacher preparation programmes

19. The purpose of a teacher-preparation programme should be to develop in each student his general education and personal culture, his ability to teach and educate others, an awareness of the principles which underlie good human relations, within and across national boundaries, and a sense of responsibility to contribute both by teaching and by example to social, cultural and economic progress.

20. Fundamentally a teacher-preparation programme should include:

    (a) general studies;

    (b) study of the main elements of philosophy, psychology, sociology as applied to education, the theory and history of education, and of comparative education, experimental pedagogy, school administration and methods of teaching the various subjects;

    (c) studies related to the student's intended field of teaching;

    (d) practice in teaching and in conducting extra-curricular activities under the guidance of fully qualified teachers.

21. (1) All teachers should be prepared in general, special and pedagogical subjects in universities, or in institutions on a level comparable to universities, or else in special institutions for the preparation of teachers.

    (2) The content of teacher-preparation programmes may reasonably vary according to the tasks the teachers are required to perform in different types of schools, such as establishments for handicapped children or technical and vocational schools. In the latter case, the programmes might include some practical experience to be acquired in industry, commerce or agriculture.

22. A teacher-preparation programme may provide for a professional course either concurrently with or subsequent to a course of personal academic or specialized education or skill cultivation.

23. Education for teaching should normally be full-time; special arrangements may be made for older entrants to the profession and persons in other exceptional categories to undertake all or part of their course on a part-time basis, on condition that the content of such courses and the standards of attainment are on the same level as those of the full-time courses.

24. Consideration should be given to the desirability of providing for the education of different types of teachers, whether primary, secondary, technical, specialist or vocational teachers, in institutions organically related or geographically adjacent to one another.

Teacher-preparation institutions

25. The staff of teacher-preparation institutions should be qualified to teach in their own discipline at a level equivalent to that of higher education. The staff teaching pedagogical subjects should have had experience of teaching in schools and wherever possible should have this experience periodically refreshed by secondment to teaching duties in schools.

26. Research and experimentation in education and in the teaching of particular subjects should be promoted through the provision of research facilities in teacher-preparation institutions and research work by their staff and students. All staff concerned with teacher education should be aware of the findings of research in the field with which they are concerned and endeavour to pass on its results to students.

27. Students as well as staff should have the opportunity of expressing their views on the arrangements governing the life, work and discipline of a teacher-preparation institution.

28. Teacher-preparation institutions should form a focus of development in the education service, both keeping schools abreast of the results of research and methodological progress, and reflecting in their own work the experience of schools and teachers.

29. The teacher-preparation institutions should, either severally or jointly, and in collaboration with another institution of higher education or with the competent education authorities, or not, be responsible for certifying that the student has satisfactorily completed the course.

30. School authorities, in co-operation with teacher-preparation institutions, should take appropriate measures to provide the newly-trained teachers with an employment in keeping with their preparation, and individual wishes and circumstances.

VI. Further education for teachers

31. Authorities and teachers should recognize the importance of in-service education designed to secure a systematic improvement of the quality and content of education and of teaching techniques.

32. Authorities, in consultation with teachers' organizations, should promote the establishment of a wide system of in-service education, available free to all teachers. Such a system should provide a variety of arrangements and should involve the participation of teacher-preparation institutions, scientific and cultural institutions, and teachers' organizations. Refresher courses should be provided, especially for teachers returning to teaching after a break in service.

33. (1) Courses and other appropriate facilities should be so designed as to enable teachers to improve their qualifications, to alter or enlarge the scope of their work or seek promotion and to keep up to date with their subject and field of education as regards both content and method.

    (2) Measures should be taken to make books and other material available to teachers to improve their general education and professional qualifications.

34. Teachers should be given both the opportunities and the incentives to participate in courses and facilities and should take full advantage of them.

35. School authorities should make every endeavour to ensure that schools can apply relevant research findings both in the subjects of study and in teaching methods.

36. Authorities should encourage and, as far as possible, assist teachers to travel in their own country and abroad, either in groups or individually, with a view to their further education.

37. It would be desirable that measures taken for the preparation and further education of teachers should be developed and supplemented by financial and technical co-operation on an international or regional basis.

VII. Employment and career

Entry into the teaching profession

38. In collaboration with teachers' organizations, policy governing recruitment into employment should be clearly defined at the appropriate level and rules should be established laying down the teachers' obligations and rights.

39. A probationary period on entry to teaching should be recognized both by teachers and by employers as the opportunity for the encouragement and helpful initiation of the entrant and for the establishment and maintenance of proper professional standards as well as the teacher's own development of his practical teaching proficiency. The normal duration of probation should be known in advance and the conditions for its satisfactory completion should be strictly related to professional competence. If the teacher is failing to complete his probation satisfactorily, he should be informed of the reasons and should have the right to make representations.

Advancement and promotion

40. Teachers should be able, subject to their having the necessary qualifications, to move from one type or level of school to another within the education service.

41. The organization and structure of an education service, including that of individual schools, should provide adequate opportunities for and recognition of additional responsibilities to be exercised by individual teachers, on condition that those responsibilities are not detrimental to the quality or regularity of their teaching work.

42. Consideration should be given to the advantages of schools sufficiently large for pupils to have the benefits and staff the opportunities to be derived from a range of responsibilities being carried by different teachers.

43. Posts of responsibility in education, such as that of inspector, educational administrator, director of education or other posts of special responsibility, should be given as far as possible to experienced teachers.

44. Promotion should be based on an objective assessment of the teacher's qualifications for the new post, by reference to strictly professional criteria laid down in consultation with teachers' organizations.

Security of tenure

45. Stability of employment and security of tenure in the profession are essential in the interests of education as well as in that of the teacher and should be safeguarded even when changes in the organization of or within a school system are made.

46. Teachers should be adequately protected against arbitrary action affecting their professional standing or career.

Disciplinary procedures related to breaches of professional conduct

47. Disciplinary measures applicable to teachers guilty of breaches of professional conduct should be clearly defined. The proceedings and any resulting action should only be made public if the teacher so requests, except where prohibition from teaching is involved or the protection or well-being of the pupils so requires.

48. The authorities or bodies competent to propose or apply sanctions and penalties should be clearly designated.

49. Teachers' organizations should be consulted when the machinery to deal with disciplinary matters is established.

50. Every teacher should enjoy equitable safeguards at each stage of any disciplinary procedure, and in particular:

    (a) the right to be informed in writing of the allegations and the grounds for them;

    (b) the right to full access to the evidence in the case;

    (c) the right to defend himself and to be defended by a representative of his choice, adequate time being given to the teacher for the preparation of his defence;

    (d) the right to be informed in writing of the decisions reached and the reasons for them;

    (e) the right to appeal to clearly designated competent authorities or bodies.

51. Authorities should recognize that effectiveness of disciplinary safeguards as well as discipline itself would be greatly enhanced if the teachers were judged with the participation of their peers.

52. The provisions of the foregoing paragraphs 47-51 do not in any way affect the procedures normally applicable under national laws or regulations to acts punishable under criminal laws.

Medical examinations

53. Teachers should be required to undergo periodical medical examinations, which should be provided free.

Women teachers with family responsibilities

54. Marriage should not be considered a bar to the appointment or to the continued employment of women teachers, nor should it affect remuneration or other conditions of work.

55. Employers should be prohibited from terminating contracts of service for reasons of pregnancy and maternity leave.

56. Arrangements such as creches or nurseries should be considered where desirable to take care of the children of teachers with family responsibilities.

57. Measures should be taken to permit women teachers with family responsibilities to obtain teaching posts in the locality of their homes and to enable married couples, both of whom are teachers, to teach in the same general neighbourhood or in one and the same school.

58. In appropriate circumstances women teachers with family responsibilities who have left the profession before retirement age should be encouraged to return to teaching.

Part-time service

59. Authorities and schools should recognize the value of part-time service given, in case of need, by qualified teachers who for some reason cannot give full-time service.

60. Teachers employed regularly on a part-time basis should:

    (a) receive proportionately the same remuneration and enjoy the same basic conditions of employment as teachers employed on a full-time basis;

    (b) be granted rights corresponding to those of teachers employed on a full time basis as regards holidays with pay, sick leave and maternity leave, subject to the same eligibility requirements; and

    (c) be entitled to adequate and appropriate social security protection, including coverage under employers' pension schemes.

VIII. The rights and responsibilities of teachers

Professional freedom

61. The teaching profession should enjoy academic freedom in the discharge of professional duties. Since teachers are particularly qualified to judge the teaching aids and methods most suitable for their pupils, they should be given the essential role in the choice and the adaptation of teaching material, the selection of textbooks and the application of teaching methods, within the framework of approved programmes, and with the assistance of the educational authorities.

62. Teachers and their organizations should participate in the development of new courses, textbooks and teaching aids

63. Any systems of inspection or supervision should be designed to encourage and help teachers in the performance of their professional tasks and should be such as not to diminish the freedom, initiative and responsibility of teachers.

64. (1) Where any kind of direct assessment of the teacher's work is required, such assessment should be objective and should be made known to the teacher.

    (2) Teachers should have a right to appeal against assessments which they deem to be unjustified.

65. Teachers should be free to make use of such evaluation techniques as they may deem useful for the appraisal of pupils' progress, but should ensure that no unfairness to individual pupils results.

66. The authorities should give due weight to the recommendations of teachers regarding the suitability of individual pupils for courses and further education of different kinds.

67. Every possible effort should be made to promote close co-operation between teachers and parents in the interests of pupils, but teachers should be protected against unfair or unwarranted interference by parents in matters which are essentially the teacher's professional responsibility.

68. (1) Parents having a complaint against a school or a teacher should be given the opportunity of discussing it in the first instance with the school principal and the teacher concerned. Any complaint subsequently addressed to higher authority should be put in writing and a copy should be supplied to the teacher.

    (2) Investigations of complaints should be so conducted that the teachers are given a fair opportunity to defend themselves and that no publicity is given to the proceedings.

69. While teachers should exercise the utmost care to avoid accidents to pupils, employers of teachers should safeguard them against the risk of having damages assessed against them in the event of injury to pupils occurring at school or in school activities away from the school premises or grounds.

Responsibilities of teachers

70. Recognizing that the status of their profession depends to a considerable extent upon teachers themselves, all teachers should seek to achieve the highest possible standards in all their professional work

71. Professional standards relating to teacher performance should be defined and maintained with the participation of the teachers' organizations.

72. Teachers and teachers' organizations should seek to co-operate fully with authorities in the interests of the pupils, of the education service and of society generally.

73. Codes of ethics or of conduct should be established by the teachers' organizations, since such codes greatly contribute to ensuring the prestige of the profession and the exercise of professional duties in accordance with agreed principles.

74. Teachers should be prepared to take their part in extra-curricular activities for the benefit of pupils and adults.

Relations between teachers and the education service as a whole

75. In order that teachers may discharge their responsibilities, authorities should establish and regularly use recognized means of consultation with teachers' organizations on such matters as educational policy, school organization, and new developments in the education service.

76. Authorities and teachers should recognize the importance of the participation of teachers, through their organizations and in other ways, in steps designed to improve the quality of the education service, in educational research, and in the development and dissemination of new improved methods.

77. Authorities should facilitate the establishment and the work of panels designed, within a school or within a broader framework, to promote the co-operation of teachers of the same subject and should take due account of the opinions and suggestions of such panels.

78. Administrative and other staff who are responsible for aspects of the education service should seek to establish good relations with teachers and this approach should be equally reciprocated.

Rights of teachers

79. The participation of teachers in social and public life should be encouraged in the interests of the teacher's personal development, of the education service and of society as a whole.

80. Teachers should be free to exercise all civic rights generally enjoyed by citizens and should be eligible for public office.

81. Where the requirements of public office are such that the teacher has to relinquish his teaching duties, he should be retained in the profession for seniority and pension purposes and should be able to return to his previous post or to an equivalent post after his term of public office has expired.

82. Both salaries and working conditions for teachers should be determined through the process of negotiation between teachers' organizations and the employers of teachers.

83. Statutory or voluntary machinery should be established whereby the right of teachers to negotiate through their organizations with their employers, either public or private, is assured.

84. Appropriate joint machinery should be set up to deal with the settlement of disputes between the teachers and their employers arising out of terms and conditions of employment. If the means and procedures established for these purposes should be exhausted or if there should be a breakdown in negotiations between the parties, teachers' organizations should have the right to take such other steps as are normally open to other organizations in the defence of their legitimate interests.

IX. Conditions for effective teaching and learning

85. Since the teacher is a valuable specialist, his work should be so organized and assisted as to avoid waste of his time and energy.

Class size

86. Class size should be such as to permit the teacher to give the pupils individual attention. From time to time provision may be made for small group or even individual instruction for such purposes as remedial work, and on occasion, for large group instruction employing audio-visual aids.

Ancillary staff

87. With a view to enabling teachers to concentrate on their professional tasks, schools should be provided with ancillary staff to perform non-teaching duties.

Teaching aids

88. (1) Authorities should provide teachers and pupils with modern aids to teaching. Such aids should not be regarded as a substitute for the teacher but as a means of improving the quality of teaching and extending to a larger number of pupils the benefits of education.

    (2) Authorities should promote research into the use of such aids and encourage teachers to participate actively in such research.

Hours of work

89. The hours teachers are required to work per day and per week should be established in consultation with teachers' organizations.

90. In fixing hours of teaching account should be taken of all factors which are relevant to the teacher's work load, such as:

    (a) the number of pupils with whom the teacher is required to work per day and per week;

    (b) the necessity to provide time for adequate planning and preparation of lessons and for evaluation of work;

    (c) the number of different lessons assigned to be taught each day;

    (d) the demands upon the time of the teacher imposed by participation in research, in co-curricular and extra-curricular activities, in supervisory duties and in counselling of pupils;

    (e) the desirability of providing time in which teachers may report to and consult with parents regarding pupil progress.

91. Teachers should be provided time necessary for taking part in in-service training programmes.

92. Participation of teachers in extra-curricular activities should not constitute an excessive burden and should not interfere with the fulfilment of the main duties of the teacher.

93. Teachers assigned special educational responsibilities in addition to classroom instruction should have their normal hours of teaching reduced correspondingly.

Annual holidays with pay

94. All teachers should enjoy a right to adequate annual vacation with full pay.

Study leave

95. (1) Teachers should be granted study leave on full or partial pay at intervals.

(2) The period of study leave should be counted for seniority and pension purposes.

(3) Teachers in areas which are remote from population centres and are recognized as such by the public authorities should be given study leave more frequently.

Special leave

96. Leave of absence granted within the framework of bilateral and multilateral cultural exchanges should be considered as service.

97. Teachers attached to technical assistance projects should be granted leave of absence and their seniority, eligibility for promotion and pension rights in the home country should be safeguarded. In addition special arrangements should be made to cover their extraordinary expenses.

98. Foreign guest teachers should similarly be given leave of absence by their home countries and have their seniority and pension rights safeguarded.

99. (1) Teachers should be granted occasional leave of absence with full pay to enable them to participate in the activities of their organizations.

(2) Teachers should have the right to take up office in their organizations; in such case their entitlements should be similar to those of teachers holding public office.

100. Teachers should be granted leave of absence with full pay for adequate personal reasons under arrangements specified in advance of employment.

Sick leave and maternity leave

101. (1) Teachers should be entitled to sick leave with pay.

(2) In determining the period during which full or partial pay shall be payable, account should be taken of cases in which it is necessary for teachers to be isolated from pupils for long periods.

102. Effect should be given to the standards laid down by the International Labour Organization in the field of maternity protection, and in particular the Maternity Protection Convention, 1919, and the Maternity Protection Convention (Revised), 1952, as well as to the standards referred to in paragraph 126 of this Recommendation.

103. Women teachers with children should be encouraged to remain in the service by such measures as enabling them, at their request, to take additional unpaid leave of up to one year after childbirth without loss of employment, all rights resulting from employment being fully safeguarded.

Teacher exchange

104. Authorities should recognize the value both to the education service and to teachers themselves of professional and cultural exchanges between countries and of travel abroad on the part of teachers; they should seek to extend such opportunities and take account of the experience acquired abroad by individual teachers.

105. Recruitment for such exchanges should be arranged without any discrimination, and the persons concerned should not be considered as representing any particular political view.

106. Teachers who travel in order to study and work abroad should be given adequate facilities to do so and proper safeguards of their posts and status.

107. Teachers should be encouraged to share teaching experience gained abroad with other members of the profession.

School buildings

108. School buildings should be safe and attractive in overall design and functional in layout; they should lend themselves to effective teaching, and to use for extra-curricular activities and, especially in rural areas, as a community centre; they should be constructed in accordance with established sanitary standards and with a view to durability, adaptability and easy, economic maintenance.

109. Authorities should ensure that school premises are properly maintained, so as not to threaten in any way the health and safety of pupils and teachers.

110. In the planning of new schools representative teacher opinion should be consulted. In providing new or additional accommodation for an existing school the staff of the school concerned should be consulted.

Special provisions for teachers in rural or remote areas

111. (1) Decent housing, preferably free or at a subsidized rental, should be provided for teachers and their families in areas remote from population centres and recognized as such by the public authorities.

(2) In countries where teachers, in addition to their normal teaching duties, are expected to promote and stimulate community activities, development plans and programmes should include provision for appropriate accommodation for teachers.

112. (1) On appointment or transfer to schools in remote areas, teachers should be paid removal and travel expenses for themselves and their families.

(2) Teachers in such areas should, where necessary, be given special travel facilities to enable them to maintain their professional standards.

(3) Teachers transferred to remote areas should, as an inducement, be reimbursed their travel expenses from their place of work to their home town once a year when they go on leave.

113. Whenever teachers are exposed to particular hardships, they should be compensated by the payment of special hardship allowances, which should be included in earnings taken into account for pension purposes.

X. Teachers' salaries

114. Amongst the various factors which affect the status of teachers, particular importance should be attached to salary, seeing that in present world conditions other factors, such as the standing or regard accorded them and the level of appreciation of the importance of their function, are largely dependent, as in other comparable professions, on the economic position in which they are placed.

115. Teachers' salaries should :

(a) reflect the importance to society of the teaching function and hence the importance of teachers as well as the responsibilities of all kinds which fall upon them from the time of their entry into the service;

(b) compare favourably with salaries paid in other occupations requiring similar or equivalent qualifications;

(c) provide teachers with the means to ensure a reasonable standard of living for themselves and their families as well as to invest in further education or in the pursuit of cultural activities, thus enhancing their professional qualification;

(d) take account of the fact that certain posts require higher qualifications and experience and carry greater responsibilities.

116. Teachers should be paid on the basis of salary scales established in agreement with the teachers' organizations. In no circumstances should qualified teachers during a probationary period or if employed on a temporary basis be paid on a lower salary scale than that laid down for established teachers.

117. The salary structure should be planned so as not to give rise to injustices or anomalies tending to lead to friction between different groups of teachers.

118. Where a maximum number of class contact hours is laid down, a teacher whose regular schedule exceeds the normal maximum should receive additional remuneration on an approved scale.

119. Salary differentials should be based on objective criteria such as levels of qualification, years of experience or degrees of responsibility but the relationship between the lowest and the highest salary should be of a reasonable order.

120. In establishing the placement on a basic salary scale of a teacher of vocational or technical subjects who may have no academic degree, allowance should be made for the value of his practical training and experience.

121. Teachers' salaries should be calculated on an annual basis.

122. (1) Advancement within the grade through salary increments granted at regular, preferably annual, intervals should be provided.

(2) The progression from the minimum to the maximum of the basic salary scale should not extend over a period longer, than, 10 to 15 years.

(3) Teachers should be granted salary increments for service performed during periods of probationary or temporary appointment.

123. (1) Salary scales for teachers should be reviewed periodically to take into account such factors as a rise in the cost of living, increased productivity leading to higher standards of living in the country or- a general upward movement in wage or salary levels.

(2) Where a system of salary adjustments automatically following a cost of living index has been adopted, the choice of index should be determined with the participation of the teachers' organizations and any cost-of-living allowance granted should be regarded as an integral part of earnings taken into account for pension purposes.

124. No merit rating system for purposes of salary determination should be introduced or applied without prior consultation with and acceptance by the teachers' organizations concerned.

XI. Social security

General provisions

125. All teachers, regardless of the type of school in which they serve, should enjoy the same or similar social security protection. Protection should be extended to periods of probation and of training for those who are regularly employed as teachers.

126. (1) Teachers should be protected by social security measures in respect of all the contingencies included in the International Labour Organization Social Security (Minimum Standards) Convention, 1952, namely by medical care, sickness benefit, unemployment benefit, old-age benefit, employment injury benefit, family benefit, maternity benefit, invalidity benefit and survivors' benefit.

(2) The standards of social security provided for teachers should be at least as favourable as those set out in the relevant instruments of-the International Labour Organization and in particular the Social Security (Minimum Standards) Convention, 1952.

(3) Social security benefits for teachers should be granted as a matter of right.

127. The social security protection of teachers should take account of their particular conditions of employment, as indicated in paragraphs 128-140.

Medical care

128. In regions where there is a scarcity of medical facilities teachers should be paid travelling expenses necessary to obtain appropriate medical care.

Sickness benefit

129. (1) Sickness benefit should be granted throughout any period of incapacity for work involving suspension of earnings.

(2) It should be paid from the first day in each case of suspension of earnings.

(3) Where the duration of sickness benefit is limited to a specified period, provisions should be made for extensions in cases in which it is necessary for teachers to be isolated from pupils.

Employment injury benefit

130. Teachers should be protected against the consequences of injuries suffered not only during teaching at school but also when engaged in school activities away from the school premises or grounds.

131. Certain infectious diseases prevalent among children should be regarded as occupational diseases when contracted by teachers who have been exposed to them by virtue of their contact with pupils.

Old-age benefit

132. Pension credits earned by a teacher under any education authority within a country should be portable should the teacher transfer to employment under any other authority within that country.

133. Taking account of national regulations, teachers who, in case of a duly recognized teacher shortage, continue in service after qualifying for a pension should either receive credit in the calculation of the pension for the additional years of service or be able to gain a supplementary pension through an appropriate agency.

134. Old-age benefit should be so related to final earnings that the teacher may continue to maintain an adequate living standard.

Invalidity benefit

135. Invalidity benefit should be payable to teachers who are forced to discontinue teaching because of physical or mental disability. Provision should be made for the granting of pensions where the contingency is not covered by extended sickness benefit or other means.

136. Where disability is only partial in that the teacher is able to teach part time, partial invalidity benefit should be payable. 137. (1) Invalidity benefit should be so related to final earnings that the teacher may continue to maintain an adequate living standard.

(2) Provision should be made for medical care and allied benefits with a view to restoring or, where this is not possible, improving the health of disabled teachers, as well as for rehabilitation services designed to prepare disabled teachers, wherever possible, for the resumption of their previous activity.

Survivors' benefit

138. The conditions of eligibility for survivors' benefit and the amount of such benefit should be such as to enable survivors to maintain an adequate standard of living and as to secure the welfare and education of surviving dependent children.

Means of providing social security for teachers

139. (1) The social security protection of teachers should be assured as far as possible through a general scheme applicable to employed persons in the public sector or in the private sector as appropriate.

(2) Where no general scheme is in existence for one or more of the contingencies to be covered, special schemes, statutory or non-statutory, should be established.

(3) Where the level of benefits under a general scheme is below that provided for in this Recommendation, it should be brought up to the recommended standard by means of supplementary schemes.

140. Consideration should be given to the possibility of associating representatives of teachers' organizations with the administration of special and supplementary schemes, including the investment of their funds.

XII. The teacher shortage

141. (1) It should be a guiding principle that any severe supply problem should be dealt with by measures which are recognized as exceptional, which do, not detract from or endanger in any way professional standards already established or to be established and which minimize educational loss to pupils.

(2) Recognizing that certain expedients designed to deal with the shortage of teachers, such as over-large classes and the unreasonable extension of hours of teaching duty are incompatible with the aims and objectives of education and are detrimental to the pupils, the competent authorities as a matter of urgency should take steps to render these expedients unnecessary and to discontinue them.

142. In developing countries, where supply considerations may necessitate short-term intensive emergency preparation programmes for teachers," a fully professional, extensive programme should be available in order to produce corps of professionally prepared teachers competent to guide and direct the educational enterprise.

143. (1) Students admitted to training in short-term, emergency programmes should be selected in terms of the standards applying to admission to the normal professional programme, or even higher ones, to ensure that they will be capable of subsequently completing the requirements of the full programme.

(2) Arrangements and special facilities, including extra study leave on full pay, should enable such students to complete their qualifications in service.

144. (1) As far as possible, unqualified personnel should be required to work under the close supervision and direction of professionally qualified teachers.

(2) As a condition of continued employment such persons should be required to obtain or complete their qualifications.

145. Authorities should recognize that improvements in the social and economic status of teachers, their living and working conditions, their terms of employment and their career prospects are the best means of overcoming any existing shortage of competent and experienced teachers, and of attracting to and retaining in the teaching profession substantial numbers of fully qualified persons.

XIII. Final provision

146. Where teachers enjoy a status, which is, in certain respects, more favourable than that provided for in this Recommendation, its terms should not be invoked to diminish the status already granted.

Appendix II

UNESCO Recommendation concerning the Status of Higher Education Teaching Personnel (1997)

Preamble

The General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO), meeting in Paris from 21 October to 12 November 1997, at its 29th session, Conscious of the responsibility of states for the provision of education for all in fulfilment of Article 26 of the Universal Declaration of Human Rights (1948),

Recalling in particular the responsibility of the states for the provision of higher education in fulfilment of Article 13, paragraph 1(c), of the International Covenant on Economic, Social and Cultural Rights (1966),

Conscious that higher education and research are instrumental in the pursuit, advancement and transfer of knowledge and constitute an exceptionally rich cultural and scientific asset,

Also conscious that governments and important social groups, such as students, industry and labour, are vitally interested in and benefit from the services and outputs of the higher education systems,

Recognizing the decisive role of higher education teaching personnel in the advancement of higher education, and the importance of their contribution to the development of humanity and modern society,

Convinced that higher-education teaching personnel, like all other citizens, are expected to endeavour to enhance the observance in society of the cultural, economic, social, civil and political rights of all peoples,

Aware of the need to reshape higher education to meet social and economic changes and for higher education teaching personnel to participate in this process,

Expressing concern regarding the vulnerability of the academic community to untoward political pressures which could undermine academic freedom,

Considering that the right to education, teaching and research can only be fully enjoyed in an atmosphere of academic freedom and autonomy for institutions of higher education and that the open communication of findings, hypotheses and opinions lies at the very heart of higher education and provides the strongest guarantee of the accuracy and objectivity of scholarship and research,

Concerned to ensure that higher-education teaching personnel enjoy the status commensurate with this role, Recognizing the diversity of cultures in the world,

Taking into account the great diversity of the laws, regulations, practices and traditions which, in different countries, determine the patterns and organization of higher education,

Mindful of the diversity of arrangements which apply to higher-education teaching personnel in different countries, in particular according to whether the regulations concerning the public service apply to them,

Convinced nevertheless that similar questions arise in all countries with regard to the status of higher education teaching personnel and that these questions call for the adoption of common approaches and so far as practicable the application of common standards which it is the purpose of this Recommendation to set out,

Bearing in mind such instruments as the UNESCO Convention against Discrimination in Education (1960), which recognizes that UNESCO has a duty not only to proscribe any form of discrimination in education, but also to promote equality of opportunity and treatment for all in education at all levels, including the conditions under which it is given, as well as the Recommendation concerning the Status of Teachers (1966) and the UNESCO Recommendation on the Status of Scientific Researchers (1974), as well as the instruments of the International Labour

Organization on freedom of association and the right to organize and to collective bargaining and on equality of opportunity and treatment,

Desiring to complement existing conventions, covenants and recommendations contained in international standards set out in the appendix with provisions relating to problems of particular concern to higher education institutions and their teaching and research personnel,

Adopts the present Recommendation on 11 November 1997.

I. Definitions

1. For the purpose of this Recommendation:

   (a) "higher education" means programmes of study, training or training for research at the post-secondary level provided by universities or other educational establishments that are approved as institutions of higher education by the competent state authorities, and/or through recognized accreditation systems;

   (b) "research", within the context of higher education, means original scientific, technological and engineering, medical, cultural, social and human science or educational research which implies careful, critical, disciplined inquiry, varying in technique and method according to the nature and conditions of the problems identified, directed towards the clarification and/or resolution of the problems, and when within an institutional framework, supported by an appropriate infrastructure;

   (c) "scholarship" means the processes by which higher-education teaching personnel keep up to date with their subject, engage in scholarly editing, disseminate their work and improve their pedagogical skills as teachers in their discipline and upgrade their academic credentials;

   (d) "extension work" means a service by which the resources of an educational institution are extended beyond its confines to serve a widely diversified community within the state or region regarded as the constituent area of the institution, so long as this work does not contradict the mission of the institution. In teaching it may include a wide range of activities such as extramural, lifelong and distance education delivered through evening classes, short courses, seminars and institutes. In research it may lead to the provision of expertise to the public, private and non-profit sectors, various types of consultation, and participation in applied research and in implementing research results;

   (e) "institutions of higher education" means universities, other educational establishments, centres and structures of higher education, and centres of research and culture associated with any of the above, public or private, that are approved as such either through recognized accreditation systems or by the competent state authorities;

   (f) "higher-education teaching personnel" means all those persons in institutions or programmes of higher education who are engaged to teach and/or to undertake scholarship and/or to undertake research and/or to provide educational services to students or to the community at large.

II. Scope

2. This Recommendation applies to all higher-education teaching personnel.

III. Guiding principles

3. The global objectives of international peace, understanding, co-operation and sustainable development pursued by each Member State and by the United Nations require, inter alia, education for peace and in the culture of peace, as defined by UNESCO, as well as qualified and cultivated graduates of higher education institutions, capable of serving the community as responsible citizens and undertaking effective scholarship and advanced research and, as a consequence, a corps of talented and highly qualified higher-education teaching personnel.

4. Institutions of higher education, and more particularly universities, are communities of scholars preserving, disseminating and expressing freely their opinions on traditional knowledge and culture,

and pursuing new knowledge without constriction by prescribed doctrines. The pursuit of new knowledge and its application lie at the heart of the mandate of such institutions of higher education. In higher education institutions where original research is not required, higher-education teaching personnel should maintain and develop knowledge of their subject through scholarship and improved pedagogical skills.

5. Advances in higher education, scholarship and research depend largely on infrastructure and resources, both human and material, and on the qualifications and expertise of higher-education teaching personnel as well as on their human, pedagogical and technical qualities, underpinned by academic freedom, professional responsibility, collegiality and institutional autonomy.

6. Teaching in higher education is a profession: it is a form of public service that requires of higher education personnel expert knowledge and specialized skills acquired and maintained through rigorous and lifelong study and research; it also calls for a sense of personal and institutional responsibility for the education and welfare of students and of the community at large and for a commitment to high professional standards in scholarship and research.

7. Working conditions for higher-education teaching personnel should be such as will best promote effective teaching, scholarship, research and extension work and enable higher-education teaching personnel to carry out their professional tasks.

8. Organizations which represent higher-education teaching personnel should be considered and recognized as a force which can contribute greatly to educational advancement and which should, therefore, be involved, together with other stakeholders and interested parties, in the determination of higher education policy.

9. Respect should be shown for the diversity of higher education institution systems in each Member State in accordance with its national laws and practices as well as with international standards.

IV. Educational objectives and policies

10. At all appropriate stages of their national planning in general, and of their planning for higher education in particular, Member States should take all necessary measures to ensure that:

    (a) higher education is directed to human development and to the progress of society;

    (b) higher education contributes to the achievement of the goals of lifelong learning and to the development of other forms and levels of education;

    (c) where public funds are appropriated for higher education institutions, such funds are treated as a public investment, subject to effective public accountability;

    (d) the funding of higher education is treated as a form of public investment the returns on which are, for the most part, necessarily long term, subject to government and public priorities;

    (e) the justification for public funding is held constantly before public opinion.

11. Higher-education teaching personnel should have access to libraries which have up-to-date collections reflecting diverse sides of an issue, and whose holdings are not subject to censorship or other forms of intellectual interference. They should also have access, without censorship, to international computer systems, satellite programmes and databases required for their teaching, scholarship or research.

12. The publication and dissemination of the research results obtained by higher-education teaching personnel should be encouraged and facilitated with a view to assisting them to acquire the reputation which they merit, as well as with a view to promoting the advancement of science, technology, education and culture generally. To this end, higher-education teaching personnel should be free to publish the results of research and scholarship in books, journals and databases of their own choice and under their own names, provided they are the authors or co-authors of the above scholarly works. The intellectual property of higher-education teaching personnel should benefit from appropriate legal protection, and in particular the protection afforded by national and international copyright law.

13. The interplay of ideas and information among higher-education teaching personnel throughout the world is vital to the healthy development of higher education and research and should be actively promoted. To this end higher-education teaching personnel should be enabled throughout their

careers to participate in international gatherings on higher education or research, to travel abroad without political restrictions and to use the Internet or video-conferencing for these purposes.

14. Programmes providing for the broadest exchange of higher-education teaching personnel between institutions, both nationally and internationally, including the organization of symposia, seminars and collaborative projects, and the exchange of educational and scholarly information should be developed and encouraged. The extension of communications and direct contacts between universities, research institutions and associations as well as among scientists and research workers should be facilitated, as should access by higher education teaching personnel from other states to open information material in public archives, libraries, research institutes and similar bodies.

15. Member States and higher education institutions should, nevertheless, be conscious of the exodus of higher-education teaching personnel from the developing countries and, in particular, the least developed ones. They should, therefore, encourage aid programmes to the developing countries to help sustain an academic environment which offers satisfactory conditions of work for higher-education teaching personnel in those countries, so that this exodus may be contained and ultimately reversed.

16. Fair, just and reasonable national policies and practices for the recognition of degrees and of credentials for the practice of the higher education profession from other states should be established that are consistent with the UNESCO Recommendation on the Recognition of Studies and Qualifications in Higher Education of 1993.

V. Institutional rights, duties and responsibilities

A. Institutional autonomy

17. The proper enjoyment of academic freedom and compliance with the duties and responsibilities listed below require the autonomy of institutions of higher education. Autonomy is that degree of self-governance necessary for effective decision making by institutions of higher education regarding their academic work, standards, management and related activities consistent with systems of public accountability, especially in respect of funding provided by the state, and respect for academic freedom and human rights. However, the nature of institutional autonomy may differ according to the type of establishment involved.

18. Autonomy is the institutional form of academic freedom and a necessary precondition to guarantee the proper fulfilment of the functions entrusted to higher-education teaching personnel and institutions.

19. Member States are under an obligation to protect higher education institutions from threats to their autonomy coming from any source.

20. Autonomy should not be used by higher education institutions as a pretext to limit the rights of higher-education teaching personnel provided for in this Recommendation or in other international standards set out in the appendix.

21. Self-governance, collegiality and appropriate academic leadership are essential components of meaningful autonomy for institutions of higher education.

B. Institutional accountability

22. In view of the substantial financial investments made, Member States and higher education institutions should ensure a proper balance between the level of autonomy enjoyed by higher education institutions and their systems of accountability. Higher education institutions should endeavour to open their governance in order to be accountable. They should be accountable for:

    (a) effective communication to the public concerning the nature of their educational mission;

    (b) a commitment to quality and excellence in their teaching, scholarship and research functions, and an obligation to protect and ensure the integrity of their teaching, scholarship and research against intrusions inconsistent with their academic missions;

    (c) effective support of academic freedom and fundamental human rights;

(d) ensuring high quality education for as many academically qualified individuals as possible subject to the constraints of the resources available to them;

(e) a commitment to the provision of opportunities for lifelong learning, consistent with the mission of the institution and the resources provided;

(f) ensuring that students are treated fairly and justly, and without discrimination;

(g) adopting policies and procedures to ensure the equitable treatment of women and minorities and to eliminate sexual and racial harassment;

(h) ensuring that higher education personnel are not impeded in their work in the classroom or in their research capacity by violence, intimidation or harassment;

(i) honest and open accounting;

(j) efficient use of resources;

(k) the creation, through the collegial process and/or through negotiation with organizations representing higher-education teaching personnel, consistent with the principles of academic freedom and freedom of speech, of statements or codes of ethics to guide higher education personnel in their teaching, scholarship, research and extension work;

(l) assistance in the fulfilment of economic, social, cultural and political rights while striving to prevent the use of knowledge, science and technology to the detriment of those rights, or for purposes which run counter to generally accepted academic ethics, human rights and peace;

(m) ensuring that they address themselves to the contemporary problems facing society; to this end, their curricula, as well as their activities, should respond, where appropriate, to the current and future needs of the local community and of society at large, and they should play an important role in enhancing the labour market opportunities of their graduates;

(n) encouraging, where possible and appropriate, international academic co-operation which transcends national, regional, political, ethnic and other barriers, striving to prevent the scientific and technological exploitation of one state by another, and promoting equal partnership of all the academic communities of the world in the pursuit and use of knowledge and the preservation of cultural heritages;

(o) ensuring up-to-date libraries and access, without censorship, to modern teaching, research and information resources providing information required by higher-education teaching personnel or by students for teaching, scholarship or research;

(p) ensuring the facilities and equipment necessary for the mission of the institution and their proper upkeep;

(q) ensuring that when engaged in classified research it will not contradict the educational mission and objectives of the institutions and will not run counter to the general objectives of peace, human rights, sustainable development and environment.

23. Systems of institutional accountability should be based on a scientific methodology and be clear, realistic, cost-effective and simple. In their operation they should be fair, just and equitable. Both the methodology and the results should be open.

24. Higher education institutions, individually or collectively, should design and implement appropriate systems of accountability, including quality assurance mechanisms to achieve the above goals, without harming institutional autonomy or academic freedom. The organizations representing higher-education teaching personnel should participate, where possible, in the planning of such systems. Where state-mandated structures of accountability are established, their procedures should be negotiated, where applicable, with the institutions of higher education concerned and with the organizations representing higher-education teaching personnel.

VI. Rights and freedoms of higher-education teaching personnel

A. Individual rights and freedoms: civil rights, academic freedom, publication rights, and the international exchange of information

25. Access to the higher education academic profession should be based solely on appropriate academic qualifications, competence and experience and be equal for all members of society without any discrimination.

26. Higher-education teaching personnel, like all other groups and individuals, should enjoy those internationally recognized civil, political, social and cultural rights applicable to all citizens. Therefore, all higher-education teaching personnel should enjoy freedom of thought, conscience, religion, expression, assembly and association as well as the right to liberty and security of the person and liberty of movement. They should not be hindered or impeded in exercising their civil rights as citizens, including the right to contribute to social change through freely expressing their opinion of state policies and of policies affecting higher education. They should not suffer any penalties simply because of the exercise of such rights. Higher-education teaching personnel should not be subject to arbitrary arrest or detention, nor to torture, nor to cruel, inhuman or degrading treatment. In cases of gross violation of their rights, higher-education teaching personnel should have the right to appeal to the relevant national, regional or international bodies such as the agencies of the United Nations, and organizations representing higher-education teaching personnel should extend full support in such cases.

27. The maintaining of the above international standards should be upheld in the interest of higher education internationally and within the country. To do so, the principle of academic freedom should be scrupulously observed. Higher-education teaching personnel are entitled to the maintaining of academic freedom, that is to say, the right, without constriction by prescribed doctrine, to freedom of teaching and discussion, freedom in carrying out research and disseminating and publishing the results thereof, freedom to express freely their opinion about the institution or system in which they work, freedom from institutional censorship and freedom to participate in professional or representative academic bodies. All higher-education teaching personnel should have the right to fulfil their functions without discrimination of any kind and without fear of repression by the state or any other source. Higher-education teaching personnel can effectively do justice to this principle if the environment in which they operate is conducive, which requires a democratic atmosphere; hence the challenge for all of developing a democratic society.

28. Higher-education teaching personnel have the right to teach without any interference, subject to accepted professional principles including professional responsibility and intellectual rigour with regard to standards and methods of teaching. Higher-education teaching personnel should not be forced to instruct against their own best knowledge and conscience or be forced to use curricula and methods contrary to national and international human rights standards. Higher-education teaching personnel should play a significant role in determining the curriculum.

29. Higher-education teaching personnel have a right to carry out research work without any interference, or any suppression, in accordance with their professional responsibility and subject to nationally and internationally recognized professional principles of intellectual rigour, scientific inquiry and research ethics. They should also have the right to publish and communicate the conclusions of the research of which they are authors or co-authors, as stated in paragraph 12 of this Recommendation.

30. Higher-education teaching personnel have a right to undertake professional activities outside of their employment, particularly those that enhance their professional skills or allow for the application of knowledge to the problems of the community, provided such activities do not interfere with their primary commitments to their home institutions in accordance with institutional policies and regulations or national laws and practice where they exist.

B. Self-governance and collegiality

31. Higher-education teaching personnel should have the right and opportunity, without discrimination of any kind, according to their abilities, to take part in the governing bodies and to criticize the

functioning of higher education institutions, including their own, while respecting the right of other sections of the academic community to participate, and they should also have the right to elect a majority of representatives to academic bodies within the higher education institution.

32. The principles of collegiality include academic freedom, shared responsibility, the policy of participation of all concerned in internal decision making structures and practices, and the development of consultative mechanisms. Collegial decision-making should encompass decisions regarding the administration and determination of policies of higher education, curricula, research, extension work, the allocation of resources and other related activities, in order to improve academic excellence and quality for the benefit of society at large.

VII. Duties and responsibilities of higher education teaching personnel

33. Higher-education teaching personnel should recognize that the exercise of rights carries with it special duties and responsibilities, including the obligation to respect the academic freedom of other members of the academic community and to ensure the fair discussion of contrary views. Academic freedom carries with it the duty to use that freedom in a manner consistent with the scholarly obligation to base research on an honest search for truth. Teaching, research and scholarship should be conducted in full accordance with ethical and professional standards and should, where appropriate, respond to contemporary problems facing society as well as preserve the historical and cultural heritage of the world.

34. In particular, the individual duties of higher education teaching personnel inherent in their academic freedom are:

    (a) to teach students effectively within the means provided by the institution and the state, to be fair and equitable to male and female students and treat those of all races and religions, as well as those with disabilities, equally, to encourage the free exchange of ideas between themselves and their students, and to be available to them for guidance in their studies. Higher-education teaching personnel should ensure, where necessary, that the minimum content defined in the syllabus for each subject is covered;

    (b) to conduct scholarly research and to disseminate the results of such research or, where original research is not required, to maintain and develop their knowledge of their subject through study and research, and through the development of teaching methodology to improve their pedagogical skills;

    (c) to base their research and scholarship on an honest search for knowledge with due respect for evidence, impartial reasoning and honesty in reporting;

    (d) to observe the ethics of research involving humans, animals, the heritage or the environment;

    (e) to respect and to acknowledge the scholarly work of academic colleagues and students and, in particular, to ensure that authorship of published works includes all who have materially contributed to, and share responsibility for, the contents of a publication;

    (f) to refrain from using new information, concepts or data that were originally obtained as a result of access to confidential manuscripts or applications for funds for research or training that may have been seen as the result of processes such as peer review, unless the author has given permission;

    (g) to ensure that research is conducted according to the laws and regulations of the state in which the research is carried out, that it does not violate international codes of human rights, and that the results of the research and the data on which it is based are effectively made available to scholars and researchers in the host institution, except where this might place respondents in peril or where anonymity has been guaranteed;

    (h) to avoid conflicts of interest and to resolve them through appropriate disclosure and full consultation with the higher education institution employing them, so that they have the approval of the aforesaid institution;

    (i) to handle honestly all funds entrusted to their care for higher education institutions for research or for other professional or scientific bodies;

(j) to be fair and impartial when presenting a professional appraisal of academic colleagues and students;

(k) to be conscious of a responsibility, when speaking or writing outside scholarly channels on matters which are not related to their professional expertise, to avoid misleading the public on the nature of their professional expertise;

(l) to undertake such appropriate duties as are required for the collegial governance of institutions of higher education and of professional bodies.

35. Higher-education teaching personnel should seek to achieve the highest possible standards in their professional work, since their status largely depends on themselves and the quality of their achievements.

36. Higher-education teaching personnel should contribute to the public accountability of higher education institutions without, however, forfeiting the degree of institutional autonomy necessary for their work, for their professional freedom and for the advancement of knowledge.

VIII. Preparation for the profession

37. Policies governing access to preparation for a career in higher education rest on the need to provide society with an adequate supply of higher-education teaching personnel who possess the necessary ethical, intellectual and teaching qualities and who have the required professional knowledge and skills.

38. All aspects of the preparation of higher-education teaching personnel should be free from any form of discrimination.

39. Amongst candidates seeking to prepare for a career in higher education, women and members of minorities with equal academic qualifications and experience should be given equal opportunities and treatment.

IX. Terms and conditions of employment

A. Entry into the academic profession

40. The employers of higher-education teaching personnel should establish such terms and conditions of employment as will be most conducive for effective teaching and/or research and/or scholarship and/or extension work and will be fair and free from discrimination of any kind.

41. Temporary measures aimed at accelerating de facto equality for disadvantaged members of the academic community should not be considered discriminatory, provided that these measures are discontinued when the objectives of equality of opportunity and treatment have been achieved and systems are in place to ensure the continuance of equality of opportunity and treatment.

42. A probationary period on initial entry to teaching and research in higher education is recognized as the opportunity for the encouragement and helpful initiation of the entrant and for the establishment and maintenance of proper professional standards, as well as for the individual's own development of his/her teaching and research proficiency. The normal duration of probation should be known in advance and the conditions for its satisfactory completion should be strictly related to professional competence. If such candidates fail to complete their probation satisfactorily, they should have the right to know the reasons and to receive this information sufficiently in advance of the end of the probationary period to give them a reasonable opportunity to improve their performance. They should also have the right to appeal.

43. Higher-education teaching personnel should enjoy:

(a) a just and open system of career development including fair procedures for appointment, tenure where applicable, promotion, dismissal, and other related matters;

(b) an effective, fair and just system of labour relations within the institution, consistent with the international standards set out in the appendix.

44. There should be provisions to allow for solidarity with other institutions of higher education and with their higher-education teaching personnel when they are subject to persecution. Such solidarity

may be material as well as moral and should, where possible, include refuge and employment or education for victims of persecution.

B. Security of employment

45. Tenure or its functional equivalent, where applicable, constitutes one of the major procedural safeguards of academic freedom and against arbitrary decisions. It also encourages individual responsibility and the retention of talented higher-education teaching personnel.

46. Security of employment in the profession, including tenure or its functional equivalent, where applicable, should be safeguarded as it is essential to the interests of higher education as well as those of higher-education teaching personnel. It ensures that higher-education teaching personnel who secure continuing employment following rigorous evaluation can only be dismissed on professional grounds and in accordance with due process. They may also be released for bona fide financial reasons, provided that all the financial accounts are open to public inspection, that the institution has taken all reasonable alternative steps to prevent termination of employment, and that there are legal safeguards against bias in any termination of employment procedure. Tenure or its functional equivalent, where applicable, should be safeguarded as far as possible even when changes in the organization of or within a higher education institution or system are made, and should be granted, after a reasonable period of probation, to those who meet stated objective criteria in teaching, and/or scholarship, and/or research to the satisfaction of an academic body, and/or extension work to the satisfaction of the institution of higher education.

C. Appraisal

47. Higher education institutions should ensure that:

    (a) evaluation and assessment of the work of higher-education teaching personnel are an integral part of the teaching, learning and research process, and that their major function is the development of individuals in accordance with their interests and capacities;

    (b) evaluation is based only on academic criteria of competence in research, teaching and other academic or professional duties as interpreted by academic peers;

    (c) evaluation procedures take due account of the difficulty inherent in measuring personal capacity, which seldom manifests itself in a constant and unfluctuating manner;

    (d) where evaluation involves any kind of direct assessment of the work of higher-education teaching personnel, by students and/or fellow colleagues and/or administrators, such assessment is objective and the criteria and the results are made known to the individual(s) concerned;

    (e) the results of appraisal of higher-education teaching personnel are also taken into account when establishing the staffing of the institution and considering the renewal of employment;

    (f) higher-education teaching personnel have the right to appeal to an impartial body against assessments which they deem to be unjustified.

D. Discipline and dismissal

48. No member of the academic community should be subject to discipline, including dismissal, except for just and sufficient cause demonstrable before an independent third-party hearing of peers, and/or before an impartial body such as arbitrators or the courts.

49. All members of higher-education teaching personnel should enjoy equitable safeguards at each stage of any disciplinary procedure, including dismissal, in accordance with the international standards set out in the appendix.

50. Dismissal as a disciplinary measure should only be for just and sufficient cause related to professional conduct, for example: persistent neglect of duties, gross incompetence, fabrication or falsification of research results, serious financial irregularities, sexual or other misconduct with students, colleagues, or other members of the academic community or serious threats thereof, or corruption of the educational process such as by falsifying grades, diplomas or degrees in return for money, sexual or other favours or by demanding sexual, financial or other material favours from subordinate employees or colleagues in return for continuing employment.

51. Individuals should have the right to appeal against the decision to dismiss them before independent, external bodies such as arbitrators or the courts, with final and binding powers.

E. Negotiation of terms and conditions of employment

52. Higher-education teaching personnel should enjoy the right to freedom of association, and this right should be effectively promoted. Collective bargaining or an equivalent procedure should be promoted in accordance with the standards of the International Labour Organization (ILO) set out in the appendix.

53. Salaries, working conditions and all matters related to the terms and conditions of employment of higher-education teaching personnel should be determined through a voluntary process of negotiation between organizations representing higher-education teaching personnel and the employers of higher education teaching personnel, except where other equivalent procedures are provided that are consistent with international standards.

54. Appropriate machinery, consistent with national laws and international standards, should be established by statute or by agreement whereby the right of higher-education teaching personnel to negotiate through their organizations with their employers, whether public or private, is assured. Such legal and statutory rights should be enforceable through an impartial process without undue delay.

55. If the process established for these purposes is exhausted or if there is a breakdown in negotiations between the parties, organizations of higher-education teaching personnel should have the right to take such other steps as are normally open to other organizations in the defence of their legitimate interests.

56. Higher-education teaching personnel should have access to a fair grievance and arbitration procedure, or the equivalent, for the settlement of disputes with their employers arising out of terms and conditions of employment.

F. Salaries, workload, social security benefits, health and safety

57. All financially feasible measures should be taken to provide higher-education teaching personnel with remuneration such that they can devote themselves satisfactorily to their duties and allocate the necessary amount of time for the continuing training and periodic renewal of knowledge and skills that are essential at this level of teaching.

58. The salaries of higher-education teaching personnel should:

    (a) reflect the importance to society of higher education and hence the importance of higher-education teaching personnel as well as the different responsibilities which fall to them from the time of their entry into the profession;

    (b) be at least comparable to salaries paid in other occupations requiring similar or equivalent qualifications;

    (c) provide higher-education teaching personnel with the means to ensure a reasonable standard of living for themselves and their families, as well as to invest in further education or in the pursuit of cultural or scientific activities, thus enhancing their professional qualifications;

    (d) take account of the fact that certain posts require higher qualifications and experience and carry greater responsibilities;

    (e) be paid regularly and on time;

    (f) be reviewed periodically to take into account such factors as a rise in the cost of living, increased productivity leading to higher standards of living, or a general upward movement in wage or salary levels.

59. Salary differentials should be based on objective criteria.

60. Higher-education teaching personnel should be paid on the basis of salary scales established in agreement with organizations representing higher-education teaching personnel, except where other equivalent procedures consistent with international standards are provided. During a probationary

period or if employed on a temporary basis qualified higher-education teaching personnel should not be paid on a lower scale than that laid down for established higher education teaching personnel at the same level.

61. A fair and impartial merit-rating system could be a means of enhancing quality assurance and quality control. Where introduced and applied for purposes of salary determination it should involve prior consultation with organizations representing higher-education teaching personnel.

62. The workload of higher-education teaching personnel should be fair and equitable, should permit such personnel to carry out effectively their duties and responsibilities to their students as well as their obligations in regard to scholarship, research and/or academic administration, should provide due consideration in terms of salary for those who are required to teach beyond their regular workload, and should be negotiated with the organizations representing higher-education teaching personnel, except where other equivalent procedures consistent with international standards are provided.

63. Higher-education teaching personnel should be provided with a work environment that does not have a negative impact on or affect their health and safety and they should be protected by social security measures, including those concerning sickness and disability and pension entitlements, and measures for the protection of health and safety in respect of all contingencies included in the conventions and recommendations of ILO. The standards should be at least as favourable as those set out in the relevant conventions and recommendations of ILO. Social security benefits for higher-education teaching personnel should be granted as a matter of right.

64. The pension rights earned by higher-education teaching personnel should be transferable nationally and internationally, subject to national, bilateral and multilateral taxation laws and agreements, should the individual transfer to employment with another institution of higher education. Organizations representing higher education teaching personnel should have the right to choose representatives to take part in the governance and administration of pension plans designed for higher-education teaching personnel where applicable, particularly those which are private and contributory.

G. Study and research leave and annual holidays

65. Higher-education teaching personnel should be granted study and research leave, such as sabbatical leave, on full or partial pay, where applicable, at regular intervals.

66. The period of study or research leave should be counted as service for seniority and pension purposes, subject to the provisions of the pension plan.

67. Higher-education teaching personnel should be granted occasional leave with full or partial pay to enable them to participate in professional activities.

68. Leave granted to higher-education teaching personnel within the framework of bilateral and multilateral cultural and scientific exchanges or technical assistance programmes abroad should be considered as service, and their seniority and eligibility for promotion and pension rights in their home institutions should be safeguarded. In addition, special arrangements should be made to cover their extra expenses.

69. Higher-education teaching personnel should enjoy the right to adequate annual vacation with full pay.

H. Terms and conditions of employment of women higher-education teaching personnel

70. All necessary measures should be taken to promote equality of opportunity and treatment of women higher-education teaching personnel in order to ensure, on the basis of equality between men and women, the rights recognized by the international standards set out in the appendix.

I. Terms and conditions of employment of disabled higher-education teaching personnel

71. All necessary measures should be taken to ensure that the standards set with regard to the conditions of work of higher-education teaching personnel who are disabled are, as a minimum, consistent with the relevant provisions of the international standards set out in the appendix.

J. Terms and conditions of employment of part-time higher-education teaching personnel

72. The value of the service provided by qualified part-time higher-education teaching personnel should be recognized. Higher-education teaching personnel employed regularly on a part-time basis should:

    (a) receive proportionately the same remuneration as higher-education teaching personnel employed on a full-time basis and enjoy equivalent basic conditions of employment;

    (b) benefit from conditions equivalent to those of higher-education teaching personnel employed on a full-time basis as regards holidays with pay, sick leave and maternity leave; the relevant pecuniary entitlements should be determined in proportion to hours of work or earnings;

    (c) be entitled to adequate and appropriate social security protection, including, where applicable, coverage under employers' pension schemes.

X. Utilization and implementation

73. Member States and higher education institutions should take all feasible steps to extend and complement their own action in respect of the status of higher-education teaching personnel by encouraging co-operation with and among all national and international governmental and nongovernmental organizations whose activities fall within the scope and objectives of this Recommendation.

74. Member States and higher education institutions should take all feasible steps to apply the provisions spelled out above to give effect, within their respective territories, to the principles set forth in this Recommendation.

75. The Director-General will prepare a comprehensive report on the world situation with regard to academic freedom and to respect for the human rights of higher-education teaching personnel on the basis of the information supplied by Member States and of any other information supported by reliable evidence which he/she may have gathered by such methods as he/she may deem appropriate.

76. In the case of a higher education institution in the territory of a state not under the direct or indirect authority of that state but under separate and independent authorities, the relevant authorities should transmit the text of this Recommendation to institutions, so that such institutions can put its provisions into practice.

XI. Final provision

77. Where higher-education teaching personnel enjoy a status which is, in certain respects, more favourable than that provided for in this Recommendation, the terms of this Recommendation should not be invoked to diminish the status already recognized.

Appendix

United Nations

- Universal Declaration of Human Rights, 1948;
- Declaration concerning the Promotion among Youth of the Ideals of Peace, Mutual Respect and Understanding between Peoples, 1965;
- International Convention on the Elimination of All Forms of Racial Discrimination, 1965;
- International Covenant on Economic, Social and Cultural Rights, 1966;
- International Covenant on Civil and Political Rights and Protocol thereto, 1966;
- Declaration on the Protection of All Persons from Being Subject to Torture and Other Cruel and Inhuman or Degrading Treatment or Punishment, 1975;
- Declaration on the Rights of Disabled Persons, 1975;
- Convention on the Elimination of All Forms of Discrimination against Women, 1979;
- Declaration on the Elimination of All Forms of Intolerance and of Discrimination Based on Religion or Belief, 1981;
- Convention against Torture and Other Cruel, Inhuman and Degrading Treatment or Punishment, 1984.

United Nations Educational, Scientific and Cultural Organization

- Convention against Discrimination in Education, 1960, and Protocol thereto, 1962;
- Recommendation against Discrimination in Education, 1960;
- Recommendation on Education for International Understanding and Co-operation and Peace and Education relating to Human Rights and Fundamental Freedoms, 1974;
- Recommendation on the Status of Scientific Researchers, 1974;
- Revised Recommendation concerning Technical and Vocational Education, 1974;
- Declaration on Race and Racial Prejudice, 1978;
- Convention on Technical/Vocational Education, 1989;
- Recommendation on the Recognition of Studies and Qualifications in Higher Education, 1993.

International Labour Organization

- Convention No. 87: Freedom of Association and Protection of the Right to Organize Convention, 1948;
- Convention No. 95: Protection of Wages Convention, 1949;
- Convention No. 98: Right to Organize and Collective Bargaining Convention, 1949;
- Convention No. 100: Equal Remuneration Convention, 1951;
- Convention No. 102: Social Security (Minimum Standards) Convention, 1952;
- Convention No. 103: Maternity Protection Convention (Revised), 1952;
- Recommendation No. 95: Maternity Protection Recommendation, 1952;
- Convention No. 111: Discrimination (Employment and Occupation) Convention, 1958;
- Convention No. 118: Equality of Treatment (Social Security) Convention, 1962;

- Convention No. 121: Employment Injury Benefits Convention, 1964 [Schedule I amended in 1980];
- Convention No. 128: Invalidity, Old-Age and Survivors Benefit Convention, 1967;
- Recommendation No. 131: Invalidity, Old-Age and Survivors Benefit Recommendation, 1967;
- Convention No. 130: Medical Care and Sickness Benefit Convention, 1969;
- Convention No. 132: Holidays with Pay Convention (Revised), 1970;
- Convention No. 135: Workers' Representatives Convention, 1971;
- Recommendation No. 143: Workers' Representatives Recommendation, 1971;
- Convention No. 140: Paid Educational Leave Convention, 1974;
- Recommendation No. 148: Paid Educational Leave Recommendation, 1974;
- Convention No. 151: Labour Relations (Public Service Convention), 1978;
- Recommendation No. 159: Labour Relations (Public Service) Recommendation, 1978;
- Recommendation No. 162: Older Workers Recommendation, 1980;
- Convention No. 154: Collective Bargaining Convention, 1981;
- Recommendation No. 163: Collective Bargaining Recommendation, 1981;
- Convention No. 156: Workers with Family Responsibilities Convention, 1981;
- Recommendation No. 165: Workers with Family Responsibilities Recommendation, 1981;
- Convention No. 158: Termination of Employment Convention, 1982;
- Convention No. 159: Vocational Rehabilitation and Employment (Disabled Persons) Convention, 1983;
- Recommendation No. 168: Vocational Rehabilitation and Employment (Disabled Persons) Recommendation, 1983.

Other

- Recommendation concerning the Status of Teachers adopted by the Special Intergovernmental Conference on the Status of Teachers (convened by UNESCO in cooperation with ILO), Paris, 5 October 1966;
- UNESCO, Universal Copyright Convention, 1952, revised 1971;
- World Intellectual Property Organization, Berne Convention for the Protection of Literary and Artistic Works, Paris Act, 1971, amended in 1979.