



# Independent Study into School Leadership

Main Report



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<sup>1</sup> The members of the Workforce Agreement Monitoring Group are as follows: The Department for Education and Skills (DfES), Association of School and College Leaders (ASCL), Association of Teachers and Lecturers (ATL), General Trade Union (GMB), National Association of Schoolmasters Union of Women Teachers (NASUWT), National Assembly for Wales (NAW), National Employers' Organisation for School Teachers (NEOST), Professional Association of Teachers (PAT), Transport and General Workers Union (TGWU) and UNISON.

# Glossary of terms

ALM	Alternative Leadership Model
ASCL	Association of School and College Leaders
AST	Advanced Skills Teachers
ATL	Association of Teachers and Lecturers
BME	Black and Minority Ethnic
BSF	Building Schools for the Future (BSF)
CBI	Confederation of British Industry
CEL	Centre for Excellence in Leadership
CEO	Chief Executive Officer
CIPD	Chartered Institute of Personnel and Development
CPD	Continuing Professional Development
DfES	Department for Education and Skills
ECM	Every Child Matters
FASNA	Foundation & Aided Schools National Association
FE	Further Education
GMB	General Trade Union
GP	General Practitioner
HE	Higher Education
HMCI	Her Majesty's Chief Inspector
ICT	Information Communication Technology
IRU	Implementation Review Unit
LA	Local Authority
LBSI	Leadership Beyond a Single Institution
LPSH	Leadership Programme for Serving Headteachers
MBA	Master of Business Administration
NAHT	National Association of Head Teachers
NASUWT	National Association of Schoolmasters Union of Women Teachers
NAW	National Assembly for Wales
NCSL	National College for School Leadership
NEOST	National Employers' Organisation for School Teachers
NHS	National Health Service
NIC	National Insurance Contributions
NPQH	National Professional Qualification for Headship
NRWS	New Relationship with Schools
NUT	National Union of Teachers
PAT	Professional Association of Teachers
PPA	Planning, Preparation and Assessment
PSCL	Primary Strategy Consultant Leader
PTA	Parent Teacher Association
PwC	PricewaterhouseCoopers LLP
QTS	Qualified Teacher Status
SENCO	Special Educational Needs Coordinator

SIP	School Improvement Partner
SLT	Senior Leadership Team
STPCD	School Teachers' Pay and Conditions Document
STRB	School Teachers' Review Body
TDA	Training and Development Agency for Schools
TGWU	Transport and General Workers Union
TLR	Teaching and Learning Responsibility
UNISON	The trade union for people delivering public services
WAMG	Workforce Agreement Monitoring Group
WBL	Work Based Learning

# Executive summary

## Introduction

1. In November 2005, the School Teachers' Review Body (STRB) published its Fifteenth Report in which it recommended an independent study to examine the roles, responsibilities, structures and reward systems for school leaders in England and Wales. Following this, the Department for Education and Skills (DfES) commissioned PricewaterhouseCoopers LLP (PwC) in April 2006 to undertake an independent research study on school leadership. The main aims of the study were to provide a comprehensive and independent account of existing, emerging and potential models of school headship and the wider leadership team that are effective in raising standards for all pupils.
2. The project management group for the study consisted of officials from the DfES, the National College for School Leadership (NCSL), with an observer from the secretariat to the STRB. The study was based on an intensive programme of quantitative and qualitative research involving the following key elements:
  - An extensive review of existing academic and policy literature on leadership in education, other parts of the public sector and the private sectors, both nationally and internationally;
  - Qualitative research in 50 schools throughout England and Wales, mostly conducted in the summer term of 2006. The visits involved interviewing the headteacher and a number of other teaching and non-teaching members of the senior leadership team in the schools. In addition, most of the visits included interviews with teachers, multi-agency staff, governors and parent representatives.. On average, seven interviews in total were undertaken in each school;
  - An extensive consultation exercise with key stakeholders including officials in the DfES, the NCSL, the Workforce Agreement Monitoring Group (WAMG)<sup>2</sup>, other unions and professional associations, local authority officials and leaders from other public and private sector organisations. In total, around 50 meetings and face-to-face interviews were undertaken. The study team convened two meetings of a wider stakeholder Reference Group, and seven stakeholder bodies provided written submissions to the study team;
  - Ten focus groups with teachers and support staff with an average of eight participants in each group. The groups were held in five locations throughout England and Wales with five groups undertaken for teaching staff and five for support staff; and
  - A major postal and on-line survey which resulted in a final achieved sample of 3,260 school leaders including headteachers, members of the Governing Body, and teaching and senior support staff members of the senior leadership team.

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## Key findings

### Overall assessment of school leadership

3. School leaders in England and Wales have a lot of which to be proud. Existing survey work shows that, when compared to other professions, people in wider society think that headteachers provide particularly good examples of leadership.<sup>3</sup> They have led the implementation of a series of major national initiatives in the last three years, during which time, levels of pupil performance have continued to improve and are currently at an all time high; and furthermore seeing children achieve, according to our research, is the single most important aspect of the job that gives school leaders greatest satisfaction.
4. Ofsted estimates that around four fifths of school leaders in England are doing a 'good', 'very good' or 'excellent' job, at leading and managing their schools; similar figures apply to Wales. The quality of school leadership has also been improving consistently since the mid 1990s when, according to Ofsted, only around one half of school leaders were ranked as 'good', 'very good' or 'excellent'. Alongside all of this, Government has made a huge investment in maintaining and developing school leadership, through the creation of the NCSL and the associated development of the National Professional Qualification for Headship (NPQH). In general terms, therefore, there is a very positive story to tell around the quality of leadership in our schools.
5. There is, however, no room for complacency: firstly, having one fifth of school leaders rated as 'unsatisfactory' is unacceptable. Secondly, there was an apparent drop in the leadership quality ratings in the most recent Ofsted *Annual Report* (November 2006).<sup>4</sup> Thirdly, and most importantly, the social and policy landscape has changed completely, so that what school leaders are expected to do now and in the future is significantly different from what it was even a few years ago.

### Roles and responsibilities of school leaders

6. There is a clear sense amongst school leaders that their role has become more challenging, and that the complexity and range of tasks they are required to undertake has increased greatly in recent years. This is due in large part to a number of inter-related policies and initiatives that impact on the role of school leaders including Every Child Matters (ECM), workforce remodelling, and the 14-19 agenda. Implementation of these initiatives requires a new set of skills including greater collaboration between schools, and partnership working across the children's services sector and beyond.
7. There is a reasonable degree of clarity about the roles and responsibilities that school leadership teams are now expected to fulfil. These are articulated clearly in, for example, the *School Teachers' Pay and Conditions Document* (STPCD), as well as the DfES's *National Standards for Headteachers*. They were also described clearly and consistently to the study team by the many school leaders we interviewed or surveyed as part of the research. Generally, the roles and responsibilities of school leaders cover a range of strategic and operational areas including: setting the strategic direction and ethos of the school; managing teaching and learning; developing and managing people; and dealing with the requirements of the accountability regime.

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<sup>3</sup> Survey commissioned by the NCSL in 2003 and conducted using face-to-face interviewing techniques by MORI, see <http://www.ipsos-mori.com/polls/2003/ncsl.shtml>

<sup>4</sup> Although it should be noted that there are methodological issues associated with making direct comparisons between 2004-05 and 2005-06 on account of the changes to Ofsted's inspection regime that took place during this period.



8. However, although there is broad clarity about what school leaders (including the headteacher and other members of the senior leadership team) are supposed to be doing, the evidence also suggests that many school leaders are struggling to meet all the demands currently being placed on them. The following table summarises some of the key findings from our research in this regard.

**Key findings in relation to school leaders' roles and responsibilities**

<b>Roles and responsibilities*</b> <i>i.e. the key activities school leaders should be performing</i>	<b>Findings</b> <i>i.e. the evidence on the extent to which school leaders are currently meeting the demands being placed on them</i>
Strategic direction and ethos	Many headteachers recognise themselves that they are struggling to create sufficient time to engage effectively in the various strategic issues they are required to deal with. Part of this is driven by the sheer volume of operational delivery issues that school leaders now have to address. However, there was also a sense in which the data suggested some school leaders were more comfortable with an operational role rather than a strategic one.
Teaching and learning	There is a widespread recognition across the sector that an essential role of school leaders is to promote and develop the quality of teaching and learning delivered in the school. Many school leaders expressed their frustration that the current environment does not allow them to be as involved in this area as they would like. This is reflected in the fact that, in order to enable them to devote sufficient time to leadership and management, school leaders themselves teach a lot less than they used to; for example, just over one quarter of primary and secondary heads do not teach at all in timetabled lessons, and most of the rest teach for less than five hours per week.
Developing and managing people	Developing people and nurturing talent is a key strategic leadership issue facing all types of organisations across different sectors. Within the schools context, the international literature shows that one of the most important ways in which school leaders contribute to teaching and learning is through their impact on the motivation, development and well-being of staff. Our evidence shows that many school leaders have embraced these challenges in relation to people development well, but also that there is more to be done, at both institution and system level. For example, when headteachers were asked what their priorities should be going forward, as well as what their future skills needs were, staff management, recruitment and retention appeared quite far down the list. Whilst this is understandable given their other commitments, it nevertheless suggests that many school leaders may not have embraced the people agenda as fully as has been the case in other sectors (e.g. in the private sector where it is one of the bedrocks on which all current thinking on leadership is based).
Networking and collaboration – between schools and with other agencies	Given the new policy imperatives, collaboration and networking with other schools and other agencies ought to become the rule for schools, not the exception. For example, as outlined in the DfES <i>Extended Schools Prospectus</i> (2005), by 2010 all schools should be offering a core set of extended services including childcare, parenting support and other specialist services (e.g. speech therapy, mental health services). This raises the need for school leaders,

<b>Roles and responsibilities*</b> <i>i.e. the key activities school leaders should be performing</i>	<b>Findings</b> <i>i.e. the evidence on the extent to which school leaders are currently meeting the demands being placed on them</i>
	<p>irrespective of which leadership model they are working within, to collaborate effectively with other agencies to secure the delivery of these services. The research has shown that this has driven some schools to restructure in such a way as to formally recognise the importance of inter-agency collaboration, i.e. by including professionals from other agencies on the leadership teams. And our expectation, based on the research findings, is that this will become more common in other schools going forward. More generally, all of this means that school leaders now have to be much more outward looking than they used to be, and this has clear implications around the need for a range of 'softer' inter-personal skills relating to networking and communication. Our research shows that most school leaders recognise and accept the new requirements being placed on them in these areas, but that many are struggling to respond, and most recognise the need for training and support. Indeed, the development and management of extended services was the single most important future training requirement highlighted by headteachers in our survey research.</p>
<b>Operations</b>	<p>As outlined above, the evidence suggests that many school leaders are too involved in operational and delivery matters and that this has been, to some extent, at the expense of embracing their more strategic imperatives. The research has generated numerous stories of headteachers, for example, unblocking toilets, filling dishwashers and supervising pupils before and after school. Sometimes such behaviours can be appropriate, and they are often driven by resources, particularly in the primary sector, where the opportunities for delegating such tasks can be limited. But these ties to the operational space also seem to be related, based on our interpretation of the evidence, to a mindset amongst some school leaders which is often more comfortable with an operational than a strategic role.</p>
<b>Accountability</b>	<p>Tasks related to accountability were the most time consuming of all the tasks undertaken by headteachers. In this context, the word 'initiativitis' was often used by the leaders we spoke to as a way of expressing their frustration with the number of policy initiatives they were having to deal with, the apparent inconsistencies between them and the lack of resources to deal with them. Although we recognised the strength of this feeling, at the same time it seemed to us to reflect a wish for a stability and consistency which cannot be delivered and which is not enjoyed by any other organisation in the public or private sector. We know from other sectors that change, diversity and complexity are inevitable features of the current and future environment and that leaders need to accept and embrace this. School leaders can, however, legitimately expect such change to be managed coherently and in a joined-up manner by Government and other agencies.</p>

Note:\* The key areas highlighted in this column are broadly consistent with those outlined in the STPCD and the *National Standards for Headteachers* and they are also consistent with the key roles and responsibilities highlighted to us by school leaders in our survey.

9. The evidence presented above relates to the roles and responsibilities of school leadership *teams*, not just the headteacher. In this context it is worth noting finally that the research examined specifically the role of assistant heads and deputy heads, and found that there was little difference between them. The deputy role was generally more focused on a range of management responsibilities, whereas the assistant role had a greater focus on pupil well-being and implementing new initiatives. Overall, however, the lack of a clear and consistent separation between the roles suggested that the distinction may no longer serve any valid purpose.

### **Characteristics of effective school leaders – distributing school leadership**

10. An important aspect of this study involved identifying leadership models that are effective in terms of raising standards of pupil achievement. A key element of this relates to the characteristics of effective leaders, i.e. the attributes and behaviours exhibited by successful leaders, irrespective of the organisational model or structure within which they are operating. Indeed, a strong message from the literature on leadership in the private sector is that, although corporate structures matter, they do not matter as much as the behaviours exhibited by the leaders of the organisation. A similar message emerges from our research; the behaviours of school leaders have a greater influence on pupil performance than school structures or models.
11. A considerable amount of research has been conducted nationally and internationally into the key behaviours and characteristics that underpin effective school leadership and an overview of the key findings from this literature is shown below.

#### **Effective school leadership – overview of findings from research evidence**

- School leadership is second only to classroom teaching as an influence on pupil learning;
- Almost all successful leaders draw on the same basic repertoire of leadership practices (the main elements are: building vision, developing people, redesigning the organisation, managing teaching and learning);
- The ways in which leaders apply these basic leadership practices, not the practices themselves, demonstrate responsiveness to the contexts in which they work;
- School leaders improve teaching and learning indirectly through their influence on staff motivation, commitment and working conditions;
- School leadership has a greater influence on schools and students when it is widely distributed;
- Some patterns of distribution are more effective than others; and
- A small handful of personal traits explain a high proportion of the variation in leadership effectiveness.

Source: *Seven strong claims about effective school leadership*, Leithwood et al., National College for School Leadership, 2006.

12. Perhaps one of the strongest themes to emerge from this existing literature on effective school leadership (as well, incidentally, as studies on leadership in the private sector), relates to the importance of developing staff, nurturing talent and, related to this, ‘distributing’ leadership throughout the organisation. Within the schools context, distributing leadership is a potential means of ameliorating some of the workload issues which are currently being faced by school leaders, by making the role more attractive and the size of the job more deliverable. But distributed leadership is about much more than just sharing out tasks. Rather, it also encompasses a shared approach to strategic leadership, in which professionals throughout the organisation are genuinely engaged and can influence its culture, ethos and strategic direction, albeit to an extent that is commensurate with their position.

13. Our research suggested a general consensus amongst school leaders, staff and other stakeholders about the need for distributed leadership in schools. Generally, everyone we spoke to agreed with the principles underpinning the distributed model. The vast majority of school leaders (i.e.. 95% of secondary heads and 85% of primary heads) felt that leadership responsibilities *were* distributed, at least to some extent, in their own schools. However, there was also a strong message from our research that many teaching and support staff did not feel engaged and involved in a way that was consistent with the existence of distributed leadership in schools. Staff generally had a clear view on the behaviours and traits that made an effective leader (see box below) but, based on the focus groups we conducted, we were left with the impression that these attributes were not seen by staff as being as prevalent amongst school leaders as they needed to be. In addition, the sense that we got from our fieldwork visits, where many school leaders were clearly over-stretched and taking on a large range of delivery-related responsibilities, also seemed inconsistent with the widespread existence of distributed leadership. A key finding from the research, therefore, is that there is a need for broader and deeper distributed leadership in schools.

#### **Views from teachers and support staff on effective leadership behaviours**

Effective leaders...

- Adopt an open, consultative and non-hierarchical approach – distribute leadership responsibilities effectively;
- Are approachable and visible throughout the school;
- Communicate effectively with all staff;
- Take performance management of staff seriously, and provide clear development pathways for staff; and
- Understand classroom practice as well as the role of the school in the wider community.

Source: Focus groups with teachers and support staff conducted as part of this research.

14. Some of the barriers to distributing leadership that we identified included the persistence of the traditional 'hero-head' perception amongst heads themselves and their staff, coupled with parental and community expectations of an ever-present, ever-available head. In addition, there are a number of legislative, accountability and resource-related barriers that prevent heads distributing leadership further.

#### **Models of school leadership**

15. An important part of the present research involved examining different models of school leadership, and identifying the aspects of those models that have a positive impact on pupil performance. The evidence shows that although leadership behaviours are generally more important than leadership models, the development of new models can be one of the *conduits* through which the right leadership behaviours are fostered. We have framed our analysis of this in terms of the following five broad types of leadership models:
- **Traditional model** - here the leadership team is comprised exclusively of qualified teaching staff and typically includes a headteacher supported by deputy and/or assistant heads. In our research, this model predominated in the primary sector but was also common, albeit to a lesser extent, in secondary schools;
  - **Managed model** - this model moves away from the traditional model towards a flatter management-style structure in which specific roles are allocated on the senior leadership team for senior support staff, for example, directors of finance and/or HR. This model tends to be found more often in the secondary sector with almost half of heads stating that they had one senior support staff member on the leadership team and a further 8% stating they had two senior support staff members;

- **Multi-agency managed model** - this model is a natural progression from the managed model and is, in a sense, borne out of the imperatives of the ECM and 14-19 agendas. Like the managed model it involves a flatter, management-style structure, but is more outward-looking and inter-agency focused. It can manifest itself in a wide variety of ways, but generally will involve teaching staff and professionals from other agencies working together as part of school leadership teams. This model remains the exception rather than the rule but, as outlined above, our expectation is that more schools are likely to move in this direction as a key way of responding to the ECM and 14-19 agendas;
  - **Federated model** - this model is characterised by varying degrees of collaboration between schools and sometimes between schools and other providers, for example: 'whole town' approaches to schooling; shared strategic governing bodies, with executive heads overseeing several schools; and federations between schools, further education and work-based learning providers. In our survey, almost one in ten headteachers reported some sort of formal federation arrangement, and the majority of schools reported informal collaborations with other schools; and
  - **System leadership model** - this model embraces all the different roles that heads can assume beyond the boundaries of their own school i.e. those that contribute to the wider educational system at a local, regional or national level. It includes, for example National Leaders of Education assuming roles that include providing advice to Government and 'virtual heads' responding to the needs of pupils facing specific challenging circumstances.
16. It is important to note that these models are, by definition, very broad and as such they are not mutually exclusive. For example, some schools may sit across the boundaries of the models, e.g. schools adopting a multi-agency model in order to address the ECM agenda, but doing so within the context of a federation with other schools. Notwithstanding this, many of the stakeholders we have spoken to have recognised and validated our categorisation of models as a way of bringing a degree of order and clarity to what is a very complex situation on the ground.

### Effectiveness of leadership models

17. Our terms of reference required us to examine the effectiveness of the different models in terms of raising pupil achievement. Before doing so, it is important to state that it is beyond the scope of the current study to undertake a formal longitudinal evaluation of each of the models, similar to other evaluations that the DfES has commissioned (e.g. on Academies and Building Schools for the Future). Rather, our work on effectiveness aims to identify some of the key elements of the models which, based on the qualitative and quantitative evidence collected, can be shown to have a positive (or negative) impact on pupil performance. Within this context, the following table provides an overview of the key findings from the research in relation to the effectiveness of each of the five models in terms of raising standards of achievement.

## Effectiveness of leadership models in raising standards – overview of key findings

- **Traditional model** - this model has been, and in some contexts can continue to be, an effective model for raising pupil standards. Its key strengths in terms of raising standards relate to its clear focus on teaching and learning, its clarity and acceptance by pupils, teachers and stakeholders and its clear lines of accountability. However, our research suggests that its success may be less to do with the model itself and more to do with the behaviours of the school leaders that underpin the model. In particular, and in line with the findings from other research, the evidence suggests that where this model has worked well it is because, *inter alia*, school leaders have been distributing their leadership responsibilities effectively throughout the organisation and have a strong strategic focus on developing their people. The evidence also suggests, however, that the current policy environment is placing significant stress on the sustainability of this model and that schools may need to begin to move away from it in order to ensure that pupil standards and pupil welfare are protected.
- **Managed model** - the move towards this model has been one of the first steps taken by many schools in order to overcome the tensions associated with running a traditional model in the current policy environment. In taking these steps, a number of schools have found that this model has enabled them to allocate key roles and responsibilities more effectively. In doing so, they have ensured that headteachers have more time to focus on developing teaching and learning and, more generally, that the leadership resource is more effectively utilised. The evidence also suggests that in many of the situations in which this model has emerged, there is often a corresponding commitment amongst the school's leadership to the principles and practice of distributed leadership and the strategic development and involvement of all teaching and support staff. In other words, there is a sense in which the structural configuration of the school is consistent with and has often been driven by some of the key behaviours and attitudes amongst school leaders that we know have a positive impact on pupil attainment. Co-headship, which splits leadership responsibilities between two or more people through job-share arrangements for example, is a distinct sub-set of the managed model. The success of the co-headship model is inextricably linked to the quality and sustainability of the personal relationships between those involved. However, the evidence from this study along with other international evidence, shows that it can be an effective solution to current leadership challenges.
- **Multi-agency model** - in terms of raising standards of pupil achievement, the most important element of this model relates to its formal recognition of the links between children's educational outcomes and their social outcomes. The majority of primary and secondary heads in our survey accepted the strong link between the provision of extended services and pupils' motivation, well-being and educational achievement. It is possible, of course, for extended services to be provided within the context of a different model. Nonetheless, the evidence suggests that, in some contexts, there are clear benefits associated with schools formally adopting this kind of a multi-agency model. For example, having nurses, social workers and/or psychologists working on the school site, although not without its difficulties, can generate significant efficiencies that ultimately contribute positively to pupils' educational achievement. For example, we have seen some examples of the presence of such professionals on site in leadership roles ensuring that pupils' wider social needs are dealt with in a holistic and timely manner.
- **Federated model** - this model can be shown to have a number of key benefits which, ultimately, impact positively on pupil performance, for example: greater capacity through more distributed leadership; economies of scale achieved through pooling resources; smoother transitions of pupils between phases; and improved progression opportunities for all members of the school workforce. The benefits of this can be manifested in the primary school sector where groups of schools are able to share resources and access services that would not be viable for individual schools. But they can also be apparent in the secondary sector where inter-school (and school-college) arrangements can improve the range and quality of the curriculum on offer to pupils.



- **System leadership model** - the effectiveness of these models in terms of raising pupil attainment needs to be understood in a rather more general sense than the other models. This is because a number of the models in this category are system-wide and not tied to individual institutions. There are, however, clear potential benefits at local, regional and national level that have been shown to impact positively on pupil attainment. Much of the evidence on this has been collated and/or commissioned by the NCSL, for example, the evidence on executive heads supporting failing schools and thereby improving pupil performance.

18. Based on the above analysis, it is clear from the research that a 'one size fits all' approach will not be acceptable or appropriate for the sector and would not in any case be practical given the high level of school autonomy that exists. Schools cannot be compelled to adopt new models but they can be invited and encouraged to review their current arrangements and be offered examples of alternative ways of organising themselves. A key aspect of the recommendations we make is that information about these (and other) models should be disseminated throughout the sector, and schools should be encouraged to consider them as a potential way of responding to their new challenges.

## Recommendations

19. Based on these findings, a number of recommendations have been outlined which taken together, have the potential to transform the face of school leadership in England and Wales and ensure that leaders are equipped to embrace and deliver for the future. Implicit in these recommendations is the premise that it is incumbent on everyone involved - school leaders, teachers and support staff, their professional associations and unions, the DfES, its partners and agencies and people in wider society - to play their part in bringing about this change. The key recommendations to emerge from the research can be summarised as follows:
- **Diversifying leadership models;** proactively promote new and emerging leadership models; develop a national programme to support schools seeking to move towards new models; and remove the key legal and regulatory barriers to the development of new models;
  - **Distributing responsibility with accountability;** review policy and practice in relation to accountability in order to facilitate greater distributed leadership. This will involve, *inter alia*: a review of legislation and regulation in relation to accountability in schools; further communicating the flexibilities in relation to accountability afforded under the 2002 Education Act; and extending the provision of training and licensing to leaders who do not have Qualified Teacher Status (QTS);
  - **Reviewing governance;** consider further the interaction between leadership and governance, addressing issues including: the size and composition of governing bodies, the implications of multi-agency working in schools, and the *modus operandi* for pro-bono contributions from the private sector;
  - **Streamlining policy;** review the mechanisms currently in place for limiting the bureaucratic burden on schools; conduct a regular mapping exercise of existing and future regulations; and provide greater clarity around which aspects of policies and requirements on schools are mandatory and which are optional and/or advisory;
  - **Developing people, diversity and succession planning;** promote suitably qualified professionals from outside the schools sector taking on school leadership roles; encourage shortening the time from QTS to headship; and develop a pilot initiative involving the rotation of leaders at periodic intervals around a cluster of schools;

- **Adopting a new approach towards leadership qualifications and programmes;** reform NPQH and Head for the Future, focusing on a range of aspects including: sharing modules with professionals from other sectors and wider accreditation of prior learning;
- **Mainstreaming innovative, experience-based Continuous Professional Development (CPD) activities;** build leadership capacity in the sector by promoting and mainstreaming a series of innovative, experience-based CPD activities including secondments into business or the public sector and cross-sectoral mentoring programmes. Also encourage Children's Trusts to develop training that brings together senior leaders from education, health, social services and other relevant agencies;
- **Developing system-wide e-learning solutions;** do this in order to address some of the key training needs identified in this study, and as part of a wider 'blended' approach to learning;
- **Ensuring that the existing reward system works better,** i.e. we are not recommending radical changes to the existing reward system. We do not think that any of the new models of school leadership could not be accommodated within the existing broad framework, and our main recommendation relates to modifying the existing system, not changing it radically;
- **Rewarding new roles and individual performance;** modify the existing reward system in a number of areas including:
  - Examining how salary ranges for executive heads and chief executives can be best determined, and also how the salary range of heads should be adjusted where they report to an executive head;
  - Reviewing the ways in which non-QTS senior support staff are rewarded in order to promote effective recruitment and retention; and
  - Providing further guidance and training to headteachers, governors and local authorities, on how to reward leaders most effectively.
- **Maintaining the integrity of the reward system;** review a number of aspects of the existing system including: pay differentials between heads, deputies and assistants; the different weightings of pupil numbers set out in the STPCD; and whether there should be a distinction between the pay scales for deputies and assistants;
- **Role of parents and learners;** provide support to school leaders in the use of low burden ways to seek and respond to the voice of the users of their services, in particular, learners and parents;
- **Winning hearts and minds;** develop a communications campaign in order to challenge the conventional wisdom (e.g. around 'hero heads'), explain the benefits of new leadership models, and enlist new entrants into the talent pool from diverse backgrounds; and
- **Measuring and managing the change;** ensure the national steering arrangements for school leadership reform are based on up-to-date, insightful management information, and that there is clear ownership of all recommendations being taken forward as a result of this study.



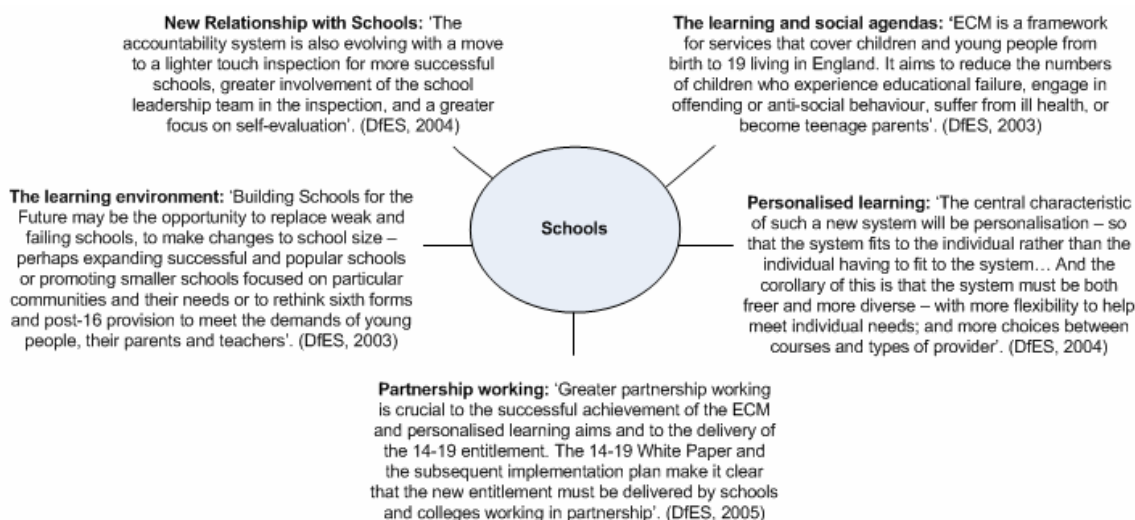
# 1 Introduction

## Background

- 1.1 Leadership matters. This is evident in the large-scale infrastructure that has developed over the last 20 years to promote effective leadership. Examples include the large number of leadership development programmes and leadership journals available, the creation of a network of leadership centres across the public sector, and the vast literature that has developed on the links between leadership and performance in both private and public sector organisations.
- 1.2 This focus on leadership is also manifested in the on-going work of the National College for School Leadership (NCSL) since 2000 and in the commitment made by the Department for Education and Skills in the *Five Year Strategy for Children and Learners: Maintaining the Excellent Progress* to continue to: 'build capacity in our services through investment, by developing workforce and leadership, and through the rapid spread of effective practice' (DfES, 2006).
- 1.3 Not only does leadership capacity dictate current performance, but it is a crucial factor in the readiness of organisations to face the future (DTI, 2003). Given the increasing autonomy enjoyed by schools since the late 1980s and that this trend is likely to continue (DfES, 2005), leadership and management are increasingly important in schools. Indeed, Ofsted reviews the effectiveness of leadership and management separately, defining the difference by stating that 'leadership is about doing the right things and management is about doing things right' (Ofsted, 2003), whereas Day (2000) emphasises that leadership can be found at all levels of an organisation: 'Leadership processes are those that generally enable groups of people to work together in meaningful ways, whereas management processes are considered to be position- and organisation-specific'.
- 1.4 Several research studies have shown that high quality leadership has a significant impact on both pupil academic and non-academic outcomes. In other words, good leadership and management leads to good teaching and learning, which in turn leads to higher standards for all pupils. Such findings include:
  - 'Leadership not only matters: it is second only to teaching among school-related factors in its impact on student learning... the impact of leadership tends to be greatest in schools where the learning needs of students are most acute'. (Leithwood et al. 2004);
  - 'There is a wealth of evidence to suggest that the quality of leadership positively enhances teaching and learning'. (Harris, 2005);
  - 'School-level factors such as leadership, organisational learning and teachers' work have a significant impact on non-academic student outcomes such as participation in school, academic self-concept and engagement with the school'. (Hargreaves & Fink, 2006); and
  - 'As far as we are aware, there is not a single documented case of a school successfully turning around its pupil achievement trajectory in the absence of talented leadership. One explanation for this is that leadership serves as a catalyst for unleashing the potential capacities that already exist in the organisation'. (Leithwood et al. 2006).

- 1.5 At the same time, schools are changing on a number of educational, vocational, social, technological and environmental dimensions. These dimensions will have implications for both the roles and responsibilities of school leaders and for the ways in which schools interact with other educational institutions and external agencies. For example, the remit of schools is expanding as they become increasingly responsible for the delivery of solutions to issues such as social cohesion, citizenship and childhood obesity. Some of these initiatives are illustrated in Figure 1.1.

**Figure 1.1: The changing landscape of schools...**



- 1.6 In addition to these new challenges, there is evidence to suggest that some schools currently have a significant problem with recruiting heads and that the current situation will deteriorate over the next three years. Research by the NCSL indicates that recently only one third of retirements have been at normal retirement age or above, and a growing number have been early retirements after age 55. This will require an increase of up to 20 percent in the recruitment of school leaders by 2009 (NCSL, 2006). In a written submission to the research team, the NCSL highlighted that perceptions of headship impact on the aspirations of potential leaders of the future to progress to headship.

'43% of deputy heads and 70% of middle leaders say they do not aspire to headship, for reasons that include accountability pressures and other work stress. Only 10% of all middle leaders currently go on to become headteachers. Such figures would be worrying at any time, but they are a significant concern at present because we face a demographic 'time bomb' in the age profile of our school leaders... The net result is that we face a significant shortfall in leaders from 2009 to around 2016'. (Written submission)

## Terms of reference

- 1.7 In November 2005, the School Teachers' Review Body (STRB) published its *Fifteenth Report* on teachers' pay and conditions of employment which recommended a 'comprehensive independent study on the roles, responsibilities, structures and reward systems' for the school leadership group.
- 1.8 Subsequent to this, the Department for Education and Skills (DfES) commissioned PricewaterhouseCoopers LLP (PwC) to undertake an independent research study on school leadership models. The Project Management Group for the research consisted of representatives from DfES and the National College for School Leadership (NCSL) with an observer from the secretariat of the School Teachers' Review Body (STRB).

- 1.9 The main purpose of the study is to explore existing, emerging and potential models of school leadership, begin to identify some potential options for effective models of the future and give initial consideration to whether particular models might best suit particular types of school. The aims and objectives of the study are provided below.

### **Terms of reference**

#### *Aims*

- Provide a comprehensive and independent account of existing, emerging and potential models of school headship and the wider leadership team that are effective in raising standards for all pupils;
- Begin to identify some potential options of effective models for the future and provide some early evaluation of their implications; and
- Give some initial consideration to the question of whether particular models might best suit particular types or groups of schools and what might be possible barriers to their wider implementation.

#### *Objectives*

- Identify and describe effective models of school headship and wider leadership teams and relate these to existing literature and theory on models of school leadership;
- Identify and provide early evaluation of some potential options of effective models for the future;
- Investigate the question of whether particular models might best suit particular types or groups of schools and what might be possible barriers to their wider implementation; and
- Within these models of headship and wider school leadership team:
  - Identify, describe and analyse the roles and responsibilities of the head, deputy/assistant head and other members of the leadership team;
  - Analyse the interaction between effective models of school leadership and existing and emerging forms of governance, e.g. with community schools, trusts, federations and academies;
  - Identify and describe the rewards, incentives, contractual arrangements and conditions of employment that support these effective models and reflect the expectations of school leadership;
  - Investigate the framework of career paths that would support effective and appropriate models;
  - Explore recruitment and succession planning for school leadership both within and potentially across schools;
  - Examine the ways in which support staff will affect and be affected by these effective models of school leadership teams;
  - Consider the extent of differentiation within models that phase, type, size and circumstances of school may require; and
  - Investigate relevant models of leadership in other educational institutions and other sectors that may have relevance for developing effective models of school leadership.

## **Methodology**

- 1.10 In order to address these questions we undertook an extensive research exercise, which is summarised in the following table. A more detailed description of the methodology is provided in the accompanying Technical Report. The fieldwork for this study was undertaken between May and November 2006.
- 1.11 As the devolved government for Wales, the Welsh Assembly has responsibility for education and training. Some major policy initiatives in England, such as extended schools, do not apply in Wales. However, the STRB examines and reports on matters referred to it by the Secretary of State that relate to the statutory conditions of employment of school teachers in England and Wales. Consequently, the study team carried out its research in England and Wales.

Method	Description
Literature review	<ul style="list-style-type: none"> <li>A wide range of the most relevant documents (120 in total) examined, including those on both private and public sector leadership, as well as best practice nationally and internationally.</li> </ul>
Stakeholder consultation	<ul style="list-style-type: none"> <li>Over 50 meetings and face-to-face interviews with a range of stakeholders including members of the Workforce Agreement Monitoring Group (WAMG), other unions, local authority officials, heads of other educational institutions as well as leaders of other public and private sector organisations. The study team also established and conducted two meetings of a project Reference Group as well as liaising closely with WAMG and the NCSL throughout the course of the project.</li> </ul>
School visits	<ul style="list-style-type: none"> <li>A large-scale qualitative research programme of 50 school visits, during which up to seven face-to-face interviews were conducted in each school with the headteacher, members of the Senior Leadership Team (SLT), the governing body and the Parent Teacher Association (PTA). In the schools visited, the study team augmented this core with other relevant stakeholders, for example class based teachers, multi-agency staff (e.g. school nurses) and teaching assistants (including Higher Level Teaching Assistants). The sample of schools was designed in collaboration with the DfES and other stakeholders to target those institutions where, in principle, elements of innovation in relation to the leadership arrangements might be expected. For example, some federations were included, as were several Academies and extended schools. In addition to targeting certain types of schools, the sample was also stratified to ensure broad representation according to school phase, type, location, size and performance. 48 of the 50 school visits were undertaken in the Summer term of 2006, with a further two visits undertaken in Autumn 2006.</li> </ul>
Quantitative survey	<ul style="list-style-type: none"> <li>The aim of the quantitative survey was to collect data on leadership issues, from school headteachers, members of the senior leadership team and the governing body. The study team distributed postal and e-surveys to 3,750 schools in England and Wales following a pilot of the questionnaires in ten schools. Welsh translations were provided for all questionnaires. Follow-up techniques for the survey included email reminders and follow-up telephone calls to the school office asking for completed surveys to be returned. Data entry and coding were undertaken using a bespoke data entry tool which validated the data to ensure accuracy. The statistical analysis is mainly descriptive (describing patterns in the data) although some of the areas of analysis have involved creating taxonomies and classifying data according to emergent types of structures or leadership models.</li> </ul>
Focus groups	<ul style="list-style-type: none"> <li>Focus groups were conducted in five locations throughout England and Wales with two focus groups undertaken in each location (one for teachers and one for support staff). Ten groups were held in total. Recruitment for the groups involved targeting individual schools and also utilising the communication channels provided by WAMG and others. All focus groups were recorded and transcribed for analysis purposes. The group discussions were analysed using the Content Analysis approach which involved mapping views and opinions gathered across groups to the main topics set out for discussion.</li> </ul>
Written submissions	<ul style="list-style-type: none"> <li>Written submissions were also received from seven stakeholder groups: ASCL, FASNA, IRU, NAHT, NASUWT, NCSL and NUT.</li> </ul>

1.12 To give a flavour of the evidence, we have included selective quotations from our fieldwork interview programme to support or illustrate the range of views expressed. These quotations are illustrative only however and should not be taken to be the sum total of the evidence collected. As the questionnaires for Wales contained different questions from those for England and given the lower sample sizes for Wales, the quantitative data in the sections which follow relate to respondents from England unless otherwise stated. Percentages may not add to 100 due to rounding.

### **Structure of the report**

1.13 This report presents the key findings from the research. It is structured as follows:

- Section 2: Current leadership capacity in schools;
- Section 3: Leadership in other sectors;
- Section 4: Models of school leadership;
- Section 5: Leadership capacity in the future;
- Section 6: Governance and accountability;
- Section 7: Reward;
- Section 8: Recommendations;
- Section 9: Conclusions; and
- Appendix: Bibliography.

1.14 This report should be read in conjunction with the accompanying Technical Report which is structured as follows:

- Part A: Introduction;
- Part B: Methodology;
- Part C: Literature review;
- Part D: Qualitative fieldwork;
- Part E: Focus groups;
- Part F: Stakeholder consultation; and
- Part G: Survey findings.

# 2 Current leadership capacity in schools

## Introduction

2.1 The purpose of this section of the report is to explore issues around current leadership capacity in schools in England and Wales. It describes the main features of school leadership, including the range of roles and responsibilities which school leaders are currently undertaking, as well as the principal forces which are shaping the future roles of school leaders. The section is structured as follows:

- Background to school leadership in England and Wales;
- Roles and responsibilities of the senior leadership team;
- Key drivers of the changing roles of leaders;
- Characteristics of the senior leadership team of the future; and
- Conclusions.

## Background to school leadership in England and Wales

2.2 As an indication of the scale of the sector, in England in 2006 there are 22,700 headteachers, 19,400 deputy heads and 14,800 assistant heads in the local authority maintained sector<sup>5</sup>, while in Wales, there are just under 1,800 headteachers. These leaders are working in a wide range of settings with variations in levels of autonomy, and in a landscape (with, for example, the advent of academies and new trust schools in England) which is becoming increasingly diverse. In our survey, one third of English headteachers had been in the role for 16 years or more and over half (57%) had been in teaching for 26 years or more. The equivalent figures for Wales were 21% and 65% respectively.

2.3 In terms of quality, leadership and management in England has improved significantly from 1996-97, when leadership and management was good, very good or excellent in 50% of primary schools, 56% of secondary schools and 43% of special schools, to 2001-02, when 76% of primary, 84% of secondary and 81% of special schools were rated good, very good or excellent (Ofsted, 2003). However, in the last Ofsted Annual Report (2006), leadership quality ratings dipped across all sectors with the exception of special schools.<sup>6</sup> In Wales, leadership was described as good or very good in 80% of primary and secondary schools according to research by Estyn cited in the Revised National Standards for Headteachers in Wales (Welsh Assembly Government, 2006).

2.4 Morale amongst headteachers in the UK is moderate to good too with 43% of secondary heads and 29% of primary heads believing that the quality of education provided by their institution will be better or much better in the next year and with 57% and 49% respectively describing their personal morale as quite or very high (Headspace, 2005).

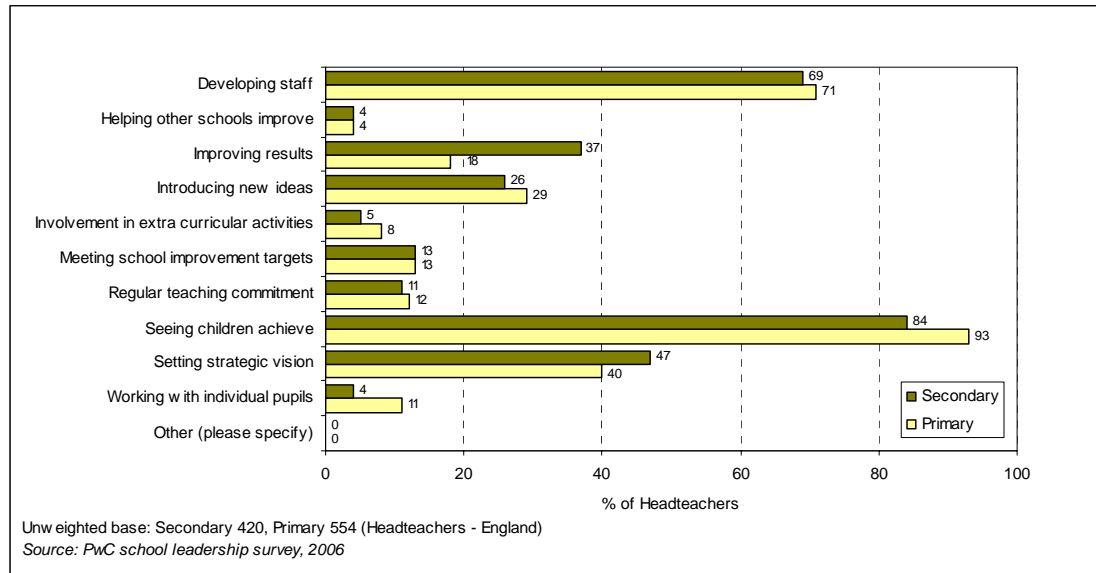
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<sup>5</sup> In 2006 there were 17,800 primary heads, 3,500 secondary and 1,400 special school heads (DfES, 2006). 56% of primary heads and 25% of secondary heads are female (DfES, 2006).

<sup>6</sup> It should be noted, however, that direct comparisons between 2004-05 and 2005-06 cannot be made given changes to Ofsted's inspection regime during this period.

2.5 Throughout this study, many headteachers and others repeatedly described the unique nature of their role as a 'privilege' and as a vocation. Our survey findings back this up: nine out of ten headteachers thought that seeing pupils achieve (91%) gave them the greatest satisfaction, followed by developing staff (70%) and setting the strategic vision (41%).

**Figure 2.1: Aspects of the headteachers' role that give most satisfaction**



2.6 Similarly, in regard to retention, when respondents to the survey were asked to list the factors that were most influential in keeping them in their post, the top four reasons provided by heads were: the personal challenge (21%), their contribution to the community (16%), contact with pupils (16%), and the success of the school (15%).

2.7 In research undertaken by MORI in 2006, one of the main motivating factors for heads was the non-routine nature of their daily work. As we found in our fieldwork, other motivating factors relate to the educational, social and vocational aspects of the role. However, administrative demands and accountability were the main demotivating factors. The perceived low status of the profession was also a cause for concern, although this can be contrasted with the results of another survey by MORI in 2003 which found that the public thought that headteachers provided the best examples of leadership across a range of professions.



<b>Factors which motivate and demotivate headteachers (Ipsos MORI, 2006)</b>			
<i>Motivating factors</i>	%	<i>Demotivating factors</i>	%
Role is dynamic/not routine	58	Administrative demands	54
Building shared values	54	Inspection/measures of accountability e.g. Ofsted	50
Collegiality/teamwork	46	Low status/negative media image of the profession	41
Job satisfaction/sense of personal achievement	45	Changes in policy	39
Changing social culture	45	External interferences (e.g. LAs, DfES)	39
Maintaining high standards	43	Problems with recruitment/retention	33
Sense of vocation	42	Stress	32
Professional autonomy/implementing own vision	39	Financial responsibilities	20
Passionate belief in the role	38	Less contact with pupils	18
People management (staff)	33	Isolation	15

*Ipsos MORI (2006) Base=911*

## **Roles and responsibilities of the senior leadership team**

- 2.8 This research is based on a holistic approach to school leadership, taking into consideration the contribution of not only the headteacher but also other members of the senior leadership team as well as the more strategic leadership role of the governing body. The following overview of current roles and responsibilities of headteachers, deputy heads, assistant heads and other members of the senior leadership team therefore provides a necessary backdrop to the discussion of models of school leadership in the remainder of this report.
- 2.9 This section identifies, describes and analyses the main activities of the senior leadership team and considers differences in activity by sector. However, evidence from all phases of the study suggests that there is a great variety in the roles and responsibilities of senior leaders, particularly between headteachers in the primary and the secondary sectors. There was also significant variation in the extent to which support staff are represented on senior leadership teams.

### **Headteachers**

- 2.10 The evidence from our research and from previous studies into headteachers' workload reveals that there is an acceptance across the sector that school leaders work, in general, long hours and have difficulties in achieving an appropriate work-life balance.
- 2.11 Data from the latest STRB Teachers' Workloads Diary Survey suggest that primary heads work on average 54 hours a week and secondary heads 65 hours per week during school terms. However, it should be noted that, according to the STRB, the average hours worked by primary heads is decreasing while those of secondary heads is increasing. In the primary sector, deputy heads recorded similar hours to headteachers, while in the secondary sector they recorded slightly fewer hours.
- 2.12 A commonly held view amongst stakeholders and respondents interviewed was that the long (and for some, lengthening) working week of heads is inextricably linked to the increasing number and complexity of tasks for which they are responsible and that this, as will be discussed in greater detail later in this report, is likely to act as a disincentive to progression for potential leaders of the future.

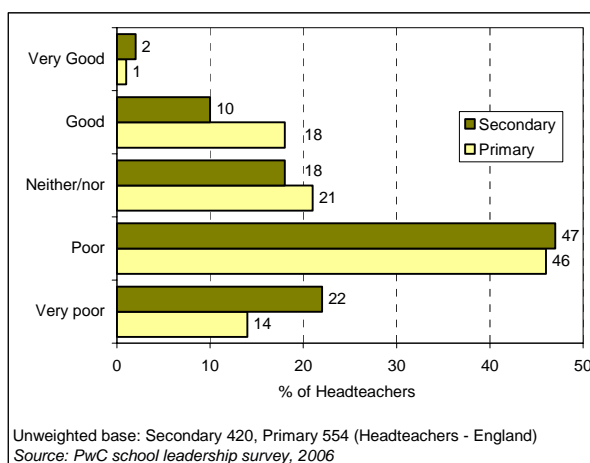


'I do think now is the time that the role of the head needs looking at. It's the best job in the world but I am not sure whether we can continue to ask people to do 60-70 hours per week. I am not moaning about this - I am just not sure we can continue to ask people to do that sort of time'. (Headteacher, large rural secondary)

'I look at those that are doing it and think who in their right mind would do that? It's become impossible. I admire those heads who really do a good job because I don't know how they do it. Something needs to be done to decide what their role is because it's too big'. (Teacher focus group participant)

- 2.13 In our survey, 61% of headteachers described their work-life balance as poor or very poor with secondary heads more likely than primary heads to describe it as such (69% compared to 60%). Almost seven in ten (69%) of heads in Wales described it as poor or very poor.

**Figure 2.2: Headteachers' work-life balance**



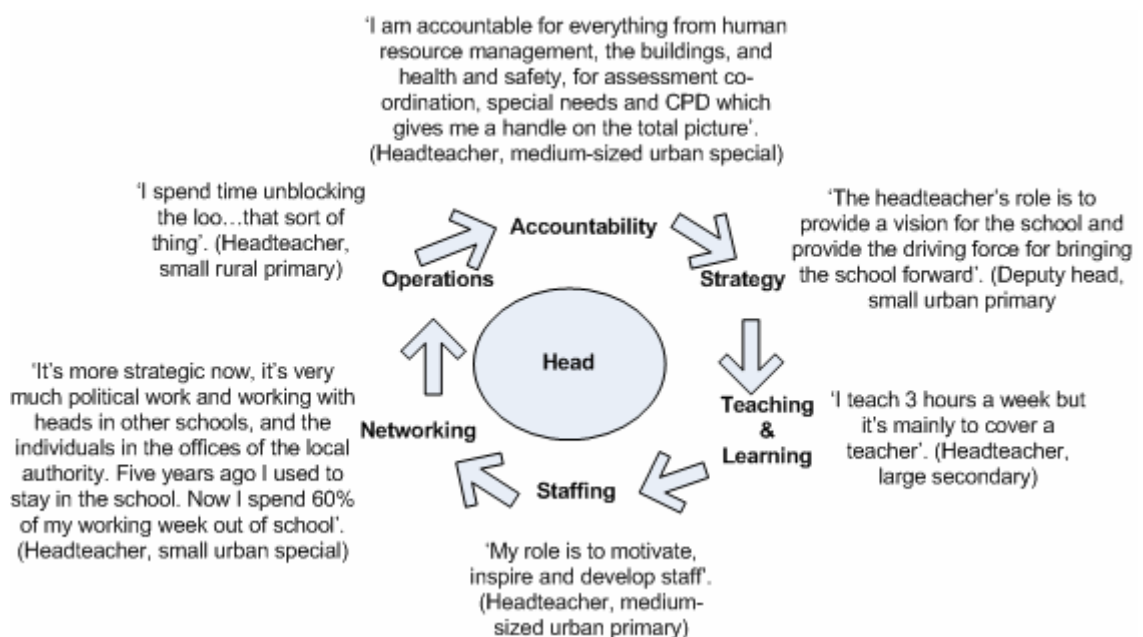
- 2.14 In contrast, only 38% of governors described the work-life balance of their heads as poor or very poor and just over a third (35%) described it as good or very good, indicating that governors' perception of heads' workload is less acute than some heads report.
- 2.15 While many heads suggested that work-life balance issues arise from their changing role and the constant development of the policy landscape, there is also some evidence to suggest that, in certain cases, poor work-life balance can be attributed to deficiencies in working practices. In the course of this research, several participants suggested, for example, that some heads need to learn to prioritise their work to a greater extent whilst several others thought that some heads do not like to 'let go' and needed to consider how they could 'work smarter'. Indeed, in a forthcoming publication from the NCSL, the five themes impacting on work-life balance which were identified include both external pressures and personal characteristics such as the need for control.<sup>7</sup>

<sup>7</sup>The skills required by headteachers are discussed in more detail later in this section while a consideration of the issues around constraints on distributing leadership is provided in *Section 5: Leadership capacity in the future*.

### The role of the headteacher

- 2.16 The general functions of the head are laid out in the School Teachers' Pay and Conditions Document (STPCD).<sup>8</sup> These include (amongst others): formulating the school's aims; the appointment and management of staff; liaison with staff unions and associations; managing the curriculum; resources and premises, ensuring standards of teaching and learning; appraising, training and developing staff; and developing effective relationships with parents, the governing body, and other organisations as appropriate.
- 2.17 The evidence from the school visits gives a flavour of the different ways in which school leaders conceptualise their roles: these range from the strategic, vision-creating functions to the mundane. Several heads emphasised their role as a 'lead learner' with a focus on developing and motivating staff. The outward-facing role of the head has also grown in significance; however, some heads reported that they were responsible for less strategic issues such as routine building maintenance.
- 2.18 We have categorised the main areas of responsibility described by heads into six main areas; accountability (time spent fulfilling the legal and other responsibilities on the head); strategy (setting the strategic ethos of the school and improvement planning); managing teaching and learning; staffing issues (including recruitment and professional development); networking (establishing effective relationships with other schools and relevant organisations such as FE colleges); and operations (the day-to-day management of the school). Figure 2.3 illustrates some of the different ways in which headteachers who participated in the research described their role.

Figure 2.3: Current headteachers' roles



<sup>8</sup> The latest version of the STPCD came into force on 1<sup>st</sup> September 2006.

### Headteachers' main responsibilities

2.19 There is evidence that headteachers are now spending more time on administration, implementation of initiatives, financial management and networking (Headspace, 2005) with, for many, a corresponding decline in teaching commitments and contact time with students. As can be seen from the following table, time spent dealing with administrative tasks and the management of budgets has increased more dramatically for primary heads than secondary heads over the last five years.

How school leaders perceive that the role of headteacher has changed over the last five years in terms of tasks				
	Primary		Secondary	
	Do more (%)	Do less (%)	Do more (%)	Do less (%)
Dealing with bureaucracy	92	2	82	1
Implementation of Government initiatives	87	2	83	1
Business management of school budget	75	5	66	12
Networking with other organisations	73	5	74	5
Leadership	64	4	64	2
Training (self)	35	28	31	31
The discipline of students	29	10	36	14
Teaching	16	56	9	55
Contact with students	9	49	15	32

Source: Headspace, 2005

2.20 In the STRB 2006 diary survey, it was found that the most time-consuming areas of headteachers' jobs related to school and staff management (55% of primary heads' time and 59% of secondary heads') and non-teaching contact time with pupils (13% and 18% respectively). In terms of school management, the main activities which take the most time are, in both sectors: school policy development and implementation; interaction with teaching staff; and staff meetings (including preparing agendas and writing minutes). Financial management was significant in terms of hours spent in both sectors, but particularly in primary schools. The three main time consuming tasks in relation to contact time were: supervising pupils; contact with parents or families; and disciplining or praising pupils.

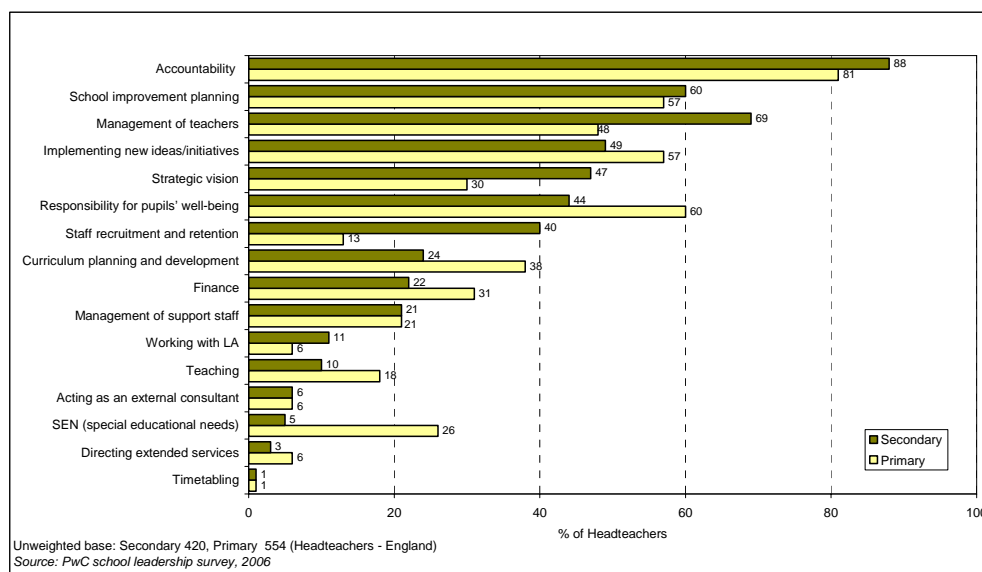
2.21 A forthcoming NCSL publication<sup>9</sup> reveals that, in a journal, observation and interview-based study, headteachers spent a quarter of their time undertaking administrative tasks.<sup>10</sup> 'Meeting the demands of external stakeholders' was the second most time-consuming area of work (17% of their time) followed by management-based activities (15% of their time mainly related to staff management). Internal stakeholders (9%) and CPD related activities (9%) and strategic leadership (7%) accounted for the remainder. A third of the time spent on strategic leadership related to strategic planning and a further third was spent on leadership meetings.

<sup>9</sup> A life in the day of a headteacher – a study of practice and well-being (NCSL, unpublished).

<sup>10</sup> Defined in this instance as general administration, before and after school clubs, teaching and cover, travel, walk-around, playground and lunchtime duties, school trips, administration appeals/admissions, assemblies, phone calls, e-mails, newsletter etc, letters, diaries - basic entries, reading/dealing with post, SEN, references.

- 2.22 In our survey, when asked to provide the five main tasks which take up most of their time during the school year, heads cited accountability responsibilities (81%)<sup>11</sup>, followed by school improvement planning (57%).<sup>12</sup> In Wales, the results were similar (69% and 61% respectively).
- 2.23 There were significant differences between the primary and secondary sectors in their rating of these tasks, with secondary heads finding accountability and management of teachers more time-consuming than their primary colleagues (88% compared to 81% and 69% compared to 48% respectively). Primary heads found the implementation of new ideas and initiatives and pupil well-being more time-consuming than secondary heads (57% compared to 49%, and 60% compared to 44% respectively). Another aspect of such differences is in relation to SEN; the figures show that for 26% of primary heads, SEN is one of their five most time consuming tasks, compared to a much lower proportion of secondary heads (5%).

**Figure 2.4: Tasks taking up most of headteachers time**

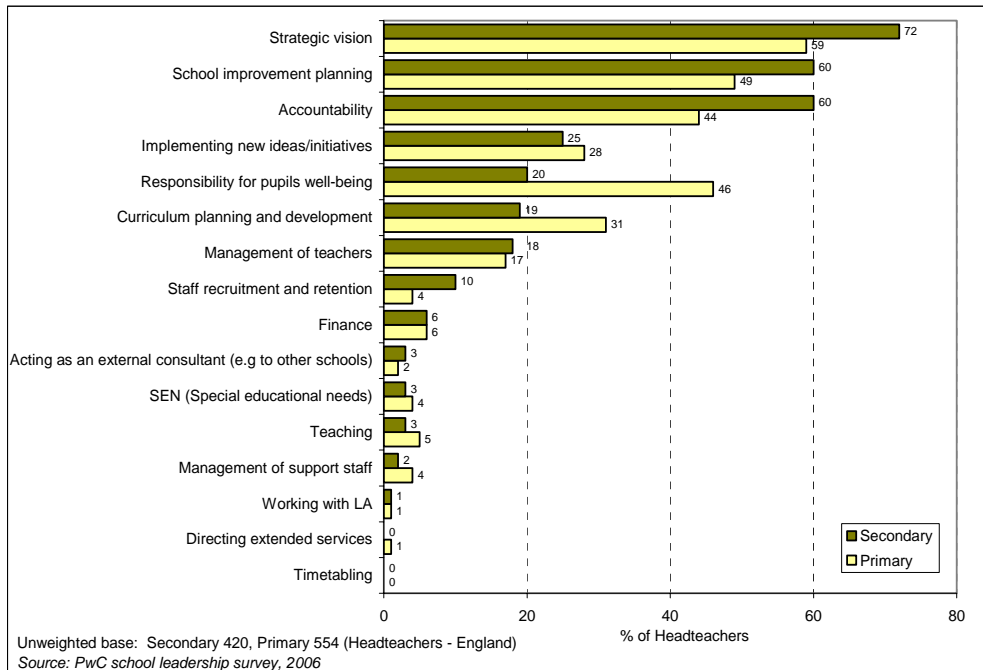


- 2.24 There is evidence to suggest that headteachers believe that they are not spending their time on entirely appropriate tasks. When asked what they thought their most important activities should be, their priorities were different: 59% thought strategic vision should be most important, followed by school improvement planning (50%) and accountability (46%). Figure 2.5 illustrates these priorities by sector.

<sup>11</sup> Activities associated with overall responsibility for school for which the head is legally accountable.

<sup>12</sup> These findings concur with research undertaken by the STRB in 2006 which suggested that school and staff management are the most burdensome tasks in terms of time spent by heads at work.

**Figure 2.5: Headteachers' views of the tasks which should be most important to them**



2.25 Analysing both sets of figures in conjunction, it would appear that headteachers believe that they should be spending less time on finance, implementing new ideas and initiatives, and the management of teachers. Responsibility for pupil well-being was less of a priority for heads in the secondary than in the primary sector. Staff recruitment and retention was also an issue for secondary heads, while for primary heads, dealing with special educational needs was less important than warranted by the time spent on this task. The data also suggest strongly that both primary and secondary heads think that they should be spending more time on the strategic vision of the school. Furthermore, when heads were asked about the tasks they would like to delegate, the main responses related to:

- Buildings management, maintenance or development;
- Budget management, financial management and fundraising;
- Staff development, personnel and school management issues; and
- Responsibility for Special Education Needs (SEN).

2.26 In relation to SEN, and indeed the other activities highlighted, it is worth noting that delegating these responsibilities is likely to be more difficult in primary schools on account of their smaller staff teams and more limited resources. Indeed, the survey data show that 23% of primary heads manage SEN on a day-to-day basis compared to 4% of secondary heads. This difference between primary and secondary heads is consistent with other data (reported later in this section) on how deputies and assistants spend their time. More generally, less than 5% of both primary and secondary heads indicated in the survey that SEN was important for their role, and 10% or less (again of both primary and secondary heads) identified it as a specific skills gap for their leadership team. However, within the context of the standards agenda, it is clear that any school that is effective in raising standards for all its pupils, must tackle the challenge of SEN effectively. This is emphasised in the recent House of Commons report on SEN which stated that a key indicator of a school's ability to do this is "effective and skilful leadership with the ability to apply skills and knowledge and enshrine principles into practice for all learners". (House of Commons, 2006, p136).

- 2.27 Overall, the key challenges for headteachers at the start of the academic year related mainly to educational standards and staffing issues with 15% of respondents stating (unprompted) that maintaining and improving teaching standards or results was the greatest challenge. This was followed by pupil attainment, achievement and results (10%), staff improvement and development (7%) and recruitment and retention (7%).
- 2.28 When asked about their views on the future of school leadership<sup>13</sup>, many respondents to our survey took the opportunity to describe the current roles and responsibilities of the headteacher. Several respondents emphasised the need to spend more time on strategic issues while some suggested that in no other type of organisation would leaders be expected to undertake such a range of tasks on a day-to-day basis.

#### Views on the roles and responsibilities of headteachers

'I anticipate the need for schools to have assistant headteachers that can focus on day-to-day management (with full responsibility) in order for the head to maintain a more strategic role'. (Governor survey)

'It appears that school leadership is becoming more to do with administration and less to do with learning. Schools need high level business managers so that the leadership team can concentrate on educating children'. (Governor survey)

'No other profession would see as wide range of activities undertaken by a chief executive. I even unload the dishwasher'. (Headteacher survey)

'There is still too much time spent on paperwork and not on school improvement'. (Headteacher survey)

'I think it will need to be more content-based depending on school size, phase and so on. I feel with extended services that my time, energy and skills are becoming too diluted and I am taken away from my core job of running the school'. (Headteacher survey)

'The role of the head as fundraiser and social worker needs to be highlighted. The biggest part of my school day, about 60% of my time, is taken up being a support to parents and communicating with outside agencies in regard to funding and initiatives'. (Headteacher survey)

'Clear time should be allocated to leadership roles and budgeted to enable leaders to do their job'. (Senior leader survey)

'I feel there is a danger that the senior leadership team is spread too thinly and don't manage to fully see through anything. Day-to-day life takes over'. (Senior leader survey)

- 2.29 It was therefore clear to us from responses to the survey and the fieldwork that some headteachers are spending time on inappropriate tasks relating to day-to-day operational issues, such as supervising pupils and basic maintenance, to the detriment of more strategic roles such as school improvement planning.

#### **Headteachers' teaching commitments**

- 2.30 In addition to leadership roles and responsibilities, the vast majority of heads responding to our survey also had teaching commitments. Two fifths of heads (40%) in our survey reported timetabled teaching commitments of under five hours per week. A similar proportion (46%) spent under five hours covering lessons for colleagues. The following table indicates how timetabled teaching hours vary by type of school.

<sup>13</sup> This was an open-ended (i.e. unprompted) question.

On average how many hours, if any, do you spend teaching per week in timetabled lessons?				
Hours	Primary (%)	Secondary (%)	Nursery (%)	Special (%)
0	27	29	35	32
>0-5	40	47	20	30
6-10	9	10	14	6
11-15	4	0	11	5
16-20	2	0	2	0
20+	0	0	2	0
Missing	17	13	17	27

Source: PwC school leadership survey, 2006

- 2.31 Taking timetabled hours and hours spent covering lessons together, many headteachers report significant teaching commitments. There are advantages and disadvantages to this: while time spent in the classroom evidently impacts on the workload of heads, some teachers thought that this pupil contact helped keep school leaders in touch with the realities of life at the 'front line' and to maintain their professional capabilities.
- 2.32 Members of the senior leadership team, however, tended to believe that senior leaders should have less, if any, time in the classroom. When asked about their general views on the future of school leadership, many respondents to our survey thought that there should be prescribed maximum limits on senior leader teaching commitments, whilst others thought that there should be a clearer focus on teaching and learning with more administrative roles assumed by other, suitably qualified, staff.

#### Views on senior leaders' teaching commitments

'Managers should manage, teachers should teach. Headteachers may want to teach children - not manage school resources which now seems to take up all their time'. (Governor survey)

'I think there is a strong case for a business manager to be considered, so that teachers can teach'. (Governor survey)

'The role of the business manager will increase. Heads are business managers, the management will suffer when they indulge in too much teaching'. (Governor survey)

'Headteachers should not have more than a 50% teaching commitment'. (Headteacher survey)

'I believe that it is going to become harder to replace headteachers of small, rural schools given the balance between management, leadership and teaching. It is not realistic for a headteacher to have more than a 0.4 teaching commitment'. (Headteacher survey)

'Heads, even of small schools, should not be expected to have a teaching role in addition to headship'. (Headteacher survey)

'In small schools, the senior leadership team has an almost full time teaching role'. (Headteacher survey)

'There should be a balance between teaching commitment and leadership time. The expectation is that all tasks should be carried out after the school day has finished'. (Senior leader survey)

'I feel that the leadership team should have very small teaching loads but they must have some - it is easy to forget what the teachers have to deal with relentlessly'. (Senior leader survey)



2.33 These findings raise the question of whether criteria such as the *National Standards for Headteachers* should include guidelines on maximum teaching hours for school leaders. Whilst this will evidently be difficult in small schools, such advice would be supported by many of the respondents to our research. However, alternative arrangements to ease the workload of headteachers and to make leadership more effective could be introduced in smaller schools with more limited access to resources: these are discussed in further detail in *Section 4* of this report.

#### **External roles undertaken by headteachers**

2.34 School leaders are also increasingly assuming external roles, either supporting other heads or working with local partnerships. Just over one third (35%) of heads in England responded that they worked beyond the boundaries of the school. A similar proportion of heads in Wales reported external roles. The main roles undertaken by heads in England are provided in the following table. Secondary heads are more likely to have external roles than special and primary heads (45% compared to 38% and 32% respectively).

<b>External roles undertaken by headteachers (England)</b>	
<b>Role</b>	<b>%</b>
Consultant leader <sup>14</sup>	31
Member of local/regional authority initiatives, working groups or partnership	14
Training/mentor/support advisor	14
School Improvement Partner	11
Inspector/assessor/moderator	9
Member of headteacher and leadership group or programme	8
Chairperson/Governor	8
Executive head	5

Source: PwC school leadership survey, 2006

2.35 For the vast majority (85%), these external obligations accounted for up to 20% of their working time and most were positive about the benefits: over four fifths (83%) of heads described these roles as quite or very beneficial for their schools. A small percentage (15%), however, were negative or noncommittal about the benefits for the school which suggests that, in some cases, there should be greater analysis of the advantages of external roles given the resultant time commitments required from heads.

#### **Leadership support for headteachers**

2.36 The leadership support provided by other members of the senior team is crucial in supporting headteachers in their roles. The following table illustrates the typical size of the leadership teams (including the headteacher) of the schools that participated in our survey. Half the primary heads in our survey had three or four members of staff on the senior leadership team whilst more than half the secondary heads (58%) reported that they had between five and seven members on the team. Approximately one in six primaries (16%) had a head and one other member of staff on the senior team.

<sup>14</sup> This includes a variety of wider system leadership roles in which heads work in a number of advisory positions including those provided through NCSL's Consultant Leader programme.



2.37 In our survey, one in twenty primary schools had a headteacher but no deputy or assistant head while a further 14% had one deputy or one assistant head. All secondary heads who responded had at least one deputy or assistant head, with very few (3%) having only one deputy or assistant head. These findings have important implications for any discussion of the ways in which school leadership can be made more effective as there will be obvious limitations on the extent to which 'within-school' solutions can be found.

Number of staff on senior leadership team (FTE, including head)				
	Primary (%)	Secondary (%)	Nursery (%)	Special (%)
1	5	-	15	3
1.5	-	-	2	-
2	11	1	30	10
3	24	5	27	19
4	26	11	14	26
5	13	18	3	23
6	11	19	6	16
7	3	21	-	1
8	1	12	2	-
9	1	6	-	1
10 or more	-	6	-	1

Source: PwC school leadership survey, 2006

2.38 The following sections describe the roles and responsibilities of other members of the senior leadership team, including deputy and assistant heads and senior support staff. It is worth noting, however, that while there are differences between the roles of heads in different school context, below the level of the head the landscape is even more diverse. Several delegates on our Reference Group, for example, agreed that there should be more clarity around roles, stating that the job description of deputy heads varies from school to school. It was suggested that the titles of deputy and assistant heads are meaningless as there are no generic functions for each role rather they depend on the specific tasks which heads had decided to delegate to their senior teams. Indeed in the STPCD, the only distinction between the definitions of deputies and assistants relates to the provision that deputies can undertake the professional duties of the head in the event of his or her absence. This point should therefore be taken into consideration in assessing the findings for these groups outlined below.

### Deputy and assistant headteachers

2.39 The roles and responsibilities of deputy and assistant headteachers are discussed in relation to the ways in which deputies conceive their role; the tasks which account for the greatest part of their time and the external roles which they are undertaking. During the school visits, deputies described their main responsibilities as follows:

- The curriculum, timetabling, aspects of whole school provision and continuing professional development;
- The day-to-day management of the school;
- Liaising between teaching staff and the headteacher;
- Sharing leadership responsibilities with the headteacher; and
- Assuming significant leadership responsibility when the headteacher is not present.

'My role as deputy head is to maintain continuity across the school in terms of the curriculum. A key area of my responsibility is the curriculum'. (Deputy head, small urban nursery)

'I am responsible for the day-to-day management of the school including timetabling, awareness of teaching quality and behaviour. I am also quite involved in ensuring the well-being of the staff - I take on the emotional side of things'. (Deputy head, medium urban primary)

'In a way the deputy has to turn their hand to most things, it's like the managing director who can work on the shop floor if they have to'. (Stakeholder interview)

2.40 Whereas assistant heads in the schools visited described their role as:

- Deputising for, and supporting, the head and deputy head in their absence;
- Specific curriculum areas; and
- Aspects of whole school provision.

'The assistant headship post was created under the new structure to provide cover in the event of both the head and deputy head being off the premises'. (Headteacher, medium-sized urban primary)

'I have significant responsibility for whole school pastoral development, pupil care and welfare, parent partnerships and child protection. I determine significant areas of strategy and policy under the guidance of the headteacher'. (Assistant headteacher, large urban secondary)

2.41 The findings from the survey reflect the view that there is often little distinction between the roles of deputy and assistant heads. Both groups spend similar amounts of time working on the strategic vision for their school and school improvement planning. Deputies are likely to have less teaching responsibilities and more responsibility for the management of teachers and accountability, especially in the secondary sector, and assistant heads tend to have greater responsibility for pupil well-being and implementing new ideas and initiatives, but there are few pronounced differences in the tasks undertaken other than this. These findings raise the issue of whether the distinction between deputy and assistant heads is in any way meaningful, particularly in the primary sector.

Deputy and assistant headteachers: key tasks				
	Deputy heads		Assistant heads	
	Primary %	Secondary %	Primary %	Secondary %
Curriculum planning and development	81	44	76	40
Pupil well-being	53	56	63	55
Teaching	65	38	67	58
Implementing new ideas and initiatives	53	52	66	73
Management of teachers	37	82	36	69
School improvement planning	43	42	39	40
Accountability	47	63	34	45
Special educational needs	29	9	30	10
Management of support staff	25	10	19	13
Strategic vision	19	27	20	29

Source: PwC school leadership survey, 2006

2.42 Some deputy and assistant heads reported that they also had external roles (16% in primary and 18% in secondary respectively). These roles included acting as: consultant leaders (32% and 29%); lead teachers, co-ordinators or development teachers (6% and 29%); and lecturer, tutors or mentors to trainee students and teachers (22% and 19%). It is also worth noting that, consistent with earlier figures on the allocation of time amongst heads, deputy and assistant heads in primary schools are much more likely to take an active role in relation to SEN compared to those in secondary schools; around three in ten deputies and assistants in primary schools described SEN as one of their key areas, compared to around one in ten deputies and assistants in secondary schools.

### Other members of the senior leadership team

2.43 Other members of the senior leadership team responding to the survey included both those with Qualified Teacher Status (QTS) and senior support staff. Whilst the majority (65%) of QTS respondents were evidently deputy and assistant heads, other respondents included Key Stage managers (12%) and Special Educational Needs Co-ordinators (SENCOs, 7%). In the school visits, other teaching leaders interviewed also included subject co-ordinators. Their main leadership responsibilities related to the co-ordination of core subjects, year groups or Key Stages and in some cases, particular aspects of whole school provision such as pastoral care or English as an Additional Language (EAL).

2.44 There was great variation in the extent to which senior support staff were represented on senior leadership teams in the schools which participated in our survey. The following table illustrates the distribution of senior support staff on leadership teams by sector.

How many members of your leadership team are senior support staff?				
Senior support staff	Primary (%)	Secondary (%)	Nursery (%)	Special (%)
0	78	39	58	41
1	13	46	23	31
2	2	8	15	16
3	-	1	-	7
4	-	-	-	-
5 or more	-	1	2	1
Missing	6	4	3	3

Source: PwC school leadership survey, 2006

2.45 Over three quarters of primary schools (78%) had no senior support staff on the leadership team and only 13% had one. The senior leadership team in two fifths of secondary schools were comprised wholly of teachers whereas the greatest diversity was, as may be expected, in special schools with a quarter (24%) having at least two senior members from non-teaching backgrounds on the team. Secondary schools were more likely to have a post dedicated to finance than primary schools on the senior leadership team but less likely to have a SENCO. Given the inclusion agenda, and the need to raise standards for all children, consideration should perhaps be given to whether senior leadership teams in the secondary sector should include a member of staff responsible for special educational needs. Primary schools evidently require more access to finance expertise, either on the leadership team or through alternative sources.

- 2.46 Overall, members of the senior leadership team other than heads, deputies and assistant heads who responded to our survey included: bursars; business managers, office managers, Key Stage managers, SENCOs, and managers responsible for ECM, extended schools or inclusion. The most time-consuming tasks for these groups are presented in the following table. Given the small bases for Key Stage managers and inclusion/ECM managers, the findings for these groups should be treated with caution.
- 2.47 In this context it is worth noting that the DfES *Code of Practice* on SEN recognises that, although heads, and deputies in small schools may be required to take on the SENCO role, decisions around this needs to be considered very carefully on account of their other, wider responsibilities (DfES, 2001).

The tasks which take most time over the school year						
	Bursar %	Business manager %	Office manager %	Key Stage manager %	SENCO %	Inclusion/ECM manager %
Accountability	47	55	40	36	27	18
Acting as an external consultant	0	0	7	3	3	6
Curriculum planning and development	3	1	6	94	70	41
Directing extended services	6	8	5	1	6	29
Finance	94	92	67	0	4	11
Implementing new ideas/initiatives	33	39	12	54	43	68
Management of premises	74	80	20	1	1	4
Management of support staff	57	69	40	29	55	36
Management of teachers	12	7	5	43	18	11
Office management	61	64	93	3	8	11
Responsibility for pupils' well-being	7	9	47	51	60	75
School improvement planning	31	14	14	31	31	14
SEN (special educational needs)	5	5	10	24	76	64
Staff recruitment and retention	33	18	57	3	17	7
Strategic vision	6	17	3	10	13	25
Teaching	3	1	3	91	53	39
Timetabling	4	2	0	6	11	11
Working with LAs	10	14	49	6	1	4
	n=70	n=64	n=129	n=30	n=83	n=28

Source: PwC school leadership survey, 2006

- 2.48 The roles of bursars and business managers who participated in our survey were similar but not interchangeable. Business managers spent more time on accountability-related tasks; the management of premises and support staff; and strategic planning while bursars reported that they spent more time on school improvement planning. Both groups spent similar (high) amounts of time on finance and, to a lesser extent, on office management. A small percentage of both groups reported time spent on extended services. The main responsibilities for office managers were (as would be expected) office management, but also finance, staff recruitment and retention, working with local authorities and administration (14%).
- 2.49 For Key Stage managers, the main activity on which they spent their time was curriculum planning and development followed by teaching and implementing new ideas and initiatives. This group also spent time on the management of both teachers and support staff and pupil well-being.
- 2.50 While the focus for SENCOs was evidently special educational needs (followed by curriculum planning and development and pupil well-being), the management of support staff and implementing new ideas and initiatives were also important. Inclusion or ECM manager roles (titles varied) were naturally based around SEN, pupil well-being and implementing new initiatives, however, several reported that they spent time on managing support staff and teaching. One in ten of these respondents stated that they spent significant time on multi-agency liaison.
- 2.51 Some senior support staff members (15%) also reported that they had an external role: these included project or development managers (29%), external support for other schools and liaison with colleges (16%), or consultant leaders (14%).

### Summary of the distribution of leadership roles

- 2.52 In our survey, headteachers were asked to state which members of staff were responsible on a day-to-day basis for a number of key areas including the curriculum, the performance management and development of teachers and support staff, special educational needs, extended services and the school budget. The following table illustrates the distribution of roles by phase of school (primary and secondary).

Person mostly managing key tasks on a day-to-day basis...													
	Curriculum (%)		Performance and development of teachers (%)		Performance and development of support staff (%)		SEN (%)		Extended services (%)		Budget (%)		
	P	S	P	S	P	S	P	S	P	S	P	S	
Headteacher	48	18	90	33	50	15	23	4	74	24	50	22	
Deputy Headteacher	28	57	4	34	20	14	10	9	5	17	0	3	
Assistant Headteacher	9	23	2	29	10	25	7	18	3	27	0	2	
SENCO	-	-	-	-	-	-	58	66	-	-	-	-	
Bursar	-	-	-	-	-	-	-	-	-	-	36	60	
Other	15	2	4	4	20	46	2	3	18	32	14	13	

Source: PwC school leadership survey, 2006

- 2.53 Across the board, primary heads tend to have greater responsibility for managing these key tasks on a day-to-day basis than secondary heads. Deputy and assistant heads in the secondary sector are more likely to have responsibility for the curriculum and for the performance and development of teachers than their peers in the primary sector. While the use of SENCOs is fairly equally distributed, the deployment of bursars is evidently more widespread in the secondary rather than in the primary sector, with 36% of primaries using bursars for school finance issues compared to 60% of secondary schools. Headteachers in primary schools were more likely to manage the budget on a day-to-day basis (50%).
- 2.54 Surprisingly, overall, just over half the headteachers (55%) responding to our survey stated that they were responsible for the day-to-day management of extended services. While the percentage of heads managing extended services in the primary sector is high (74%), the proportion of nursery heads managing these services is higher again at 80%. This is despite Government guidance (and stakeholder responses to our research) which suggests strongly that heads should not be responsible for managing such services on a daily basis. In the secondary sector, responsibility for extended services tended to rest with the assistant head (27%), headteacher (24%) or deputy (17%) though in a few secondary schools (7%), this lay with an office manager or bursar.
- 2.55 There is therefore evidence that leadership teams are becoming more diverse, particularly in the secondary sector. However, day-to-day management of key tasks such as the budget remain the responsibility of the head in many cases.

### Key drivers of the changing roles of leaders

- 2.56 There was a general consensus across all phases of the research that the role of school leaders has changed greatly over the last five years. This was linked primarily to the introduction of a range of new initiatives.

'It was starting to change when I became a headteacher... certainly in infant schools you were much more a leader [of teaching] and there wasn't the external pressure from the governors and local authorities. We still had some pressure from parents, but, over the years the job has grown much more complex'. (Former headteacher)

- 2.57 Many focus group participants agreed that leadership in their schools had changed in the last five years, commenting that schools are now being run more like a business. The majority thought that this trend would continue in the future.

'The headmaster will no longer be seen, he could be a managing director'. (Support staff focus group participant)

- 2.58 There are a number of aspects driving the changing role of school leaders. Our research has shown that one of the key factors impacting on the role of the head is the number of new policy initiatives. Particular issues cited in relation to this were the:

- Scale and volume of policy changes;
- Complexity of initiatives;
- Potential tensions between initiatives; and
- Lack of clarity between mandatory and voluntary or best practice initiatives.

'Coping with all the new initiatives from central government - the first year of extended schools, new requirements for school profile, the changing structure of the workforce, including the introduction of TLRs - in addition to what we are already doing, is very difficult'. (Headteacher, small rural primary)

- 2.59 Evidence from the *A Day in the Life* research (NCSL, forthcoming) suggests that there are a number of initiatives and administrative tasks which require headteachers to provide information in triplicate and that data requirements could be more 'joined-up': 'bureaucracy and form filling were a major source of frustration for many participants. Many perceived these demands as excessive, particularly where the requirements of individual organisations and departments overlapped. This was felt by some to be a distraction from the 'real' priorities of school leadership'. (NCSL, n.d.)
- 2.60 There is a range of such initiatives which school leaders are currently tasked with implementing including: the implementation of the new Teaching and Learning Responsibility payments (TLRs) and the restructuring of staffing; preparing for new arrangements for accountability and performance management through the School Improvement Partner (SIP); producing the new school profile; and achieving greater parental involvement in schools. In the following paragraphs we focus on three of the major policies impacting or potentially impacting on school leaders' roles. These are:
- School workforce remodelling;
  - Every Child Matters (and extended schools); and
  - The 14-19 agenda.

### School workforce remodelling<sup>15</sup>

- 2.61 In general, stakeholders thought that the statutory elements of the National Agreement have almost been fully implemented. However, there remain some outstanding issues in terms of the change process.

'Where schools have used the remodelling culture programme, they've actually moved forward in leaps and bounds in terms of the way they use their staff, the way they've brought in more support staff, the way they share staff across schools, their whole approach to doing things differently has been absolutely tremendous... Where schools have implemented the National Agreement but didn't take on remodelling and didn't get into the culture change piece... I couldn't honestly say to you that the change is sustainable'. (Stakeholder interview)

- 2.62 Headteachers were described as having, understandably, a key role in the success of the remodelling agenda, and the success of the initiative was linked explicitly to their levels of knowledge and expertise as well as their attitude towards the practice of leadership. The ability to manage an increasingly diverse workforce was also thought to be critical in raising standards.

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<sup>15</sup> The Education (Review of Staffing Structure) (England) Regulations 2005 place a duty on relevant bodies (school governing bodies for schools with delegated budgets and LEAs for schools without delegated budgets and Pupil Referral Units (PRUs) to review every maintained school's and PRUs' staffing structure and prepare, by 31 December 2005, a plan for the full implementation of any changes arising from the review by 31 December 2008. The reviews must be conducted with a view to ensuring that the management and deployment of all staff and the allocation of responsibilities and duties is effective and focused on teaching and learning to raise standards. All staff and representatives of recognised trade unions<sup>15</sup> must be consulted during the review. Headteachers are under a duty to advise and assist the relevant body in conducting the review and preparing the implementation plan.



'The idea that you create your own structures to suit your own circumstances is all very well and good, but unless people have got the imagination and an understanding of what they're doing, some of the structures are very poor'. (Stakeholder interview)

'The successful models that I've come across are ones where they're saying 'I'm doing that so I can do less of that'. (Stakeholder interview)

'Headteachers need to have the ability to manage effectively an increasingly complex workforce, involving a wide range of adults, on a variety of contracts, with a range of skills. The effective deployment of staff will be a crucial success factor in the continuing drive to raise standards'. (Written submission)

- 2.63 Some respondents also distinguished between the relative successes of remodelling in the primary, secondary and special sectors, with the special sector viewed as necessarily more advanced in terms of multi-agency working. Several respondents thought that valuable lessons could be learnt from the special sector in this regard.

'The ones that are probably most advanced are the special schools because they've always been much more integrated in the teaching system and support systems because that's how they had to work for a long time '. (Stakeholder interview)

- 2.64 Several respondents queried the sustainability of the remodelling agenda, particularly in regard to the impact of remodelling on heads and the availability of resources to sustain the successes of the initiative in the future. Linked to this last point, in a previous study it was found that only 8% of secondary and 3% of primary headteachers consider that the workforce reform has *not* been responsible for an increase in their workloads (Headspace, 2005).

'There is no costing of the challenges that are being placed on headteachers' shoulders by local authorities and government. There is no quantification and measurement of the cost impacts on headteachers' time. Headteachers have had to pay for the introduction of remodelling by doing it themselves'. (Stakeholder interview)

- 2.65 Local authorities described a mixed reaction to the workforce remodelling agenda: some school leaders were reported to have reacted enthusiastically; others were said to be more reticent, viewing it as 'yet another initiative'. Some schools were said to have used remodelling to completely reassess the meaning of leadership in their school and to have diversified the team through the introduction of senior positions such as bursars. However, the schools visited during the course of this research were largely positive about the impact of remodelling: key benefits identified included more distributed leadership, improved staff morale and better exam results.

'Remodelling has led to more shared leadership and handing out more accountability to other members of the team to ease the burden'. (Deputy head, medium-sized urban primary)

'We have given staff leadership and professional development time and this has helped improve teaching and learning. Non-teaching staff have taken on more roles since remodelling and we have had the best exam results ever'. (Headteacher, large urban secondary)

'It has allowed middle leaders to become more effective with a huge boost to staff morale. They have far more time in teaching and managing their departments so there is more empowerment of staff'. (Deputy headteacher)



- 2.66 In contrast, teachers in the focus groups were more negative about the success of the initiative, relating problems to a lack of understanding of the implications of remodelling, particularly in terms of changing the traditional culture of schools, and of increased workloads for heads. Evidence from our research does suggest that not all heads have fully embraced the ethos of workforce remodelling in terms of a more diverse workforce and creating new collaborative cultures in schools.

'The leadership team in my school failed to pick up on restructuring, and workforce reform... if they had seen it as a way of raising standards, it would have worked better'. (Teacher focus group participant)

'Headteachers can't get their heads around people other than teachers in schools doing things'. (Teacher focus group participant)

'[Headteachers] were always struggling to keep up as it was, then all these new initiatives came out'. (Teacher focus group participant)

### Every Child Matters

- 2.67 It was widely agreed that the Every Child Matters agenda will have a significant impact on school leadership. However, some stakeholders queried whether, despite the importance of the ECM initiative, school leadership teams have evolved to meet the new challenges to any great extent while others noted perceived variations in practice.

'The provision that schools offer will change fairly radically over the next few years as they take up the extended schools agenda. This will have implications for the way in which leadership works in schools'. (Stakeholder interview)

'The Every Child Matters agenda matter is a fundamentally important policy shift and its implications are being seen in the ways that local authorities structure their leadership teams. Certainly, there are implications for schools'. (Stakeholder interview)

- 2.68 Some stakeholders suggested that there is, as yet, uncertainty about the roles that leaders will be expected to adopt in the new context of extended schools. Hill (2006) states that school leaders will need to invest time in building new networks and relationships with other agencies such as local health services, youth services, the police, community groups, children's services and Job Centre Plus. He notes that the governing body will need to have strong community representation and to operate in an open and consultative fashion. Staff will need training and support in working with families and new staff dedicated to business and premises management will be required. School leaders will also, of course, need to stay focused on the educational outcomes of their students.

- 2.69 There was a general consensus amongst the stakeholders that we spoke to that the headteacher should not necessarily be responsible for the management of extended services. However, in practice, as our research has shown, in primary and nursery schools at least, it is the head that is usually responsible for the day-to-day management of these services.

'The whole organisation of the extended services doesn't have to be done by the headteacher because it is not teaching and learning in their sense; it is an additional vision for children and for the community. We would certainly expect a different person, as part of the leadership team, who is responsible for that. There are all kinds of different issues, regarding contracts, dealing with different providers, managing charging systems etc, that is quite a different area and we would not expect a headteacher to do that'. (Stakeholder interview)

- 2.70 Whilst a number of school leaders had introduced changes to enable the ECM agenda to be integrated into the activities, systems and strategies of their school, the findings from the school visits suggest that the agenda has not yet led to significant changes in the leadership roles or structures of schools. It was having some impact on pupil welfare, however, and had created conditions which were becoming more conducive to multi-agency working and greater collaboration between schools.

'The ECM agenda has had a big impact. There is more collaboration with the other two partner schools'. (Member of a governing body, large urban secondary)

'I think we have started a massive change in the last 18 months and it's in the ECM agenda. With regards to the idea of a one-stop institution, with schools and social service working together, there have been situations where schools and social services were not as co-operative as they should have been. But now those barriers will be broken down. But where do schools get the expertise to work with social services? That will be the biggest challenge'. (Deputy head, large urban secondary)

### The 14-19 agenda

- 2.71 In relation to the 14-19 reforms, Hill (2006) describes the challenge for school leaders as 'substantial' and outlines the types of decisions that school leaders will need to take in the new collaborative 14-19 environment, noting that schools will be unable to deliver the national entitlement in isolation. School leaders will need to devote time to building relationships and partnerships with other schools, colleges, universities, employers and training providers. They will also need to develop a common vision and agree lead responsibilities, accountabilities, and funding and governance arrangements.
- 2.72 There was no clear indication from our school visits that school leaders are preparing actively for the advent of the 14-19 entitlement and the introduction of the associated new diplomas. This is surprising given widespread stakeholder acceptance and official guidance that a single school is extremely unlikely to be able to provide access to the full diploma entitlement.<sup>16</sup> Indeed, as with ECM, the new 14-19 agenda is likely to have a very significant impact on the entire school workforce, including the senior leadership team, as the applied aspect of the curriculum increases and new teaching staff from a range of relevant backgrounds are required. This perceived lack of engagement was also reflected in comments from stakeholders, particularly in the further education sector.

'The key issue for us is the fact that school leaders or school headteachers are not actively engaging in the collaborative side of 14 to 19 with the FE providers'. (FE sector respondent)

'ECM is a philosophy shift with a massive structural change at a local authority level, whereas 14-19 is a systemic thing'. (Stakeholder interview)

- 2.73 However, in the school visits, a small number of schools reported that they had begun to consider the implications of the new entitlement in terms of changes to the workforce such as the introduction of staff with the appropriate skills to deliver the new agenda.
- 2.74 Despite the apparent lack of engagement with the 14-19 agenda amongst many heads, it is clear that the provision of the new diplomas will impact on the role of school leaders. Indeed, there are a large number of implications for leadership deriving from all these (and other, related) policies. These include:

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<sup>16</sup> The first diplomas will be introduced in 2008 while the full entitlement should be in place by 2013.

- The need for a more strategic approach (rather than dealing with change in a piecemeal approach which may explain the lack of focus on 14-19);
- Changing the traditional ethos and culture of the school;
- Embracing a more diverse workforce;
- Developing new networks with a range of external organisations (educational and other);
- A new focus on negotiating skills (for example, in relation to issues such as new procurement arrangements, funding, access to the school premises etc);
- Developing expertise in the school in relation to facilities management and contract management of external providers;
- Consulting to a much greater extent with the wider community; and
- At the same time, continuing to focus on maintaining and improving educational outcomes for their students.

2.75 It was also clear to us that school leaders tend to see policy initiatives as separate and compartmentalised, rather than as part of an integrated programme of school reform. This has implications for the way in which the Government communicates and implements change within the sector.

### Characteristics of the senior leadership team of the future

2.76 The potential impact of these policies on the educational landscape and the nature of the challenges currently facing headteachers will necessitate new ways of working. Our research has identified a number of characteristics, skills and areas of expertise that will be required in senior leadership teams of the future. Indeed, given that many respondents in all phases of the study thought that the role of the school leaders has become more akin to business administration, it is legitimate to question whether current leaders have, or have access to, all the necessary skills to meet the challenges of the future (for example, 50% of heads in the primary sector are responsible for the school budget on a day-to-day basis). This may be exacerbated by the age profile of current heads: some will have been appointed to headship before the role began to change substantially from the late 1980s onwards.<sup>17</sup>

2.77 Many respondents identified the need for more political skills such as relationship-building, networking and negotiating amongst school leaders, and linked to this, the need for attributes such as self-confidence and resilience in leaders of the future as they interact with more diverse workforces and organisations both within and beyond the school. Indeed, this increasing diversity, will in all likelihood, also require stronger communication and motivational skills.

'The number of self-confident headteachers in the population who know how to manage the impact of demands coming from the outside and have the confidence to select, cherry pick and use what is coming at them for the school and reject the rest if they feel it to be damaging - out of ten, you could identify two in any sample'. (Stakeholder interview)

2.78 The key future skills needs identified for headteachers in all phases of the research are presented in the following table. However, the extent to which heads should be expected to master each of these skills is open to question.

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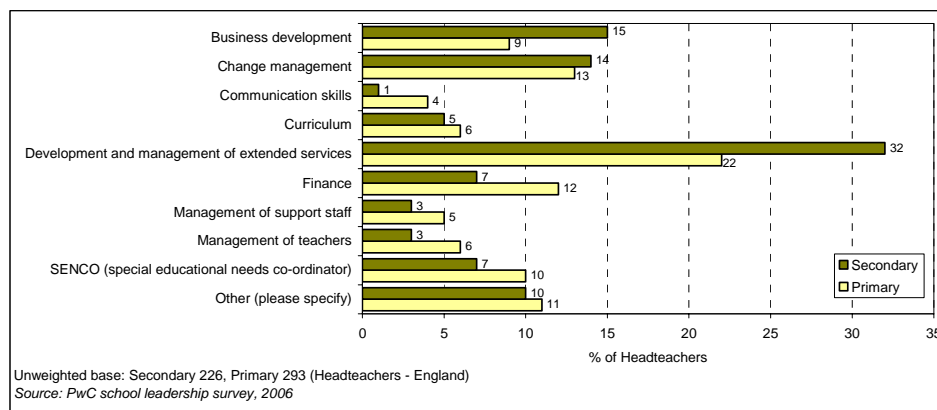
<sup>17</sup> It should be noted that over half the heads responded to our survey and have been in teaching for 26 years or more.

Future skills	Description	Selected quotes from the research
Change management	Anticipating change, designing appropriate solutions, and implementing these solutions.	'The whole area of leading and managing in a changing environment. I don't just mean how you lead and manage change but I mean working in a constantly changing environment and the time, flexibility, adaptability and perseverance that you need to have to do that'. (Stakeholder interview)
Financial management	Making long-term and short-term financial planning decisions, avoiding undue risk and ensuring the appropriate allocation of resources in line with priorities.	'The main challenges are the complexity of change and financial management'. (Governor)
People management	Making time to coach and develop others, using delegation as a development process, acting as a role model, and identifying learning opportunities for others.	'People management skills need to be developed particularly for new heads, because of the way the people management works in schools at the moment, there isn't a huge amount of opportunity for headteachers to learn on the job'. (Children's Trust respondent)
Buildings and project management	Managing capital and maintenance building projects.	'Some of them are also the project manager for Building Schools for the Future; they are everything rolled into one, and that is becoming more and more complex'. (Local authority respondent)
Stakeholder management and interpersonal skills	Relationship-building, networking, negotiating skills etc.	'It's more strategic now, it's very much political work and working with heads in other schools and the individuals in the offices of the local authority. Five years ago I used to stay in the school. Now I spend 60% of my working week out of school'. (Headteacher, small urban special)

2.79 In light of the new policy developments highlighted above, it seems evident that, as leaders, heads should be expected to be skilled in change, people, and stakeholder management. Furthermore, in most sectors, senior managers would be expected to have a working knowledge of financial management systems if not day-to-day responsibility for them. It seems to us, however, that areas such as buildings and project management should not necessarily fall entirely within the remit of the head and that he or she should have access to expertise either within or beyond the school. Notwithstanding this, while the depth of expertise across all skills areas will obviously vary in degree according to the context of the school, in our view it is part of the role of a leader to ensure that the organisation has the necessary skills at its disposal, whether in-house or outsourced.

- 2.80 Given the changing environment, the reported workloads of heads, and the belief amongst many respondents that heads have insufficient time for the strategic aspects of their role, there will also be new requirements placed on the senior leadership team as a whole in terms of both introducing new expertise and developing the current workforce.
- 2.81 In our survey, overall, just over half of headteachers (53%) responded that they had identified skill gaps in their team. The most common reported gaps related to the development and management of extended services (24%) followed by change management (13%), finance (12%) and business development (10%). With the exception of the development and management of extended services, there is no real difference in skills gaps between the sectors. Figure 2.6 illustrates the skills gaps identified by headteachers.

**Figure 2.6: Skill gaps in senior leadership teams**

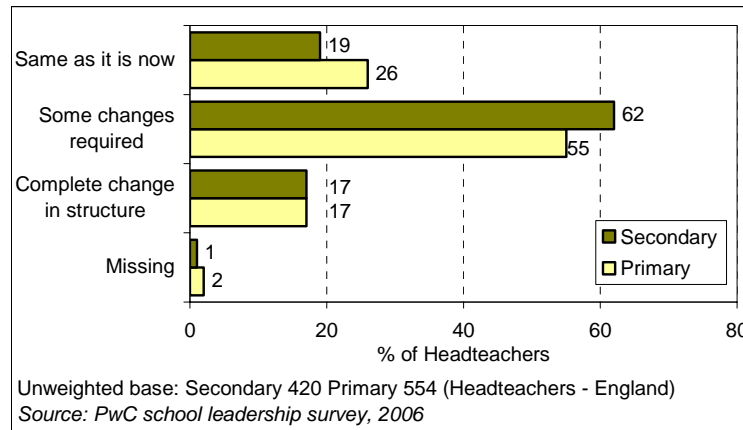


- 2.82 In Wales, a slightly smaller proportion of the headteachers responding to our survey had identified gaps in the expertise of the senior team. The main gaps identified were: change management (27%); finance (23%); and business development (9%).<sup>18</sup>
- 2.83 Almost half the headteachers (48%) in our survey anticipated that additional training of the senior leadership team for school leaders would resolve these gaps either for themselves (22%) or for other members of the senior leadership team (46%). A quarter also anticipated training other non-leader staff members and almost a fifth (17%) intended to recruit specialist support staff. Just over a quarter (27%) stated that there was no budget available to resolve these gaps. Surprisingly, given the responsibility on headteachers for organisational design and for staff development<sup>19</sup> and the growing autonomy of schools, one in ten thought that it was the responsibility of the DfES to resolve these issues.
- 2.84 There are a number of ways school leaders could respond to the leadership skills gaps opened up by new ways of working in schools, and these are discussed in further detail in *Section 4* of this report. Overall, however, three quarters (73%) of headteachers in our survey thought that their senior leadership team would change within the next five to ten years, with just under one fifth of these (17%) stating that the structure would change completely. In Wales, one in ten heads thought that complete changes were required. As Figure 2.7 illustrates, primary heads were slightly more conservative in this regard with 55% thinking that some changes were required (compared to 62% of secondary heads).

<sup>18</sup> Caution should be taken in considering these findings given the low base for this response (n=54).

<sup>19</sup> See National Standards for Headteachers (DfES, 2004).

**Figure 2.7: Changes required in senior leadership team in the next five to ten years**



- 2.85 Governors were less likely to foresee change with 48% stating that the leadership team would remain the same (compared to 25% of heads overall). This apparent conservatism on the part of a significant proportion of governors may well have implications for any planned introduction of new models of leadership given that governing bodies will make an important contribution to any decision on change.
- 2.86 In our survey, when asked to elaborate on the ways in which the senior leadership team is likely to change, several heads referred to the need to appoint a business manager or bursar and/or change existing staff duties. The key drivers of this were thought to be the extended schools agenda and provision of wider community education. Other heads identified the need for executive headteachers to assume a more strategic role.

'A SLT member to take overall responsibility for the school within the community, to include extended schools, community education and parent partnership as well as lettings and private hire income'. (Headteacher survey)

'We need to appoint staff with the extended schools knowledge and flexibility to work out of school times and holidays'. (Headteacher survey)

'An area Chief Executive to manage schools strategically within collaboration. Deputy heads micro-manage individual schools'. (Headteacher survey)

'A more business model of leadership, i.e., an executive headteacher'. (Headteacher survey)

- 2.87 However, in research undertaken on behalf of the Association of School and College Leaders (ASCL) with school leaders in 2006, the majority of heads (70%) expected no significant change of their school leadership team structure over the next three years, and 60% expected no such change in the allocation of roles and responsibilities. When probed on specific areas, such as appointing a non-teaching assistant head to manage an extended school and the wider ECM agenda, just under a fifth of ASCL respondents stated that it was likely that this would happen. Likewise, approximately 75% of schools thought it very unlikely that the role of the principal would be split across two appointments (one responsible for teaching and learning, and the other for school business functions), and the majority did not foresee principals appointed to manage clusters of schools (Hill, 2006).

## Implications for current and future roles of school leaders

- 2.88 This section of the report has described the roles and responsibilities of headteachers and other members of the senior leadership team, the key policy initiatives which will impact on the ways in which these roles are evolving, and the skills required in leadership teams in the future. However, many respondents indicated during the course of this research that it is difficult to pinpoint the range of tasks on which many headteachers spend their time, given that these change on a daily basis due to the 'frontline' nature of the job.<sup>20</sup> This, in itself, is significant in that it suggests that the role of the headteacher should be redefined to provide more clarity regarding the nature of the job.
- 2.89 Evidence from the literature (for example, Leithwood et al., 2006) suggests that, to achieve effective leadership and higher standards for students, the role of the school leader should focus on improving employee performance through:
- *Building vision and setting direction* (building a shared vision; fostering the acceptance of group goals; and demonstrating high-performance expectations);
  - *Understanding and developing people* (providing individualised support and consideration; fostering intellectual stimulation; and modelling appropriate values and behaviours);
  - *Redesigning the organisation* (building collaborative cultures, restructuring the organisation, building productive relationships with parents and the community; and connecting the school to its wider environment); and
  - *Managing the teaching and learning programme* (staffing the teaching programme; providing teaching support; monitoring school activity; and buffering staff against distractions from their work).
- 2.90 These factors are based firmly on the centrality of the headteacher as a champion of teaching and learning in the school, focused on staff development and establishing the culture and ethos of the school based on collaborative working and strong relationships to drive through school strategy.
- 2.91 Earlier in this section, we described the main roles assumed by headteachers participating in this research as based around six key areas. The following table maps these against the changing educational landscape and the evidence on effective school leadership to indicate the areas in which the role of the headteacher should focus in order to meet the new challenges for leadership described in this section. This is not, however, a prescriptive list. Given the importance of school context, we recognise that any change in the roles and responsibilities of the headteacher will need to reflect the particular circumstances of the school. Freeing up headteachers from certain areas assumes that there is capacity to delegate responsibility for these tasks elsewhere. In smaller schools, for example, it may be difficult to cascade responsibilities for some tasks due to the existing workload of other staff, and, in some instances, limited access to specialist staff and other resources. In these cases, other solutions are evidently required to enable new and smarter ways of working for school leaders. These are discussed further in *Section 4* of this report: Models of School Leadership.

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<sup>20</sup> Indeed, the *A Day in the Life* research (NCSL, forthcoming) suggests that the lack of a 'typical day' was a source of job satisfaction for some heads and of frustration for others.



Implications for headteachers' roles and responsibilities	
Strategy	It was clear from all phases of the research that headteachers <b>need to dedicate more time to the strategic vision</b> of the school including school improvement planning. There is also evidence of a need to adopt a more holistic approach to strategy e.g. some school leaders seem to be engaging with the ECM agenda to a greater extent than 14-19 - this is most likely due to the implementation timescales for each. It should be noted that not all schools will require the same level of time for strategic planning. In some smaller schools it may not be appropriate for heads to devote significant amounts to strategic planning - in these cases, heads should be able to draw on strategic support from beyond the school boundaries. There should also be ring-fenced leadership and management time for teaching heads.
Teaching and learning	The literature demonstrates that a leadership focus on teaching and learning is imperative if standards are to rise. There were mixed views, however on whether headteachers should have teaching commitments: while some heads thought that they should have limited or no teaching commitments, teachers and support staff believe that heads need to keep in touch with classroom practice. <b>It is important therefore that heads keep up-to-date with classroom practice.</b>
Staffing	Likewise, the development of the workforce is viewed in the literature as a key element of effective leadership (see also the following section on leadership in other sectors), particularly in regard to coaching and modelling best practice. Whilst staff development and management is one of the areas that heads would like to delegate, staff management in terms of professional development (rather than, say, human resources issues) is a key role for the headteacher in the literature. <b>Heads should be actively involved in promoting a CPD culture throughout the school.</b> Given the growing diversity of the workforce there will increasingly be a need for the head to distil and disseminate the particular ethos of the school throughout the institution. In our survey, time spent on staff recruitment and retention was an issue for heads, particularly in secondary schools. However, while heads should not necessarily be involved in the detail, this is an area where, given the importance of the people agenda, at the very least a strategic interest should be required. <b>Heads should also implement and promote effective performance arrangements for the entire school workforce.</b>
Networking	New policies such as ECM and 14-19 require increased collaboration between schools and more consultation and interaction with the wider community. Indeed, 'strengthening community' is one of key areas of the National Standards for Headteachers. A third of headteacher respondents to our survey had an external responsibility and for most this was beneficial to their school. External networking and collaboration is likely to enhance the quality of the strategic planning element of the head's role: it also an area where other senior leaders, and indeed middle leaders, in the school can (and, in some cases, do) play a role. <b>However, careful consideration should be given to the appropriateness of external roles in the context of the specific circumstances of the school both in terms of the benefits and to the grade of the person undertaking the role.</b>

Implications for headteachers' roles and responsibilities	
Operations	<p>Many heads reported in both our survey and in other research that operational tasks relating to the day-to-day running of the school took up a significant proportion of their time. In many cases, particularly in the primary sector, this may be due to a lack of resource. Tasks that respondents to our survey wished to delegate (other than staff management) included the management of building and premises, the budget, and special educational needs. A number of other tasks were reported including the supervision of pupils before and after school and basic cleaning and maintenance duties. It is clear that, in many cases, these operational issues do not always represent the most valuable use of headteachers' time. Our research has shown that, for example, many primary heads in particular report a day-to-day responsibility for the management of extended services. Furthermore, the literature reveals that some heads spend considerable time supervising pupils before and after school.<sup>21</sup> While the head may be accountable to the governing body for the provision of extended services, alternative models of provision should be explored to ensure that the day-to-day management does not fall overly to the head. Finance is another area that heads would like to delegate. Half the primary heads and a fifth of secondary heads report that they are responsible for managing the budget on a day-to-day basis: given these proportions it is legitimate to query whether all heads have the necessary financial skills to fulfil this role successfully. <b>Areas where heads should not be spending significant amounts of time include:</b></p> <ul style="list-style-type: none"> <li>➤ Health &amp; safety;</li> <li>➤ Routine maintenance;</li> <li>➤ Pupil supervision before or after school;</li> <li>➤ Routine contact with parents;</li> <li>➤ Basic administration;</li> <li>➤ Financial management (particularly in primary schools);</li> <li>➤ Pupil well-being;</li> <li>➤ Special educational needs; and</li> <li>➤ The day-to-day management of extended schools.</li> </ul>
Accountability	<p>Ultimate accountability for the school lies with the headteacher: 'they are accountable for ensuring that pupils enjoy and benefit from a high quality education, for promoting collective responsibility within the whole school community and for contributing to the education service more widely. Headteachers are legally and contractually accountable to the governing body for the school, its environment and all its work' (DfES, 2004). Tasks associated with accountability were reported to be the most time-consuming by headteacher respondents to our survey (although, in some cases deputy and assistant heads also report involvement in these tasks). Given the changing role of the head and of the school, there is a clear need to review the ways in which these accountabilities could be shared to a greater extent through the senior leadership team. Levels of accountability also relate to effective governance arrangements which will be discussed in greater detail later in this report.</p>

## Conclusions

2.92 This section of the report has considered the main issues associated with leadership capacity including the roles and responsibilities of current school leaders, key drivers of the changing roles of leaders and the characteristics of the senior leadership team of the future.

<sup>21</sup> STRB *Diary Survey* (2006); *A Day in the Life* (NCSL, forthcoming).

- 2.93 It is clear to us from the research that school leaders have a wide range of roles and responsibilities and that these vary by sector. While it is relatively easy to define the key roles of heads, typical areas of responsibility for deputy and assistant heads are more diverse as these depend largely on the tasks which heads have decided to delegate. This calls into question whether the distinction continues to have meaning. There are evident differences, however, in their responsibilities by sector and deputies do tend to have lower teaching commitments than assistant heads.
- 2.94 Workloads for heads were generally thought to be high. For many, the reportedly poor work-life balance of headteachers derives from recent policy changes and new initiatives, however there was other evidence from the literature and from participants in this research that heads bear some responsibility in terms of their ability to prioritise their workload and to 'let go'.
- 2.95 Heads described their roles and responsibilities as encompassing the strategic vision, teaching and learning (including standards and quality assurance), staffing issues and liaising and networking with schools, the wider community, and external agencies. This approximates to the key areas highlighted in the *National Standards for Headteachers*. More informal roles, e.g. facilities maintenance were more common in small schools. There are significant differences between the day-to-day roles of heads in the primary and secondary sectors, particularly in regard to staffing, the budget and extended services.
- 2.96 Activities associated with accountability and the management of teachers are the areas to which heads devote most time. There were also differences in the most time-consuming tasks reported by heads and those that heads thought should be a priority for them. Areas where headteachers thought they spent too much time (relative to the priority) included finance, implementing new ideas and initiatives, and the management of staff. There was a clear view amongst heads that they wished to spend more time on strategic issues. Key tasks that heads in our survey would wish to delegate included: building management, maintenance or development; budget management, financial management and fundraising; staff development, personnel and school management issues; and responsibility for special education needs (SEN).
- 2.97 Most heads in the survey have some teaching commitment, with heads in smaller schools and in rural areas tending to have more timetabled classes. In addition, almost half reported covering lessons for up to five hours a week for colleagues. A significant proportion of heads in the primary, secondary and special school sectors also have external roles such as consultant leaders and School Improvement Partners or involvement in local and regional groups. Most thought that these roles were of benefit to their home school but a small but important proportion (15%) did not.
- 2.98 The majority of heads emphasised the vocational nature of the role with children's achievement as the main aspect of their job which gave most satisfaction. Personal challenge is also important to heads and this is a key factor in keeping them in post.
- 2.99 Approximately one in six (16%) primary schools had two members of staff on the senior leadership team (including the head) and half had three or four members, while half the secondary schools in our survey had between five and seven staff on the senior team. In smaller primaries, there are limits to the ways in which leaders can improve the effectiveness of leadership from internal resources. While three quarters of primary schools and two fifths of secondary schools reported no senior support staff on their senior leadership teams, there is some evidence to suggest that teams are becoming more diverse. Senior support staff respondents to our survey included: bursars; business managers; office managers and managers responsible for ECM and inclusion.

2.100 The role of the school leader is becoming more challenging on account of the complexity and range of the tasks undertaken. This is due in part to the changing nature of the school which will require new skills and attributes from leaders of the future. Specific policies that are beginning to impact on the role of school leaders include ECM, remodelling, and to a much lesser extent the 14-19 agenda though this will undoubtedly have more of an impact in the future. Schools appear to have adopted these initiatives to differing extents. The implementation of these initiatives is likely to require greater collaboration between schools and partnership working across the children's services sector and beyond. In particular, there will be a need for:

- Continuing to focus on maintaining and improving educational outcomes for their students;
- A more strategic approach (rather than dealing with change in a piecemeal approach which may explain the lack of focus on 14-19);
- Changing the traditional ethos and culture of the school;
- Embracing a more diverse workforce;
- Developing new networks with a range of external organisations (educational and other);
- A new focus on negotiating skills (for example, in relation to issues such as new procurement arrangements, funding, access to the school premises etc);
- Developing expertise in the school in relation to facilities management, contract management and so on; and
- Consulting to a much greater extent with the wider community.

2.101 School leaders tend to see policy initiatives from government as separate and compartmentalised, rather as part of an integrated programme of school reform. This has implications for the way in which government communicates and implements change in the sector.

2.102 In light of these policy changes, we identified a number of skills gaps amongst headteachers and other members of the senior leadership team. For heads, key development needs were in the areas of change, finance, people and premises management as well as political and interpersonal skills. For other members of the senior leadership, the main gaps cited related to the development and management of extended services, with change management, business development and finance also important. Given the age profile of heads, and the impact of changes in education over the last decade, it is legitimate to question whether existing heads have all the skills required to undertake their current role.

2.103 In terms of anticipated changes in the senior leadership team within the next five to ten years, a majority of heads thought that their team structure would change to some extent. However, a lesser number of governors shared this view, which may be an impediment to change.

2.104 Despite the view that the role of the headteacher is becoming more administrative and business-like, the literature suggests that the head should focus on: building vision and setting direction; understanding and developing people; redesigning the organisation; and managing the teaching and learning programme.

2.105 From our research, the six key areas on which headteachers spend their time are: strategy; teaching and learning; staffing; networking; operations; and accountability. While the balance of time spent will depend on the context of the school (as previously noted, it is unlikely that all heads will need to concentrate equally on strategic issues), there is evidence to suggest that heads need to focus to a greater extent on the strategic vision; teaching and learning; and staffing issues. The operational and accountability elements of their role could be distributed more effectively throughout the school, particularly in regard to issues such as extended services, finance and the supervision of pupils.

# 3 Leadership in other sectors

## Introduction

3.1 While the specific findings from our research into leadership in other sectors have informed the entirety of this report<sup>22</sup>, in this section, we investigate a number of the wider leadership issues and, where relevant, highlight some key areas of practice in other sectors which may be applicable to the school context.<sup>23</sup> This section of the report is structured under the following headings:

- An ever-changing landscape;
- Organisational design;
- Future skills sets;
- Recruitment, retention and succession planning;
- Diversity in senior leadership teams;
- Reward; and
- Conclusions.

## An ever-changing landscape

3.2 Both the private and public sectors are characterised by a constantly changing environment in which accountability and value for money have become increasingly important. In the private sector, the growing importance of corporate governance, and, in the public sector, the common use of service delivery targets, has led to increasing pressure to meet and fulfil the expectations of citizens, stakeholders, shareholders and the Government. In the case of the private sector, organisations have increasingly had to balance the competing forces of increased state intervention (in the form of legislation) and a rapidly changing business environment: 'private sector organisations are subject to increased public scrutiny post-Enron and more regulation... recent legislative changes include the reform of company law, anti-corruption, the new crime of corporate killing, environmental levies and pension fund management and trusteeship' (Council for Excellence in Management and Leadership, 2000).

3.3 In relation to the public sector, authors such as Hartley & Hinksman (2003) and some of the stakeholders interviewed, described leadership that operates within a context of increasing demands of public accountability, a focus on achieving value-for-money, and greater levels of transparency and expectations.

'It is all about public accountability and we are all consumers now so you have got to give as much information about your performance as an institution as possible. You cannot hide it or try to manage it; you have got to put information out there'. (FE interview)

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<sup>22</sup> Interviews were undertaken with educational leaders in further and higher education and senior managers in private organisations and other parts of the public sector including the NHS.

<sup>23</sup> However, given the differences in context, care should be taken in making direct comparisons between schools and other sectors. For example, in a comparative study into leadership in schools in the UK and senior executives in the private sector (Forde, Hobby & Lees, 2000), it was found that the role of headteacher is more complex than that of business leaders, given the 'front-line' nature of their work.

- 3.4 It is clear therefore that managing change is, and should be, a major dimension of the role of the modern leader. Given the focus on accountability, organisations in the both the public and private sectors are expected to have strong governance structures in place in order to ensure that their activities are conducted effectively and responsibly: 'the new autonomy that foundation trusts enjoy, their public service purpose and the fact that NHS foundation trusts are entrusted with public funds demand that their boards operate according to the highest corporate governance standards' (Monitor, 2006).

'Governance and accountability is becoming much more important. It is not just about regulation but about public trust and media coverage; any impropriety or poor customer service is very harshly judged'. (Private sector interview)

- 3.5 The importance of good governance as a source of support and challenge for leaders was mentioned by several stakeholder interviewees in relation to the further and higher education sectors. It was also thought that this depended on college leaders taking responsibility for developing and maintaining effective communication. For some education respondents, the critical issues were to maintain a certain distance between the governing body and the principal of the college and to ensure that the governing body operates at an appropriately strategic level. In one university which participated in this research a new model of governance and leadership had emerged, based on a more business-focused approach to the leadership of an educational institution, and, consequently, new expectations of the role of the leader.

'To do it properly, and this has to be the function of the college principal, you have to make sure that the governing body is properly educated... about the sorts of demands that there are on colleges and what sort of funding is about, and what the expectations of colleges are by councils, government and all of the various bodies'. (FE interview)

'My governing body is actually a board of directors and therefore there is a small number of them and they are mostly senior figures in industry and government. They expect me to be a chief executive, to manage my team, and work with my colleagues to ensure that we have clear performance indicators and very clear service agreements'. (HE interview)

- 3.6 Given the growing significance of good governance, a number of public sector organisations (for example Monitor for Foundation Trusts in the health service and the Committee of University Chairmen in Higher Education) have produced codes of conduct for governors in their sectors.

## Organisational design

- 3.7 The structures and principles of leadership in the private and public sector have undergone significant shifts in recent years. Leadership structures are often frequently redesigned to meet changing needs. There is a broad trend towards flatter and/or matrix structures with teams rather than hierarchies becoming increasingly the norm.<sup>24</sup> Examples of which include:

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<sup>24</sup> According to the *National Standards for Headteachers* (DfES, 2004), headteachers 'need to provide effective organisation and management of the school and seek ways of improving organisational structures and functions based on rigorous self-evaluation. Headteachers should ensure that the school and the people and resources within it are organised and managed to provide an efficient, effective and safe learning environment. These management responsibilities imply the re-examination of the roles and responsibilities of those adults working in the school to build capacity across the workforce and ensure resources are deployed to achieve value for money. Headteachers should also seek to build successful organisations through effective collaborations with others'. In particular, the Standards state that heads should know about 'models of organisations and principles of organisational development'.



- 'The average big firm today can expect major reorganisation every three years. Microsoft has gone through the process four times in the past five years. Business leaders have to address organisational design more and more often - every time companies integrate acquisitions, realign against key customers or introduce new enterprise resource planning systems' (Whittington, Mayer & Smith, 2003); and
- 'The cult of the charismatic chief executive appears to be coming to an end... in the longer term, the key to success lies in the ability to create and manage effective teams, to stimulate an environment in which innovation and knowledge-sharing are not just given lip service and to communicate complex concepts of strategy comprehensibly to a wider stakeholder group' (Franks, 2003).

3.8 However, this often does not mean that the hierarchical structure of organisations has disappeared entirely, but that individuals will be required to work at many different organisational levels and across departments: 'we would argue that it is appropriate to take a multi-level view of leadership - where leadership is seen as a process of working at many different organisational levels to impact on performance. This focus on 'leadership at all levels' is consistent with the mounting recognition of the role played by many rather than a few in the leadership of organisations...' (NHS, 2004).

'Increasingly, leaders have matrix responsibilities, i.e. the IT director should have links to HR/finance/audit, joining up on jobs'. (Private sector interview)

3.9 Whilst distributed or shared leadership is increasingly becoming accepted in both the public and private sector and the frequency of organisational change in the private sector appears to be increasing, there are difficulties associated with this process, linked to the degree of internal flexibility within an organisation, employee morale and retention of key employees. A participant in this research cited the NHS as an example of the detrimental impact of constant change, suggesting that some consistency is required to allow new initiatives and structures to bed down.

### Future skills sets

3.10 The changing nature of educational institutions has, in some cases, led to changing roles and responsibilities, with a growing 'professionalism' of the senior leadership team. In higher education, for example, thirty years ago the leader was viewed as the spokesperson for the academic collective, now there is a much more managerial approach and senior leadership posts include administrators in areas such as finance and personnel. The more complex nature of leadership roles has also meant that public sector leaders, in particular, require new skills such as political leadership and emotional intelligence: 'public sector leaders require highly sophisticated EQ (emotional quotient) skills to survive and succeed in the complex 'fishbowls' of their roles' (Fenlon, 2003).

'Education is a business but it is not like any other business. It is unpredictable and because you are dealing with people, you cannot create a 'one system suits all' model. It has got to be handled sensitively and you have got to deal with the enormous divergence of skills and experience'. (HE stakeholder)

3.11 For private sector leaders who participated in our research, one of their key roles is to provide the strategic vision and a sense of direction for their organisation. It is also no longer sufficient to simply set this vision: it must be effectively imparted throughout the organisation to motivate all staff to play a part in achieving its goals. Communication and motivational skills are therefore increasingly vital to any leader in the process of implementing the strategic vision with the objective of delivering improvement. In larger organisations, there is a clear trend towards a more consultative and supportive approach towards the workforce.



'To provide a vision for an organisation, providing a sense of direction to the organisation, leading an organisation through a process of change... bringing about improvement'. (Private sector interview)

'The best leaders have always tried to motivate staff... to understand that the work that they do is connected with the success of the organisation as a whole, and that they can take credit and responsibility for the success of the organisation as a whole. That hasn't changed but I think it becomes more and more important...'. (Private sector interview)

- 3.12 Managing relationships and viewing leadership of institutions or organisations in terms of the process rather than outcome features prominently in both the literature on leadership in the public and private sectors and in the interviews undertaken throughout this research: 'leadership is about managing relationships. Success takes intuitive or learned knowledge of exactly how to lead people - how to execute through them, motivate and empower them' (Feiner, 2003).

'Ten years ago in the finance/insurance industry, leadership was all about being the best banker or salesman. Now there is an equal balance between delivering the task and the manner in which it is delivered, i.e. behaviour is now 50% of performance in most banks - and behaviour is rewarded'. (Private sector interview)

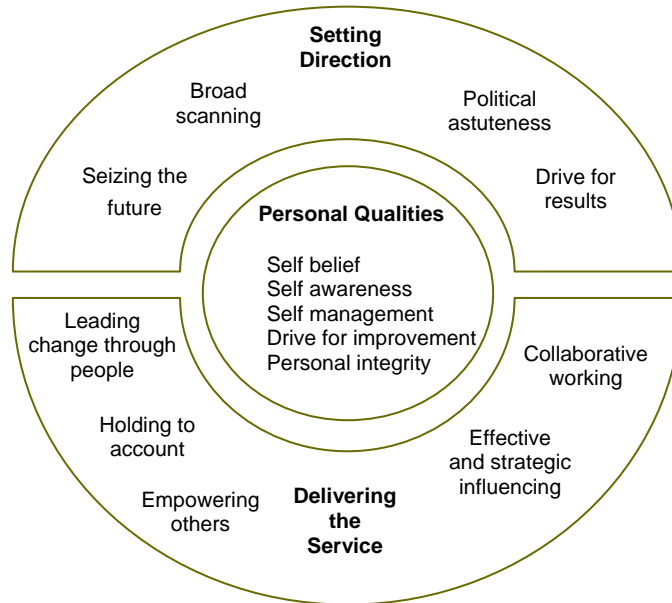
- 3.13 Relationship-building across and within organisations involves developing specific leadership behaviours and qualities that involve a greater degree of horizontal working and co-operation.

'Leadership is now less and less about leading hierarchically but having the ability to influence and build relationships across the organisation'. (Private sector interview)

'We are not about providing people with a functional knowledge. It is about leadership behaviour and leadership qualities so it is about how as a leader or an aspiring leader you can deal with particular situations either within your own institution, within your team or maybe working in collaboration with other schools and local authorities. It is about personal leadership development'. (FE stakeholder)

- 3.14 The NHS Leadership Centre, established as part of the NHS Modernisation Agenda, launched the NHS Leadership Qualities Framework in 2002, based on research with NHS chief executives and directors. As can be seen in the following diagram, delivery is only one aspect of this framework, with the strategic or vision-making tasks equally important.

**Figure 3.1: NHS Leadership Centre, 2002**



- 3.15 This Framework is applicable to leaders across a range of sectors, public and private. However, as some stakeholders have noted, the personal qualities at the heart of the Framework remain the most difficult to develop through traditional leadership programmes.
- 3.16 To summarise these new skills, behaviours rather than structures are being seen as increasingly important. This is manifested not only in relation to performance within the organisation but also in interactions with external partners. In addition to people skills, the ability to anticipate change and to set the strategic direction of the organisation (whilst gaining the buy-in of the workforce), and to empower others by distributing leadership are also increasingly important. The literature (and participants in this research) also note the ability to develop new leaders as a key facet of successful leadership.
- 3.17 In relation to developing leadership, Simpson (2003) states that numerous factors are important in creating the conditions for good leaders to succeed including the environment or context within which the person operates, the skills set developed the support they receive and the role model which the individual emulates. Teamwork and a sense of mission are also important. According to research by the Hay Group (2005), which states that there is no single optimum method for developing leaders, employers with the best record for attracting, developing, and retaining the right number of highly capable leaders have approaches that:
- Encourage leaders at all levels to create work climates that motivate everyone to perform at their best;
  - Make leadership development a priority for everyone involved;
  - Help leadership teams work more effectively together in addition to helping individual leaders improve;
  - Provide job shadowing opportunities for mid-career managers;
  - Ensure that high potential employees receive 360-degree feedback for leadership development at an early stage;
  - Ensure that mid-level managers have the time to participate in leadership development early in their careers; and
  - Provide external coaches for senior managers.

- 3.18 In earlier research into leadership development practice in the Fortune 500 'most admired' organisations, the Hay Group found that these organisations were more likely to use tailored development programmes such as planned career assignments to broaden experience, and one-on-one coaching and in-house tailored programmes rather than off-the-shelf study packages. Not only do these factors suggest that leadership in successful companies is based on a holistic approach to encourage all staff to perform highly but that leadership development is increasingly characterised by a more personalised approach, early access to leadership opportunities, providing access to a range of experiences (through special assignments or shadowing) and coaching and mentoring support.

### Recruitment, retention and succession planning

- 3.19 The 2006 CIPD survey on recruitment, retention and turnover researched the ways in which organisations in the public, private and voluntary sectors responded to recruitment difficulties, the methods used to select applicants, and the initiatives used to improve staff retention. Responses to recruitment difficulties included: appointing people who have potential to grow (66%), taking account of a broader range of qualities (e.g. personal skills rather than qualifications (43%)), and increasing starting salaries or benefits packages (34%). The most commonly used selection methods were based around interviews but also included personality or aptitude questionnaires (60%), assessment centres (48%) and group exercises such as role-playing (48%). Indeed, a university leader in this study described his three-day recruitment process which included role plays, presentations, and interviews with staff and students.
- 3.20 The most common measures taken to improve staff retention are listed in the following table. While increased or revised rewards packages feature on the list, there is a greater focus on 'people development' solutions such as better induction, more access to learning and development, improved line management and the provision of coaching opportunities.

Approaches to improving retention	%
Improved induction process	49
Increased learning and development opportunities	45
Improved selection techniques	38
Increased pay	34
Improved line management/HR skills	33
Improved employee involvement	32
Improved benefits	31
Changes to improve work-life balance	30
Provision of coaching/mentoring/buddy systems	21
Revising the way staff are rewarded to better recognise their efforts	20

Source: *Recruitment, retention and turnover: annual survey 2006 (CIPD)*

- 3.21 Similarly, a study undertaken by Harris et al. (2003) pointed to the importance of a variety of different factors in retaining the skills of NHS leaders. These included providing effective opportunities for professional development, support and increasing the degree of individual autonomy and career flexibility. Raising the profile of the human resources function was also thought to be important.

- 3.22 According to the Hay Group, the most effective companies emphasise leadership development as a key function of senior leaders, echoing Fullan (2003) in the view that leaders should be measured on the number of new and aspiring leaders that they help to progress: 'leadership is not a HR issue. The 20 Best Companies for Leaders make leadership a priority at every level of the organisation. Leaders in these organisations don't just advocate leadership development; what really sets the best apart is that the CEO and senior leaders in these organisations literally roll up their sleeves and take an active, personal role in developing the leaders of the future' (Hay Group, 2006).
- 3.23 Ensuring that organisations have sufficient numbers of people with the appropriate skills set means that succession planning is now a high priority for some of the private sector organisations who participated in this study. This is manifested in talent spotting of young entrants and monitoring of those in senior positions. Respondents indicated that rigorous scientific selection procedures, diversity of leadership candidates' experience (often across a number of sectors) and measuring both performance and potential were growing in significance as the basis for recruiting and retaining key staff members. At the same time, performance management data collection frameworks are becoming more sophisticated.

'Senior leaders in the private sector are now identified and recruited in a much more scientific and rigorous way'. (Private sector interview)

'We firmly believe that leaders should have had experience of operating in more than one division'. (Private sector interview)

- 3.24 Hargreaves & Fink (2006) contrast approaches to succession planning in the public and private sectors as outlined in the following table. They conceive succession planning in the public sector to be less strategic than in the private sector and regarded as more of a cost than an investment in the future.

Approaches to succession planning in the public sector and the private sector	
The public sector...	The private sector...
Passively lets candidates emerge	Actively recruits and encourages potential leaders
Focuses on the short term	Takes the long term view
Handles succession informally	Manages succession more formally
Seeks replacement for existing roles	Defines future leadership skills and aptitudes
Selects in relation to current competencies	Emphasises flexibility and lifelong learning
Views succession planning as a cost	Views succession planning as an asset

Source: Hargreaves, A. & Fink, D. (2006)

- 3.25 However, in PwC's latest *Business Insights* survey of 500 chief executives and financial directors on people management (2006), it was found that performance on these issues in the private sector was variable and that, contrary to best practice:
- Succession plans that do exist typically cover only the most senior executive roles;
  - More companies fill more senior executive roles externally than internally;
  - Current performance rather than future potential is the focus for identifying rising stars; and
  - The vast majority rely on standard performance appraisal systems.

- 3.26 Likewise, in other educational sectors, there was evidence from our consultation with FE stakeholders that involvement in CEL (Centre for Excellence in Leadership) programmes and activities is having an impact on succession planning in the FE sector, but there were mixed views on the extent of formal planning outside of this.

'In terms of succession planning, I don't think many institutions have engaged in it, but one might argue that the CEL programmes are nationally making a contribution in this respect'. (FE stakeholder)

'We have a definite policy about promoting from within, if we can. There is not a shortage of things that you can do'. (FE stakeholder)

### Diversity in senior leadership teams

- 3.27 Linked to succession planning and the development of future leaders is the issue of diversity in the workplace. The recruitment survey cited above (CIPD, 2006), listed the most frequent methods used to encourage equal opportunities and diversity in the workforce in general across a range of sectors. These are presented in the following table.

Equal opportunities and diversity recruitment (CIPD, 2006)	
Activity	%
Monitoring recruitment and/or staffing information	66
Training interviews on diversity and stereotyping	53
Operating policies beyond basic legal requirements	46
Advertising vacancies in different recruitment sources	41
Using specific words/images in recruitment advertising to appeal to a wider audience	39
Checking tests are valid, reliable, culture-free and tested on diverse groups	37
Providing recruitment documents in other formats (e.g. large print)	23
Setting recruitment targets	11

Source: CIPD, 2005

- 3.28 A survey specifically on diversity practice by the CIPD (2006) suggests that most employers are 'still focusing on legal compliance rather than using diversity to create business advantage', however there is some evidence that business case factors are emerging as key drivers for diversity in organisations. While legal pressures was given as the key driver (68%), other reasons given included 'to recruit and retain best talent (64%)', 'to be an employer of choice (62%)', 'it makes business sense (60%)' and 'because it is morally right'.
- 3.29 The following table illustrates the diversity activities in place in organisations responding to this survey, illustrating that most activities tended to be training-based rather than embedded in the organisational plan.

Diversity activities (CIPD, 2006)	
Activity	No. of respondents
Awareness training	187
Employee attitude surveys	176
Manager diversity training	153
Setting diversity objectives	86
Building diversity into business goals	84
Applying diversity standards	57
Diversity as part of the organisation's mission	53
Inclusion of diversity-related goals in managers' performance assessments	45
Recognising and rewarding diversity	14

Source: CIPD, 2005

- 3.30 Flexible working practices (including job-sharing, working from home, career breaks, flexible leave to cover religious holidays, and the provision of crèche facilities), the development of greater community links and evaluation of diversity policies through, for example, staff attitude surveys, can also improve diversity in the workforce (CBI, 2005).
- 3.31 There was a general view in the consultation with leaders in the FE and HE sectors that the lack of diversity of senior leadership teams in terms of gender and, particularly the ethnic minority background of leaders, was a greater problem in these sectors than in schools.

'The majority of governors in our sector are over 50, white males, so women are under-represented and black and minority ethnic people are under-represented as well'. (FE stakeholder interview)

- 3.32 However, leadership programmes with a focus on diversity have been developed in the FE sector.

'A programme has been developed for black and ethnic minority staff which is offered free of charge. This is a programme which gives them a taste of leadership opportunities, leadership work and what becoming a leader involves within the sector'. (FE stakeholder interview)

- 3.33 The Foster Review on the future role of further education colleges emphasised the need to develop and attract new leaders given the ageing profile of the FE workforce and to improve the diversity of the leadership group, given that less than 2% of principals in the sector come from black or ethnic minority backgrounds. In response to Foster's observations on the lack of diversity in the sector, the Government undertook to address the issue through a range of means, including the provision of coaching, mentoring and work-shadowing programmes tailored to the needs of under-represented groups, a review of the diversity of the workforce to ensure that the sector meets its legal obligations and actively promotes equality and diversity, and the inclusion of mandatory diversity competency modules in the sector's professional qualifications.

## Reward

- 3.34 There was a general view expressed by the private sector respondents that flexibility of reward packages is important. Private sector interviewees recognised the significance of personalised development and reward packages for retention of key leaders at risk of leaving their organisation. Flexible reward schemes can also have benefits for the employer organisation: 'these arrangements are far more prevalent among larger, private sector organisations where the administration and technology costs are more manageable. Given the potential for NIC and tax savings to both the employee and the organisation to be gained from these types of salary sacrifice arrangements, it is surprising that such schemes are not more widespread' (CIPD, 2006).

'Flexibility in reward packages is key to recruitment and retention of leaders'. (Private sector interview)

'The structure should be tailored to the needs of the individual providing, for example, sabbaticals'. (Private sector interview)

- 3.35 In a 2006 CIPD survey into reward management across the private, public and voluntary sectors, the key findings included the following:

- The most common approach to managing base pay is to use individual pay rates/ranges/spot rates and broad bands;
- For salary levels, market rates and job evaluation are used;
- Pay progression is managed with reference to individual performance and competency;
- The most common approach to the annual pay increase uses organisational performance and the rate of inflation;
- The most popular ways of linking organisational salaries to market rates is to use pay surveys and job adverts, typically aiming for the median level; and
- In the private sector, pay progression is usually to a target rate in the mid-point of a range, while in the public sector it is close to the upper end of the scale. The private sector is more prepared to allow people to progress above their target point and to appoint new recruits above it.

3.36 The most common benefits offered by organisations participating in the CIPD survey are presented in the following table. Some of these benefits will have more potential relevance for school leaders than others.

Top employee benefits (CIPD, 2006)	%
Contributory occupational pension	87
Occupational sick pay	83
25 days or more paid leave	81
On-site car parking	74
Tea/coffee/cold drinks	68
Christmas lunch/party	64
Life assurance	63
Car allowance	60
Private healthcare	60
Enhanced maternity leave	54
Relocation assistance	51

Source: CIPD, 2005

3.37 In its 2005 survey on reward management, the CIPD estimated that 34% of private sector organisations and 20% of public sector organisations have or are planning total reward packages. These tended to be larger, private sector organisations. It describes total reward as a reward strategy that brings together additional components such as learning and development, together with aspects of the working environment, into the benefits package (CIPD, 2006). Part of the impetus of this move towards a total rewards package is due to changing demographics which have resulted in a more diverse workforce with different expectations, needs and priorities. Perceived benefits of a total scheme were thought to be:

- Easier recruitment of better-quality staff;
- Reduced wastage from staff turnover;
- Better business performance; and
- Enhanced reputation of the organisation as an employer of choice.

3.38 Disadvantages included the complexity of introducing such a system as there is a lack of off-the-shelf total reward packages. As noted above, total reward schemes can assist in strategies to improve equal opportunities: a recent special edition of *The Times* newspaper listed the ways in which firms are flexing reward systems in order to attract more female candidates: 'forward thinking organisations are tailoring their reward schemes to the needs and profile of their staff: giving instant rewards; help with childcare; rewards at all levels; feminising the perks and providing proper career structures' (*The Times*, 4 October 2006).



- 3.39 In the public sector the biggest issue is pensions, as these are a very significant benefit in regard to total reward but their value is hard to define and subject to change.
- 3.40 Performance-related pay was not widely supported by either HE or FE respondents, for a number of different reasons, including the belief that making individuals feel valued is a motivating factor in itself. There was also the perception that individuals should not be rewarded twice for doing their job well.

'We pay people well but we don't have performance related pay... As long as people feel they are valued and that is recognised and celebrated, it is an incredible way of keeping hold of people'. (FE stakeholder)

'I have concerns regarding bonus schemes as these can skew organisational development and it is difficult to quantify or measure performance against bonuses'. (FE stakeholder)

## Conclusions

- 3.41 The examination of leadership in other public and private sectors has highlighted a number of key themes, including: an ever-changing landscape with an associated increased focus on accountability, value for money and good governance; evolutions in organisation design; the emergence of a new set of skills and behaviours required from leaders and ways in which these can be developed; recruitment, retention and succession planning; workforce diversity; and reward. All of these are of relevance to school leadership.
- 3.42 It is clear to us from this research that continual change is inevitable across all sectors. Whilst there may be a perception that private sector organisations may have more freedom to manage change, in reality, increasing regulatory pressures, scrutiny, and accountability to shareholders mean this freedom is also constrained. It follows, therefore, that leaders of the future in all sectors need to be adept in foreseeing and managing change. Furthermore, in this context, strong, effective governance arrangements have become increasingly important and it is significant that several sectors have addressed this issue by publishing new or revised codes of conduct for their governors. This reinforces the need for schools to have effective governance and well supported governors.
- 3.43 Our research has also identified new skill sets required from leaders of the future. In general, these reflect a focus on behaviour rather than knowledge and relate to softer skills such as relationship-building and team-working as well as attributes such as self-awareness and resilience, which are more difficult to develop through traditional leadership development programmes. Behaviours rather than technical expertise are therefore gaining in importance, and alongside this, is a focus on the development and empowerment of the workforce. These new skill sets mirror many of those we identified in the previous section as increasingly relevant to school leaders..
- 3.44 Our literature review has shown that the 'most admired' companies are characterised by the availability of more personalised programmes such as planned career assignments, individual coaching, and formal in-house training as opposed to off-the-shelf packages. This may have implications for the way in which school leaders are trained and developed in the future.
- 3.45 Recruitment methods in organisations in the public, private and voluntary sectors are becoming increasingly sophisticated, with the use of aptitude questionnaires, assessment centres and role-playing, while policies to improve retention are, in the main, tailored around improved development opportunities, though pay is also important. Once again, there are clear parallels with the school sector.

- 3.46 Succession planning is becoming increasingly significant and some organisations are using sophisticated information systems to develop new leaders. Key factors in successful succession planning are thought to include: a strategic approach; the active recruitment of potential leaders; the definition of future skills and aptitude needs; and flexibility and a commitment to lifelong learning. The best practice literature and the participants in the interviews emphasised the need to develop leaders internally, through early talent-spotting, access to a range of different career opportunities; and through distributing leadership opportunities.
- 3.47 Linked to succession planning is the issue of diversity in senior leadership teams. According to the CIPD, many private sector organisations recognise the value of increasing the talent pool through diversifying the workforce. The advertisement of new posts is often targeted in ways designed to attract the most diverse candidates, recruitment data is analysed and interviewers trained in diversity and stereotyping matters. Flexible benefits in terms of working arrangements, holidays and perks can also be used to attract a more diverse workforce. This leads us to conclude that schools too could benefit from seeking to widen the talent pool from which leaders are selected.
- 3.48 Reward packages in the private sector are moving towards the concept of total reward, which incorporates a range of flexible benefits. Private sector respondents viewed flexibility in reward and working arrangements as a key means of retaining leaders, while other sources noted the importance of flexible packages as a way of encouraging more diverse senior leadership teams, particularly in regard to gender. This merits further investigation of the extent to which similar packages could be extended into the school sector.

# 4 Models of school leadership

## Introduction

4.1 This report has described the ways in which the roles and responsibilities of school leaders are changing (including the key drivers for this and the new skills consequently required) and explored trends in leadership in the private sector. In this section of the report we consider existing, emerging and future models of school leadership. This section is structured as follows:

- Overview of existing and emerging school models;
- Effectiveness of school leadership models;
- Traditional leadership models;
- Managed leadership models;
- Multi-agency managed leadership models;
- Federated leadership models;
- System leadership models;
- Potential barriers to implementing new models; and
- Conclusions.

## Overview of existing and emerging school models

4.2 It is clear from the preceding sections that the nature of schooling in England and Wales is changing and, as a consequence, the roles and responsibilities of schools and the ways in which leadership is structured are also evolving. From our research, it is also evident that there is a high level of diversity in school models, not just in the way in which schools are organised internally but also in their partnerships with external organisations. Much of this diversity is driven by the specific contexts in which schools are operating.

'What is emerging is that within different contexts, there are different models. There are custom models, federating models, hard and soft models and different forms of leadership associated with those models. The managers for example are very different animals compared to where one might have come from before and not necessarily from the education sector'. (Stakeholder interview)

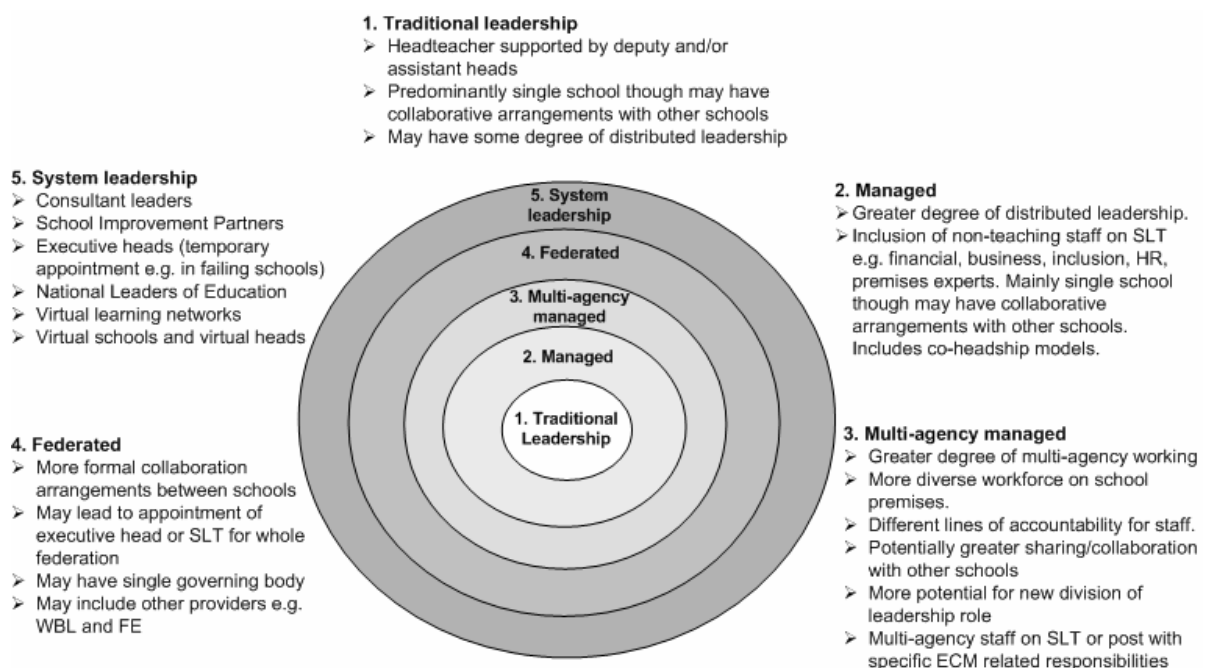
'There is a range of models for various school contexts where one can think more out of the box about who the leaders are, whether they are qualified teachers, bursars and so on'. (Stakeholder interview)

4.3 Notwithstanding the fact that models of school leadership are largely context dependent, a number of high level models can be discerned in the literature and our fieldwork research. These are as follows:

- Traditional leadership models;
- Managed leadership models;
- Multi-agency managed leadership models;
- Federated leadership models; and
- System leadership models.

- 4.4 Given this diversity, these model categories are necessarily broad and are not mutually exclusive: some schools may sit across the boundaries of each category such as those which are providing extended services through multi-agency working and sharing these across a federation of schools. Despite this, these models have been recognised and validated by many of the stakeholders consulted throughout the research.<sup>25</sup> Each has potential benefits and constraints for different school types and contexts, though it should be noted that learning-centred leadership should remain firmly at the heart of all models if they are to be effective.
- 4.5 Figure 4.1 describes some of the key characteristics of each model. A summary of the potential benefits and constraints of these models is provided at the end of each of the sections. Firstly, however, we consider the characteristics of effective school leadership which should underpin all existing or potential models.

**Figure 4.1: Models of school leadership**



## Effectiveness of school leadership models

- 4.6 In order to assess fully the effectiveness of specific models of school leadership, formal longitudinal evaluations of the impact of the models on educational outcomes will need to be conducted, taking into account factors such as: the nature of the pupil intake; the quality of teaching; the use of ICT and other resources; and the socio-economic context of the school.. It has not been possible to conduct such an approach within this study for two main reasons: firstly, many of the models, as will be discussed, are relatively new and more time is required to enable them to become more embedded, before a formal evaluation could be conducted. Secondly, given that any such evaluations would need to be longitudinal in nature (between three and five year's duration as a minimum), the timescale for the current study could not accommodate a longitudinal element.

<sup>25</sup> Organisational diagrams are provided for each model. However, it should be noted that these diagrams are illustrative only and that a variety of structures are likely to be found for each.

- 4.7 In order to begin to describe the effectiveness of school models, we have therefore employed a number of other less formal techniques. These have included: researching the characteristics of effective leadership from the literature; distilling effective features of leadership from the schools visited; utilising reports from Ofsted inspections on outstanding schools and other published evaluations of models such as federations<sup>26</sup>; and collecting views on effective leadership from the perspective of the school workforce in the schools we visited.
- 4.8 We do not claim that this analysis is a substitute for a full longitudinal analysis of different models using the formal approach outlined above - and indeed would recommend that different models should be subject to such evaluations as a matter of routine - but we do believe that our approach provides some insights into aspects of the effectiveness of different models and their applicability to different school settings. Our conclusions should therefore be seen as preliminary but informed.
- 4.9 It is clear to us that the effectiveness of each model of school leadership will depend on the local context of the school and the way in which the model is introduced. The culture and ethos of all individual partner schools in a proposed federation, will, for example, have a very strong impact on the effectiveness of the model in the future and this is inextricably linked to the quality of leadership in each school. However, our research has enabled us to distinguish the key characteristics of effective leadership which should underpin any new structure of school leadership and to identify the potential benefits of implementing these models as well as the possible constraints on achieving this effectively.
- 4.10 Leithwood et al. (2006), suggest that, from a review of the literature into effective school leadership, the following claims can be made about successful school leadership.

<b>Seven strong claims about successful school leadership</b>	
1. School leadership is second only to classroom teaching as an influence on pupil learning	<ul style="list-style-type: none"> <li>• Leadership acts as a catalyst without which other good things are unlikely to happen.</li> <li>• Focusing on leadership responsibilities impacts on pupil test scores.</li> <li>• The effects of transformational school leadership on pupil engagement are largely positive.</li> <li>• Unplanned headteacher succession is one of the most common sources of schools' failure to progress.</li> </ul>
2. Almost all successful leaders draw on the same basic repertoire of leadership practices	<ul style="list-style-type: none"> <li>• The central task of leadership is to help improve employee performance.</li> <li>• Leadership practices include: <ul style="list-style-type: none"> <li>➢ Building vision and setting direction;</li> <li>➢ Understanding and developing people;</li> <li>➢ Redesigning the organisation; and</li> <li>➢ Managing the teaching and learning programme.</li> </ul> </li> </ul>
3. The ways in which leaders apply these basic leadership practices, not the practices themselves, demonstrate responsiveness to the contexts in which they work	<ul style="list-style-type: none"> <li>• Flexing leadership practices over time is particularly important in school turnaround situations.</li> </ul>

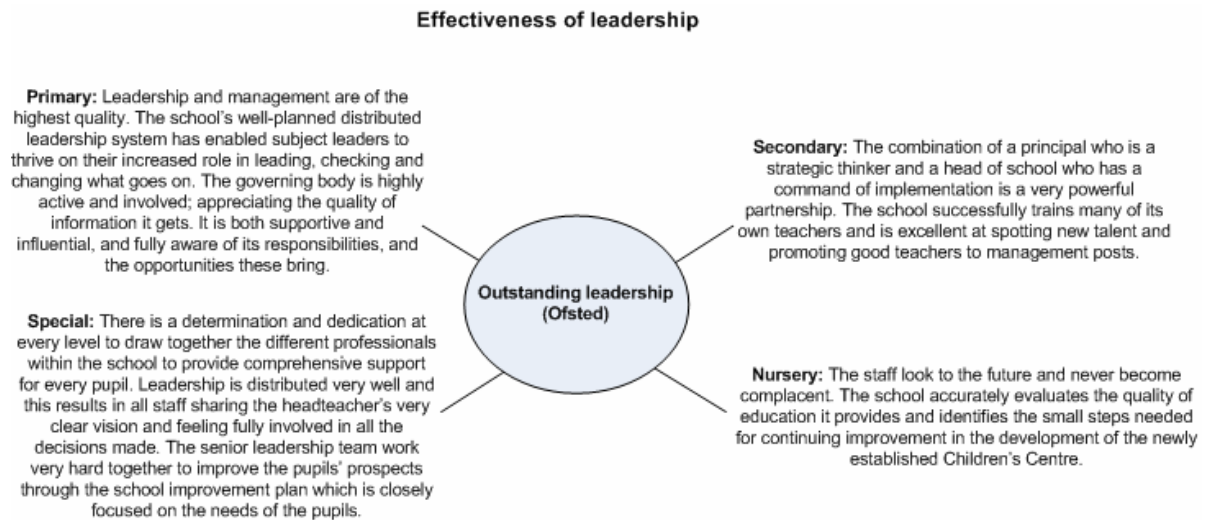
<sup>26</sup> Indeed many of these evaluations have, to date, focused on the conditions which impact on the success or otherwise of the introduction of new models rather than their impact on educational outcomes.

Seven strong claims about successful school leadership	
4. School leaders improve teaching and learning indirectly through their influence on staff motivation, commitment and working conditions	<ul style="list-style-type: none"> <li>• School leaders have quite strong, positive influences on staff members' motivations and commitment.</li> <li>• Teachers' beliefs about their capacity to implement change make the largest direct contribution to altered classroom practice.</li> <li>• Emotional understanding has a key role in successful leadership.</li> </ul>
5. School leadership has a greater influence on schools and students when it is widely distributed	<ul style="list-style-type: none"> <li>• 'Total leadership' e.g. all leadership in the school, accounts for a higher proportion of explained variation in student achievement across schools than is typically reported in studies of individual headteacher effects.</li> </ul>
6. Some patterns of distribution are more effective than others	<ul style="list-style-type: none"> <li>• There are relationships between the use of different patterns of school leadership distribution and levels of value-added student achievement.</li> </ul>
7. A small handful of personal traits explain a high proportion of the variation in leadership effectiveness	<ul style="list-style-type: none"> <li>• There is evidence that the most successful school leaders are open-minded and ready to learn from others. They are flexible rather than dogmatic in their thinking within a system of core values, persistent (e.g. in pursuit of high expectations of staff motivation, commitment, learning and achievement for all), resilient and optimistic.</li> </ul>

- 4.11 These seven strong claims state that without effective leadership, systematic improvements in standards are unlikely to be achieved and that therefore leadership is at the heart of effective teaching and learning. In this context, the central task of school leadership is to improve and support staff performance. This should be based on a strong strategic vision, the creation of a collaborative working environment, and a clear focus on teaching and learning with the headteacher as the role model for the school. While there are effective leadership practices that are required across all models, leaders must also respond flexibly to the context in which they work. This underscores the need, as discussed in *Section 3* of this report, for the strategic perspective and an ability to 'scan the horizon' in order to anticipate future challenges.
- 4.12 Throughout this report, we have noted the increasing importance of emotional intelligence and it is evident that, in the most effective models, leaders are able to inspire and motivate the workforce in order to build capacity and drive improvement through the school. Linked to this, effective models are those in which leadership is distributed appropriately at all levels of the organisation, there are clear channels of communication, and staff feel that their role and opinions are valued and respected.
- 4.13 Evidence from Ofsted reflects the importance of these features. For example, in four schools selected at random from those which have been rated, overall, as 'outstanding' three times by inspectors, the leadership and management team scored particularly highly. The main elements of highly effective leadership singled out include:
- Innovative approaches to leadership to protect the 'strategic space';
  - Well-developed succession planning;
  - Carefully designed structures and distributed leadership;
  - Well-informed and active governing bodies;
  - Accurate and on-going self-evaluation;
  - A holistic approach to managing diverse workforces; and
  - A clear vision based on pupil need.

4.14 These characteristics are illustrated in Figure 4.2 with extracts from the relevant Ofsted reports on these schools in the primary, secondary, nursery and special schools.

**Figure 4.2: Effectiveness of leadership**



4.15 The findings from the qualitative phases of our research strongly support these perspectives on effective leadership. The support staff and teachers who participated in our school visits and focus groups described the characteristics of effective leadership as encompassing a supportive culture with professional development opportunities and excellent performance management arrangements. The visibility of the head was also viewed as highly important. These characteristics of effective leadership are summarised in the following table.

Characteristics of effective leaders	
For support staff, effective leaders...	For teachers, effective leaders...
Recognise and value the work of others	Are visible and approachable
Communicate fully and effectively with all staff	Are supportive
Define roles and responsibilities clearly	Have an in-depth knowledge of the school and of the wider community
Provide development opportunities	Are interested in wider issues rather than just results
Adopt an open, consultative approach	Understand classroom practice
Are visible	Are non-hierarchical and consultative
Have a constructive approach to performance management	Distribute leadership effectively
Act and feedback on concerns raised	Act and feedback on concerns raised

Source: PwC school leadership focus groups, 2006

4.16 The following comments from some of the teachers and support staff we spoke to during our visits to schools underline the fact that these characteristics are crucial across all school types and contexts.



'Heads the school in a very hands-on way and knows what he's doing - he is a very strong leader. Other SLT members have distinct roles so I know who to go to, which is very important. There is a fantastic structure in this school - very hands-on, helpful, and supportive and giving of advice'. (Class-based teacher, large urban secondary)

'I get excellent feedback on how I am doing as a teacher from both the head and deputy heads. They keep asking you whether you want to progress. I will stay here because the school will allow me to develop as and when I am ready'. (Class-based teacher, large urban secondary)

'Our head is very innovative, committed and dynamic; previously the head was very traditional and laid back. The type of senior leadership team in a school is largely a result of the personality of the actual head and the culture that the head instils throughout the organisation of the school. The head recognises the role of teaching assistants in supporting the school and the Government policies and encourages us to get involved in professional development activities'. (Teaching assistant, medium-sized urban primary)

'Leadership in this school has vastly improved since the last headteacher left. The new headteacher has a more relaxed style of leadership, is very calm and approachable. Learning and support assistants feel valued and appreciated'. (Learning and support assistant, large rural secondary)

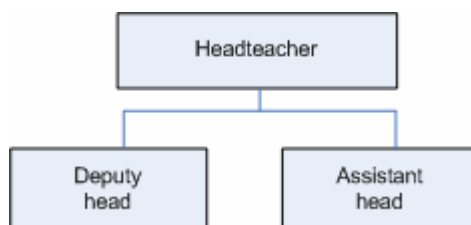
4.17 These characteristics of effective leadership should be taken into consideration in the discussion and analysis of current, emerging and new models of school leadership in the remainder of this section as these features should underpin all successful models of future school leadership.

4.18 The sections which follow describe these models in further detail and present an analysis of the potential benefits of, and constraints on, implementing each.

### Traditional leadership models

4.19 Traditional models are focused primarily on teaching and learning in a single institution. The leadership team is comprised exclusively of members of staff with Qualified Teacher Status and might include deputy and assistant heads as well as heads of Key Stage. There may be differing degrees of distributed leadership and levels of co-operation and collaboration with other schools.

**Figure 4.3: Traditional leadership model**



4.20 This model is likely to predominate in the primary sector especially in smaller schools. It was also common in the structures discussed by participants in the focus groups and in the fieldwork, and typically involves a headteacher, one or two deputies and several assistant heads, with smaller schools tending to have one deputy headteacher working alongside the head. As discussed previously, in our survey, 71% of heads reported that they had no senior support staff on the senior leadership team. Almost four fifths (79%) of primaries had no senior support staff compared to 40% of secondaries and 41% of special schools.

- 4.21 This is reflected in the comments of several respondents who thought that, in the main, there had been few changes to models in schools despite the changing educational landscape.

'The models of school leadership by and large remain traditional models of school leadership and that puts the pressure on in that the heads have simply embraced more things in the role'. (Stakeholder respondent)

'We've swapped things around bit, given people different titles, but I don't think it's dramatically different'. (Teacher focus group respondent)

- 4.22 In this model, there is a clear focus on the standards agenda and leaders may, although not necessarily, retain substantial teaching commitments (with potential implications for their ability to manage their work-life balance).

'All of the leadership team teaches. The head always takes the borderline C/D kids. He says "I'm the guy who has to get them through", and he does because he's an excellent teacher. Now the problem is that he's a workaholic. He works seven days a week because not only does he teach, but he also involves himself in the school, and he does the chief executive role'. (Teacher focus group respondent)

- 4.23 This model, while historically appropriate for many schools, may potentially lead to tensions as school leaders and the wider workforce attempt to meet new demands, including balancing the standards and inclusion agendas.

'Creating the right environment and thereby making it the best school for exam results. There is a balance between running the school and collaborating with other schools'. (Member of a PTA, large urban secondary school)

'We aspire to be a high achieving and inclusive school. That's the challenge, high achieving and inclusive don't always sit side-by-side together'. (Headteacher, large rural secondary)

- 4.24 Furthermore, while this model is found across all school types, it is also apparent from our research that headteachers in specific school contexts experience particular challenges. For example, heads in primary schools and smaller schools in rural areas must comply with the same accountability and legal requirements (such as employment or health and safety law for example) with fewer resources than their counterparts in larger schools.<sup>27</sup> Some leaders, especially in rural schools and/or smaller schools, spend a relatively high proportion of their time either teaching timetabled classes or covering for colleagues compared to other schools. These factors are likely to exacerbate the burdens on school leaders and impact on the effectiveness of such schools in the future.

- 4.25 Surprisingly, in our survey, 20% of primaries and 9% of secondaries reported that they had no collaborative arrangements with other schools. While there are many examples of successful traditional schools at present, in the future, as the ECM and 14-19 agendas become increasingly embedded in the educational landscape, it is very likely that the traditional model will become increasingly unsustainable for all sectors unless the school has gone through the workforce remodelling process in full and developed new collaborative arrangements with other schools and organisations. In the secondary sector specifically it is evident that no single institution can provide the full 14-19 diploma entitlement so collaborative working will not be an option but a necessity. Indeed, new ways of working (driven by views that traditional models are unsustainable) were a key theme of the responses to the open-ended question on the future of school leadership in our survey.

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<sup>27</sup> Though it should be noted that some primaries are similar in size to some secondary schools.

'The headteacher model has long been redundant and there is a need to think more creatively about it'. (Headteacher survey)

'I think we are at a point where it has got to look different. I feel that we are working towards a more flexible model of a working day with staff coming in to teach in shifts with different groups on academic and non-academic staff working together'. (Headteacher survey)

'The current models of leadership are unsustainable'. (Headteacher survey)

'We need to look at alternative leaderships - shared or new ways'. (Senior leader survey)

4.26 The following table presents some of the main potential benefits and constraints associated with the traditional model that we have identified in the course of this research.

Potential benefits	Potential constraints
<ul style="list-style-type: none"> <li>• Simple structure</li> <li>• Clear focus on teaching and learning</li> <li>• Clear lines of accountability</li> <li>• Parental/community satisfaction (e.g. single point leadership)</li> </ul>	<ul style="list-style-type: none"> <li>• Extreme accountability for head</li> <li>• May pose problems for recruitment and retention e.g. work-life balance</li> <li>• Inflexibility in the face of change</li> <li>• May struggle to adapt to modern initiatives and policies</li> <li>• Potential excessive workload for headteacher</li> <li>• SLT may not have access to skills required in new environment</li> <li>• Reduced time for strategic as opposed to operational leadership</li> <li>• Potential sense of isolation for the headteacher</li> </ul>

### Managed leadership models

4.27 In the managed model, there is a more diverse senior leadership team with consequently a greater degree of distributed leadership.<sup>28</sup> Senior support members of the leadership team could include bursars or financial directors, human resources specialists or premises managers, bringing specialist technical knowledge and experience to the team. This model is likely to be more preponderant in the secondary sector. In our survey, nearly half of secondary heads (46%) stated that they had one senior support staff member on the leadership team and a further 8% had two senior support staff members. In contrast, 13% of primary schools had a support staff member on the leadership team and only 2% had two. The main tasks undertaken by these leaders are outlined in *Section 2* of this report.

<sup>28</sup> As noted in *Section 2* of this report, there is evidence to suggest that leadership teams in some schools are becoming more diverse.

'There has been an enormous shake up in many schools. In order to remove barriers to learning, we've seen a whole wealth of new roles and responsibilities come out... All of those have made a significant contribution to how a school functions, challenging traditional models'. (Local authority respondent)

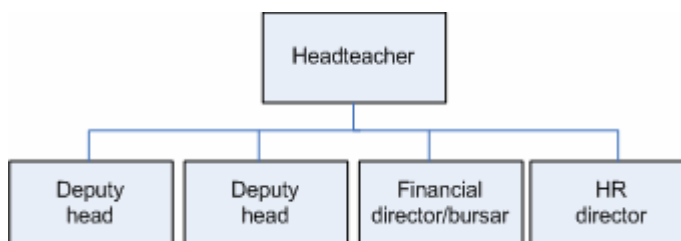
'We have a business manager who is in charge of a £6 million budget. She is part of the decision-making of the school management team'. (Headteacher, large urban secondary)

'My role has evolved. I have taken on health and safety, I have taken on the support network... I have taken on buildings and that's a big task because the school is expanding'. (School manager, large rural secondary)

'We have a personnel manager which is unusual for the school'. (Headteacher)

4.28 In addition to senior support staff such as bursars, office managers and extended school managers, headteachers reported that their leadership team included posts with titles such as Children's Centre managers, school development managers; behavioural professionals and family liaison and welfare officers. Special Education Needs Co-ordinators were represented on the leadership teams of 16% of the schools in our survey.

**Figure 4.4: Managed leadership model**



4.29 Case Study 1 highlights some key features of this type of model and demonstrates the benefits of greater distribution of leadership, including workforce motivation and more opportunities for succession planning within the institution.

### Case Study 1: Distributed leadership/increased role for support staff

A secondary school with a total pupil enrolment of more than 800 pupils. There are a total of ten members of the senior leadership team, which includes one non-teaching member of staff.

The 'diverse and diluted' leadership in this large rural comprehensive school has resulted in a 'happy and cohesive' staff. The role of the leadership team in the school is to create teams, to ensure that everyone is moving in the same direction, and to delegate responsibility. The head's philosophy on leadership is as follows:

'I view everyone as a leader... the whole school vision is communicated clearly to all... We have a round table approach for the senior leadership team, which also includes non-teaching members of staff and the bursar... It is about releasing talent that exists in schools, not parachuting new talent in from outside'.

For the head, the most pleasing aspect of a recent Ofsted report is that the school was considered "exceptional" at developing middle managers:

'Leadership and management of the school are outstanding. The headteacher's clear vision is shared by the leadership team and all staff... Management responsibilities are delegated to staff: this has led to a solid, highly motivated and effective leadership team who work very well together to raise standards'. (Ofsted, 2005).

In addition, the school was well ahead of government policy in proactively pursuing a greater role for support staff:

'Support staff here have long taken on roles previously done by teachers, including co-ordinating cover, and exam invigilation. It's about finding the right person for the job. The school has been moving down this route for seven or eight years (since the current head came) so we were ahead of the Government on this'. (Deputy head)

- 4.30 A further example was provided by a participant in the support staff focus groups who described the changes to the senior leadership team as a result of Every Child Matters.

'As a result of Government policies our school has had a rethink. Now there is an ECM team with job titles changing to things like 'Achievement' and 'Attainment' on the senior leadership team'. (Support staff focus group participant)

- 4.31 However, despite workforce remodelling, some stakeholders queried the extent to which senior leadership teams are becoming more diverse, particularly in regard to the full integration of senior support staff in leadership teams.

'I can't get a clear picture on whether these groups are being utilised, whether at worst, there is someone doing admin and clerical tasks, rolled up a bit to become a schools manager, or whether they are fully integrated into the school's leadership. The impression you get from heads is that they are not'. (Stakeholder interview)

### Co-headship models

- 4.32 Co-headship arrangements are a distinct subset of the managed model. In this structure, the responsibilities of a headteacher can be split between two or more people in a variety of ways. In a NCSL 2006 report on emerging models of shared headship, it was estimated that, at present, there are 32 co-headships in England (across nine secondary and 23 primaries). The arrangements are very varied but the two main models which have emerged are:

- Job-share (with potentially differing splits e.g. hours worked as heads are not always 50:50); and
- Joint-headship or dual headship (which could take the form, for example, of a head of administration sharing with a head of teaching and learning).<sup>29</sup>

4.33 Glatter & Harvey (2006) note that there is a wide variety of co-headship arrangements in place but identify a number of common features in the literature, stating for example, that these partnerships are:

- Entered into at least partly for philosophical reasons (collaborative working and shared decision-making being regarded as values in themselves);
- Based on existing job-share teams, for example as deputies or in other posts of responsibility;
- Established at least in part in order to retain a leader in the school (either a head wanting a reduction in hours or a deputy who would have left to gain promotion); and
- Aimed at providing job enrichment (with co-heads pursuing wider work in education when they are not contributing to headship).

4.34 This type of model may therefore provide an opportunity to encourage greater diversity in the senior leadership team by introducing more flexible ways of working for, for example, women with young families who would like to progress to headship. It may also assist in succession planning, easing the burden on older heads, and freeing up time for experienced heads to take on wider system leadership roles. According to the NCSL (2006), heads cite the emergence of this phenomenon as a response to 'a recognition that the requirements of headship are so complex that two people are better able to offer the appropriate skills, knowledge and expertise to fulfil the demands of the role'. In addition, these arrangements were thought to offer schools 'greater flexibility to arrange their leadership patterns and develop creative solutions to problems'. One local authority respondent we interviewed was very positive about the merits of a co-headship that had been established in his area, listing a number of benefits.

'Co-headship has been able to sustain the quality of leadership, it has stabilised the school, it's built up a new management structure, and it has completely restructured jobs. We believe that one person would not have been able to do that within the timeframe... The feedback from the executive board has been very positive... Why would you have a shared headship? Because you can reduce stress, increase the capacity and the resilience, and you can have a variety of models'. (Local authority interview)

4.35 In the fieldwork phase of this research, visits were made to several co-headships schools. Case Study 2, based on one of these visits, illustrates several benefits of this model, including the retention of senior leaders, shared workloads, leadership development, and mutual support.

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<sup>29</sup> Note that at present there are no legal arrangements to support the concept of dual headship.

### Case Study 2: Co-headship

A small rural primary school with an enrolment of over 100 pupils. The senior leadership team is comprised of two headteachers and no other members of staff have a TLR.

In this school, the decision taken to 'share' the headship has proved to be the right one for the governing body, the headteachers, the staff, and the school. The co-headship was introduced as a result of the desire by the incumbent head to reduce hours worked following a period of absence, during which time the deputy had been acting head. The head and the deputy presented the idea of a joint leadership to the governors who, not wanting to lose either individual, took the decision to retain both as co-heads.

'The joint leadership is a good model... With the workforce reforms, we were able to create a model comprising a shared deputy and shared headship'. (Governor)

One head works 2.5 days as a head and 2 days as a deputy and the other head works 2.5 days as a head and 2.5 days as a deputy. The headteachers are performance managed by an external consultant who drafts targets for the incoming year. Both heads agree that they enjoy the challenge which accompanies being a head, but highlight the importance they place on maintaining their teaching responsibilities. In addition the support which comes from having someone to work alongside is a key advantage of this model of headship.

'Many talented teachers do not want to leave the classroom. I would loathe losing my classroom duties, which I am able to retain by virtue of being co-head in a small school. Under the co-headship model we provide mutual support and mentoring to each other... this is one of the best things about shared headship'. (Co-head)

The two headteachers enjoy the support of staff who are also happy with the arrangement:

'They have both different personalities and strengths and we get a balance... working with them is one of the reasons I have stayed'. (Member of staff)

The leadership model is also working well for the school as a whole:

'The two joint headteachers work exceedingly well together to set a clear sense of direction for the school and promote high standards. They give outstanding commitment and dedication to the benefit of the pupils, staff and parents'. (Ofsted Inspection Report, 2005)

- 4.36 There have been a number of international studies on the effectiveness of shared leadership. Grubb & Flessner (2006) examined how leaders in ten different schools in Canada implemented a range of different leadership models including co-headships. These models were a response to an increasing shortage of suitable candidates for headship and to attempts to reduce the workload. The results were mixed: where schools and local authorities were actively involved in the decision making associated with the implementation of co-headship, the results were positive. Where alternative models were imposed without school-level input, the schools did less well. This is consistent with Glatter & Harvey's observation (2006) that this model is dependent on the personal relationship between the two heads involved.
- 4.37 When asked for their views on the future of school leadership, many respondents spontaneously mentioned shared leadership as a means of making the role of headteacher more 'doable'. In some cases, this was related explicitly to the extended services agenda, whilst in others, headteachers seemed to link this approach to a more business-like approach with a clear division of responsibilities. At times, this was linked with a move towards a 'Chief Operating Officer' model.



'We believe co-headship will become more popular and would be delighted to work with you, or others, to develop the concept'. (Headteacher survey)

'There is a need to develop models of co-leadership'. (Headteacher survey)

'Maybe the idea of two heads working together so, when I leave, not all skills and expertise are lost in one go'. (Headteacher survey)

'I think the shared leadership is the appropriate model for the future in order to manage the workload that will come with extended services'. (Headteacher survey)

'Clearly two leaders are needed to work in conjunction with community cluster schools or within networks in each primary school: one leader to focus on school management issues and development of staff expertise and one to focus on the finance management etc'. (Headteacher survey)

'I believe that, particularly for women, future headteachers (especially in secondary schools), should share the roles and responsibilities. That way the leadership would be more enthusiastic, innovative and full of vigour'. (Senior leader survey)

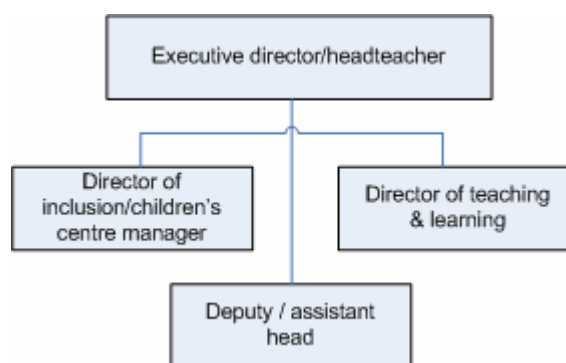
4.38 The following table provides some of the potential benefits of, and constraints on, implementing the managed model.

Potential benefits	Potential constraints
<ul style="list-style-type: none"> <li>• Increased capacity</li> <li>• Access to new skills</li> <li>• Assists in developing future leaders, particularly middle leaders</li> <li>• May increase resilience and reduce stress</li> <li>• More flexible</li> <li>• Potential to disseminate a more democratic ethos throughout the school</li> <li>• Head may feel less isolated</li> <li>• May improve motivation in workforce</li> <li>• Potential for improved communication</li> <li>• Co-headship may enable more flexible working for women or for heads nearing retirement</li> <li>• Co-headship may reduce workloads through the division of leadership functions</li> <li>• Co-headship may provide opportunities for greater contribution to system leadership</li> <li>• Co-headship may reduce isolation on heads and bring complementary skills</li> </ul>	<ul style="list-style-type: none"> <li>• Existing contractual arrangements for senior support staff</li> <li>• Lack of resources to expand leadership team</li> <li>• Legal implications</li> <li>• Governing body/local authority/parental opposition</li> <li>• May require a culture change in some schools</li> <li>• For co-headships, dependent on personal relationships between two heads</li> <li>• Conservatism in the sector</li> </ul>

## Multi-agency managed leadership models

- 4.39 In the multi-agency managed model, the school is characterised by a greater degree of multi-agency working and a more diverse workforce based on the school premises, including greater professional diversity in the senior leadership team and, potentially, the governing body. This model is very much an extension of the managed model described previously and can be considered a variant rather than a completely separate model. Indeed as the extended services agenda becomes more embedded in schools we might expect many managed schools of all types to increasingly come to resemble the multi-agency model described here.
- 4.40 This model can also include a high degree of sharing of resources and collaboration with other schools, dependent on the services on offer.<sup>30</sup> This is a 'within' school model: the ways in which schools may collaborate to provide multi-agency services are discussed in further detail under the 'federated model'. Primaries for example are more likely to provide access to these services in conjunction with other schools. Figure 4.5 illustrates some of the posts that might be present in such a model though it should be noted that this is for illustrative purposes only and is not necessarily representative of any model encountered during the fieldwork phase of the research.

**Figure 4.5: Multi-agency managed leadership model**



- 4.41 Key aspects of this model include the potential different lines of accountability for staff, and different management boards for services (e.g. if there is a Children's Centre on site this may have a separate management model). It also raises the issue of a potential new division of the leadership role, for example, between a chief executive and a lead practitioner (along the lines of the NHS model), which will be addressed in greater detail later in this report. In this model, members of staff from other agencies or services from health or social services could sit either on the senior leadership team or the governing body of the school.

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<sup>30</sup> In June 2005, the Extended Schools Prospectus set out a core offer of services that all children should be able to access through schools by 2010. The core offer includes access to: a menu of study support activities such as homework clubs; high-quality childcare provided on the school site or through local providers, available 8am-6pm all year round for primary schools, parenting support, such as family learning sessions; swift and easy referral to a wide range of specialist support services such as speech therapy, child and adolescent mental health services, family support services, intensive behaviour support and sexual health services; and ICT, sports/arts facilities and adult learning for the wider community. In this context, as of September 2006, 3,000 schools provide access to extended services. By 2010, all schools will offer access to a core of extended services with some schools becoming full-service extended schools. In addition, by 2010, there will be 3,500 Children's Centres, serving all communities in England.

- 4.42 Relationships with internal and external stakeholders become increasingly important as the school site develops a greater community focus, and parents, young people and others become increasingly involved in the development of services: 'extended schools today are engaged in a greater range of tasks and embroiled in a large and growing number of relationships. Many of these relationships, especially those with communities and community organisations are qualitatively different from those to which schools have become accustomed... This is a new perspective on school leadership (Demos, 2005).
- 4.43 It is important to emphasise however that there is no single multi-agency managed model, and that this model relates more to the model of leadership rather than the services provided. Potential alternative forms of the multi-agency managed model could, however, include:
- A headteacher with overall responsibility for both the school and extended services/Children's Centre with a dedicated senior leader in charge of extended services/centre;
  - A headteacher and extended services/Children's Centre manager working as peers responsible for the parts of the site relevant to them;
  - A senior leader managing the provision of services or a Children's Centre for his or her home school and across the local area<sup>31</sup>; and
  - Either a qualified teacher leader or a leader without Qualified Teacher Status responsible for the overall site, with a director of teaching and learning in the school and a director appointed to manage the services or Children's Centre.
- 4.44 Our survey data also provides a useful insight into the ways in which extended services are being delivered on the ground. In the survey, almost three quarters of heads (72%) reported that they offered some extended services, while 7% offered the full core offer. There was no real difference between the level of offer provided by primary and secondary schools, however nursery schools were much more likely to state that they provided full core services (23%).
- 4.45 It should be remembered, however, that, according to the primary and nursery headteachers in our survey, it is primarily the head that has retained responsibility for these services - so for the purposes of this research these arrangements would not be defined as a true multi-agency managed model. Alternative arrangements for primary and smaller schools in general could include sharing management responsibility for these services across a number of schools and these are discussed further in the consideration of the federated model in the following section of this report.
- 4.46 The following case studies illustrate some of the multi-agency managed models which we encountered in the school visits. The first describes the benefits of this approach in a nursery setting, which include easing the transition of young children between phases and ease of access to a range of support services for families.

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<sup>31</sup> This is moving towards the federated or collaborative model described subsequently.

### Case Study 3: A pioneer in multi-agency collaboration

This is a nursery school with a total enrolment of around 100 pupils. The senior leadership team comprises a headteacher, deputy head, nursery nurse co-ordinator and a programme manager.

The nursery is situated in an area with significant pockets of social deprivation and is at the forefront of the government's strategy to integrate early years' education, healthcare and family support. The Nursery School and Children's Centre operate in a new purpose-built centre in the middle of a housing estate, and is seen as a 'service hub' within the local community. In 2005, the headteacher was successful in a bid to participate in the *Next Practice in System Leadership* field trials.

As part of the core services the Centre provides early years' education and child care from 8am to 6pm for children aged from six months. The Centre also offers a full range of other services, including a childminder network; parent and toddler groups, a toy library, and parenting programmes. In addition, the Centre provides access to a range of other services, including health services, training and support, and adult education. The headteacher is clear about the benefits of '*Next Practice in System Leadership*':

'It is about working in conjunction with children and families to meet their needs. Children and families are at the centre of everything we do – we like to say "yes" '.

The need to develop an effective leadership and governance structure to enable the Nursery School and Children's Centre to manage the school provision, and the wider element of multi-agency working, was identified early on. It was thought that involvement in the field trial would support the Nursery School and Children's Centre in reshaping its governing structure; retaining an overall responsibility for leading activities on-site (including maintained nursery education for children aged 3-5, childcare for children aged 0-3, extended care, childminding networks and Families Aloud programmes); and delegating resources to an alliance of key services providing an essential link to support integrated service delivery of the wider ECM agenda.

A Community Alliance, (which includes health and social services, police, local charities and other community representatives) has been created to achieve this.

The headteacher of the Nursery School will be responsible for the day-to-day running of on-site activities, in the school, particularly those linked to the quality of education. In addition, the headteacher would be the lead member of the Community Alliance and agree the use of resources delegated to the Alliance in liaison with key partners.

In July 2006 Ofsted reviewed the maintained nursery school provision and judged it to be 'outstanding'.

'The school is at the cutting edge of innovative practice as it juggles the demands of sustaining high quality education with those of its new and developing role as a children's centre. Even at this early stage, the impact of the leaders' vision and pioneering spirit can be seen in the seamless transition between under-threes provision and nursery education'. (Ofsted, July 2006)

- 4.47 In other examples, the focus has been on a holistic approach in response to identified social needs. In this case, while the head is evidently totally committed to extended services, he is supported in the delivery by an extended school manager, a community project manager and a housing manager amongst others. This has resulted in a more rapid response to the needs of pupils.

#### Case Study 4: Meeting the needs of the 'whole' child through the school

This is a primary school which has a pupil enrolment of fewer than 300. The senior leadership team comprises the headteacher; a deputy head; a head of early years; a head of KS1; head of KS2; three managers (e.g. manager of key skills); HLTA, and; an extended school manager.

The headteacher is seeking to ensure that the diverse needs of every child in the school are being met. The school is situated in a community with a wide range of social problems, including drugs, violence, deprivation and crime. Having witnessed the impact upon pupils, the head took steps to introduce a range of services that fully cater for their needs. According to the Community Project Manager in the school, the key to working with children from the community is early intervention and total care:

'Having access to an on-site psychologist, social worker, community support nurse, and child care co-ordinator has saved months of waiting to get the job done'.

The model is based on 'whole family support' and the services provided in school include: a community nurse, social worker, Homestart, childcare, health visitors, and a housing manager. The governors of the school recognise that without the commitment and enthusiasm of the headteacher the initiative would not work:

'The head is excellent, very enthusiastic, takes on all initiatives, has the child at heart, and knows everything that is going on with the school'. (Governor)

According to the headteacher, the role of the school leader is changing and will continue to change if schools are going to meet the needs of children, families and communities:

'We need to have a holistic not a fragmented approach to school... there will have to be a phenomenal change... headteachers will need to wear lots of different hats in order to manage the extended school'.

- 4.48 Throughout the course of this research, the expertise of special schools in regards to multi-agency working has been highlighted to the study team. The case study of a rural special school below illustrates the ways in which distributed leadership can aid the development of leaders for the future. It also emphasises the importance of communication, teamwork and self-reflection in successful models.

### Case Study 5: Teamwork and learning together

This school is a special school and has a total pupil enrolment of just under 50. The senior leadership team comprises the headteacher, a deputy head, three senior teachers and four care/treatment leaders.

The school, situated in a rural location, provides special help to children who have had very difficult early childhood experiences. Many of the children attending are often angry and confused, and the school seeks to provide them with a new chance to learn how to live and work with others.

The school provides a full range of integrated education and therapeutic services. Because of the integrated nature of the service provision, it is very important that there is a partnership approach and that everyone knows what is going on. The director of the school explains the importance the school places on nurturing a distributed approach to leadership:

'The education management team under the head of education shares responsibility for the running of the school day. So, if the head is out, others can take over. This means there is less focus on creating 'charismatic' leaders and more focus on growing and developing the staff. It is a 'trickle down' effect - leaders learning from each other'.

The most recent Ofsted inspection recognised the contribution teamwork has made to the overall success of the school:

'Exceptional teamwork is at the heart of the school's success and leaders from the education team, family team, therapeutic support, residential care and directorate form a cohesive body which provides a clear steer for all the school's work. Communication in this highly complex organisation is excellent. Staff are very well trained, in line with the needs of the establishment... This is a school that reflects exceptionally well on what it does and how it can do things better'. (Ofsted, 2004).

### Effectiveness of extended services

4.49 The case studies above provide qualitative examples of the benefits of multi-agency managed models in the fieldwork. While extended services will be provided through all school models, the multi-agency model illustrates a specific and well-developed response to the ECM agenda. The following paragraphs consider the likely benefits of extended services as perceived by headteachers. In the survey, heads were also asked to provide their views on extended services in general in terms of a range of measures, including pupil achievement, well-being, motivation, behaviour and transition from home to school. The findings from this question are summarised in the following table.

Effectiveness of extended services in terms of...	% stating quite or very effective			
	Primary	Secondary	Offer full extended services	Offer some extended services
Improving pupils' achievement	52	62	69	54
Improving pupils' well-being	79	85	89	80
Improving pupils' motivation	57	71	75	60
Improving pupils' behaviour	49	53	63	51
Creating an effective transition from home to school and assisting parents to go to work	76	56	92	70

Source: PwC school leadership survey, 2006

- 4.50 It is clear that heads are generally positive about the impact of extended services, particularly in terms of pupil well-being and creating an effective transition from home to school. Nursery school and special school heads were more positive than primary and secondary heads regarding the impact on pupil behaviours with three quarters (72% and 73% respectively) stating that these services are effective (compared to 49% of primary and 53% of secondary heads). However, there is also a clear difference between schools providing the full core offer of extended services and those providing some services. Those schools offering full extended services were considerably more positive about the effectiveness of the services across all factors listed. Indeed, the second year report on the full service extended school initiative found initial evidence to suggest improvements in student attainment and exclusion rates (Cummings et al. 2006). This reflects the fact that the standards and ECM agendas are inextricably linked.
- 4.51 We also spoke to several extended school cluster managers who have been appointed to support the initiative. They described the ways in which extended services are provided in their area and discussed the implications for school leadership. Extended school clusters are organised in a number of different ways and are at different stages of development. One respondent described the creation of a Local Delivery Group with representatives from a large number of schools and external organisations which had worked hard to achieve a shared understanding and appreciation of each other's aims and capacity and to establish a common language, while another had a less formal management structure. The extended school cluster managers identified a number of benefits and challenges of their developing structures in relation to the impact on school leaders. These are outlined in the following table.

Extended schools cluster managers	
Benefits	Challenges
<ul style="list-style-type: none"> <li>Increased capacity for schools</li> </ul>	<ul style="list-style-type: none"> <li>Different professional languages in multi-agency teams</li> </ul>
<ul style="list-style-type: none"> <li>Multi-agency working and opportunities for joint training (e.g. with police on anti-social behaviour)</li> </ul>	<ul style="list-style-type: none"> <li>Short-term funding coupled with difficulties in securing payment from parents for some services</li> </ul>
<ul style="list-style-type: none"> <li>Potential for joined-up targets across agencies</li> </ul>	<ul style="list-style-type: none"> <li>Lack of coterminous boundaries (e.g. between primary care trusts, police and housing)</li> </ul>
<ul style="list-style-type: none"> <li>Improved parental engagement</li> </ul>	<ul style="list-style-type: none"> <li>Expectations of immediate improvements in results</li> </ul>
	<ul style="list-style-type: none"> <li>Some heads are reluctant to change the ways in which they work</li> </ul>
	<ul style="list-style-type: none"> <li>Changes in personnel (i.e. turnover of heads)</li> </ul>
	<ul style="list-style-type: none"> <li>Differences in levels of administration and bureaucracy across partners</li> </ul>

Source: PwC school leadership stakeholder interviews, 2006

- 4.52 One manager noted that, with regular cluster meetings and forums, heads are away from the school site much more frequently and that careful timetabling of meetings was required to ensure that as many school leaders are available as possible. Alternatives included representation from another senior leader: the ability of the head to build an effective team was viewed, therefore, as a sign of an effective school.

'In the most successful schools, the head is able to delegate to a good, effective team or send along another member of the leadership team'. (Extended schools cluster manager interview)



- 4.53 According to cluster managers, the extended schools initiative has had an impact on the roles and responsibilities of the senior leadership team with schools appointing parent contacts and extended schools co-ordinators and SENCOs becoming inclusion managers. In one small primary school cited, the headteacher gave up all teaching commitments in order to focus on the extended schools agenda. In another area, prior experience of initiatives such as Education Action Zones, Excellence in Cities and Behaviour Improvement Partnerships, meant that heads were well used to working in partnership.
- 4.54 Some cluster managers thought that there was some variation in the extent to which heads had bought into the process. There are also differences in the reaction of governing bodies. The cluster managers thought that most are positive, however some are wary of the levels of work and other resources required from their school. In these cases, effective communication was viewed as essential.
- 4.55 Multi-agency working has implications for school leadership in a number of ways: firstly, and most importantly, school leaders will have responsibility for a much more diverse workforce on their school site. The level of this responsibility will vary, dependent on the terms of employment of the individual members of staff, however key areas where issues may arise include:
- Developing a common professional language;
  - Establishing lines of accountability for different groups of staff, linked to clear performance management arrangements; and
  - Negotiating and monitoring the delivery of services provided by private sector or other organisations.
- 4.56 The following table outlines some of the potential benefits and constraints associated with the multi-agency managed model identified in our research.

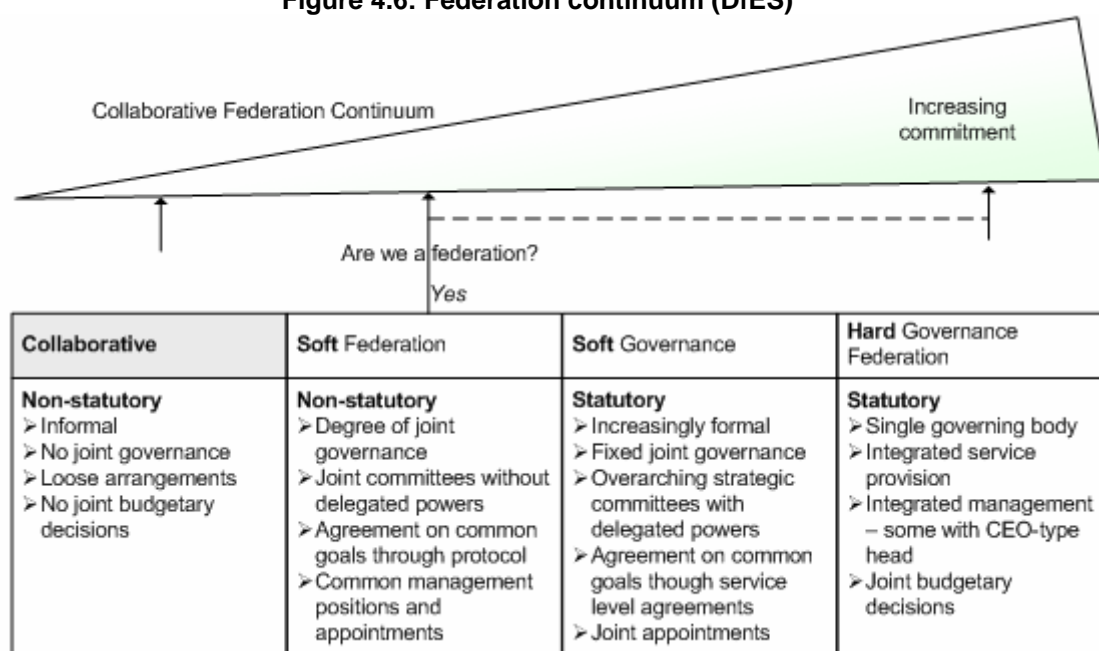
Potential benefits	Potential constraints
<ul style="list-style-type: none"> <li>• Assists in developing future leaders e.g. through increased inter-agency working</li> <li>• Potential to raise standards and achievement</li> <li>• Potential to improve attendance and well-being of students</li> <li>• Improved relationships and communication between different children's services</li> <li>• More rapid access to welfare and other services</li> <li>• Greater parental commitment to/involvement in the school</li> <li>• Improved relations with wider community and increased consultation in the locality</li> <li>• Creates an effective transition for children between home and work</li> <li>• Demonstrates empowerment through distributed leadership</li> </ul>	<ul style="list-style-type: none"> <li>• Unclear accountability issues</li> <li>• Confusion over roles</li> <li>• Financial/insurance issues</li> <li>• HR issues e.g. legal implications</li> <li>• Cultural and operational differences between multi-agency teams (e.g. professional terminology, different administrative requirements)</li> <li>• Sustainability of funding for specific initiatives</li> <li>• Availability of staff if some are working on multi-agency teams</li> <li>• Buildings management and premises management and negotiating access to the school site</li> <li>• May require a culture change in some schools</li> <li>• Training and development for entire school workforce</li> </ul>

## Federated leadership models

4.57 Federated models are characterised by varying degrees of collaboration between schools. With the introduction of the ECM and 14-19 agenda, it is clear that one school will not be able to deliver all services and curricular requirements alone. Indeed, these initiatives are driving the development of more consistent and formal collaborations between schools and other organisations. This section discusses examples of different degrees of inter-school or inter-institution relationships from hard federations to looser, more informal collaborations and the issues surrounding their implementation. It should however be noted that federated models do not necessarily preclude other models of leadership within the constituent schools.

4.58 There are a number of leadership models in federations<sup>32</sup>, dependent on the extent to which the schools within the federation are linked. DfES distinguishes between four stages on the federation continuum, illustrated in Figure 4.6, two of which have a statutory basis.

Figure 4.6: Federation continuum (DfES)

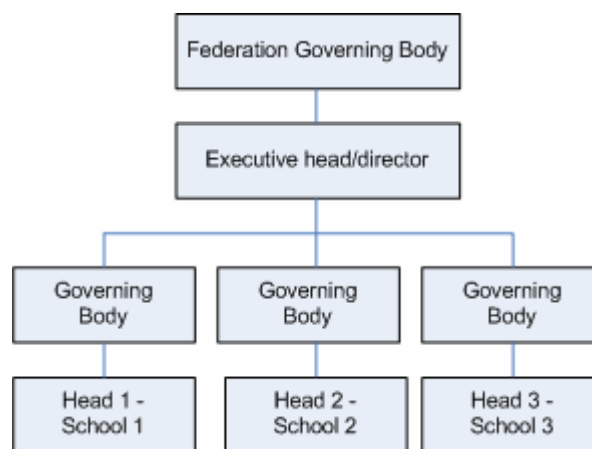


4.59 The following figures illustrate just some of the ways in which schools are beginning to link up as new models of leadership are emerging. In the first, for example, there is an executive head of the entire federation reporting to an overall governing body for a group of schools. Each school within the group retains a head and a governing body. This model may be appropriate in an urban setting where a number of schools could come together to provide new services and access more facilities, allowing the executive head to focus on the strategic issues with heads in each school responsible for the operational day-to-day business of the schools. Alternatively, in rural areas, where schools may be under threat of closure due to falling rolls, combining leadership functions may assist in keeping two schools open under the aegis of one headteacher if appropriate. This model may also (as with the multi-agency managed model) allow for the possibility of leaders who are not from teaching backgrounds to be shared within the system.

<sup>32</sup> Under the Education Act 2002, statutory federations can either be hard (with a single governing body across all schools) or soft, i.e. schools retain individual boards in addition to a federation-level committee with delegated powers. In some cases, federations may elect to appoint a single headteacher across a range of schools. In the non-statutory federations, there may either be a joint governance or strategic committee without delegated powers, or less structured again, an informal committee which addresses emerging issues on an ad hoc basis.

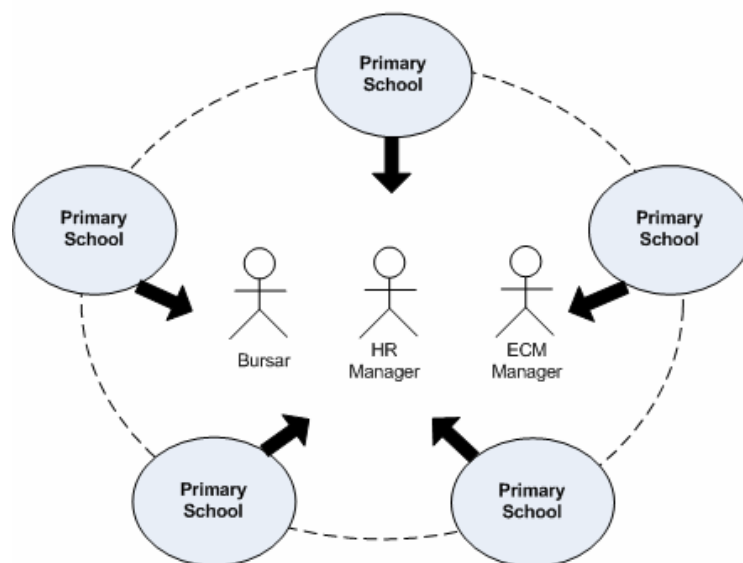
- 4.60 In the second interim report on the evaluation of federations (Lindsay et al. 2005), it was found that some federations have come about because one school within the group has been identified as particularly successful in terms of strong leadership: ‘our research to date confirms the importance of these headteachers, and their continuing success in the federation as well as their original school... unlike the model of introducing a ‘superhead’ into a school in considerable difficulties, the model being developed here is more collegial and has the ongoing support of the successful school... the executive head is able to build upon success and draw upon existing resources, not be a lone ‘hero innovator’ in a problematic environment’ (Lindsay et al. 2005).
- 4.61 Figures 4.7(a) illustrates a form of soft federation in which the individual schools have retained their governing bodies but there is a degree of joint governance. In hard governance federation arrangements there will be a single overall body.

**Figure 4.7(a): Federated leadership model (1)**



- 4.62 There are also more informal ways in which primaries or small schools could benefit from economies of scale by collaborating with each other more closely. Anecdotal evidence from stakeholders participating in this research has shown that there are benefits to sharing specialist staff (e.g. bursars, HR managers or ECM managers) across a number of schools. Figure 4.7(b) illustrates this subset of the federated model. It should also be noted that this approach can work for facilities as well as people: schools could come together to share access to IT suites or sports or arts facilities for example.

**Figure 4.7(b): Federated leadership model (2)**



- 4.63 For some respondents in our research, federations are a potential solution to creating more sustainable provision, especially in rural areas, or to provide all-through educational campuses. Several respondents thought that federation is the most viable option at primary level.

'Smaller schools and federations working together is certainly a good model to create more sustainable provision. This is always the problem because smaller schools may have some good ideas but can't really sustain it... You can't have everything in one school and maybe if you link up with a neighbouring school, which the kids can then use, that would be beneficial'. (Stakeholder interview)

'Many of the primary schools need a leadership team that is across a number of schools because most primary schools could not afford the size or variety of a leadership team that is needed'. (Stakeholder interview)

- 4.64 However, there were also mixed views in regard to the relative merits of 'hard' or 'soft' federation particularly in the primary sector, with some respondents querying the extent to which heads are ready to adopt new approaches.

'There are federations of schools but they are not sharing governing bodies, they are not sharing leadership teams... and we have had a lot of issues with small primary schools where headteachers have said, "I can't introduce this agenda because I don't have the funding", and when we have suggested, "you could have a bursar shared between five schools, you could have an excellent teacher shared between three schools, you could have your administrative tasks done by a senior administrator who could also do it in those schools", they immediately said, "but who manages them, who has the responsibility?"' (Stakeholder interview)

'[For primaries] this could mean there could be 'loose federations' rather than 'hard federations' - schools pooling resources in a network for a particular issue rather than with a formal executive head. Federation must have a purpose and not just be for the sake of it'. (Stakeholder consultation)

- 4.65 In the first and second interim evaluation reports on the federations programme (Lindsay et al. 2005), it was found that the main impetus to federate came from headteachers rather than LA officers, and was often viewed as a means of formalising existing collaborations. Strong leadership was viewed as key in developing the federation and, conversely, federation was perceived to have contributed to increased distributed leadership in schools and improved leadership development. The main objectives of federating were firstly to raise pupil achievement and secondly to achieve greater inclusion, both of pupils with special educational needs and in the wider sense of 'overcoming disaffection and exclusion in the broader area'. The first report of the evaluation found that nearly all heads anticipated that the impact of the federation on raising achievement and inclusion would be quite or very strong (96% and 91% respectively).
- 4.66 In the qualitative phase of the evaluation, Lindsay et al. state that the "defining characteristic [of federations] is the lack of uniformity", particularly in regard to leadership models. There are also variations in the role and title of the federation leader, varying in degrees from the managerial to the strategic, and influenced by both the federation model and the processes adopted. However, it concluded that federation contributed to more sustainable leadership and improved succession planning.
- 4.67 In the Netherlands, a number of different models of federation have emerged due to the high level of decentralisation in the system. Four fifths of Dutch primary schools share a board with at least one other school board. According to Eurydice, multi-school management, where the same group of persons manages several primary schools, focusing primarily on preparing and implementing cross-school policy, is becoming increasingly common: 'at least one head must be attached to each school to take care of educational, organisational and internal matters on behalf of the competent authority' (Eurydice, 2005). Dutch federations can have the following structures:
- Federations of schools with one board and a superintendent;
  - Federations of schools with one board, no superintendent and several principals or principals responsible for more than one school (supplemented by a "location leader" on each site); and
  - Federations with one board and no overall head.
- 4.68 In the secondary sector in the Netherlands, new forms of leadership have also emerged. Rather than a head and several deputies, for instance, the school management may consist of the head plus a number of "portfolio managers" with special responsibility for specific fields. Depending on the size of the school, the management team may also include one or more site heads who, as well as helping to shape policy, are responsible for implementing all aspects of policy at their own site (Eurydice, 2005).
- 4.69 The following table illustrates some of the advantages and disadvantages of heads having responsibility for more than one school, cited by heads in the Netherlands system. The main benefits included: more space for the strategic vision and greater distributed leadership while disadvantages included less contact with students and the workforce.

“More school” heads in the Netherlands	
Advantages	Disadvantages
<ul style="list-style-type: none"> <li>• More time to lead</li> </ul>	<ul style="list-style-type: none"> <li>• Initial tensions with staff concerns about losing the headteacher</li> </ul>
<ul style="list-style-type: none"> <li>• More preparation time with less fatigue</li> </ul>	<ul style="list-style-type: none"> <li>• Concerns about no longer teaching and losing contact with children</li> </ul>
<ul style="list-style-type: none"> <li>• Transferability of skills leading to a reduced workload</li> </ul>	<ul style="list-style-type: none"> <li>• Being more remote and experiencing a sense of decreasing influence in the classroom/school</li> </ul>
<ul style="list-style-type: none"> <li>• Detachment benefits, making it easier to deal with potential staffing problems</li> </ul>	<ul style="list-style-type: none"> <li>• Busy in both schools and potential to be “in the wrong place at the wrong time”</li> </ul>
<ul style="list-style-type: none"> <li>• Benefits to other staff through distributed leadership</li> </ul>	<ul style="list-style-type: none"> <li>• A need to adapt to different schools, cultures and issues, which may result in burn-out for the headteacher</li> </ul>
<ul style="list-style-type: none"> <li>• A sense of direction for some schools</li> </ul>	
<ul style="list-style-type: none"> <li>• Reduced costs and risk of redundancy as authority pays for one principal rather than two</li> </ul>	

Source: NSCL, 2006

- 4.70 The DfES Innovation Unit *Next Practice in System Leadership* initiative demonstrates a range of forms that federations can assume. The aim of the initiative is to “explore new ways of delivering education to improve standards and reflect the government’s desire to see schools extend their services to meet the needs not just of pupils, but of their local communities”.<sup>33</sup> Selected examples of new models of leadership, based on 16 *Next Practice* field trials which began in September 2006 are presented in the following table.

Examples of Next Practice field trials – new models of leadership
<p>The <b>3E federation</b> of six schools across England has a single Chief Executive with operational heads at each school site. The schools have made radical innovations in both curriculum and school organisation, which have raised standards significantly. The chain now intends to link up with and, in places, incorporate other schools who are working in challenging circumstances. The chain also intends to address the challenge of leadership succession in schools by helping middle school leaders develop their skills to be able to become system leaders.</p>
<p><b>Barnsley</b> is pioneering new governance models for full service and extended schools, which will actively engage the community in brokering local services. ‘Remaking Learning’ is a programme to transform lifelong learning across the whole of Barnsley and is a key part of a large regeneration project. Through the Building Schools for the Future (BSF) programme a network of full service Advanced Learning Centres, extended Primary Learning Centres and Children’s Centres will be established. In two areas strategic governing boards will be created to test out a new approach to directing and integrating the work of these Centres. These boards will assess local needs, engage the local communities and broker appropriate services.</p>
<p>In <b>Cumbria</b>, schools are creating a new company to deliver education for this group across widely dispersed populations. The field trial will test out different approaches to the leadership, management and governance of an integrated 14-19 provision across three geographically different parts of Cumbria. The models are likely to include a Trust and a Company limited by Guarantee. Each area selected faces a different mix of challenges, including falling rolls and widely dispersed populations.</p>

<sup>33</sup> [http://www.standards.dfes.gov.uk/innovation-unit/pdf/next\\_practice.pdf?version=1](http://www.standards.dfes.gov.uk/innovation-unit/pdf/next_practice.pdf?version=1)

### Examples of Next Practice field trials – new models of leadership

The **North Hartlepool** Extended Services Partnership (NHESP) plans to develop a network of community leaders - adults and young people - in this area of acute deprivation who will be empowered to lead the development of extended service provision. The project will trial a new form of governance arrangements through a 'brokerage' board containing community partners and membership from the six locality primary schools and one comprehensive school. The aim is to create a personalised, multi-agency and community driven approach to meet the needs of learners of all ages.

The five schools in **Hailsham** (one secondary and four primary) are establishing 'whole town' delivery of the five Every Child Matters outcomes through a joint Executive Governing Board which will agree strategic objectives, oversee implementation and be the ultimate accountable body for the town. An executive headteacher and an ECM Development Manager, working with the individual heads and a multi-agency group, will be accountable for developing the plans, securing stakeholder support and monitoring progress.

A group of six Academies in a highly challenging **South London** area is forming a hard federation which will operate as a single legal entity with one board of trustees. It will incorporate a seventh school in 2008. The innovative leadership and governance structures being developed will include a CEO for each group of three Academies and middle level system leaders working across the federation. The federation will open up opportunities for system leadership at governor, senior leader and middle manager levels. Teachers will benefit from an internal promotion and professional development market, and will receive support from a group-wide AST team.

4.71 While these models represent diverse responses to their local or national circumstances, key features of the trials can be said to be:

- The use of chief executives or executive heads;
- New forms of governance such as executive governors, community governance and parental representation;
- Using the Trust model to create shared vision and leadership approaches across the whole local authority;
- A focus on delivering outcomes for entire communities;
- System leadership at a number of levels (including middle leaders and AST teams);
- Groups of schools delegating budgets and accountability for aspects of provision such as SEN and 14-19; and
- New ways of brokering services.

4.72 Federations may have a range of leadership models, for example, as we have seen, an executive head or senior leadership team could be appointed across a federation of schools. In addition, it could potentially include other providers from, for example, the work-based learning or further education sectors, in light of the 14-19 entitlement which is based on the need for collaboration. In the Cumbria 14-19 pathfinder, for example, the consortia included 43 secondary schools, four general FE colleges, one sixth form college, two Higher Education Institutions and 40 Work Based Learning providers. This partnership is managed by five area co-ordinators.



- 4.73 In the evaluation of the 14-19 Pathfinders, collaboration was thought to have brought a number of benefits in terms of wider curriculum provision and enhanced student information, support and guidance processes (Higham & Yeomans, 2004, 2005 & 2006).<sup>34</sup> The evaluation found that local strategic leadership was crucial in developing vision and commitment and that 'the 14-19 context required particular forms of leadership because the policy levers which could be wielded were restricted and institutions exercised considerable autonomy'. Key features of leadership in this context therefore included: 'persuasion, understanding of the local context, strong relationships and an ability to read and exploit the broader national context'.
- 4.74 The case study from our fieldwork below demonstrates the ways in which one school has benefited from federation through increased collaboration with a range of external organisations with subsequent gains in learning and development.

#### Case Study 6: Federated

This secondary school has a total pupil enrolment in excess of 1,600. The senior leadership team comprises headteacher, two deputy heads, three assistant heads, a business manager; heads of faculty/house and advanced skills teachers.

It is a Leading Edge school working as part of a federation of schools, which operates through a committee of governing bodies.

The federation was set up two years ago, and has enabled effective collaboration to take place between schools. Each school has responsibility for a lead project, each of which is based on learning issues. Schools also collaborate on approaches to best value through the bursars' group. The federation has enabled the school to be at the centre of a wide range of collaborative projects with schools, training providers, and the local authority. Whilst the federation has had no impact upon the structure of the school, the principal noted that it had been significant in progressing learning and development. In addition, the arrangement has enabled staff to interact with staff at different levels in other schools.

'Well managed and well conceived projects work... the federation is the size and shape that we wanted it to be and it has worked well... there is a need to invest more in emotional and intellectual groundwork'.

#### New Trust School and Academy models

- 4.75 In the fieldwork, we also visited several Pathfinder Trust Schools.<sup>35</sup> The following case study demonstrates the ways in which a consortium of schools is adopting a strategic approach to existing collaborative arrangements. The key benefits of this collaboration were thought to be using resources more effectively, opening up provision to the wider community and earlier intervention for those in need of support.

<sup>34</sup> However this evaluation of the 14-19 pathfinders stated that it was still too early to quantify the effects of the partnerships on student participation, retention, achievement and progression.

<sup>35</sup> Announced by Alan Johnson, the Secretary of State for Education and Skills, on 7 September 2006.

### Case Study 7: A township model

This secondary school has a total pupil enrolment of just over 1,200 pupils. The senior leadership team comprises the headteacher, two vice-principals and four assistant heads.

The school has been collaborating with other institutions for a number of years and is in the early stages of moving towards formalising these arrangements by becoming a Trust School. The community college is part of a consortium of three secondary schools and a further education college, comprising of around 7,000 pupils and students in total.

'We are creating what we see as a "Township Model" so we are looking at the high schools in this area which have a clear identity working collaboratively. What we are trying to do in the long-term is look at how we can maximise resources for the benefit of all learners. Since we're full service and have been a community college for years, we see that being available to members of the wider community'. (Headteacher)

Strong communication, a shared purpose and team-working were thought to be key factors in developing a successful Trust:

'I think it's very important that it's team work - you cannot go alone on this. Everyone should be talking about the same thing, there should be a thread running all the way through. There is a need for a group of people from all areas coming together and sharing, with a common philosophy, where everyone knows what they want from the development of the Trust'. (Vice-principal)

As well as providing potential financial advantage through economies of scale, it was thought that a Trust could provide other benefits, particularly with regard to the ECM agenda:

'I think you're going to see synergy and movement: a change in the way we deliver education and that's really what we're in it for. Every Child Matters is the big agenda so if we open up different opportunities to work with individuals in a personalised manner, if we bring more resources to bear... we could be doing much more preventative work rather than pick-up work'. (Headteacher)

'What we are creating is a model for this area. We are not saying that this is the model for everyone else'. (Headteacher)

- 4.76 Other Trust pathfinders aim to, for example: encourage pupil progress and raise aspirations by involving partners from further and higher education; improve provision for gifted and talented pupils; support joint initiatives to reduce issues such as crime and teenage pregnancy, and in some cases to further develop extended services.<sup>36</sup> According to the DfES, trust schools 'will be a way for schools to raise standards through strengthening collaboration and drawing on the expertise and energy of their partners to support their strategic leadership' (DfES, 2006).
- 4.77 Other benefits of the new trust school arrangements are thought to include: that it creates a long-term relationship between partners and is therefore less vulnerable to changes in key personnel; that it offers more opportunities for workforce and access to wider expertise; and that it has the potential for disseminating innovation more rapidly across schools.
- 4.78 Specific models that could emerge under Trusts could include: an individual school working with a Trust; a group of local schools in a Trust arrangement; and a geographically dispersed group of schools; while partners in the Trust arrangements could include (amongst others): local businesses; higher and further education institutions; and voluntary or charitable groups.
- 4.79 In an Academy we visited, there was both a local school-level governing body and a 'meta' or 'parent' board working across a number of Academies. The advantage of this approach was thought to be the economies of scale achieved combined with local flexibility.

<sup>36</sup> [http://findoutmore.dfes.gov.uk/files/trust\\_schools\\_pathfinders\\_sept06.pdf](http://findoutmore.dfes.gov.uk/files/trust_schools_pathfinders_sept06.pdf)

### Case Study 8: Group governance

This City Academy has a total pupil enrolment of approximately 700. The senior leadership team comprises of the principal, deputy principal and four assistant principals.

It is situated in an area of significant social and economic disadvantage where almost two thirds of its pupils are eligible for free school meals and is benefiting from an innovative approach to governance. The proactive local governing body works with and benefits from the support and challenge of a 'parent' governing board. The parent body is the largest Academy sponsor, and has been involved with education for over 100 years. Whilst group policy is decided at a central level, each local governing body has freedom to decide how to apply the policy within their particular school context. The Sponsor representative had this to say about the benefits of 'group governance':

'What we believe is there is real benefit in what we call 'groupness'. The glue that holds our group together is a common set of values and a certain core consensus on the nature and quality of teaching and learning. But we're not into prescription nor are we into creating huge bureaucracy'.

Each local governing body is made up of parents, staff community representatives and representatives of the sponsor organisation, and the chair of each local governing body has a seat on the 'parent' governing board. Both tiers of governance have distinct roles and responsibilities. The centralised parent governing board has control over finance and many of the management systems are operated at a central level. The local governing bodies make decisions on a range of issues including the school day, curriculum, timetable and recruitment of staff. The principal of the school has no doubt about the benefits of this approach:

'Support as and when you need it. Support on tap, not on top is how I describe it. It is also about the integrity of the organisation; certain principles are embedded in each of their Academies'. (Headteacher)

### All-age schools

4.80 All-age schools are a specific sub-set of the federated model. These may operate as an all-age federation on separate sites or as a single school on one campus. According to the Consortium of All Through Schools, potential benefits of this approach include:

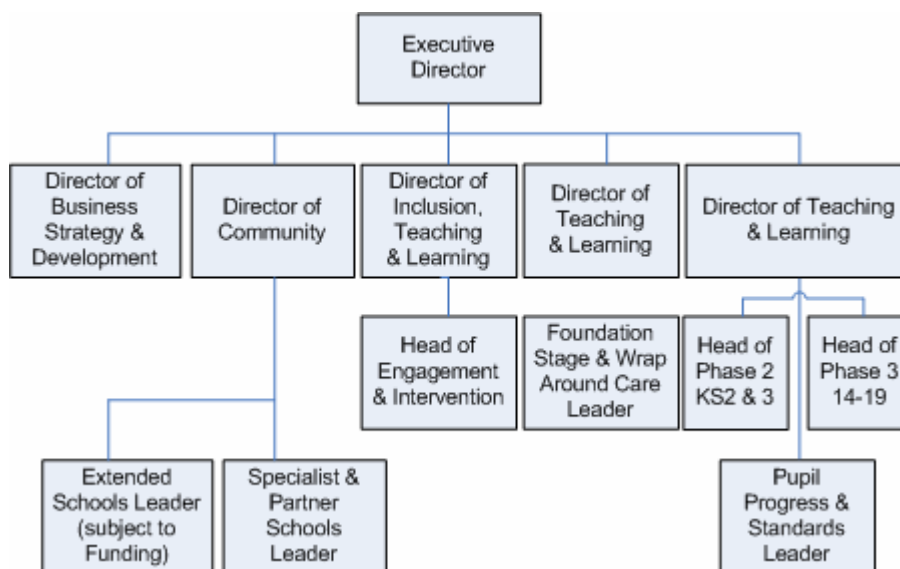
- Higher attainment in all Key Stages throughout the school(s) by reducing the performance dips that can occur when pupils transfer from one school to another;
- Improved teaching and learning by the sharing of expertise across phases and by offering increased opportunities for personalised learning;
- Enhanced opportunities for the recruitment, retention and deployment of all staff by offering greater opportunities for professional development;
- Improved pastoral care for children in challenging circumstances by offering a 'joined-up' strategy for special and behavioural needs;
- Flexibility in areas such as curriculum design, delivery and school leadership and management;
- Improved continuity for multi-agency involvement across phases for pupils, carers and families, especially for full-service/extended schools; and
- The sharing of resources and benefiting from economies of scale.

4.81 This model opens up a range of potential leadership structures. For example, in one all-age school, there are separate heads of the infant, junior and secondary phases and an overall 'accountable, strategic' headteacher.<sup>37</sup> Another, the Darlington Education Village which opened in April 2006, is a federation of a primary, a secondary and a special school under one governing body on a purpose-built site. Figure 4.8 illustrates the new leadership structure

<sup>37</sup> [http://www.standards.dfes.gov.uk/innovation-unit/pdf/serlby\\_park.pdf?version=1](http://www.standards.dfes.gov.uk/innovation-unit/pdf/serlby_park.pdf?version=1)

established for the Village.<sup>38</sup> It demonstrates the way in which the heads of the existing schools have become directors of teaching and learning under an overall executive director. The leadership team is also supplemented by personnel with a focus on business and community development.

**Figure 4.8: Leadership structure in Darlington Education Village**



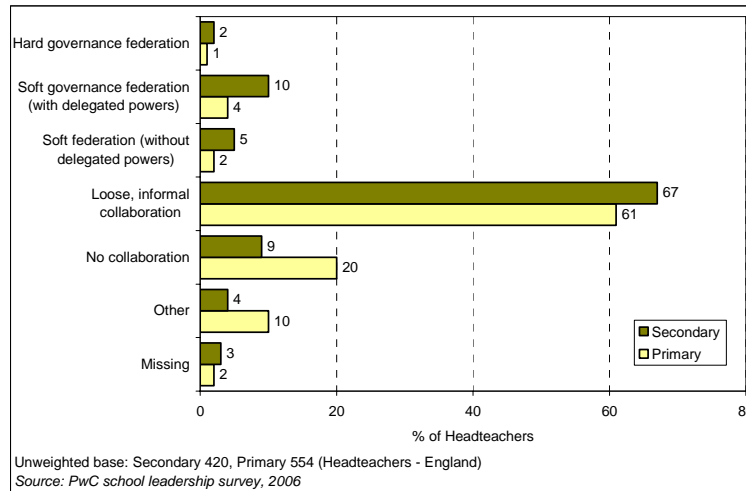
### Extent of collaboration between schools and other organisations

4.82 In our survey, almost one in ten heads reported some sort of formal federation arrangement, while just under two thirds reported a loose, informal collaboration with other schools. There is no real difference in the types of school involved in federated arrangements, however, secondary schools are more likely to be involved in informal, loose collaborations than primary (67% compared to 61% respectively). Primary schools are more likely to have no collaborative arrangements at all (20% compared to 9% for secondary schools). As one respondent noted, federation and other forms of collaboration take time and resources and any arrangement should be scrutinised in terms of its likely benefits for schools. This echoes the finding reported earlier that a significant minority of headteachers thought that their external roles were of no particular benefit to their schools.

'Some of our schools belong to collaboratives for this, that and the other. It takes a huge amount of time and money sending people along to all these meetings and actually contributing effectively to all these collaboratives - that is why it fails sometimes. You have to ask the question: what is in it for me? Why am I going to this collaborative? What is it going to do for me? What is my part in this? What am I going to get out of this?' (Stakeholder interview)

<sup>38</sup> [http://www.standards.dfes.gov.uk/innovation-unit/pdf/darlington\\_leadership.pdf?version=1](http://www.standards.dfes.gov.uk/innovation-unit/pdf/darlington_leadership.pdf?version=1)

**Figure 4.9: Collaboration arrangements**



4.83 Larger schools were more likely to have some form of collaboration with other schools (only 5% of those with more than 600 pupils reported no collaboration). There was no real difference in relation to the extent of collaboration by location of schools in England. In Wales, informal collaborations were reported by two thirds of schools (63%), however one in five (19%) reported no collaboration.

**Benefits of federations and other forms of collaboration**

4.84 Some respondents noted that federations had the benefit of providing a supportive environment for heads while for others, federation was particularly suitable for specific school types such as infant and junior schools. From our survey, the key benefits of all types of collaboration by phase of school are presented in the following table.

Key benefits of collaborations with other schools		
Phase	Benefit	%
Nursery	Smoother transition of pupils	37
	More extended services	20
	Better strategic leadership	12
Primary	Training and development for teachers	18
	Smoother transition of pupils	17
	More sports and arts activities	14
	Better strategic leadership	11
	Improved curriculum	8
	More extended services	8
Secondary	Better entitlement for 14-19	41
	Smoother transition of pupils	15
	Training and development teachers	10
	Improved curriculum	9
	Better strategic leadership	9
Special	Better entitlement for 14-19	20
	Development of own staff from supporting other schools	10
	Improved curriculum	9
	More sports and arts activities	9

Source: PwC school leadership survey, 2006

- 4.85 School leaders evidently believe that there are important educational benefits to be gained from participating in collaborative arrangements with other schools. The smooth transition of pupils from one school to another was noted across all three mainstream phases, while an improved curriculum and training and development for teachers were viewed as important by both primary and secondary heads. Indeed the recently published strategic review of education in Northern Ireland (Bain, 2006), the impact of not collaborating and maintaining the independence of individual schools were said to be as follows: 'a significant cost to some children's and young people's experiences and opportunities; to the well-being, effectiveness, all-round development and experience of teachers and principals; and to the efficient use of the schools' estate in terms of duplication, empty places and inadequate accommodation'. Bain argues that schools should be incentivised to collaborate, suggesting a range of measures including funding for shared facilities or teachers.
- 4.86 Just under three quarters (74%) of heads reported collaborative arrangements with organisations other than schools. Primary schools (70%) were less likely to have such arrangements in place than secondary schools (87%), nurseries (85%) and special schools (88%). Collaborations with health and social care professionals figured prominently across all phases of education. The following table presents the main collaborations with other organisations reported by sector.

Main collaborations with other organisations		
Phase	Organisation	%
<i>Nursery</i>	Health and social care professionals	86
	Childcare providers	71
	Further education	59
	Other training providers	52
	Higher Education	52
<i>Primary</i>	Health and social care professionals	66
	Childcare providers	54
	The voluntary sector or not-for-profit organisations	49
	Other training providers	37
	Higher education	34
<i>Secondary</i>	Career services e.g. Connexions	86
	Further education	75
	The voluntary sector or not-for-profit organisations	50
	Health and social care professionals	59
	Higher education	55
	Other training providers	53
<i>Special</i>	Health and social care professionals	87
	Career services e.g. Connexions	73
	Further education	64
	Other training providers	57

Source: PwC school leadership survey, 2006

- 4.87 In the survey, many respondents thought that the future of school leadership lay in federations, particularly for primary schools and schools in rural settings. However, there were mixed views on the issue of whether this model would be used to compensate for potential future shortages in the supply of headteachers.

'I believe it is becoming an even more challenging task and believe that the future lies in federated schools operating under a chief executive and a band of headteachers'. (Governor survey)

'I am very interested in the future of federated schools and believe that this process would be very useful for small schools such as mine with the head moving into a more executive role dealing mainly with strategic matters and a deputy dealing with the day-to-day management'. (Headteacher survey)

'Collaboration and federation to share expertise and responsibility. We should play to leaders' strengths'. (Headteacher survey)

'Federated approaches are the way to go in a rural setting'. (Headteacher survey)

'I see future leadership relating to groups or federations of schools. Individual school leadership teams are unsustainable and not sufficiently about system leadership. We have too much individual school autonomy'. (Headteacher survey)

'I believe that smaller primary schools should federate to share expertise and management skills'. (Headteacher survey)

'With the difficulty many schools face in appointing heads, it may be that federations under one head with senior teachers taking limited leadership responsibility are the way forward'. (Governor survey)

'I have grave concerns over the federation issue. I can see some benefits particularly bearing in mind the potential shortfall of headteachers in the future. I do not feel this is the way to go'. (Governor survey)

4.88 The following table summarises some of the potential benefits of, and constraints on, implementing the federated model.



Potential benefits	Potential constraints
<ul style="list-style-type: none"> <li>• More capacity to lead and more sustainable and distributed leadership</li> <li>• Potential to share resources across schools and other organisations that otherwise could not afford them e.g. in regard to ECM and 14-19 or sports or arts facilities</li> <li>• Potential to share senior support staff e.g. bursars or HR specialists across schools</li> <li>• Potential to federate with other providers e.g. FE colleges or HEIs</li> <li>• Some evidence of smoother transition for pupils</li> <li>• Development opportunities for other staff through distributed leadership</li> <li>• May open up more career opportunities for both teaching and support staff</li> <li>• Economies of scale in procurement and in commissioning services under Children's Trust arrangements</li> <li>• May help schools with falling rolls</li> <li>• Aid recruitment problems</li> <li>• More time for strategic leadership</li> <li>• Training and development for teachers</li> <li>• May assist specific sectors or types of schools facing particular capacity or recruitment e.g. some primary schools, rural schools, faith schools and so on</li> <li>• Reduces sense of isolation experienced by some heads/provision of mutual support</li> <li>• May promote increased community cohesion through 'whole town' or 'whole area' approach and through new governance arrangements</li> <li>• May raise standards in weaker schools</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity and financial concerns in schools over resources to devote to federation</li> <li>• Potential confusion over accountability/decision-making, e.g. equitable distribution of resources</li> <li>• Parental, governor and staff concerns over changes to the existing model</li> <li>• Potential headteacher concerns over reduced classroom contact</li> <li>• Need to adapt to varying school types and cultures</li> <li>• Potential to be "in the wrong place at the wrong time" if working across a number of schools</li> <li>• Stakeholder concerns over use of federations solely in order to solve perceived recruitment crisis</li> <li>• Potential long travel distances for pupils</li>   <li>• There may be concerns that one school is being subsumed by another</li> <li>• Requirement for negotiating and relationship building skills from school leaders</li> <li>• The design of the federation may not meet the needs of its constituent parts e.g. in terms of size</li> </ul>

### System leadership models

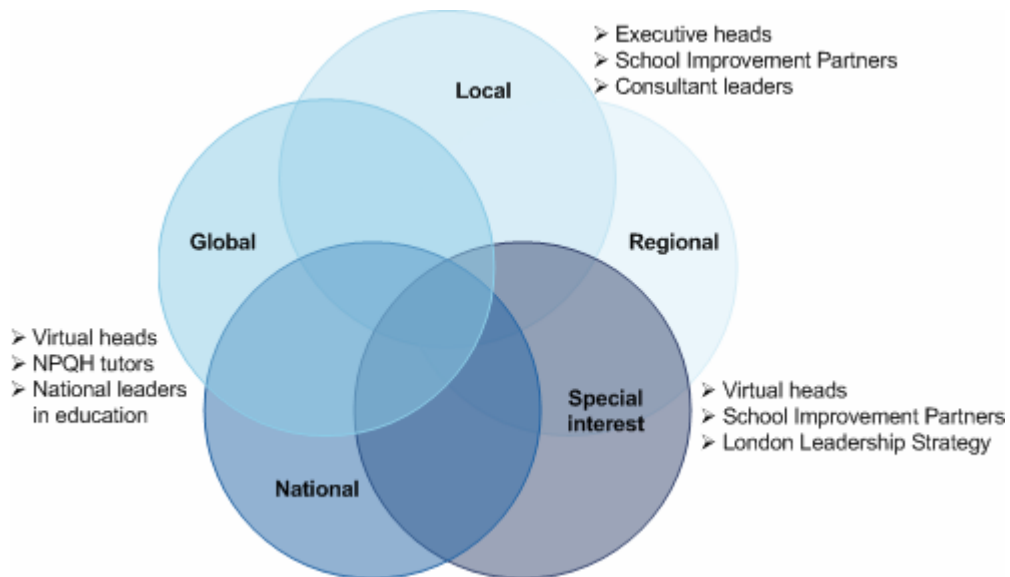
4.89 There has been a growing focus, evident in the White Paper, *Higher Standards, Better Schools for All*, and in the work of the National College for School Leadership, on the concept of system leadership: 'a new form of leadership which focuses the energies of school leaders not just on leading within their own schools, but beyond their schools on behalf of the wider system within their locality and beyond' (NCSL, 2006). According to the NCSL, effective system leadership has six important characteristics:

- A willingness to take on system-wide roles;
- Moral and strategic purpose;
- A focus on enhancing the quality of learning, teaching and assessment;

- An ability to make schools personal and professional learning communities;
- A commitment to building capacity through networking and collaboration; and
- A clear framework for developing leadership at all levels within individual schools.

4.90 These models are not specifically school-based but represent leadership roles throughout education as a whole. Some examples of these roles are provided in Figure 4.10.

**Figure 4.10: System leadership model**



4.91 System leadership includes consultant leaders and National Leaders in Education, as well as future roles such as the proposed 'virtual heads' responsible for children and young people in care (DfES, 2006). It also includes executive heads acting across a number of schools on a temporary basis (rather than an executive head appointed formally to lead a federation on a full-time basis as described previously).

4.92 According to NCSL, the term 'executive head' has a number of meanings. On the NCSL website it is described as follows: 'executive or partnership headship refers to the situation whereby a head already leading one school adds the leadership of another to their remit. This is sometimes viewed as a temporary solution to the ongoing shortage of headteachers'.

4.93 Research by the NCSL into secondary and special school executive heads published in 2005 shows that, when certain conditions are met, 'this model can be a constructive and powerful form of school improvement that brings benefits to schools, their leaders, staff and pupils', however there were also thought to be some issues around 'the applicability of this model on a wide scale as context is all-important and one executive headship is unlikely to be the same as another'.

4.94 In parallel research in the primary sector, it was found that there were also many benefits to this system, however the internal and external systems and structures supporting the executive head, and particularly the role of the local authority, were perceived as crucial to the success of the model. Executive headship was viewed as most effective when geared towards building capacity and sustainability in the failing school (NCSL, 2005). This was confirmed by local authority participants to our research.

'We've done a bit of parachuting into a school that's struggling, and that has proved very effective. There's an issue about getting governors to agree to lose their headteacher, but we've done it in a number of schools that have gone into special measures. That depends on us knowing enough about our schools to be assured that there is sufficient capacity in the ascending school to allow the head to go'. (Local authority interview)

- 4.95 According to Hartle (2004), the DfES and local authorities are increasingly favouring this model of headship given its potential to transform the leadership of failing schools. In some cases, executive heads may work together in support teams rather than as individuals for increased sustainability. However, some respondents to the survey expressed a number of misgivings about the role of executive heads while others thought that this arrangement would be attractive to headteachers and other leaders.

'I have huge concerns about the expectation that successful (and moderate) heads should support other schools. This has an adverse affect on the work-life balance of heads and on the capacity of leadership teams'. (Headteacher survey)

'I am very concerned with reports of impending headteacher shortages and the move towards executive headship. I feel that this is just a quick fix and will put even greater pressure on deputies and senior leaders who are usually classroom teachers as well'. (Headteacher survey)

- 4.96 Consultant leaders are viewed as a means of 'harnessing the knowledge and experience of those who are already successfully leading schools to benefit school leadership teams across the country'. Consultant leaders are those who have been recruited and trained (by the NCSL) to: 'take a lead role in facilitating the learning of school leaders and teams, creating, sharing and using new knowledge and understanding to improve pupil outcomes' (Hartle, 2004).
- 4.97 Key roles of these leaders include Primary Strategy Consultant Leaders, NPQH tutors, Consultant Heads on the New Visions Pilot Programme for Early Headship, and facilitators for Networked Learning Communities.<sup>39</sup> The consultant leader programme developed by NCSL is targeted at heads who wish to assume greater responsibility for leadership development across the sector. Primary Strategy Consultant Leaders (PSCLs), for example, are experienced headteachers who work with the leadership teams of other schools in which performance and the rate of improvement in raising attainment is below that of other schools. According to a preliminary evaluation of the role of PSCLs: 'evidence of the impact of the programme was reflected in improved results, greater distribution of leadership, more strategically focused leadership teams, improved levels of self-evaluation, changes in staff structure and curriculum co-ordinators working more effectively to influence performance across the school' (NCSL, 2006).
- 4.98 Specific programmes such as the London Leadership Strategy demonstrate the ways in which, in the words of one participant in our research, the leadership team in one school can 'wrap around' the team in another, less successful school. Activities undertaken as part of this programme include supplementing the leadership team by, for example, appointing a programme manager or by providing modelling and coaching opportunities.

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<sup>39</sup> [www.ncsl.org.uk](http://www.ncsl.org.uk)

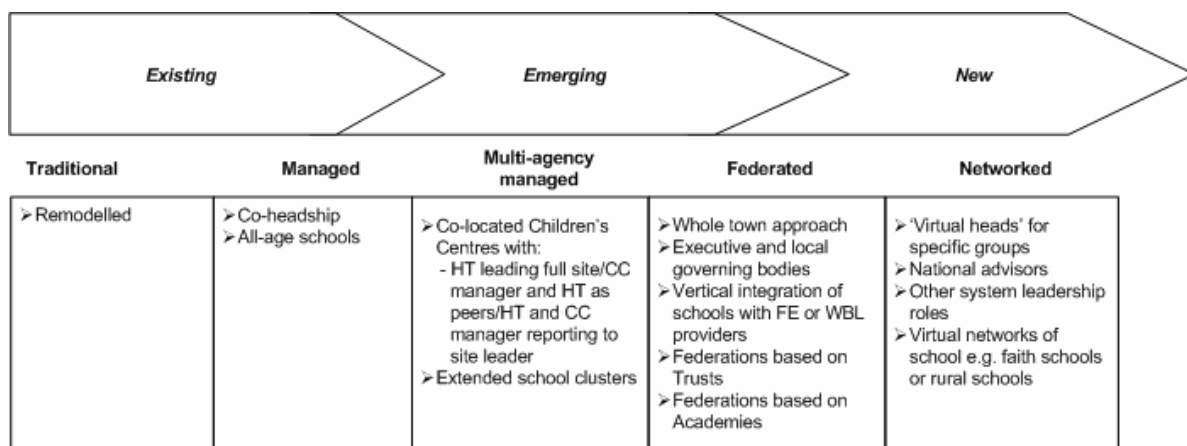
- 4.99 The White Paper *Higher Standards, Better Schools for All* (DfES, 2005) announced the introduction of the new role of National Leaders of Education for expert heads who have a successful track record in complex schools.<sup>40</sup> These headteachers will work closely with the College to influence the direction and targeting of leadership provision across the school system. It is anticipated that they will also advise the Government on the future direction of education policy on the basis of their experience.
- 4.100 Virtual headship, as announced in the recent Green Paper *Care Matters: transforming the lives of children and young people in care* (DfES, 2006) is a new role for former headteachers with experience of working with vulnerable children. Working for local authorities, these heads will engage directly with schools and School Improvement Partners to improve standards for children in care. Their responsibilities will include: providing professional leadership and development; challenging schools on pupil progress where appropriate; and working with the 14-19 partnerships. The introduction of a 'virtual school' for children in care in Liverpool, cited in the Paper, has resulted in 'significant improvements in outcomes' for pupils.
- 4.101 Potential benefits and constraints of the system leadership model are presented in the following table.

Potential benefits	Potential constraints
<ul style="list-style-type: none"> <li>• Increased creativity</li> <li>• Reduced stress</li> <li>• Improved relations with wider community</li> <li>• Focus on vision and strategy</li> <li>• Improved self-evaluation</li> <li>• Capacity-building in the school system as a whole</li> <li>• Aids succession planning</li> <li>• Improved professional learning</li> <li>• Creates new pathways for experienced heads</li> <li>• Draws on expertise within the system</li> <li>• Area-wide attention for specific groups of students (e.g. children in care)</li> <li>• Can be flexed to operate at the local, regional or national level for school improvement</li> </ul>	<ul style="list-style-type: none"> <li>• Time-consuming</li> <li>• Confusion around roles and accountability</li> <li>• Challenges traditional notions of leadership</li> <li>• Dependent on capacity within school if current head is spending a high proportion of time outside the school</li> </ul>

- 4.102 To summarise, Figure 4.11 describes some of the existing, emerging and new models identified in the course of this research and discussed above. It should be noted however, that these are broad categories and there are, and will be, a large number of local variations on these themes. Indeed, it should be noted that the models discussed to date have been mainly a response to local or 'whole town' approaches to schooling. However, there are also opportunities to create new models at a higher level. In Kent, for example, since 2003, all 617 schools have been grouped into 23 clusters. Each cluster has an elected board of head teachers (typically five: three primary, one secondary, one special) and a devolved team of support and advisory staff from the local authority.

<sup>40</sup> The first cohort of NLEs (67 heads in total) was deployed by NCSL in October 2006.

**Figure 4.11: Examples of models of school leadership**



### Potential barriers to implementing new models

4.103 Several barriers to implementing new models were identified in the research, including legal and regulatory barriers. Many stakeholders provided examples of the ways in which legal barriers can prevent the introduction of new models. For example, the legal requirements on heads may impact on the extent to which heads can operate outside the boundaries of their 'home school'.

'The provision that a deputy can deputise for a head is being stretched as far as it is possible to go lawfully and perhaps further. This provision is meant to apply to occasional abnormal absences, not a situation where absence is normality'. (Written submission)

'We support these developments (new models of leadership), which have often proved very successful in raising achievement, where they are appropriate. However the regulatory framework has fallen behind the reality and new regulations are required to take account of the situation in which some school leaders are serving'. (Written submission)

4.104 In addition, there are contractual difficulties relating to the employment of senior support staff. This issue is discussed in further detail in the *Reward* section of this report.

'Large secondary schools and some primary schools at their most innovative have already begun to re-shape their leadership. They have embraced the opportunities that workforce reform has offered and they have done this in the context of a culture, regulations and pay and conditions requirements which are, to say the least, unhelpful. In the present framework, distributed leadership is hard to achieve and distributed accountability, almost impossible'. (Written submission)

'What is becoming more important is the whole area of human resources: by taking on more support staff, the contracts are more complex especially where schools are trying to have split contracts. They need to find a level of pay, they need to liaise with the local authority on what that level of pay should be - and that is a lot more complex than it used to be when the teaching assistant was just paid whatever the school could afford. Because of equal pay legislation, they can no longer get away with this'. (Stakeholder interview)

4.105 Current legislation also makes it difficult to implement specific models such as co-headship.

'It doesn't meet the needs of a co-headship model as it is not recognised by the DfES. The co-head is rewarded on the deputy head terms and conditions with an extra letter'. (Co-head, large urban secondary).

4.106 While it was recognised that government policy is moving towards promoting some sort of federation between schools whether hard or soft or increased collaboration, and that the benefits of federation can be reaped in a relatively short period of time, some concerns were raised about the sustainability of federations and the perceived conflict between the forces for collaboration and competition that schools currently face.

'Creating the right environment and thereby making it the best school for exam results. There is a balance between running the school and collaborating with other schools...' (Member of a PTA, large urban secondary)

'There is a national push for collaborative work but collaboration is often hard because schools always feel as though they are in direct competition with each others for more students, better staff etc'. (Headteacher, large urban secondary)

4.107 Given this, some respondents raised the issue of local accountability measures that could encompass more than one institution, given that, in the words of one local authority respondent 'it's not just every child in your school that matters; it's every child in your local community and in your local authority'.

'The inspection regime has been quite good for schools: schools ought to be held accountable for what's going on in them. But what you might want to get to is a position in the future where the learning network community has to account for a group of schools, because until they do that, there is no reason to make an investment in the school down the road'. (Local authority respondent)

## Conclusions

4.108 This section of the report has explored current, emerging and new models of school leadership in England and Wales and evaluated their effectiveness using evidence drawn from our literature review, from Ofsted reports and other sources, from our quantitative survey and from our visits to schools. We recognise that this does not constitute a longitudinal evaluation of specific models and would recommend that formal evaluations of this type be considered going forward to augment the preliminary views we have reached.

4.109 While much will depend on the size and context of the school, the key features of effective leadership identified in the literature which should underpin all effective models are as follows:

- The central task of school leadership is to improve staff performance and, though this, pupil outcomes;
- This should be based on a strong strategic vision, collaborative working environments, and a clear focus on teaching and learning with the headteacher as a role model for the school;
- In the most effective models, leaders are able to inspire and motivate the workforce in order to build capacity and drive improvement through the school. Linked to this, effective models are those in which leadership is distributed appropriately at all levels of the organisation, there are clear channels of communication and staff feel that their role and opinions are valued and respected;
- Other characteristics of effectiveness include: carefully designed structures; developed succession planning arrangements; well-informed and active governing bodies; accurate and on-going self-evaluation; and a holistic approach to managing diverse workforces; and



- For teachers and support staff in particular, effective leaders: recognise and value the work of others; communicate fully and effectively with all staff; provide developmental opportunities and constructive performance management; understand classroom practice; are visible and approachable; and distribute leadership effectively.

4.110 While it is clear that there is a very high level of diversity in the models (not just in the way leadership is organised internally in schools, but also across schools and other organisations), a number of high-level models can be determined. These models are necessarily broad and not mutually exclusive. The following paragraphs summarise the key findings in relation to each of these shapes.

- **Traditional models** are those in which the leadership team is comprised exclusively of qualified teaching staff and typically includes a headteacher supported by deputy and/or assistant heads. In our fieldwork, focus groups and survey, this model predominated in the primary sector but was also common in secondary and special schools. Benefits of this model included a clear structure, a focus on teaching and learning, distinct lines of accountability and reassurance for parents and the wider community. However, it also may result in extreme levels of accountability for the headteacher, problems with work-life balance, a lack of flexibility when there is a need to respond to change, less time for strategic rather than operational leadership, restricted access to the range of skills required, and, potentially, a sense of isolation for heads. This model, while historically appropriate, is likely to lead to tension given the changing school environment. It is unlikely that, given the current workload levels reported by heads, that this model will be sustainable in the future unless substantial changes are made to the school organisation through workforce remodelling i.e. that it moves towards the managed model, and through more extensive collaborations with external organisations, including other schools.
- **Managed models** are those which have adapted their leadership to some degree to include senior support staff or introduce more innovative working practices. According to our research, this model is found more often in the secondary sector with almost half of heads stating that they had one senior support staff on the leadership team and a further 8% stating they had two senior support staff members. Co-headships were categorised as a distinct subset of the managed model, either as a job share or joint-headship arrangement. The benefits of the managed model include greater distribution of leadership and consequently, as the case studies demonstrate improvements in staff motivation, greater capacity in the senior leadership team and more opportunities for succession planning. Other benefits cited in the course of the research included the possibility of disseminating a more democratic ethos throughout the school and greater flexibility. Potential constraints reported to us included issues around existing contractual arrangements for senior support staff, a lack of resources in some schools to expand the leadership team, and, in some cases, the existing school culture.
- **Multi-agency managed models** are a variant of the managed model and are characterised by an even greater diversity in the senior leadership team sometimes with dedicated directors for areas such as inclusion, business development and human resources, and a greater degree of multi-agency working with a more diverse workforce on the school site. There are a number of ways in which the leadership team can potentially be structured within this model, particularly if there is a co-located Children's Centre. This model also opens up the possibility of the introduction of the chief executive combined with a lead practitioner model. Benefits of this model were reported to be: greater access to a range of support services for families (including earlier and more rapid intervention in cases of need); improved pupil well-being, motivation, and smoother transitions between home and school for young people. Those leaders that provide full extended services were more positive about the benefits than those who did not. Potential constraints include: uncertainty regarding accountability issues; issues relating to a more diverse workforce on the school site (line and performance management, differences in terms and conditions, and distinct working cultures and practices); the sustainability of some initiatives in terms of



funding; and concerns regarding building and premises management (such as accessibility).

- **Federated models** are characterised by varying degrees of collaboration between schools and sometimes between schools and other providers. In our survey, almost one in ten headteachers reported some sort of formal federation arrangement. The majority of schools reported informal collaborations with other schools, however a relatively large minority of primary schools reported no collaboration. Formal federations can be organised in a large number of ways and this section has provided a number of examples of the ways in which schools and other organisations are beginning to come together. Schools may variously: adopt a 'whole town' approach to schooling; create supra- or meta- strategic governing bodies; establish executive head or chief executive posts to oversee several schools; share middle leaders and consultant teachers; or federate with colleges of further education or work-based learning providers in response to the 14-19 agenda. For primary schools in particular models of federation or collaboration could be used to ensure access to extended services or share resources such as bursars, ECM managers, human resources or IT specialists for example. The main impetuses for federation were, in the view of headteachers, raising attainment and securing greater inclusion. The main potential benefits of the federated model are greater capacity and more sustainable and distributed leadership; economies of scale achieved through sharing teaching staff or senior support staff such as bursars across schools; smoother transitions for children and young people between all phases; improved career opportunities for all members of the school workforce; and increased community cohesion. Potential constraints include: the current competitive environment in which schools operate; the need to ensure agreement regarding the sharing of resources and 'pooling' of governance arrangements; parental, governor and staff concerns over changes to the existing model; and the transport of pupils between institutions. Some stakeholders also raised concerns that federations were perceived as solely a means of tackling recruitment problems.
- **System leadership models** include all the different roles that heads can assume beyond the boundaries of the school excluding those that are school-based, i.e. those that contribute to the wider educational system at a local, regional or national level. It is linked closely to the NCSL's approach to system leadership. This model draws on the expertise and experience of individual in-service and existing heads for the benefit of the system as a whole. Examples of a range of forms this model can take include: consultant leaders; executive heads or teams of heads working with less successful schools; National Leaders of Education assuming roles such as providing advice to the Government; and new forms of leadership such as 'virtual heads' in response to specific circumstances. Potential benefits of system leadership models include increased capacity, creativity and innovation in the sector; a more strategic, long-term approach; improved succession planning; and the opportunity to flex the model at the local, regional or national level. Potential constraints include the level of capacity within the home school if the existing head undertakes more external roles and the challenge to traditional notions of leadership.

4.111 A number of legal and regulatory barriers to implementing new models were also identified. These related to the roles and responsibilities of deputy heads and the extent to which they should be required to stand-in for heads; the flexibility of the current system of terms and conditions as schools move towards opening all year round; and the inspection regime which was thought to foster competition rather than collaboration between schools at a local level.

# 5 Leadership capacity in the future

## Introduction

5.1 The purpose of this section is to explore ways in which leadership capacity in schools can be strengthened in response to the changing school environment and the emergence of new models of leadership identified previously. For the purposes of this research, leadership capacity is viewed as the sustainability of the breadth and depth of leadership in the school system. This section is therefore structured as follows:

- Distributing leadership responsibilities;
- Building leadership capacity in the sector;
- Planning for succession in leadership;
- Chief Executive models; and
- Conclusions.

## Distributing leadership responsibilities

5.2 The previous section found that well-executed distributed leadership is a key feature of effective models of leadership. The following paragraphs therefore explore this concept in greater detail based on the growing recognition in the literature that individual leaders, whether in the public or private sectors, are unlikely to possess all the necessary skills and competencies required to lead 21<sup>st</sup> century organisations. For example, according to Harris & Chapman (2002) 'the days of the indispensable, singular leader are numbered... a new model of leadership is emerging, one that recognises the limitations of an approach to organisational change and development premised upon the efforts of just one person'.

5.3 However, from the literature it is evident that there are a number of different ways in which distributed leadership may be defined. Spillane (2006) states that, from a distributed perspective 'leadership involves the many and not just the few. It is about leadership practice, not simply roles and positions. And leadership practice is about interactions, not just the actions of heroes'. In this case, relationship-building and active engagement with the entire workforce are located at the centre of distributed leadership.

5.4 Hargreaves & Fink (2006) highlight that distributed leadership is not an end in itself, rather the way in which leadership is distributed and the rationale for such distribution will determine the success of the practice. They describe a continuum of distributed leadership and outline the advantages and disadvantages of each category (see Figure 5.1 for the defining actions associated with these). According to the authors, each pattern of distribution has strengths and weaknesses depending on the school context. They suggest, for example, that 'in a traditional school that is suspicious about change or a school that has experienced years of anarchy or autocracy, delegation offers a clearly structured and easily understood way to make a start... evidence suggests that emergent and assertive patterns of leadership develop most easily in new or especially innovative schools'.

**Figure 5.1: Stepping up the scale of leadership distribution**

<i>Traditional Delegation</i>	<i>Progressive Delegation</i>	<i>Guided Distribution</i>	<i>Emergent Distribution</i>	<i>Assertive Distribution</i>
<ul style="list-style-type: none"> <li>➢ Hand over some power</li> <li>➢ Appoint good deputies, and seek and rely on their counsel</li> <li>➢ Respect their autonomy</li> <li>➢ Make sure they report to you regularly</li> <li>➢ Don't do everything yourself</li> </ul>	<ul style="list-style-type: none"> <li>➢ Extend and amend your structures, teams and committees</li> <li>➢ Create new roles</li> <li>➢ Focus people's role and responsibilities on learning and improvement</li> <li>➢ Use the new structures to restrict the veto of the old ones</li> <li>➢ Develop proper planning</li> <li>➢ Consult with your teams and committees</li> <li>➢ Audit the results</li> </ul>	<ul style="list-style-type: none"> <li>➢ Rely on more than your structures</li> <li>➢ Develop better relationships</li> <li>➢ Bring people together</li> <li>➢ Show interest in your staff members as people</li> <li>➢ Improve the quality of professional conversation</li> <li>➢ Concentrate on core purposes</li> <li>➢ Model the attentive behaviour you expect of others</li> <li>➢ Be visible and vigilant, always steering conversation and relationships in a more productive and attentive direction</li> </ul>	<ul style="list-style-type: none"> <li>➢ Remain clear about purposes and values</li> <li>➢ Ensure that they are genuinely shared</li> <li>➢ Maintain a premium on relationships</li> <li>➢ Encourage staff to innovate</li> <li>➢ Develop a culture of professional entrepreneurship</li> <li>➢ Demonstrate trust</li> <li>➢ Step back from watching over all interactions and relationships</li> <li>➢ Learn to let go</li> <li>➢ Don't pour cold water on proposals when they are brought forward</li> <li>➢ Praise initiative</li> <li>➢ Celebrate good results</li> </ul>	<ul style="list-style-type: none"> <li>➢ Be even more steadfast and passionate about shared purposes and values</li> <li>➢ Stimulate wide-ranging debate about important proposals</li> <li>➢ Involve resisters early</li> <li>➢ Include and listen to minorities</li> <li>➢ Use processes that surface thoughtful divergence and disagreement</li> <li>➢ Be prepared for criticism but insist on respectful dialogue</li> <li>➢ Keep your sense of humour</li> <li>➢ Ensure that the vigorous professional culture always moves you forward</li> <li>➢ Never abrogate responsibility</li> <li>➢ Always reaffirm your goals</li> </ul>

Source: Hargreaves & Fink (2006)

5.5 Given this and the often-cited view in the research that 'one size does not fit all', we have therefore adopted a pragmatic approach to defining distributed leadership for the purposes of our research without prescribing how this should be done. For us, distributed leadership is beyond mere delegation and is characterised by greater engagement with the workforce, more consultation and the creation of a shared purpose in schools.

### Levels of distributed leadership in schools

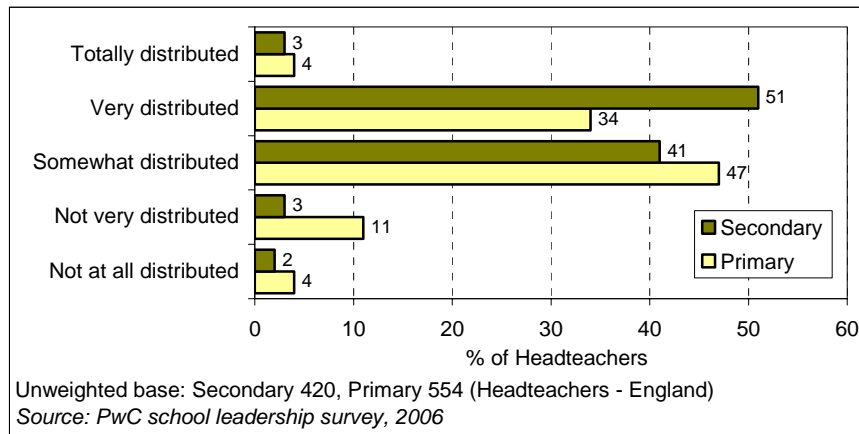
5.6 There was a general consensus amongst the stakeholders that contributed to this study that there is need for greater distributed leadership in schools, coupled with flatter structures and a stronger focus on teamwork. Distributed leadership, or the lack of, is inextricably linked to not only perceptions of the head as a heroic figurehead but also the workload associated with this.

'The notion of a leadership team and leadership being distributed within the school is now widely accepted, leadership is not the prerequisite of the headteacher or the sole responsibility of the headteacher, it's shared with other members of school staff'. (Stakeholder interview)

'We have set up the concept of 'the head is the school' – and that has got to change. You cannot have this one person who is solely responsible. That's the thing that should shift - there are lots of people responsible for schools'. (Headteacher, large urban secondary)

5.7 Despite the perceptions of stakeholders, a large majority (96%) of headteachers described leadership in their schools as distributed to some degree. Governors tended to consider leadership to be slightly more distributed in schools than heads (98%). There were no real differences between the perceptions of other members of the senior leadership team.

**Figure 5.2: Extent of distributed leadership**



5.8 Secondary heads were more likely to state that leadership was very or totally distributed than primary or special school heads (54% compared to 38% and 41% respectively). Just over one fifth of respondents (21%) described this arrangement as very effective and a further 56% thought this was quite effective. It is clear from the following table that a larger proportion of governors are more positive about distributed leadership in their school than other members of the team.

Effectiveness of distributed leadership				
	Heads	Governors	QTS SLT members	Senior support staff
Very effective	21%	29%	19%	21%
Quite effective	56%	49%	57%	57%
Neither/nor	13%	11%	13%	10%
Ineffective	9%	8%	9%	9%
Very ineffective	1%	2%	1%	0%

Source: PwC school leadership survey, 2006

5.9 Headteachers in Wales were less likely than their counterparts in England to describe leadership in their schools as distributed with three quarters (72%) describing it as somewhat or very distributed. Four out of five Welsh heads (83%) thought that this was quite or very effective.

5.10 However, there is opposing evidence to suggest that many leaders are finding it difficult to distribute leadership effectively. This is indicated not only by the reported workloads of heads, particularly in regard to increased time spent on administration and financial tasks, but also in the literature and in comments from stakeholders. For example, in the Headspace survey it was reported that over half the participating heads (61% of primary and 55% of secondary headteachers) would like to be able to delegate more, with 9% wanting to delegate a lot more. Primary headteachers from schools where free school meal entitlement is below 20% are more likely than others to want to delegate to a greater extent (Headspace, 2005). Collarbone (2005) emphasises that distributed leadership is a necessity given the new challenges for schools: 'leadership in many of our schools still remains vested in the hands of one person, and in most of our schools with just a small number of individuals, and this continues to be based around existing hierarchies. The new demands on schools will require new ways of working, and to make them work will require a greater degree of team-working and more widely distributed leadership authority'.

'Distributed leadership should be a strength but many heads don't know how to delegate and share... distributed and shared leadership evolves over time. However, it does require openness, which must be built in from the start and have good support from the governing body if it is to work effectively'. (Headteacher, small urban nursery)

'Leadership of future schools has to be distributed due to the growing complexity of school's responsibilities. The age of the super-leader is over!' (Headteacher survey)

- 5.11 Several respondents to the survey indicated that distributing leadership effectively depends on the experience and knowledge of both heads and governing bodies.

'Headship is a great job but it takes time before one has learned the art and importance of distributed leadership and delegating efficiently'. (Headteacher survey)

'Visionary leadership and management skills are rarely found in one person! Achieving and maintaining a balance in the leadership team is a governing body responsibility for which we receive little advice or training'. (Governor survey)

- 5.12 Some non-leadership team teachers and support staff also disputed the extent to which leadership is distributed in schools, particularly in terms of the culture and extent of effective communication and consultation with all levels of staff. Many teachers were dissatisfied with their interaction with the senior leadership team. Whilst some are regularly consulted by the head, they thought that this was largely a 'box-ticking exercise' and that the outcomes of the consultation are generally preordained, others thought that they are not adequately consulted. These perceptions of a lack of communication and consultation will impact on the effectiveness of distributed leadership.

'There is a consultation process, but you know that a decision has already been made'. (Teacher focus group participant)

'No one is affording us the opportunity of reaching up to their level and attending their meetings, no one knows what they are doing'. (Teacher focus group participant)

- 5.13 Our research has shown that difficulties with distributing leadership effectively may be due to a number of factors. In the survey, headteachers were asked to list the three tasks<sup>41</sup> that they would delegate if possible and the reasons why delegation is not possible. The main reasons were given as: legal requirements on heads; a lack of suitably skilled or trained staff; the size of the school as a constraint on delegation; and an inability to match reward to the delegated task. Just under two fifths (38%) of governors also thought that headteachers should delegate day-to-day tasks. The main tasks which should be delegated by heads identified by governors were: administration (22%); the teaching/co-ordinating role (9%), management (8%), and organisational tasks and meetings (8%). The paragraphs which follow consider some of these reasons why some tasks are not delegated in more detail.

### **A preponderance of 'hero head' beliefs**

- 5.14 There is a perception that some headteachers find it difficult to relinquish control. This is linked to a view held by many staff, parents and the wider community that 'only the head will do'. For example, many parents insist on meeting with the head rather than a deputy to discuss the progress of their children or other matters.

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<sup>41</sup> From our research, the main tasks that heads would wish to delegate if possible were: building management, maintenance or development; budget management, financial control/ fundraising; staff development, personnel and school management issues; and Special Education Needs (see section 2 of this report).

'It's the hero head cult, "everything on my site has to be me", they find it very hard to do anything that is contracted out'. (Stakeholder interview)

'There is a disconnect in what we're expecting from headteachers... parents expect to see them 24/7'. (Extended schools cluster manager)

'The perception of the role of school leader remains as it has done (amongst parents and students) for decades, i.e. the role of head has not changed since the 1960s. However this is not the role expected by DfES and other groups'. (Headteacher survey)

### **Restrictions through legal accountabilities**

- 5.15 Several stakeholders noted the legal limitations on achieving greater distribution of leadership and accountabilities in schools, including the head's responsibility for exclusions, performance management documentation, school journey forms and examination declarations. There was a view that current regulations promote a concept that there is only one key decision-maker in the school with the head responsible for signing all key documentation.
- 5.16 This issue was also the focus of discussion in the Reference Group meetings, where participants recommended that devolved accountability should be addressed given the regulatory burdens on heads and that there should be legal reform where necessary to remedy the problems identified. One participant noted in this context that a bursar cannot legally be in charge of a school, while another observed that, in one instance, a local authority blocked the appointment of a bursar to a senior leadership team.
- 5.17 The accountability risks for heads were also noted by several respondents, given that following an unfavourable Ofsted inspection, it is the head who stands to lose his or her job. This level of accountability was viewed as a disincentive to both distributing leadership and facilitating staff progression.

### **Resource constraints on distribution**

- 5.18 The literature provides examples of constraints on distribution that mirror the findings of our research, for example, in the Headspace research, several heads reported that resource constraints impacted on their ability to distribute leadership. The survey found that the majority of headteachers who wish to delegate cannot because their management staff already have enough to deal with (78%) and a third of secondary heads (34%) and just over a quarter of primary heads (26%) stated that they cannot delegate more due to the lack of experience of management staff (Headspace, 2005).
- 5.19 There is often a cost associated with greater levels of distributed leadership. Just over half the headteachers in our survey (53%) reported that the wage bill for their senior leadership team had increased as a result of greater distributed leadership. The main reason for this has been higher salaries. However, 11% stated that an increased wage bill has had a cost-neutral effect as costs have been off-set by savings elsewhere. Some heads (12%) also reported that rather than offering higher salaries, teaching time had been reduced for members of the senior leadership team. There was no increase in wages for 15% of heads responding to the survey. Secondary heads were slightly more likely to be able to off-set salary increases by making savings elsewhere than primary schools (16% compared to 10%).



- 5.20 Resource constraints were thought to be a major issue for smaller schools and primary schools in particular. Respondents to the survey highlighted some of the specific problems faced in some schools, suggesting that more imaginative approaches are required in instances where greater distribution within schools is not appropriate or achievable. In the previous section, for example, a number of models were described in which schools could share senior or middle leaders or other staff between schools in a locality, in other words, distributing leadership or drawing on leadership capacity between schools. This will be a crucial resource for those schools where the leadership team is small or non-existent.

'It is very difficult to put in place a broad leadership framework on the current financial platform'. (Headteacher survey)

'There is not much scope to be creative in a small primary school'. (Headteacher survey)

'In primary schools difficulties arise due to space. They were not designed to have large leadership or administrative teams'. (Headteacher survey)

'Distributed leadership is not the answer. It just means those below get more work and little recognition'. (Headteacher survey)

'Small schools have the same amount of roles to fulfil but not enough staff to share the duties'. (Headteacher survey)

'In a school of our size with one head and one teacher, it is difficult to see how any changes can be made that can be sustainable'. (Headteacher survey)

### Building leadership capacity in the sector

- 5.21 Linked to better distributed leadership, the literature and evidence from the private sector and elsewhere on developing capacity in educational leadership emphasises the importance of creating a learning culture in schools so that all staff are encouraged to develop professionally. Indeed, as we have seen, at the heart of effective models of leadership is improving staff performance.

- 5.22 Despite this, the evidence from our research suggests that leadership development is not keeping pace with the new landscape in terms of:

- Qualifications and training provision in the new environment;
- Opportunities to experience different scenarios; and
- Access to mentoring, coaching and professional support.

- 5.23 There was a general view from the leaders interviewed during the school visits and from stakeholder interviews that there was a need for a more structured approach to training and development, coupled with greater flexibility through the modularisation of training and more localised, personalised delivery.

'The school assumes you have the management skills but there is no management training available when you take on new roles'. (Deputy head, small rural special)

'There is nothing compulsory for [existing] headteachers. We would like to see a regular 'upskilling' every three to four years, carried out nationally on a local level. We would like to see a national programme that says "you're worth it as leaders". (Local authority respondent)

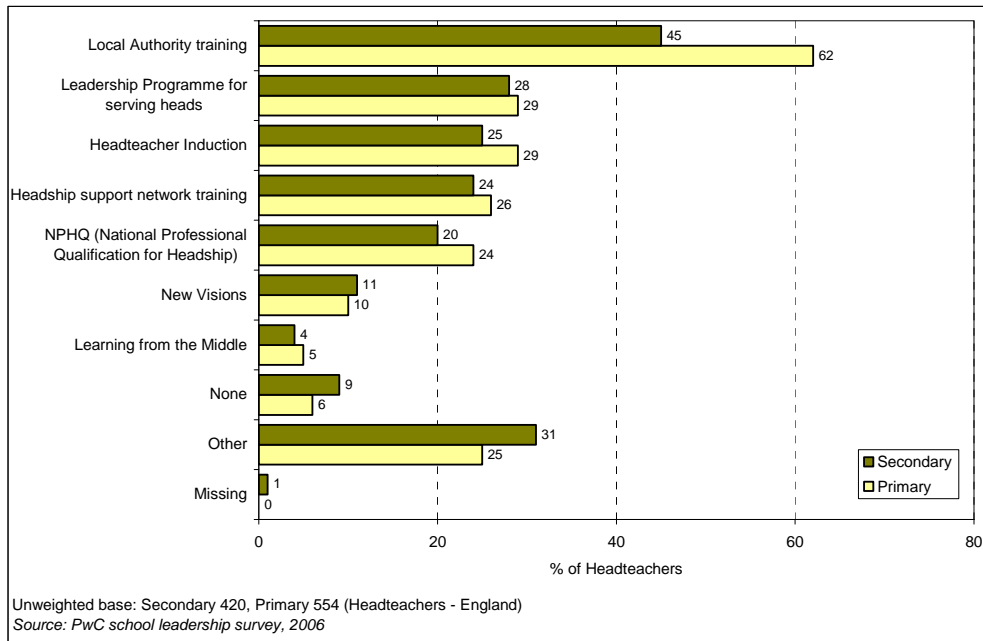


- 5.24 The literature also notes that training and development is most effective when undertaken in realistic settings. This finding was also mirrored in comments relating to the value of work-shadowing as a means of learning. Indeed, evidence from the literature indicates that effective programs are 'research-based, have curricular coherence, provide experience in authentic contexts, use cohort groupings and mentors, and are structured to enable collaborative activity between the program and area schools' (Davis et al. 2005). Indeed, as previously discussed, in many effective private sector organisations, development programmes are tailored to the individual and include planned career assignments and one-on-one coaching rather than off-the-shelf study packages. As we have seen, the main skills needs for heads identified related to the management of change, staff and stakeholders and evidence from the private sector suggests that softer skills based around interpersonal relationships and motivation are key for current and future leaders. Such experience-based learning opportunities are likely to assist in developing such skills.
- 5.25 In the survey, heads were asked to list the types of professional development they had undertaken in the last three years and how effective they found these opportunities. Surprisingly, but in line with stakeholder comments on the lack of a CPD culture in the profession, 7% stated that they had undertaken no professional development at all during this period. While this finding might be due to a lack of recognition of the full range of activities which are encompassed by professional development (so that heads are only recording formal training as CPD), there is a clear contrast with other professions where there is a requirement to undertake a certain amount of annual CPD and the responsibility for doing so rests with the individual (and is enforced by professional institutes). Indeed, it would appear axiomatic that school leaders should have a responsibility for ensuring that they keep abreast with change in their profession. There was no real difference in the proportions of heads with no professional development by school phase.
- 5.26 Of those that did undertake development activities, more than half (59%) undertook training provided by the local authority, followed by NCSL's Leadership Programme for Serving Heads (LPSH, 28%), headteacher induction (28%) and headship support network training (25%). Other forms of training included the National Professional Qualification for Headship (NPQH, 23%) and New Visions (10%). In terms of effectiveness:
- Of the 28% of headteachers who completed the LPSH, more than one half (55%) rated it as the most useful training course they had completed in the past three years;
  - Two fifths (44%) of heads who had completed the NPQH and a third (29%) of those that had undertaken local authority training, thought it was the most useful; and
  - Headship induction was rated most useful by just over a quarter (27%).
- 5.27 For some school leaders, headteacher induction was an area that warranted improvement.

'Induction and mentoring of new heads is vital. Proper support for heads from LA needs to be a priority'. (Headteacher survey)

'Good induction is important'. (Headteacher survey)

**Figure 5.3: Professional development in the last three years**



5.28 There were mixed views on the NPQH in interviews with school leaders during our school visits. Many respondents were positive about the NPQH, however there were also some concerns with the perceived lack of flexibility, personalisation and quality assurance.<sup>42</sup>

<sup>42</sup>These comments should be considered in light of the on-going review of the National Professional Qualification for Headteachers (NPQH) currently being undertaken by the National College of School Leadership.

Views on qualifications from school visits		
	Positive comments	Negative comments
National Professional Qualification for Headship	<p>'I think they are all effective at different levels, but I certainly learnt a lot from the NPQH'. (Deputy head, large urban secondary)</p> <p>'NPQH is fundamentally good!' (Deputy head, large urban secondary)</p>	<p>'The problem with NPQH is that it sees what a school does as set in stone, and it is not flexible enough to cope with new models such as children's centres'. (Headteacher, small urban nursery)</p> <p>'I am doubtful about NPQH because it is not quality assured. I cannot believe you can actually get a qualification as long as you can tick the boxes'. (Headteacher, medium-sized urban primary)</p>
Leading from the Middle	<p>'I have just coached two people on the Leading from the Middle which I think is superb training... the good aspect of this is the school focus... which enables people to take on tasks and develop things that work for you'. (Deputy head, large urban secondary)</p> <p>'Leading from the Middle I would say has been very effective and has raised awareness for class-based teachers around the bigger picture stuff'. (Headteacher, medium-sized urban primary)</p>	<p>'Leading from the Middle hasn't worked. The remit was to allow individuals to articulate beliefs about their job and as a gateway qualification to leadership and it does neither'. (Headteacher, large urban secondary)</p>

- 5.29 These comments suggest that while there are positive views about specific qualifications there is some room for improvement, particularly in regard to local authority training and headteacher induction. In addition, several heads emphasised the value of post-graduate qualifications that may not necessarily be schools-based in subject matter.

'I did a Masters in management, motivation and change and that course really set me up to have lots of the skills one needs as a leader; as well as providing me with an understanding of how individuals and groups work. Going on that course gave me a very good grounding and I still use the tools today'. (Headteacher, small urban primary)

'The best leadership training I ever did was my MBA. The reading, the demands of the management log, and the fact that it was an international MBA meant that I had the opportunity to examine different schools in different circumstances in different countries'. (Headteacher, large rural secondary)

- 5.30 More than one in ten (12%) of senior support staff had no professional development in the last three years while the equivalent percentage for teacher members of the senior leadership team was 11%. Given that these groups are vital to creating and strengthening capacity in the sector, this is an area that evidently requires further development. Indeed, when asked their views on the future of school leadership, many respondents identified the need for more formal training and development opportunities at all levels of leadership within the school.

'We need more locally available courses for middle managers'. (Headteacher survey)

'Is it possible to have a national programme of support for deputies so they can continue to aspire towards headship - I do not mean NPQH, more a mentor model'. (Senior leader survey)

'More training is needed for leaders who are not headteachers. There is good training for fast track teachers which was not available for those who are now part of a leadership team'. (Senior leader survey)

'I think all members of the senior management team should be offered relevant training, rather than be expected to pick it up as you go along'. (Senior leader survey)

'There is too little structured CPD for deputies and assistant heads. This group of staff are an untapped source of skill and expertise'. (Senior leader survey)

- 5.31 In evidence submitted to the *Gilbert Review on Teaching and Learning to 2020*, NASUWT emphasised the need for more effective and tailored training and development for the entire school workforce if personalisation of learning is to be fully achieved: 'without remodelling fully the school workforce and working practices, schools will have increasing difficulty in meeting the learning needs of pupils. Making personalisation a reality for all pupils will depend on the appropriate and effective deployment of staff. Access to training and development opportunities, which go beyond the traditional notions of provision based to a disproportionate extent on course attendance, and a recognition that professional development needs to support individual staff development as well as school improvement priorities, will be crucial to this agenda' (NASUWT, 2006).

### **Opportunities to experience different scenarios**

- 5.32 Not only is the concept of widening experience through exposure to a range of different work scenarios increasing in importance but also the value of reflective practice and of 'time out' is gaining growing recognition in the literature and in other public and private sector practice. Hill (2006) recommends regular sabbaticals for headteachers while Goffee & Jones (2003) argue that learning through experience and interaction can only work when leaders have time to reflect properly. The benefits of such opportunities were highlighted by respondents from other parts of the public sector who suggested that time to reflect on professional practice helped to prevent burn-out amongst public sector front-line managers.
- 5.33 Several respondents noted the benefits of working in different situations and experiencing new contexts for professional development and for growing current and new leaders. This was viewed as a key means of developing capacity in the sector, particularly in cases where the absence of a headteacher on secondment gives opportunities for deputy and assistant heads to assume greater leadership responsibilities.

'It would be greatly beneficial if senior leadership team members were seconded to industry (outside teaching) so they understood what happens (professionally) outside education'. (Headteacher survey)

'I think the opportunity to shadow others in leadership roles in different schools - to also have a partner school in a similar situation so that we can share expertise orally, practically'. (Senior leader survey)

### Access to mentoring, coaching and professional support

- 5.34 Evidence from the literature suggests that other forms of support such as mentoring, coaching and professional networks are important in developing leadership capacity. The majority of heads (67%) in our survey reported that they were supported or completely supported by their personal support networks (defined as coaching or mentoring or support from a colleague) although almost one in five heads thought they had little support from these sources (18%). Professional networks were viewed as less effective with just less than half (45%) stating that they were quite or completely supported by their professional networks (and of these only 6% stated that they were completely supported). At the same time, a quarter (24%) thought that they lacked support which indicates that there is room for improvement in the service provided by professional networks. Several school leaders in our survey reported (unprompted) the need for better support networks for the entire senior management team.

'Support networks and other systems are not in place for headteachers - those currently in place are 'too little and too late'. (Headteacher survey)

'Support networks need to be addressed so that they are consistent regardless of where you work'. (Senior leader survey)

'There needs to be more personal support for headteachers who are experiencing difficulties - an equivalent of supervision in health work rather than through Ofsted and the SIP'. (Senior leader survey)

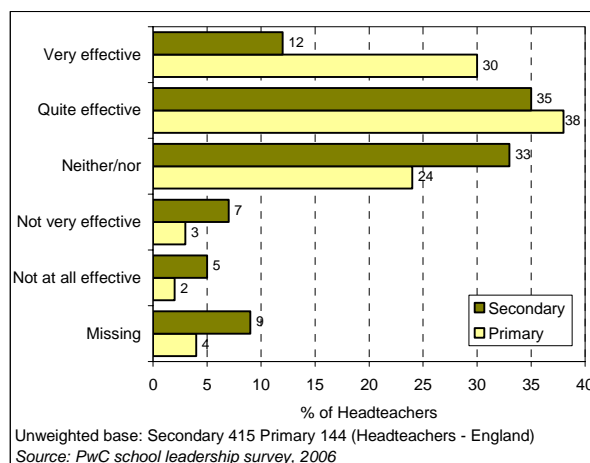
'It is important that headteacher and senior management team have a good network of support'. (Senior leader survey)

- 5.35 One of the main initiatives of the *New Relationship with Schools* (DfES, 2004) was the creation of the School Improvement Partner (SIP) to act as a 'critical friend' to heads as part of the 'single conversation' arrangements. Almost all secondary (99%) and a quarter of primary heads (25%) in our survey reported that they had a SIP in place. Over half (58%) of respondents thought that this arrangement was very or quite effective, though there was a clear difference between the views of primary and secondary heads with 68% and 47% respectively ranking their SIP as effective or very effective. Two thirds of governors (66%) rated their SIP as effective or very effective.<sup>43</sup>

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<sup>43</sup> SIPs were introduced for secondary schools between September 2005 and 2006 and will be introduced in all primary schools between January 2007 and April 2008. SIPs for special schools will be brought in between September 2007 and April 2008.

**Figure 5.4: Effectiveness of your School Improvement Partner (SIP)**



5.36 However, some stakeholders questioned the accountability arrangements regarding SIPs, governing bodies and local authorities and therefore the extent to which SIPs could be envisaged as critical friends.

5.37 Using the same definitions as for headteachers, other members of the senior leadership team were asked about the effectiveness of their personal and professional support networks. Personal networks were viewed as significantly more effective for both groups. As with professional development, the evidence suggests that professional support mechanisms for all members of the senior leadership team could be enhanced.

Support networks for other members of the senior leadership team				
	QTS members of leadership team		Senior support staff	
	Personal %	Professional %	Personal %	Professional %
Completely supported	30	7	32	7
Quite supported	46	29	45	26
Neither/nor	13	39	11	36
Not very supported	8	16	9	18
Not at all supported	2	6	2	11

Source: PwC school leadership survey, 2006

### Planning for succession in leadership

5.38 Given the predicted shortage of headteachers evident from the on-going work of the NCSL into succession planning and the potential recruitment challenges over the next three to five years, it is clear that identifying and developing the leaders of the future is becoming increasingly important as a means of building capacity. Well-designed succession planning has also been seen to be a key part of any effective model of leadership.

5.39 However, there is a general consensus in the literature and from stakeholder responses to our study that succession planning is not as yet widespread across the sector: 'the need for growing good leaders is a large and often misunderstood challenge and one that is generally not well addressed in any systematic fashion' (Blunt, 2004). It was also widely agreed that succession planning is inextricably linked to distributed leadership.

'Distributed leadership helps resolve the succession challenge by giving leadership opportunities to the next generation... it frees up experienced leaders (some of whom may be approaching retirement and considering leaving the profession) to take on wider system leadership roles'. (Written submission)

5.40 According to Fullan (2003), the development of leaders of the future is a key function of current leaders and should be measured as such: 'the success of school leaders should be measured not in terms of their impact on student achievement scorers during their tenure, but rather on how many leaders they have developed and left behind who can go even further than they did'. This view was also echoed in our research into leadership in the private sector.

5.41 In the main, the validity of these observations was confirmed during the school visits undertaken as part of our study. Succession planning (or indeed, wider human resources planning) was rare at the school level and, to a lesser extent, at the local authority level, due in part to the perceived competitive environment in which schools operate. A minority of schools do, however, have processes in place to develop their leaders of the future.

'The management team have specific roles and responsibilities and staff at all levels take on responsibilities in order to equip them for middle and senior management roles in the future'. (Deputy head, large rural secondary)

5.42 There are a number of contributory factors to succession planning issues in schools, chief amongst which is the lack of clear career progression for:

- New teachers;
- Pathways for support staff; and
- In-service heads.

5.43 Other factors include perceptions of headteachers' workload and the lack of diversity amongst members of the school leadership team.

### **New teachers**

5.44 Evidence provided during the course of our study suggests that for young teachers, newly entered to the profession, the lack of a clear career path acts as a disincentive to progression and is a contributory factor to the decision of many young teachers to leave the profession early. The average length of time taken to progress to leadership positions compared to other professionals was also viewed as discouraging leadership aspirations. For some respondents, there should also be more flexible career pathways across the children's services workforce, enabling teachers to move between education and disciplines such as social work to enrich the workforce as a whole, given the imperatives of Every Child Matters.

'Part of the challenge here will be to create more flexible career pathways and accelerate routes into senior leadership for talented people, whatever their professional background. It currently takes around 20 years to 'grow' a leader from Qualified Teacher Status (QTS) to headship, over twice as long as for a junior doctor to reach a consultant role... All this reflects the historic hierarchical model in schools, where promotion has been a condition of age, experience and, in some cases, turn, rather than merit or ability'. (Written submission)

'There are a high number of teachers leaving the profession approximately three years after qualifying, due to a lack of clear career paths'. (Reference group delegate)



- 5.45 Within this context it is worth noting that the Fast Track Teaching programme, which began in September 2002, is aimed at addressing such issues and seems to be having some success.<sup>44</sup>
- 5.46 As a counterpoint to this, there are a large number of older graduates who have decided to return or engage with the profession for the first time following careers in the private sector and whose expectations are not likely to coincide with current career pathways, for example, the average time taken to attain headship. It is also clear from our research that, given the reluctance of some heads to relinquish control, there is a lack of opportunity for teachers in some schools to progress. In some instances this is coupled with a perception of a hierarchical system in which the views of all teachers are not necessarily valued, in other words, there was evidence to suggest that a ‘them and us’ culture persists in some schools.

‘In my school the headteacher never goes off site, he must feel he can’t let anyone else make a decision. He doesn’t use the strengths within the school. There is nothing in our school about teachers making a contribution to the management’. (Teacher focus group participant)

‘Schools are very hierarchical. If you’re a classroom teacher, you have very little input’. (Teacher focus group participant)

- 5.47 The ‘hero-head’ approach was linked explicitly to a lack of progression opportunities for more junior teachers. Several respondents thought that greater amounts of distributed leadership would assist in the development of more junior members of staff.

‘Give teachers small management responsibilities e.g. taking care of a short-term initiative, to give people the chance to prove whether they have leadership potential’. (Teacher focus group participant)

### Pathways for support staff

- 5.48 Many support staff who participated in the focus groups felt disenfranchised in terms of career progression. Several cited the lack of appropriate line management arrangements as well as a culture within some schools that does not encourage the progression of support staff, suggesting that performance management practice for these groups could be improved.

‘You never get looked on as a professional person’. (Support staff focus group participant)

‘We’re classed along with admin staff but we’re more aligned with teaching staff. To be classed as “non-teaching staff” is ludicrous’. (Support staff focus group participant)

‘There is no pathway. I think there is a place for people like us for pastoral care on the senior leadership team. I think the best way to do this is to provide training’. (Support staff focus group participant)

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<sup>44</sup> Fast Track Teaching is an accelerated leadership development programme for teachers in the early years of their careers who have demonstrated leadership potential. Fast Track provides a personalised programme of coaching, mentoring and development activities to enable Fast Track teachers to achieve senior leadership roles within four to five years. Fast Track teachers have been in schools since September 2002 and there are currently over 2,000 teachers on the programme (as of September 2006). Over 80 Fast Track teachers have been promoted to formal senior leadership roles - the first Fast Track teacher to be promoted was 29 years old when she became headteacher of a primary school in London. The management of Fast Track Teaching transferred from the DfES to the NCSL on 1 September 2006. The programme supports NCSL's work in developing tomorrow's leaders.

- 5.49 Linked to this were mixed views on the quality of performance reviews for support staff. Several participants in our focus groups were dissatisfied with the process due to a lack of follow-up throughout the year and poor access to training, in some cases due to financial constraints. Some described it as simply a 'box-ticking exercise' while others remarked that the process is not reward-driven. Those that were satisfied have interim reviews throughout the year and thought that their development was viewed as important by the school.

'We have targets, but we never achieve them. It's forgotten about as soon as you leave the room'. (Support staff focus group participant)

'You put in all your targets and your objectives - if you're a member of teaching staff you get a pat on the back and more money - but we don't get rewarded financially'. (Support staff focus group participant)

- 5.50 In some schools, there was evidence from responses relating to the future of school leadership that a cultural divide between teaching and support staff was hindering the effective working of the school and that the development of support staff in terms of career progression could receive greater emphasis.

'There needs to be far greater emphasis and recognition for the developing role of the support team, both on a day-to-day basis and also in the reward and recognition of the work carried out. We are no longer in the dark days of upstairs/downstairs'. (Senior leader survey)

'Teaching and non-teaching leadership roles are of equal importance and should be recognised as such. All schools should have their bursar, business manager or administrative officer as part of the leadership team'. (Senior leader survey)

'There is clear discrimination between teacher and non-teacher status on the leadership team. LAs support this discrimination and it leads to resentment, demotivation and an inability to recruit the high-level non-teaching skills required in successful schools'. (Senior leader survey)

### In-service heads

- 5.51 The lack of pathways for experienced heads was also given as a reason why many heads decide not to remain in the profession. One delegate to the reference group described teaching as "a young person's game", noting that good, experienced teachers need new challenges and that there were insufficient pathways within current structures to allow people to cross over into new roles if desired.

- 5.52 It was suggested that more imaginative, wider and flatter structures are required to create the capacity for heads to step into senior management or consultancy roles and then step back through the creation of a more permeable structure. At present, the role of headteacher was viewed as a daunting 'long-haul', which would become longer as fast-track headships become more common. Linked to this was the risk of boredom for experienced heads.

'The traditional model of school leadership is a big reason why heads don't move on to difficult schools, and it's also a reason why heads leave headship early; they get bored and want a change'. (Local authority respondent).

- 5.53 Increased flexibility was seen as key in the new environment, not just in terms of succession planning challenges but also to develop existing new roles in the light of extended services and multi-agency working.

'I think it's really important for us to encourage multiple career paths with more flexibility where people are moving in and out of different roles, not necessarily at different levels. It could be at the same level moving in and out of schools, across the education service and back into schools, and maybe across other public services... I think that kind of flexibility is really important first of all because of the whole succession planning issue, but secondly I think if you're talking about an extended school setting and multi-agency working, then that kind of flexible approach to roles would actually help join these services up more effectively'. (Stakeholder interview)

### Perceptions of the role of school leaders

- 5.54 Perceptions of the role of heads and senior leadership team coupled with views on pay differentials were also viewed as a disincentive to progression. Previous research studies have shown, however, that deputies and others that have had the opportunity to 'step up' to a headship role are much more positive than their peers about the role of the headteacher, suggesting again that there are benefits to offering secondments and sabbaticals to existing and aspiring heads.

'I think there are a lot of deputies who would make good heads but who see the pressures and demands placed on headteachers and who don't want it'. (Deputy head, large urban secondary)

'It's not worth the hassle. I feel I have sufficient experience to know what it takes to run an effective school, but I think my opinions would count for nothing because national ideas would be thrust forward and it would be a case of "you will do that, you will do the other"'. (Teacher focus group participant)

- 5.55 However, one Children's Trust respondent described how his local authority tries to address these perceptions through working closely with heads to address negative messages while several heads in our survey mentioned (unprompted) the need to change the media and community view of headship.

'[Deputies] see certain behaviour but what they don't see is the sense of enjoyment and fulfilment that headteachers will also say that they have when they are challenged on those apparently negative views and beliefs. We have been saying to our heads, "for goodness sake think of succession planning, make sure that you are telling people that you do love the job despite all the complaining that you do... I can't say all headteachers are like that but certainly quite a few, when you push them they will say, 'but I wouldn't have it any other way, I love what I do, it is a great job and I recommend it to anybody'. They do give out mixed messages and we are trying to work with them on that to try and get them to stop doing that'. (Children's Trust respondent)

'Education of the wider community about the changing roles and responsibilities of school leaders would help us to do our job more effectively - people still have expectations that create difficulties, parents still expect us to act as heads used to do'. (Headteacher survey)

'The view and vision of school leadership has to be raised in order that young leaders wish to move into posts of senior leaders and headteacher posts. We all, that is the media, current leaders and other professionals within education, have a responsibility'. (Headteacher survey)

### A lack of diversity in senior leadership teams

- 5.56 A lack of diversity in the school leadership in terms of gender and ethnic background was seen as one of the main reasons why recruitment and retention of school leaders is an issue. According to the NCSL, targeted campaigns to increase the numbers of women and black and minority ethnic senior leaders and headteachers are a key priority. Its data suggest that increasing the number of female heads to reflect the proportions of females currently at deputy level would generate a further 330 potential heads per year.
- 5.57 Howson (2006) reports that, in regard to school leader appointments in 2005-06, there is a gender disparity by sector, with women overrepresented in the primary and special school sectors and underrepresented at the secondary level. According to this report, primary and special schools still mostly appoint women as headteachers. The percentage of women appointed to headships in secondary schools remained just below the 40% level (Howson, 2006).
- 5.58 In terms of ethnic diversity, for many stakeholders the problem lies in the low numbers of ethnic minority teachers entering the profession. Figures collected by DfES on the ethnic minority teaching population bear witness to the lack of diversity in the sector, with 5.3% of teachers coming from non-white backgrounds compared to 19.7% of primary school children and 16.4% of secondary school students (DfES, 2006). Howson's (2006) research into the appointment of heads, and deputy and assistant heads in England and Wales bear witness to this under-representation. There were 19 qualified teacher appointments to the leadership team from black or ethnic minority backgrounds in the period 2005-06, 15 of which (or 2% of total appointments) were in the primary sector. In secondary schools, there were four appointments - all at deputy head rather than at head level. Representation was viewed as an issue across the board, not only in the teaching profession as a whole, but also in the membership of governing bodies.

'They are not sufficiently represented in governing bodies, they are not sufficiently represented in the teaching population'. (Local authority respondent)

'We don't have any ethnic minority people on the senior leadership team. Even though, without us in the school, the school wouldn't be able to function. It doesn't reflect the school population'. (Support staff focus group participant)

- 5.59 Linked to the diversity issue are perceived variations in the expertise of governing bodies in appointing headteachers. Some stakeholders also indicated that some governing bodies may hold strong views on the experience required for headship and on what a head 'should look like'.

'We've got to find ways of enabling people to take on leadership roles when they're ready to take them on. We tend as a profession to be quite conservative. You can't do C until you've done A or B. Actually some people can do C without doing A or B but it's about how you recognise that potential, identify it, support it and enable the people to grow and develop at a pace that suits them'. (Stakeholder interview)

### Chief Executive models

- 5.60 An important aspect of these developments, particularly in regard to the extended and federated models, is the question of whether or not a school leader needs to be a qualified teacher. At present, the requirement for headship is the NPQH and there is no legal requirement for headteachers to have qualified teacher status, although custom and practice means that there are currently no headteachers to our knowledge who do not have QTS.

- 5.61 Many respondents across all phases of the research expressed strong and often opposing views on this issue. Key issues addressed in this regard include: the changing role of the school and of leaders; potential lessons that can be learnt from other countries and sectors; and the view held by many that professional credibility with the teaching workforce is paramount.

### Roles and responsibilities of the school leader

- 5.62 Many respondents noted that the role and responsibilities of school leaders are becoming more administrative in terms of the tasks to be undertaken, and at the same time the workload of heads is, particularly in the secondary sector, increasing. Splitting responsibilities for administrative leadership and leadership of teaching and learning was viewed as a means of making the role of heads more feasible and of gaining specific leadership expertise in the school. For many respondents, this was tied to the fact that the role of the head is increasingly becoming more business-like. The chief executive model would also enable heads who wish to remain closely associated with teaching and learning to focus more exclusively on their role as 'lead practitioner'.

'Teaching heads will be eliminated... more administration and less juggling. I see this as a good thing as you cannot do a good job in class and be responsible for managing a school'. (Deputy head, small rural primary)

'It's a business. So should that head person be a manager or a teacher? I think it needs a mix'. (Support staff focus group participant)

'It's managing money and budgets. I think it's probably better to have a non-teacher as a head. They might have better management skills'. (Support staff focus group participant)

'I'm not fixed on the headteacher being a qualified teacher. They may have a better appreciation but this can be built... they have to manage people who are not qualified teachers'. (Extended services cluster manager)

'Headship [should] be primarily focused on leading teaching and learning and the activities which directly contribute to this. This shift in emphasis towards headteachers being reaffirmed as lead practitioners is fundamental to ensuring they are fully conversant with the complex learning needs of pupils and, therefore, able to develop a coherent approach within a school to appropriate learning strategies, including the development of personalised approaches'. (Written submission)

### Lessons from other sector and countries

- 5.63 Other sectors and countries provide mixed evidence on the need for qualified professionals as leaders. Leadership is changing not only in education but also across the public sector in the UK. This has led to a need for new skill sets, similar to those we identified for heads previously, such as setting the strategic vision, influencing and networking skills and a more collaborative approach to leadership. This, coupled with increased financial and accountability demands, has led some respondents to query whether lead professionals could fulfil all the necessary roles.

'Doctors don't always make the best chief executives in the same way as player/managers don't always fare well in football - leading an organisation requires a different skill set. You need that corporate perspective on finance, HR, business development...'. (NHS respondent)

- 5.64 NHS management training was also highlighted to us as a valuable example of an incremental approach to leadership development for graduate entrants through exposure to a range of different organisational roles over a four year period. This approach was preferred by some over the appointment of external candidates with generic management qualifications such as MBAs.
- 5.65 In the US, alternative pathways to school leadership are being developed to overcome projected shortages of school leaders. In New York State, for example, 'exceptionally qualified candidates' from other sectors can train as school district leaders but not as principals in individual schools.

'We are still in the early days of this movement to create innovative, effective pathways to school leadership. In fact, while many states have made great progress in tearing down the barriers that keep talented individuals out of the teaching profession, similar barriers remain largely in place for potential school leaders. Nevertheless, even under current constraints, entrepreneurial school districts, states, higher education institutions, and others have developed promising programs that draw new talent into leadership roles and provide job-embedded preparation and support to ensure the success of these leaders in today's schools'. (US Department of Education, Office of Innovation and Improvement, 2004)

- 5.66 Other countries have also experimented with non-teacher leaders, for example, qualified teacher status is not required for school leaders in Sweden. Instead, leaders require 'educational knowledge and practice' as defined by the local municipality and there is no compulsory or licensing school leader education. Sweden is also an interesting case study given that approximately ten years ago there was a refocus of sections of the armed forces which resulted in a surplus of highly trained officers. The Swedish government offered a range of training, mentoring and internships to support some of these officers to become school principals, in light of recurring difficulties in recruiting school leaders. It was found that there were advantages and disadvantages to this approach. Officers were thought to bring specific leadership skills: 'the officers' competence is characterised by high self-assurance, structure and order, courage and tendency to come to decisions, pro-active focus on goals and outcomes and a distinct leadership presence' (Groth 2001).
- 5.67 However, it was also suggested that the single biggest gap in knowledge was that which has been identified within the literature as the 'tacit' knowledge of school leaders. As Groth suggested, the officers' lack of deep knowledge (or cultural knowledge) of the school system was the major impediment to the transition for some.

### **Professional credibility and the centrality of teaching and learning**

- 5.68 Several respondents highlighted leaders' need for professional credibility with the workforce they lead in other sectors such as the armed forces, the police service and the fire brigade. In the same vein, the importance of professional credibility for school leaders was noted frequently by respondents alongside the vocational reasons why many enter the teaching profession in the first place.



'The ultimate decision-making should continue to rest with leaders who hold QTS and who are able to balance practical and financial concerns with their educational consequences in order to make informed choices'. (Written submission)

'Government policies are leading towards non-teaching leaders. This may be discouraging as people enter education with a desire to teach'. (Deputy head, medium-sized urban primary)

'How can you manage the job without having done the job? There is no doubt that you need to have business skills, but to manage people in a school you need to have teaching experience'. (Support staff focus group participant)

'A qualified teacher has to be the head in a primary school as the curriculum and its delivery is very tied up with the role. Also, a non-teaching head would not have much credibility with staff'. (Headteacher survey)

- 5.69 Accountability measures and success factors for the future are also important, with improvements in teaching and learning at the core. As Elmore (2006) suggests 'in an institutional structure in which the governance of schools is increasingly defined by accountability for performance, leadership is the practice of improvement - like it or not... the necessary condition for success of school leaders in the future will be their capacity to improve the quality of instructional practice'.

'The head may become more a system leader, while the deputy leads learning and teaching in each school. Nonetheless, the skill sets required argue for a solid base in first-rate practice so that heads may properly be able to judge the educational impact of strategic decisions for which they are responsible'. (Written submission)

### Potential options for the future

- 5.70 Our research has shown that the role of the headteacher is changing and that he or she is increasingly acting as a Chief Operating Officer as well as a professional leader, with growing responsibility for accountability and administration. Linked to this, it is clear that the nature of the school site is also changing. As the ECM and 14-19 agendas increasingly take effect, there will be an increasingly diverse workforce located in, or around, the school and a wider range of services will be provided on its grounds.
- 5.71 In this context, it is likely that, in many cases, the site of the school will evolve into a 'community campus', providing a range of services to parents and families, and the wider local population. Our research has also shown that many heads believe there is a need to appoint (or train) senior leaders with expertise in managing these extended services. In some cases, where the range of services provided is relatively small and expertise is available, it is likely that the headteacher could delegate day-to-day responsibility for extended services to a senior member of the school workforce. In other cases, where full services are provided, it may be appropriate for overall accountability to lie elsewhere. This is also the case in a range of other models such as federations of small primaries for example.
- 5.72 It has been repeatedly shown throughout the course of this research that there is no one single model that can apply across the sector and that many variations have developed dependent on local context. Given this, it seems to us that recruitment decisions should remain with governing bodies so that they may respond to the particular needs of their school.



- 5.73 Notwithstanding this and given the evidence about the changing demands on school leaders, it is our view that, where a school (or group of schools) has decided to separate out the Chief Operating Officer role from the professional leadership role then there should be no barrier to an individual without qualified teacher status taking on that leadership role, even where it is constituted as a 'Chief Executive' position to which the professional leadership reports. Such individuals could well have long-standing experience of working in a school environment or in a wider children's services or voluntary sector setting, but they could also be from other backgrounds that provide relevant skills. In such circumstances it will be crucial that there is also a senior qualified teaching post on the senior leadership team to provide professional leadership and act as head of teaching and learning.

#### Quotes from the research

'An area chief executive to manage schools strategically within collaboration with deputy heads to micromanage individual schools'. (Headteacher survey)

'Chief executives - I think it is heading that way. There are so many initiatives to introduce... the head becomes chief executive and the deputies become heads...'. (Deputy head large urban secondary)

'In the future, I can see each school having one deputy headteacher to manage the day to day running, with a business manager to organise the finances, purchasing, premises etc, with schools being federated within a shared ethos and several schools sharing'. (Headteacher survey)

'I think there should be two heads, one academic and one management. The academic aspects of school life are pushed aside because headteachers have so much else to deal with'. (Teacher focus group participant)

'A more business model of leadership, i.e., executive headteacher. The role of headteacher requires review'. (Headteacher survey)

'In the NHS you have a clinical director and an admin person and I think that's the way schools should go. Instead of those people at the top... they should be the best teachers, they should be the role models for teachers, they should be doing model lessons and that kind of thing'. (Teacher focus group participant)

'The model I always use is the health service one, that the most highly paid person in a National Health Trust is the clinical director, and the clinical director still practices medicine, and he or she does that because it is an issue of peer credibility, it is an issue of somebody representing them and having that overview. Somebody who actually understands what their job involves and can practice themselves'. (Stakeholder interview)

'In the complex organisation that some secondary schools may become in the future, with extended school provision, teacher training capacity, health and other services on site, as well as the prime activities of teaching and learning, ASCL believes that it will be possible for someone without qualified teacher status to be the chief executive of such an institution. It is, however, vital to ensure that the responsibility for learning and its outcomes continues to be vested in the control of someone who has QTS and has the qualifications and experience to carry out these responsibilities effectively'. (Written submission)

'People such as directors or chief executives, or leaders of charities, organisational managers. I wouldn't apply for a headship but I would apply to be a chief executive of a service, my background [is] in education, I'm an ex-teacher. I could be a probation officer or a social worker; it wouldn't make any difference. What suits me to doing that role are the things which I have done over the last 10 years around project management, auditing and government, people management, being a director in a large organisation, that's what fits me for that role, not being a teacher. It might give me additional credibility with the teachers but it's not going to give me any additional credibility with the social workers or the health service professionals. I think you would be [drawing] from a much larger pool and that's got to be good'. (Stakeholder interview)

- 5.74 Furthermore, to supplement such an approach, distinct leadership pathways should be developed for new teachers, enabling specialisation in either leadership and management or in professional (class-room based) skills. This approach would assist in stemming the numbers of new teachers leaving the profession in the early years of their career. Linked to this, the Department should continue to review its fast-track leadership programme and to consider programmes which aim to attract candidates with experience in other sectors into teaching. Also, in our research, a few headteachers expressed to us their desire to relinquish their teaching commitments entirely. The chief executive model does not preclude existing or future heads from assuming this role if they have the necessary skills and, at the same time, there is a dedicated senior leader focused on teaching and learning.

## Conclusions

- 5.75 There is clear evidence in the literature and elsewhere that distributed leadership is key to the success of organisations in both the public and private sectors. In the school sector, distributing leadership is therefore a means of making the role of the head more effective as well as more attractive.
- 5.76 The majority of respondents to our survey described leadership in their school as distributed to some degree and this was largely described as effective. However, there is also evidence to suggest that distributed leadership is not occurring effectively in reality: this is suggested by the reported workloads of heads and the views of non-leader members of the school workforce and of heads regarding the tasks they would like to delegate. As the role of the headteacher evolves in line with the changing educational landscape it is likely that distributed leadership will become even more important.
- 5.77 Activities which heads would most like to delegate include building management and maintenance, the budget, personnel management and administrative tasks. Availability of finance is the main constraint on delegation, with the accountability responsibilities on heads also important. 'Hero-head' perceptions amongst heads themselves, coupled with parental and community expectations of an ever-present, ever-available head also hinder the extent to which leadership can be distributed.
- 5.78 Our research suggests that in some schools, the composition of the senior leadership team is becoming more diverse in terms of the background and areas of expertise of members. Problems with diversifying the team and the school workforce in general include differences in terms and conditions of service, line management arrangements and terminological barriers associated with multi-agency working.
- 5.79 Building capacity in existing and future leaders to equip them with new skills, knowledge and attributes is crucial. However, in terms of qualifications and training provision, headteachers requested more flexible and personalised learning opportunities, delivered at locations close to them. There were mixed views on specific qualifications such as the NPQH (currently under review by the NCSL). Providing opportunities for heads to experience other working environments or ensuring that heads have sufficient reflection time was thought to be a useful means of developing leaders and preventing fatigue and is also a common benefit in other sectors.
- 5.80 While access to coaching and mentoring activities as a development tool is widespread in the literature, heads and senior support staff expressed some reservations about the level of support provided by professional networks. There was also a marked disparity between the views of primary and secondary school heads on the effectiveness of School Improvement Partners with secondary heads more ambivalent about the benefits of the system - despite the fact that SIPs are more embedded in this sector than in primary.

- 5.81 Succession planning for existing and future leaders is key given the predicted shortages of headteachers identified by NCSL and others. There was a general view that succession planning, whether within schools or across local authorities, was not systematic. Despite this, it is evident from our review of leadership in the private sector that developing new leaders should be a key function of senior leadership team. Our research identified a number of issues which contribute to the current under-supply of headteachers, including a lack of distinct career pathways for new teachers, support staff and existing heads, suggesting that new progression routes are required for these groups.
- 5.82 Also important in this context were perceptions of headteacher workload as a disincentive to progression, the lack of diversity in senior leadership teams (particularly in terms of gender and ethnic minority background), and the level of expertise of governing bodies in appointing school leaders.
- 5.83 The changing role of the headteacher towards a more 'business-like' or 'chief executive' type model, alongside the changing nature of the school site also raises the question of whether a school leader should have qualified teacher status. There were mixed, and often very strong, views on this issue in our research as well as some evidence from other sectors and countries which suggests that a new approach to school leadership can introduce different skill sets and expand the pool of leadership talent. Whilst the final decision on recruitment and appointment of school leaders should continue to rest with governing bodies it is our view that there should be no barriers for individuals with the relevant skills to take on the leadership role as long as there is always a senior qualified teacher on the team to act as the 'lead learner' and direct teaching and learning within the institution.

# 6 Governance and accountability

## Introduction

6.1 Emerging and new structures of school leadership raise questions regarding the appropriateness and effectiveness of governance arrangements and, consequently, the terms of reference for the study asked us to examine the interaction between leadership teams, and existing and emerging forms of governance. This section of the report therefore examines issues around current school governance and accountability. It also examines the changing relationship between schools and local authorities, particularly in light of the development of Children's Trusts. It is structured as follows:

- The sustainability of existing models of school governance;
- Modernising the operation of governing bodies;
- Levels of accountability and school governance;
- The relationship between schools and local authorities; and
- Conclusions.

## The sustainability of existing models of school governance

6.2 As the strategic, accountable body for the school, the governing body clearly represents an important element of school leadership. Despite this, however, there is some evidence that the current models of governance are not sustainable in terms of the recruitment and attendance of governors and their effectiveness and skills. The recruitment and attendance of school governors were viewed as particular issues for smaller schools and those in rural areas. According to some Reference Group delegates, this has led in some instances to a 'bums on seats' approach rather than a focus on the skills required.

'Schools want to fill the room rather than say 'we need these qualities''. (Reference group delegate)

'It's difficult to recruit governors and they don't have the time to commit'. (Headteacher survey)

'It's difficult to recruit people with the appropriate calibre and skills'. (Headteacher survey)

'There is a difficulty in recruiting governors. Although I have an excellent Chair I rarely see other governors. They generally only attend meetings and then rarely do they prepare, e.g. read any documents issued in advance'. (Headteacher survey)

'I'm finding it difficult to get quality people to do a quality job'. (Headteacher survey)

'A lack of willing volunteers to fill posts means a lot of pressure is put on a few'. (Headteacher survey)

'Attendance has been a big issue that you come across in rural schools'. (Stakeholder interview)

- 6.3 Problems associated with recruitment and attendance may be linked to the current workload of governors. In our survey, just under half of the responding governors (46%) stated that they worked more than 100 hours each year in their role as a governor, the equivalent of almost three working weeks (in contrast 14% reported working less than 20 hours). Governors in rural areas were more likely to work over 100 hours (49% compared to 44% in urban areas). This mirrors a 2004 DfES survey in which just over half (53%) of governors said that they had too much work to do. Headteachers in our survey also thought that the level of governors' accountability and workload is too high, particularly given the volunteer status of governors.

'Although the governing body are very supportive and as head I keep them fully informed, they do not have the experience, information, time or commitment to support the school fully'. (Headteacher survey)

'All are interested but they are busy people and commitment to the school can vary - the roles have changed and it can be the same teams who carry the burden - it's not the governors' fault but more and more responsibility is being passed onto them'. (Headteacher survey)

'I wish to comment on the heavy load of responsibility placed on governors who are volunteers. Sometimes we feel exploited. Also, our most active governors are all retired from paid work. What will happen when the retirement age rises?' (Governor survey)

- 6.4 Not only did the turnover of governors impact on the extent of strategic direction that a governing body could provide but it was also thought to have a negative impact on the workloads of heads and other members of the senior leadership as high turnover in governors requires more time dedicated to briefing and induction.

'We have a new governing body which is gradually developing its role. However, the time taken to support and train them is huge'. (Headteacher survey)

'As a small school, the turnover of governors is too great for them to become effective in comparison to the amount of work I have put into managing them. One or two specific professional partners would be far more effective and supportive'. (Headteacher survey)

'Turbulence - we can never keep a governing body (only three out of ten have been with us more than two years) and the constant induction makes us less effective'. (Headteacher survey)

- 6.5 Some respondents queried the effectiveness of governing bodies, given the increasing autonomy enjoyed by schools and the subsequent need for stronger governance. Levels of confidence and skills amongst governors were key issues identified.

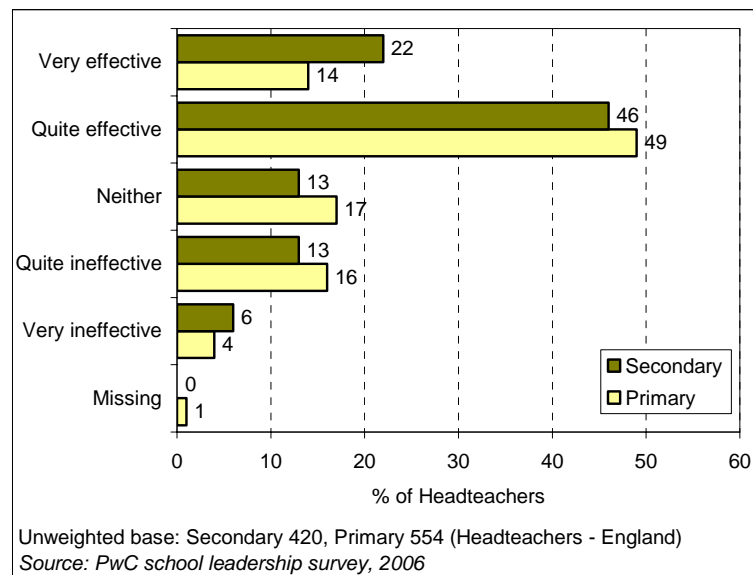
'The main barriers for governors are confidence, skills and time'. (Former head)

'In some schools the pool of skilled people doesn't exist and so it's not feasible for governors to take over more responsibility'. (Headteacher, medium-sized urban primary)

'If you are going to have more autonomy for heads with this greater degree of flexibility, you have to have a governing body that actually understands what's happening and is able to put the checks and balances in the system'. (Stakeholder interview)

- 6.6 In our survey, secondary heads (68%) were slightly more likely than primary heads (63%) to state that their governing body was quite or very effective. However, one fifth (21%) of the participating headteachers described their governing body as quite or very ineffective which suggests that there is need for capacity building measures for some governing bodies in order to provide the strategic challenge required. There was no real difference between sectors in relation to those that thought that their governing body was ineffective.

**Figure 6.1: Effectiveness of governing body**



- 6.7 The following table lists the main reasons why headteachers described their governing body as effective or ineffective.

Headteachers' views on governing bodies			
Governing body is effective...	%	Governing body is ineffective...	%
Listen to/support head	31	Inexperienced/lack of skills & knowledge	14
Sensible proactive approach/challenge situations	19	Little or no proactive support/do not practically assist head	11
Sufficiently active role/good meeting regularity and/or attendance	17	Do not take a sufficiently active role due to lack of ability/interest	9
Knows the school well/active with issues	14	As volunteers they are limited	8
Good range and use of skills/good chair	13	Don't ask right questions/don't add a lot to the school	7
Very experienced/able to take work off head	11	Problems attending/during meetings	7
Positive approach	8	Development/induction of governors	6
Very capable/asks the right questions	5	Difficulty recruiting governors	4
		Can't keep governors for very long	3
		Vacancies/need more governors	3
	n = 733		n = 248

Source: PwC school leadership survey, 2006

- 6.8 Effective governing bodies were therefore viewed as those that communicate well and are supportive of the head, take a pragmatic approach and demonstrate commitment to the role. Governing bodies that were perceived to be ineffective were described as inexperienced, lacking skills and knowledge, or having a low level of involvement. The Reference Group and a number of other stakeholders also suggested that there was great variation in the practice of governing bodies and that a more strategic approach to governance is required in the new school environment.

'There are governors who want to micro-manage and governors who just leave you alone. They can be very protective of their schools, and that can retard strategic planning and effectiveness'. (Local authority interview)

- 6.9 However, when governors were asked about the ways in which governors of the future could best support leaders of the future, the responses focused either on the strategic nature of the role or on enabling more effective governing through training and better briefing.

How can governors of the future best support leaders of the future?	%
Ensure that governors are fully trained/qualified/have a good understanding of the issues	23
Improved/closer working relationship	22
Select governors that are interested/skilled and committed to the role	12
Have a body that will challenge the senior leadership team	11
Agreement/focus on the strategy for the school and for pupil and staff development	6
Visiting the school/attending meetings regularly	6
Ensure effective use/availability of time	6

Source: PwC school leadership survey, 2006

- 6.10 Throughout the study, several respondents highlighted the importance of governing bodies as representatives of the local community, but there were some concerns about the general lack of diversity in the composition of these bodies. Groups currently under-represented in school governance include: black and other minority ethnic groups, disabled people, people with low incomes or who are unemployed, young people, lone parents and (to a lesser extent) business people (Ellis, 2003). Some stakeholders also queried the current size of some governing bodies relative to the numbers of pupils and staff in some schools. Several headteachers who responded to the survey thought that the voluntary nature of the role made it less likely that governors represented their community and this was also thought to impact on the skills that were brought to the school.

'It is more important to have a governing body that's representative of the school community and is committed to that community rather than somebody who's got a lot of professional skills but who is rather detached from the school'. (Local authority respondent)

'The current stakeholder model of governance can work against the critical friend, the challenge and support aspect, because as a stakeholder you become very loyal to your school'. (Stakeholder interview)

'All governors voluntarily give up their time to be a governor. Therefore there is no appraisal of their work or lack of work. Governors tend to be either middle-class or elderly with no idea of the modern workplace'. (Headteacher survey)

'As lay people they simply do not understand the complexity of their role and the constant initiatives and changes perplex them'. (Headteacher survey)



- 6.11 Notwithstanding this, there is increasingly a move towards strengthening the focus on skills in the recruitment of governors. This was viewed as important in the context of increased accountability on governors through firstly, the growing autonomy of schools, and secondly, the changing nature of the school environment with the advent of extended schools and Children's Centres for example.

'The right question has to be what is the best body to add value to the school in strategic planning [and in] holding the school to account... You may well end up with a representative structure, but I don't think you should start with that. I think you should start with what do you need from the bottom'. (Stakeholder interview)

'Governing bodies should be much smaller and much more strategic... Would that lead to better quality governors because you needed less governors who needed less time but who needed more skills because you have got to be able to absorb and understand the data, and then you have got to evaluate?' (Stakeholder interview)

### Modernising the operation of governing bodies

- 6.12 In light of the points above, there are a number of ways in which governance structures could be modernised, for example, making it easier for people to become governors, enabling more effective working, rewarding governors and developing new structures of governance.

- 6.13 The time commitment required of governors was viewed as a disincentive for volunteers. Suggested solutions in the research included encouraging businesses to make it easier for governors to attend meetings during the day and using school facilities to provide childcare places for governors during meetings. Training for governors was thought to be a crucial issue, but difficult to implement given their volunteer status. Some thought that governors should have the capability and the necessary access to permit online working.

'Potential governors should be required to undertake an induction course before becoming a full governor. They don't realise their full responsibility and accountability. They need that understanding before committing 100%'. (Former headteacher)

'Governor training is very patchy and there is an expectation that governors will be trained but nothing beyond that, one of the things that we are fighting for is that induction training will be made mandatory, but we are always being told that you can't do that because they are volunteers'. (Stakeholder interview)

'I think governors cannot actually do the job now if they're not on-line'. (Stakeholder interview)

- 6.14 For some respondents, the increasing demands on governing bodies, and consequent increases in time spent and accountability, should be rewarded.

'We can't grow without a good governing body and a good senior leadership team... good people are precluded. They should be paid for their time'. (Member of a governing body, large rural secondary)

'I think it is a cheek to actually think that people should give up their time and take on this role. This is outdated and outmoded; people should be rewarded for this responsibility'. (Deputy head, medium-sized rural primary)

- 6.15 In contrast to this view, however, there is still a strong volunteer ethos in the sector. For example, evidence collected by the National Governors Association (NGA) in a 2005 survey suggests that a third (32%) of governing bodies do not have an expenses policy and a further 10% have a policy of not claiming expenses as this would be taken out of the school budget.<sup>45</sup>
- 6.16 There is also evidence that governance arrangements need to evolve to adapt to new models, with, perhaps, the creation of 'meta-governors' working across a number of schools in a locality in the same way as a group of schools could have an executive head. Our section on models of school leadership provided some examples of schools where this is beginning to happen. The federated model offers a range of new governance models at a number of different levels and many respondents could see advantages in grouped governance arrangements, specifically in relation to the recruitment of heads and neighbourhood renewal through the ECM agenda.

'There is a problem with recruiting governors in rural Wales. If we go down the federated route there is an opportunity to gain economies of scale by having one governing body for say three schools'. (Former head)

'Governance has evolved more slowly than the pace of change. Over the next five years, we're going to see more headteachers playing an associate role across two or more schools. You need to have some sort of process by which the governing body can fulfil the statutory requirements in their own school, but also start to harden relationships across the two schools. They shouldn't be treated as separate entities'. (Local authority respondent)

'If you are looking at neighbourhood renewal, then you could argue that an umbrella governance structure would answer a lot of the issues around meeting the needs of the ECM agenda'. (Local authority respondent)

'Governors over two or more local schools could be effective'. (Headteacher survey)

'I think that cross-phase governance shared between school federations has an important role to play'. (Senior leader survey)

- 6.17 In addition, we discussed the emergence of the trust school model with the passing of the Education and Inspections Act in November 2006. This model will introduce new freedoms for existing governing bodies who wish to assume Trust status to decide the number of governors that should be appointed through the Trust. The DfES states that the Trust model will strengthen governance by enabling Trusts to appoint governors from the partner organisations which could include further and higher education institutions or business foundations, thus strengthening the strategic expertise available to the school. It is also thought that these arrangements will, through a shared and formal framework for governance, help schools work together more closely.

### Levels of accountability and school governance

- 6.18 A major concern expressed in the fieldwork related to the accountability of governors in new structures, particularly in light of the points raised on the lack of reward and varying degrees of capacity noted above. Specific issues were raised in particular about the accountability of governors of schools providing extended services.

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<sup>45</sup>Good Practice in Developing an Allowances Policy for Governing Bodies 2005 (DfES, 2005).

'They do this on a voluntary basis. I think if we are not careful, the amount of blame and accountability put on their heads will put them off'. (Headteacher, large urban secondary)

'We have been very concerned from the outset of the extended schools agenda about the governance, responsibilities and accountabilities in an extended school. How, for example, does the accountability of governors of an extended school square with the overarching control of the director of children's services?' (Written submission)

'The key issue is that governors don't know what they are to be responsible for'. (Stakeholder interview)

'[Extended services] is a particular difficulty for governors that they will actually be responsible for issues that they may not even be aware are happening'. (Children's Trust respondent)

- 6.19 There was a perception that there was a lack of information available to governors on extended schools and that headteachers should ensure that their governing body is sufficiently educated in this area. Some local cluster managers suggested that governing bodies are only in the 'early stages' of understanding the accountability implications.

### The relationship between schools and local authorities

- 6.20 The development of new models and ways of working both within and between schools and other organisations and services also brings into focus the relationship between schools and local authorities. In addition, the Education and Inspections Act 2006, which came into force on 8<sup>th</sup> November 2006, gives a more strategic role to local authorities from May 2007 to: promote choice, diversity, fair access and high standards; ensure a sufficient supply of school places<sup>46</sup>; help all schools improve standards through SIPs; and take decisive action where schools fall below expectations.

- 6.21 These new arrangements, alongside the introduction of Children's Trusts<sup>47</sup>, are likely to have a significant impact on the ways in which schools organise internally and externally. Over half of governors (54%) who responded to our survey believed that their school's relationship with the local authority is changing. Over the last three years, the main changes were thought to be improved support from the local authority e.g. through SIPs (17%) and, at the same time, greater autonomy for schools (14%).

'I have a good working relationship with the Local Authority - it is getting more equitable and equal, and at the same time less patriarchal'. (Headteacher)

- 6.22 Local authority respondents thought, in general, that despite increased autonomy for schools, there should still be a substantial role for local authorities.

'Many feel that they can run their schools almost like little businesses... that does ignore community responsibility. That community responsibility needs to be managed by something... I think schools end up the poorer for not having some kind of local authority involvement'. (Local authority interview)

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<sup>46</sup> Letting popular schools expand or federate and closing schools that are poor or fail to improve (House of Commons Research Paper, 2006).

<sup>47</sup> By 2008, all local authorities should have established a Children's Trust or equivalent as part of the Every Child Matters agenda.

- 6.23 It was also suggested that increased independence makes monitoring and supporting schools more difficult, and it can create problems for children wishing to move schools. Other potential problems raised by local authority respondents included increased industrial relations difficulties, inconsistent performance management and perceived abuse of the flexibility around reward systems.
- 6.24 In terms of Children's Trusts, the first evaluation of the pathfinders was published in 2005. It reported that, in the small number of schools that had engaged with Children's Trusts: 'a number of positive impacts were reported: on children's wellbeing, information sharing protocols, identification of children at risk or in difficulty, and sometimes on case management, levels of temporary and permanent exclusions, and overall attendance' (University of East Anglia & the National Children's Bureau, 2005). The evaluation also listed a number of implications for 'managers of services' within a Children's Trust, including school leaders. These are presented in the following table.

<b>National evaluation of Children's Trusts: realising Children's Trust arrangements (2005)</b>	
<b>Managers of services need to prepare for...</b>	
<ul style="list-style-type: none"> <li>Integrating processes into service delivery e.g. common assessment framework, information sharing arrangements</li> </ul>	<ul style="list-style-type: none"> <li>Developing frontline professionals' and new workers' capacity to implement new integrating processes</li> </ul>
<ul style="list-style-type: none"> <li>Developing the knowledge and skills of staff in universal services</li> </ul>	<ul style="list-style-type: none"> <li>Developing the capability of some staff to work in multi-agency teams</li> </ul>
<ul style="list-style-type: none"> <li>Ensuring that there are sufficient staff to fill posts left vacant when staff are recruited to multi-agency teams</li> </ul>	<ul style="list-style-type: none"> <li>Finding suitable accommodation and resources to facilitate new ways of integrated working</li> </ul>
<ul style="list-style-type: none"> <li>Ensuring robust supervision and training for staff in both their new roles and in their deployment of foundation skills in new contexts</li> </ul>	<ul style="list-style-type: none"> <li>Redesigning services to meet the systemic needs of children and young people</li> </ul>
<ul style="list-style-type: none"> <li>Developing participation skills</li> </ul>	

- 6.25 In one area, the Children's Trust agenda is viewed as challenging for school leaders but the pathfinder was thought to be working well. This pathfinder is characterised by a high degree of engagement of schools at the planning level and of consultation with young people in schools. In another, the Children's Trust respondent we spoke to described a vision of schools at the centre of community regeneration. For another, behaviour rather than structures is important in the new arrangements, based on the willing collaboration and contribution of all partners.

'I would like to see the schools being seen as the heart of social regeneration, and the headteachers realise the opportunities that they have got to put the school into the middle of everything that goes on in that community. For that to happen I would expect the headteacher to get more involved in the school activity but that would have to be at the expense of other duties which comes back to what you want the headteacher to do'. (Children's Trust respondent)

'I'm a strong believer that we can't really fail if we get the culture change right. For me, it's not really the structure that we've introduced, it's the fact that the people want to do it, want to change the way that they work, want to build relationships, and want to understand better what other people do. That's what's going to make the difference'. (Children's Trust respondent)

- 6.26 Several respondents noted that some heads were not always informed about new developments in the local authority area and that this was particularly the case in regard to the new commissioning arrangements. Specific complications at the level of the Children's Trust arise from: different commissioning arrangements across existing organisations; structural changes in organisations such as primary care trusts; uncertainty over the extent to which schools and Children's Centres will commission services themselves; and agreeing funding priorities across a range of agencies.
- 6.27 However, in one Children's Trust, schools are beginning to discuss commissioning as part of a federation within the framework of the Trust in order to, for example, employ specialist support staff such as mental health nurses across a number of schools. In another Children's Trust in an urban area, the extended schools model has been adapted by grouping schools into clusters.

'We are using a different model to the national extended school model, because of our urban nature we have got lots of schools very close together, so what we have done is put schools into cluster groups, rather than each school have to deliver extended services on its own'.  
(Children's Trust respondent)

## Conclusions

- 6.28 The main findings in this section suggest that there is clear evidence of the need to modernise governance arrangements and clarify the accountability regime in light of the emergence of new ways of working. There are two key aspects to this:
- Recruitment of governors and attendance at meetings; and
  - The level of capacity within the governing body to provide strategic direction and to act as a critical friend to the headteacher.
- 6.29 Recruiting governors and achieving good attendance at meetings are difficult for some schools, particularly smaller schools and those in rural areas. In addition, governor workloads are relatively high: our survey findings suggest that half the governors who responded spend the equivalent of almost three working weeks a year or more on governing duties.
- 6.30 There was perceived to be great variation in the effectiveness of governing bodies with one in five headteachers describing their governing body as ineffective and a similar proportion describing it as very effective. Differing levels of confidence and skills between governing bodies were the main reasons provided for this variation. Headteachers described their governing body as effective relative to the support provided by the governing body, good communication, and a pragmatic and active approach on the part of the chair. For those heads who described their governing bodies as ineffective, the main reasons given were inexperience, insufficient skills and knowledge, and a low level of practical assistance. In the main, governors would welcome better and closer working relationships with their headteachers. They also want more training in order to better support school leaders of the future.
- 6.31 There were mixed views on the composition of governing bodies. Some participants in the research frequently emphasised the need for a skills-based approach to recruiting governors, while others preferred to retain the element of community representation. Some stakeholders also thought that the size of governing bodies in some schools is currently too large in relation to pupil and staff numbers.

- 6.32 A number of ways of modernising current governance arrangements were identified, including making it easier to be a governor in both practical and operational ways. Practical solutions suggested by participants in this research included encouraging employers to provide time off work for governors and childcare provision. Operational solutions included additional training, particularly induction training, and ensuring that all governors have ICT resources to enable on-line working. Several respondents suggested that meta-governance arrangements across a number of schools would assist in the creation of more strategic governing bodies.
- 6.33 There were several concerns regarding the introduction of new models and current governance arrangements in regard to accountability issues. These related to the division of accountability between governors and directors of children's services, the level of accountability on governors, and the degree of clarity and/or knowledge amongst governors regarding their accountability and the extent of their responsibilities regarding extended services.
- 6.34 There were mixed views on whether governors should be rewarded for their work. Several school leaders thought that, with more school autonomy and therefore more accountability for governors, governors should be paid for their time. However, several stakeholders emphasised the strong public service ethos amongst governors.
- 6.35 A majority of governors responding to the survey believed that the relationship between their school and the local authority had changed over the last three years. This relationship is likely to continue to change with the advent of Children's Trusts or similar arrangements. The Children's Trusts will also impact on the role of school leaders and models of leadership as the new commissioning procedures and greater degree of multi-agency working come into force.

# 7 Reward

## Introduction

7.1 In this section of the report, we examine reward in relation to issues surrounding new roles for school leaders, differentials, reward for new leadership roles, the level of flexibility in the current system, and linking reward to individual performance. Firstly, we present baseline data in current pay levels for members of the senior leadership team across England and Wales and headteachers' views on current salary levels. This section is therefore structured under the following headings.

- Current salary levels for the senior leadership team;
- Views on the operation of the current reward system;
- Differentials;
- Rewarding new roles for school leaders;
- A flexible approach to reward;
- Linking reward to the performance of school leaders; and
- Conclusions.

## Current salary levels for the senior leadership team

7.2 In the schools visited, there were mixed views on the adequacy of reward. In general, many respondents were positive but qualified their statements with reference to their workload and to professional comparators such as solicitors and doctors. The following table presents some contrasting points of view on pay raised by governors, heads and other members of the senior leadership team during the fieldwork visits.



Rewards and incentives are adequate...	Rewards and incentives are inadequate...
<b>Governors</b>	
<p>'We have never had a complaint. Staff are rewarded for the successes of the school. This stretches them, but they are adequately rewarded'. (Large urban secondary)</p> <p>'I think the headteacher is satisfied with what she gets and I think most of the salaries are reasonable to be honest. I think the package is reasonable'. (Medium-sized primary)</p>	<p>'The headteacher's reward is not enough for what she does... her management is excellent'. (Small urban nursery)</p> <p>'Pay is not enough, but the headteacher doesn't complain'. (Small rural primary)</p> <p>'I think our hands are tied and they know what they can be given... and we know they are worth more and we try to make them feel valued'. (Small rural primary)</p>
<b>Headteachers</b>	
<p>'I feel I am relatively well paid and there has been pay progression. I don't think pay is the issue'. (Large urban secondary)</p> <p>'The conditions of employment meet the needs we have'. (Medium-sized urban primary)</p> <p>'It meets my needs really well'. (Small rural primary)</p>	<p>'It doesn't meet the needs of a co-headship model as it is not recognised by the DfES. The co-head is rewarded on the deputy head terms and conditions with an extra letter'. (Large urban secondary)</p> <p>'If you compare my salary to a GP blatantly no! But this job is not all about money'. (Large urban secondary)</p>
<b>Other members of the SLT</b>	
<p>'It meets my needs and expectations'. (Medium-sized urban primary)</p> <p>'I enjoy the job and don't think much about it. Beyond praise, I am not looking for additional perks'. (Large urban secondary)</p>	<p>'They are not paid enough for the job - too many hours. Compared to other professionals... they are quite badly off'. (Medium-sized urban primary)</p> <p>'I think you can get a nice salary, but you are on to a loser - you do it for the love of it here, not for the money'. (Class teacher, small rural primary)</p>

Source: PwC school leadership school visits, 2006

- 7.3 In the survey, when asked their views about the future of school leadership, many respondents raised the issue of the level of current salaries for the senior leadership team. Several governors and heads thought that current salary levels are inadequate particularly in comparison to private sector comparators, and in relation to the level of accountability and responsibility associated with school leadership.

<p>'The responsibilities are huge and are leading to senior posts remaining unfilled. Salary scales and rewards must be set at a level where this responsibility is properly recognised'. (Governor survey)</p>
<p>'The job of a headteacher in a large secondary school is very demanding. They should be better rewarded financially'. (Governor survey)</p>
<p>'There is a real need to enhance the salaries of both heads and deputies'. (Headteacher survey)</p>
<p>'Financial reward does not match anywhere near the overall responsibility - comparisons to the private sector for example show us to be between £20k and £30k less well off'. (Headteacher survey)</p>

- 7.4 The quantitative phase of our research collected data on current salary levels of the senior leadership team. The following table illustrates the distribution of salaries of headteachers in England by sector. Overall figures are provided for Wales given the lower number of responses for each school type.

Distribution of headteacher salary by sector (England) and Wales					
	England				Wales
	Primary %	Secondary %	Nursery %	Special %	%
Less than £40,000	5	0	14	5	5
£40,000-£49,999	56	7	71	19	29
£50,000-£59,999	31	11	15	39	18
£60,000-£69,999	6	30	-	27	24
£70,000-£79,999	1	26	-	10	12
£80,000-£89,999	-	16	-	-	11
£90,000-£99,999	-	5	-	-	1
£100,000+	-	4	-	-	-

Source: PwC school leadership survey, 2006

- 7.5 More than nine out of ten (92%) of headteachers in the primary sector reported that they earned less than £60,000 whereas 81% of heads from the secondary sector earned more than £60,000. A similar pattern emerged when small schools and large schools are compared. In small schools, 92% of heads earn less than £60,000 whereas in large schools over 90% earn more than this. Furthermore, as would be expected, salaries in London and the South East tend to be higher than any other regions. The weighted average salary for primary school headteachers is calculated as £50,774 and for secondary headteachers is £70,234. Current levels of pay were also thought by some survey respondents to be impacting on recruitment and succession planning.

'The package for school leaders has to be made more attractive otherwise the difficulties in recruitment will continue to get worse'. (Headteacher survey)

'Heads will need to be paid a whole lot more in future. Two of my deputies have the NPQH and another has the ability to be a head. All three will 'act up' in my absence, but none wants to take on this ultimately lonely and risky role'. (Headteacher survey)

'If there are to be enough primary heads in the future, the pay and rewards structure must be much more attractive'. (Senior leader survey)

'In schools teachers need a greater incentive to take on additional duties. These rewards should be through an extended spine for salaries'. (Headteacher survey)

- 7.6 A formal and comprehensive review of the reward system, which is beyond the scope of this research study, might be considered in order to undertake a comparison between school leaders' salaries and those of other professions. Such an exercise would require a detailed analysis of the skills and responsibilities of school leaders through a structured job sizing methodology, enabling comparisons to be made with posts in other parts of the public sector and also the private sector. Within this context it is worth noting that, according to the latest available figures from the DfES, the earnings of school leaders grew by 19% in real terms between 1997 and 2003. This seems to compare quite favourably to increases in earnings elsewhere in the economy; for example, according to data from the Office for National Statistics (ONS) average earnings for public and private sector workers increased by 12% between 1997 and 2003.<sup>48</sup> A job sizing exercise could in principle establish whether the earnings growth for headteachers is commensurate with the growing and changing responsibilities of school leaders.
- 7.7 Despite our earlier finding that there are no major differences in the tasks undertaken by deputy and assistant heads, the salary ranges for each group demonstrate that, particularly in the secondary sector, deputy heads are paid significantly more.

Distribution of deputy head salary by sector (England)				
	Deputy head		Assistant head	
	Primary	Secondary	Primary	Secondary
Less than £30,000	1	-	2	-
£30,000-£39,999	50	2	71	12
£40,000-£49,999	43	29	24	73
£50,000-£59,999	6	57	2	15
£60,000-£69,999	-	11	-	-

Source: PwC school leadership survey, 2006

- 7.8 The salary ranges for senior support staff are presented separately for those who are 'LA employed' and those who are 'school employed'.<sup>49</sup> Overall, it appears that salaries in the latter categories of workforce are higher than in the former grouping. Across the board, salaries for senior staff are higher in the secondary sector.

Distribution of senior support staff salary by sector (England)								
	Primary		Secondary		Nursery		Special	
	LA	School	LA	School	LA	School	LA	School
Less than £30,000	93	65	34	16	89	-	44	37
£30,000-£39,999	7	35	43	27	11	-	38	37
£40,000-£49,999	-	-	20	27	-	-	18	14
£50,000-£59,999	-	-	4	13	-	-	-	12
£60,000-£69,999	-	-	-	6	-	-	-	-
£70,000-£79,999	-	-	-	11	-	-	-	-

Source: PwC school leadership survey, 2006

<sup>48</sup> These data are taken from the ONS website, relate to Quarter 2 each year, and are adjusted by the Retail Price Index.

<sup>49</sup> 'LA employed' is defined as being tied to Local Authority NJC Pay Scales. These include: Community, Community Special, LA Nursery Schools, Pupil Referral Units and Voluntary Controlled. 'School employed' is defined as not being tied to Local Authority NJC Pay Scales. These include: Academies, City Technology Schools, Foundation, Foundation Special, Non-maintained Special and Voluntary Aided.

- 7.9 Major concerns were voiced by the stakeholders contributing to this study in relation to the difficulties associated with appointing senior support staff to the leadership team, in the light of the level of pay awarded, contractual differences and potential inequalities (e.g. holidays, overtime etc). This is particularly an issue in community schools where support staff are employed under the aegis of the local authority and are paid under its terms and conditions and salary bands. The DfES is currently looking at this as part of its review of rewards for all support staff.

'The fact that the salary ranges in the STPCD can only apply to teachers leads to difficulties when schools are seeking to put non-teaching staff onto leadership teams. The re-modelling agreement has accelerated the appointment of business managers, bursars etc and schools reasonably want to pay them on the leadership scale alongside assistant and deputy heads, but are unable to do this overtly'. (Written submission)

'We certainly want to see the whole of the leadership under the same pay review body'. (Stakeholder interview)

'There should be national pay scales for school support staff and, although we are aware that some schools do pay senior support staff on the leadership spine, we are not convinced that this is appropriate'. (Written submission)

'In terms of rewards there is a certain tension between schools and authorities because at the moment schools have to pick a grade the local authority has devised and because schools are changing so quickly there is a tension because of equal pay legislation'. (Stakeholder interview)

'Because the contracts are so different for support staff and teachers (they are actually specified in hours) you find that they work a lot of overtime which they are not paid for and there's no real way of rewarding this because if you go across to the local authority senior management contract there is no overtime'. (Stakeholder interview)

'The current set (concerning support staff) is discriminatory and counterproductive to school improvement. There is no equity in pay and conditions currently'. (Headteacher survey)

- 7.10 There were marked differences in pay levels between staff with and without qualified teacher status. Our survey data indicates that overall, 60% of QTS members of the senior leadership earned less than £40,000 compared to 83% of senior support staff members.

### **Views on the operation of the current reward system**

- 7.11 At present, the system allows progression through a pay scale<sup>50</sup> based on performance and it is the responsibility of each school to determine the way in which this should be measured. There were mixed views among stakeholders consulted on whether there is sufficient flexibility in the system, with some evidence to suggest that governing bodies are not exploiting all the potential flexibilities that exist. Furthermore, several respondents stated that problems may arise if the Chair of the governing body is not on a similar salary level to the headteachers. This is related to the previous points made regarding the variations in expertise and knowledge of the reward system amongst different governing bodies. For some respondents, cultural differences in the approach of governing bodies in England and Wales were also a factor. There were also mixed views on the degree of control over pay structures which should exist at local and the national levels.

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<sup>50</sup> Progression is through a seven point scale of headteachers and five points for deputies and assistants.

'Leave these issues entirely to schools, with governing bodies determining structures, roles, salaries etc. Schools are developing the extended agenda in a variety of ways, frequently in co-operation with a number of other schools and agencies. This emphasises the need for greater flexibility in determining leadership roles, responsibilities and pay...' (Written submission)

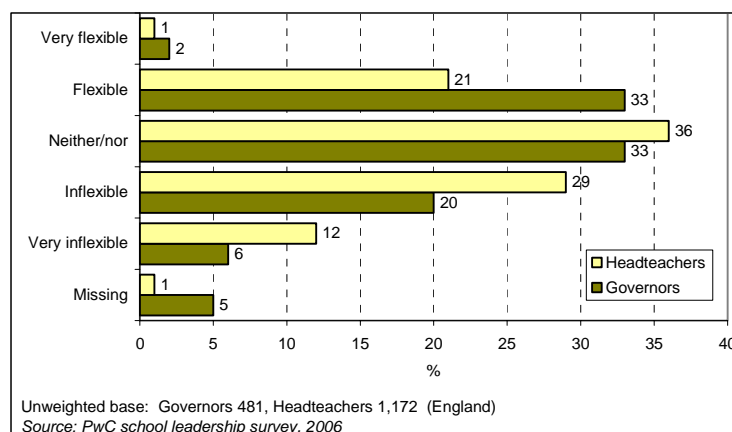
'Local flexibility means that local authorities are able to make decisions, but the problem is that in some parts of the country there is a culture of low pay and governing bodies are reluctant to pay leadership team members what they deserve. This is particularly true in the North of England. This is why you need a national framework with local flexibility'. (Stakeholder interview)

'National pay spirals out of control and schools are left footing the bill'. (Headteacher)

'I am for national pay awards'. (Staff governor)

7.12 A significant minority of headteachers in our survey (41%) described the current reward structure as inflexible. Heads were also less likely to describe the current reward structure in their school as flexible (22%) compared to governors (35%). There was, however, broad agreement among heads that the present structure of pay and reward was adequate to recruit leaders with QTS (69%), while in contrast, one third of all heads stated that the current structures were adequate to recruit senior support staff (35%). Although governors were of a similar opinion, a higher proportion (74%) thought the pay structures were adequate to recruit leaders with QTS compared to heads. According to the Teachers' Pay Survey (OME, 2004), there are a number of headteachers in almost every pay group who have been placed in an Individual School Range (ISR) that is outside that theoretically possible for their group (either above or below).

**Figure 7.1: Flexibility in current reward structures**



7.13 Several respondents also commented on the perceived need for greater flexibility at a local level. In some cases, the new Teaching and Learning Responsibility (TLR) payment arrangements were thought to have reduced flexibility.

'I feel that the headteachers pay scale does not give the flexibility to reward outstanding performance'. (Governor survey)

'The new TLR structure is less flexible than the previous structure'. (Governor survey)

'Schools need greater funding to allow flexibility to recruit to fulfil needs within schools. The headteacher cannot do everything - especially at primary school level. Something will have to give'. (Headteacher survey)

We need greater flexibility in incentive pay to reward aspiring school leaders as they take on greater responsibility - but this means better funding for staff pay'. (Headteacher survey)

- 7.14 There was a general consensus among teacher and senior support staff on the senior leadership team that the present structure of pay and reward was adequate to recruit leaders with QTS (74% and 69% respectively). However less than a fifth (17%) of senior support members thought that the current pay structure was adequate to recruit leaders without QTS compared to nearly two fifths of QTS members (39%). This would suggest a degree of dissatisfaction amongst senior support staff members with their level of reward.
- 7.15 There was little difference between the views of those senior leaders with QTS and senior support members on the flexibility of the current reward structures in their school. Senior support staff employed by primary schools were more likely to describe the system as flexible than those employed by local authorities but there was no difference in the views of their counterparts in secondary schools.

Flexibility of the current reward structures and other terms and conditions in the school (SLT-QTS and SLT-Senior Support Staff – England)				
	Primary		Secondary	
	SLT – Senior Support Staff		SLT – Senior Support Staff	
	LA	School	LA	School
Very flexible	4	0	2	3
Flexible	23	35	27	27
Neither/Nor	31	31	32	30
Inflexible	32	32	28	18
Very inflexible	4	1	9	2
Missing	7	0	2	10

Source: PwC school leadership survey, 2006

- 7.16 Several respondents to the survey thought that there needed to be greater flexibility to provide one-off payments for specific projects. However, evidence from the fieldwork visits would suggest that some schools do make such payments, so there is obviously sufficient flexibility in the system to do so. The current system also provides the flexibility to reward different levels of performance amongst school leaders. The questions raised during the research suggest that other factors, such as the limited capabilities amongst some governors, or funding constraints contribute to inflexibilities.
- 7.17 There was a widespread view that the number of pupils on roll is no longer adequate as a means of determining the salaries of school leaders and that other factors should be taken into account, particularly in light of the emergence of new roles and models.

'Focusing solely on number of pupils as a determinant of head's pay ignores the fact that it is the head of the school who is ultimately accountable, and the resulting stress and pressures fall solely on the head's shoulders, regardless of school size'. (Headteacher survey)

'As a small school there is not much scope for manoeuvre, and as a well performing school not in a designated deprived area, there are no additional pots of money available to them'. (Headteacher survey)

'I think it's an exciting time for education but the pay structures are based on school size which does not reflect the leadership role in some organisations'. (Headteacher survey)

- 7.18 Other factors included differences in the ways in which leaders of Children's Centres (whether headteachers or otherwise) are rewarded in different parts of England and, in general, pay and conditions for teachers working in Children's Centres.

'Children's Centres are required to open all year round, which is not consistent with teachers' pay and conditions. This is difficult to manage'. (Headteacher)

'The Children Centre programme is gathering pace; however, there is no consistency in approaches by local authorities on leadership salaries and conditions of service. This is leading to fragmentation and confusion, both within and between local authorities'. (Stakeholder interview)

'The workload generated by extended services e.g. Children's Centres needs to be recognised'. (Headteacher survey)

'Loosen up the teachers' contracts so that we do not have a 'stop start' year, but more continuous working, particularly for senior staff'. (Headteacher survey)

'Additional responsibilities such as those for the management of Children's Centres and extended services should be recognised in the pay structure for the senior leadership team'. (Headteacher survey)

'Bolt-ons such as sports centres/children's centres which other headteachers do not have – these both take a great deal of time'. (Headteacher survey)

'The key issue that does need tackling is how teachers' pay and conditions (39 weeks) fit with the requirement for Children's Centres to be open 48 weeks per year (here it is open 50 weeks). What are the implications for the leadership structure if the head is not around for six weeks. In practice she is here a lot during holidays, but strictly speaking doesn't have to be'. (Nursery nurse)



7.19 All four groups<sup>51</sup> surveyed were asked their view on a number of potential factors to be recognised in the pay structure. In the main, heads thought that the difference between qualified teaching staff and senior support staff, individual performance and meeting school targets should be recognised in the pay structure for the senior leadership team. Governors were in agreement with this but also thought that there should be recognition of specialist skills such as finance or human resources expertise. Furthermore, governors were less likely than heads to suggest that different socio-economic factors should be taken into account. A greater disparity is revealed when the responses of primary and secondary heads are analysed in regard to these factors.

Factors to be recognised in pay structure – headteachers						
	England				Wales	
	Primary		Secondary		Yes %	No %
	Yes %	No %	Yes %	No %		
Difference between QTS and senior support staff on SLT	82	9	52	39	68	16
Different phase of school	14	78	59	31	40	46
Different locations	38	49	44	43	27	51
Different socio-economic factors	56	33	55	33	50	31
Individual performance	70	21	81	10	55	27
Meeting targets in school improvement plan	57	31	70	17	51	30
Specialist skills	40	47	34	50	19	59

Source: PwC school leadership survey, 2006

- 7.20 More heads from primary schools (82%) considered that the difference between QTS and senior support staff should be recognised compared to heads from secondary schools (52%). Heads of primary schools (14%) were considerably less likely to want school phase taken into account in the pay structure for the senior leadership team compared to heads of secondary schools (59%). Heads in secondary schools were also more likely to want individual performance (81%) and meeting targets in the school improvement plan (70%) as a factor compared to primary heads (70% and 57% respectively).
- 7.21 Heads in the London area were more likely to think location (64%) and socio-economic factors (82%) should be recognised in the pay structure for the senior leadership team compared to any other region. A higher proportion of senior support members (77%) considered that individual performance should be recognised in the pay structure for the senior leadership team compared to 61% of senior leaders with QTS.
- 7.22 Other factors that heads thought should be included in the pay structure included: challenging circumstances (e.g. a transient school population or the proportion of students with EAL or SEN); the degree of innovation displayed; levels of experience and qualifications; involvement with the wider community; number of staff (teaching and support) and engagement with other agencies; the need for recruitment and retention; and the management of extended services. Some of these factors appear to have more merit than others. For example, the level of innovation displayed should properly be part of the performance management process, while, in many cases, it would not be appropriate for the headteacher to manage extended services (although there may be a case for rewarding increased accountability for these services).

<sup>51</sup> Governors, headteachers and teaching and senior support staff members of the leadership team.

- 7.23 Many of the headteachers in the survey expressed dissatisfaction with the level of reward in relation to their reported workloads with approximately one in ten raising this as a factor to be included in the pay structure. However, it should be noted that, in the majority of private and public sector organisations pay is not related to workload and, indeed, for managerial and professional jobs overtime is rarely paid.
- 7.24 We believe school leaders should find ways to manage and reduce the workload rather than find ways of better rewarding excessive workload. The extent to which the role of the school leader can be restructured to make it more 'doable' and more effective is therefore critical. Some schools are constrained in the extent to which this can be achieved. Several respondents raised the budgetary pressures in smaller schools which was perceived to impact on the ability of the governing body and the headteacher to achieve an appropriate structure and therefore on the extent to which distributed leadership can be realised.

'There is an issue of roles and responsibilities in a small school. Budgets may not allow the staffing structure required. They will find it difficult to recruit at all levels as sometimes for less responsibility you may earn a greater salary in a larger school'. (Headteacher survey)

'In small schools, everything falls on the shoulders of the head. They need to be financed in order to be able to afford a senior leadership team'. (Headteacher survey)

'It needs to be recognised that leaders in a small school need the rewards and incentives that are available to bigger schools with larger budgets. You actually have to be more skilled to carry all of the responsibilities and achieve them to a high level'. (Senior leader survey)

'Pay for the amount of responsibility in a small school isn't realistic'. (Senior leader survey)

'Being a small school, all teaching staff are part of the senior leadership team and therefore have curriculum areas of responsibilities but no financial reward'. (Senior leader survey)

- 7.25 Despite the view that numbers of pupils may no longer be appropriate we do believe that it remains a significant measure of the responsibility of school leaders. Although there have been many changes to the ways in which school leaders work, their foremost responsibility is for the education of children and the number of children is therefore important in quantifying this responsibility. However, in our view there might be scope for making improvements to some aspects of the current arrangements. For example, it is unclear to us whether the current weighting of pupil numbers by reference to key stages is appropriate, and consequently whether the balance between reward in the primary and secondary sectors is fair. As might be expected a majority of primary headteachers believe that phase of school should not be taken into account, but this view was also supported by 31% of secondary headteachers. In addition, there has not, as we understand it, been an objective job sizing exercise in order to underpin the differences between reward in the primary and secondary sectors; and there is also the issue of the increasing range of initiatives school leaders have to deal with in every school, whatever its size or phase. Finally, it is worth noting that some new models of leadership, such as the executive head and federated models are not recognised through the current system and therefore changes need to be made to address these.

## Differentials

- 7.26 There was a clear perception among many of the school leaders we spoke to that current differentials are not adequate:

- Between school leaders and non-leaders;
- Between members of the SLT; and
- Between senior leaders with QTS and senior support members of the leadership team.

7.27 This has implications for the recruitment and retention of school leaders. Stakeholders commonly cited the inadequate differentials between heads and deputy heads, as well as between the school leadership team and the highest paid teachers in schools. Some leaders also thought that, in the current system, some deputies were incentivised to stay in post rather than apply for headship in a smaller school.

'There isn't enough gap between the head and the deputy... a headship is perceived as being a lot more hassle for not an awful lot more money'. (Local authority respondent)

'Deputies earn more than many heads because of enhancements. So for them pay does not provide an incentive to progress to headship'. (Deputy head large urban primary)

'Wage differentials are an issue for the level of responsibility I have. I do not earn as much as £1,000 more than the highest paid teacher in the school'. (Deputy headteacher, medium sized urban primary)

7.28 In our survey, many headteachers and other senior school leaders thought that there should be a greater difference between the levels of reward for members of the senior leadership team. The perceived lack of differential was believed to be exacerbating succession planning challenges by discouraging progression to senior leadership amongst middle management leaders.

'As headteacher of a very large primary school, I am fairly well paid, however, there must be a far greater differential between class teachers and school leaders in order to make the roles more attractive and competitive'. (Headteacher survey)

'Unless the work-life balance issues is addressed, and salary differentials after UP3 are widened, there will be a huge gap in school leadership in three to five years' time as more people like myself decide to retire well before 60 years of age'. (Headteacher survey)

'There is an insufficient differential between senior school leaders and teachers that does not reflect the substantial extra responsibility on the former'. (Headteacher survey)

'I have a great concern that younger staff are veering away from wanting to take an additional responsibility because of the perceived accountability pressures. It is eminently possible to remain in the classroom and earn a more than decent wage with various incentives'. (Headteacher survey)

'Many teachers achieving upper pay level are happy teaching and do not wish to take on a leadership role. i.e. they have no career aspirations. There should be an explicit expectation of leadership in UPS levels'. (Headteacher survey)

'I believe the gaps in pay between upper pay scale teachers and those on the leadership scale are sufficiently narrow so as to de-incentivise people from entering or striving to move up leadership scale'. (Senior leader survey)

'People at middle management level are more reluctant to move up - pay differentials are now very small'. (Senior leader survey)

- 7.29 Set against these comments is the importance of maintaining and encouraging distinct career paths in schools, valuing both the management route and the classroom based expert practice route (for example, Advanced Skills Teachers acting as consultants across a number of different schools). Improved levels of classroom pay have clearly deterred some classroom teachers from aspiring to move to leadership roles, although this may not be a negative development if sufficient numbers of teachers with high leadership potential continue to aspire to become school leaders.
- 7.30 The issue of differentials is a complex one, and needs to be considered in the context of the overall career and pay structures in the teachers pay system. The current system provides that the maximum point for headteachers on the leadership spine is always at least seven points above that of a deputy head, allowing for a differential of approximately 20% in salary. This difference should, in most cases, be sufficient to provide enough of an incentive for promotion to headship.
- 7.31 Differentials could be an issue where the salary of a deputy in a large school is compared with that of a headteacher in another smaller school. This is a common career path and it is possible that it is the calibration of the reward system between different sizes of school that is the cause of concern relating to differentials between headteacher and deputy posts. We believe that this is an area of the reward system where a more detailed review would be useful.
- 7.32 However, the issue of differentials should primarily be addressed not through the pay structure, but in the way that responsibilities are distributed amongst the leadership team. There is already a substantial amount of flexibility in the pay system and schools need to ensure that the distribution of responsibilities amongst leadership team members is commensurate with the salaries which are being paid to individuals.
- 7.33 The issue of differentials between senior leaders with QTS and senior support staff members of the leadership team is considered separately. Our research shows that there are some clear issues with the levels of salary paid to senior support staff which need to be addressed but we do not believe there is a case for senior support staff being rewarded through the same pay structure as QTS school leaders.

### **Rewarding new roles for school leaders**

- 7.34 As the previous sections have shown, school leaders have an increasing range of responsibilities and there are a growing number of roles that headteachers can fulfil. These include responsibility for an increased number and range of staff and taking on new roles such as executive headships and consultant leader positions. Other new models such as co-headships also encounter implementation difficulties in the current system. There is a general recognition that whilst the roles and responsibilities of headteachers have changed, the current system of pay and conditions has failed to keep pace.

'Leaders' jobs are changing yet they are being paid the same amount'. (Stakeholder interview)

'The increased sums of money for Every Child Matters do not take into account the strategic vision and direction required from heads - this money is solely for the implementation and provision'. (Reference group delegate)

'If heads are to work beyond their schools they should be properly financially rewarded. The current level of resource spent on accrediting successful and experienced heads to do other work is disproportionate and wasteful'. (Headteacher survey)

'There needs to be national guidance from DfES for governors and local authorities on setting appropriate salary scales for headteachers of Children's Centres and extended schools'. (Headteacher survey)

- 7.35 In relation to specific models of leadership, it was thought that the emergence of different and enhanced roles being undertaken by heads, (such as co-headships and federation heads) further reinforces the need for a review of the terms and conditions currently in use. One new initiative which should assist in the development of new models is the introduction of new pension arrangements (to come into force on 1 January 2007) which include a 'phased retirement' option which allows individuals to access pension benefits whilst still working in a reduced capacity. According to the DfES (2006) this provides 'important flexibility to prevent the 'cliff-edge' approach to retirement: for the individual who can wind down towards retirement, work part time or move to a job of lesser responsibility, and increase work-life balance; and for the employer, to keep experienced staff within the workforce in some capacity, to help younger colleagues, and aid succession planning' (DfES, 2006).

'Heads of federations should have higher salaries for greater responsibility recognised'. (Headteacher survey)

'Financially, for co-heads, progression is via moving up the leadership spine but both heads are already at the top of the scale for the deputy head role'. (Co-head)

'We have been driving very hard on this issue of lead practitioner and we want headteachers to remain within the STPCD and to be paid as lead professionals. But the more the role drives to administration, the more you are actually looking at a much different contract, more on the lines of a local government contract or a chief executive contract. In fact a lot of Academy heads are on chief executive type contracts and of course often these are fixed term contracts'. (Written submission)

- 7.36 In addition, given the growing importance of the inclusion agenda in schools and as the effects of the ECM agenda begin to become more evident, it would seem that a broader measure of school (and head) performance is required. However, there is a risk that rewarding new roles will deter heads from adopting models of distributed leadership. As an earlier section has shown, there are a range of models that could be adopted in the management of, for example, extended services and Children's Centres, and while, in some circumstances, it may be appropriate for heads to take responsibility for these services, in other cases it is likely that the creation of a new post is the most suitable course of action. Linked to these emerging roles, some respondents queried the appropriateness of the governing body in determining the pay and conditions corresponding to headship.

'It's one of the areas where governors feel least confident in terms of determining, not only the objectives of the headteacher but also their salary...' (Former head)

'There needs to be recognition that governors do not generally have the experience/knowledge to make decisions on performance management or pay. The current system is too dependent on whether governors are strong enough to make decisions and rely too much on LA advice'. (Headteacher survey)

'Schools don't know what a level playing field is. They can see that the head has a new task, but they don't know if that's something every other head has taken on board five years ago'. (Stakeholder interview)

- 7.37 We have considered whether these views argue for significant changes to the reward system for school leaders. The perception that school leaders are increasingly being asked to do many more and different things for the same pay is not uncommon with many other professions, and does not itself lead to a powerful argument for different reward structures. There is, however, a need to ensure that the system gives more direction for new models of reward, such as co-headship, executive headship and federated models. It is also necessary to ensure that governors have the capabilities to properly manage the reward systems in their schools.

### **A flexible approach to reward**

- 7.38 Given the concerns relating to the supply of school leaders, there is growing recognition of the need to make the role more attractive in terms of the flexibility of the overall package. A more flexible package would assist in retaining more experienced heads, as well as attracting the new generation of potential leaders.

'In terms of terms and conditions, benefits are almost non-existent, other than having reasonable security of tenure there are no other real benefits. I'd like to see more flexible benefits like in other businesses such as a company car'. (Headteacher)

'I think we should be driving it towards a complete rewards package...' (Stakeholder interview)

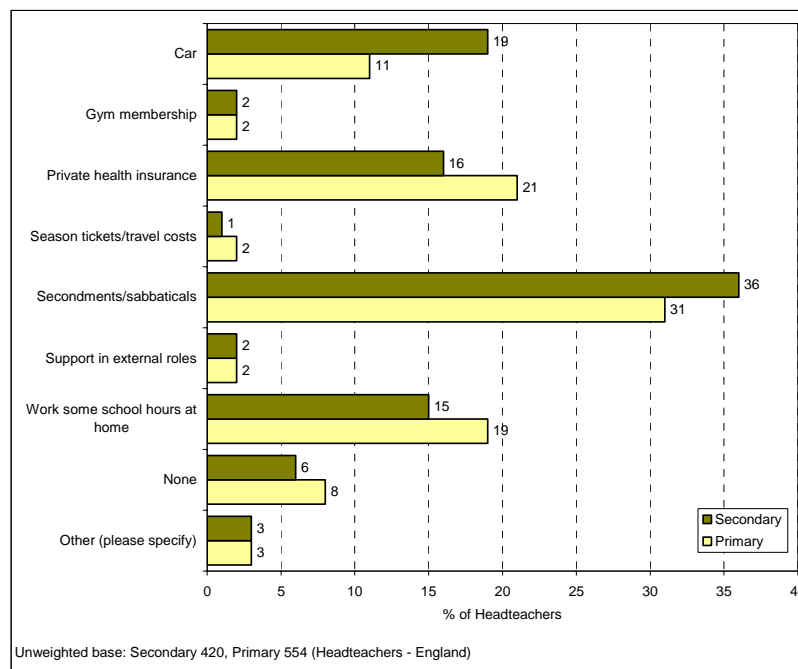
'With a younger generation of teachers being groomed for leadership roles through fast-track programmes, different forms of reward packages may be better suited to the aspirations and lifestyles of the 'gap year generation'. (Stakeholder interview)

- 7.39 The following table provides examples of areas where pay and conditions could be addressed in a move towards a more holistic rewards package.

Reward	Quotes from respondents...
Holiday arrangements and the school term	'The biggest single strain is the compressed working year. 39 weeks is a really major constraint in terms of achieving things. It's not just having the school painted outside the school holiday, it's the huge compression of taking decisions effectively by June, for next September. Or by November for January. It really is an awful constraint'. (Stakeholder interview)
Sabbaticals and secondments	'In Australia if you bank your salary, you are entitled to sabbaticals. Sabbaticals give people different insights, new perspectives, credibility'. (Stakeholder interview)  'Reflection time to enable teachers and headteachers to go in to the class room with more confidence'. (Former head)
Flexible working	'Given the gender balance of the profession, many new young heads will be women. There are still too many examples of governing bodies and local authorities who will not accept job share, or flexible working, for members of the leadership group'. (Written submission)

7.40 When heads were asked which incentive they would find most attractive as part of our survey, one third of heads (32%) across all phases, size and location of schools stated that secondments and sabbaticals would be the single most attractive incentive to them. One fifth (21%) found health insurance an attractive incentive and a similar proportion (18%) would like to work some school hours at home.

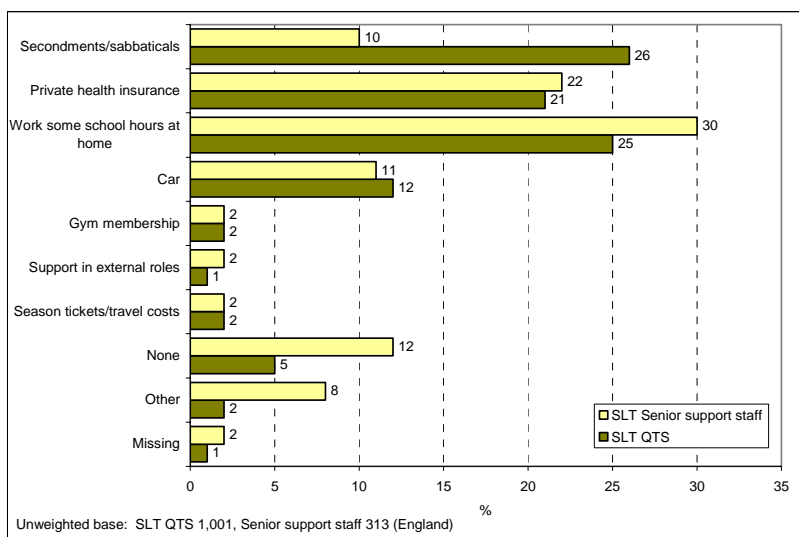
**Figure 7.2: Other incentives for headteachers**





7.41 When senior leaders with QTS were asked which incentive they would find most attractive, just over one in five (22%) stated that that secondments and sabbaticals would be the most attractive incentive to them. However, 29% said that they would find working some school hours at home more attractive and just over one fifth (22%) found health insurance an attractive incentive. Responses were broadly the same for senior support staff with 20% attracted to working some school hours at home and 24% stating that private medical insurance would appeal to them. The main difference between the two groups was a much lower proportion of senior support members (15%) who stated that they would be interested in a secondment or sabbatical.

**Figure 7.3: Other incentives for SLT with QTS and senior support staff**



7.42 Other incentives which were mentioned by the senior leadership team members were increased salary/pensions/benefits, overtime and bonuses. In the survey, a number of leaders listed a number of benefits unprompted. These related to ways in which 'burn-out' amongst leaders could be avoided and the role made more attractive.

'New solutions require new working conditions. Sabbaticals would help. There should be a right to have working in holiday time recognised with time off in lieu during term'. (Headteacher survey)

'I would like to see an increase in the model of flexible school leadership e.g. job shares or sabbaticals to encourage sustained leadership in post and reduce burn-out. I am currently 43 and cannot imagine sustaining a 55 hour week for the next 22 years'. (Headteacher survey)

'Sabbaticals and rotation of responsibility'. (Headteacher survey)

'There is a need for secondment and sabbaticals for heads and also for deputies as an incentive to become leaders'. (Senior leader survey)

'Secondments and short term positions for heads and deputies should be more common'. (Senior leader survey)

- 7.43 Some stakeholders have, however, queried the cost of providing sabbaticals or secondments. There are a number of initiatives, such as those organised by Heads, Teachers and Industry (HTI) and Business in the Community (BiTC), which provide relatively cost-neutral means of providing experiences beyond the school. Alternative approaches include the Australian system cited to the research team, which enable school leaders to 'bank' salary in order to buy time off after a set number of years. In the following case study, drawn from our school visits, the school reward scheme is used to benefit both staff and the school as a whole.

#### **Case Study 9: Alternative 'rewards' for teachers provide alternative approaches to education**

This is a secondary school and has a total pupil enrolment of just fewer than 1,200. The senior leadership team comprises the headteacher, three deputy heads, six assistant heads and a school manager.

This successful rural school is reaping the rewards from a scheme which provides teaching staff with an opportunity to travel nationally and internationally. The school does not offer additional financial rewards as incentives to their staff. Rather, funding is available for senior staff who want to add an international dimension to their job which enables them to travel abroad to speak at conferences, and to set up links with international schools.

'I get offered quite a few places at conferences and I share those with the SLT... I encourage staff to take the opportunity of speaking at conferences so they are broadening their professional profile locally, nationally and internationally'.

And the scheme has proved beneficial for the whole school:

'The Head likes to look at everyone's specialisms and expand on them. Mine comes from international education so he encourages me to set up links with international schools. I was in the South of France and I am also going out to China to set up links there. This means I am able to build on my initial contacts, and the school is able to build upon international best practice'.

### **Linking reward to the performance of school leaders**

- 7.44 The Rewards and Incentives Group, RIG<sup>52</sup>, has developed and launched new performance management arrangements in schools.<sup>53</sup> These recommend the processes through which headteachers are performance managed, providing a broad and enabling framework within which governors and headteachers can agree key objectives. The Training and Development Agency (TDA) is now providing support to schools to make effective use of the new arrangements, and clearly these need time and support in order to bed down before further change should be introduced.
- 7.45 Looking to the future, however, it is evident that there are a range of new and wider roles that many school leaders will find themselves undertaking in relation to federations, Trusts and extended services. Currently, whilst there are clear measures to determine value-added academic performance, there appears to be a lack of similar descriptions of performance in other areas, such as running effective breakfast or after-school clubs, or successful engagement of parents. Similarly, such aspects of performance are not currently measured and published in School Performance Tables.
- 7.46 The risk in this is that there may be a disconnect between the specific objectives of a headteacher (the priorities for the coming review period), the way in which school performance is reported, and the way in which the performance of the education system as a whole is tracked.

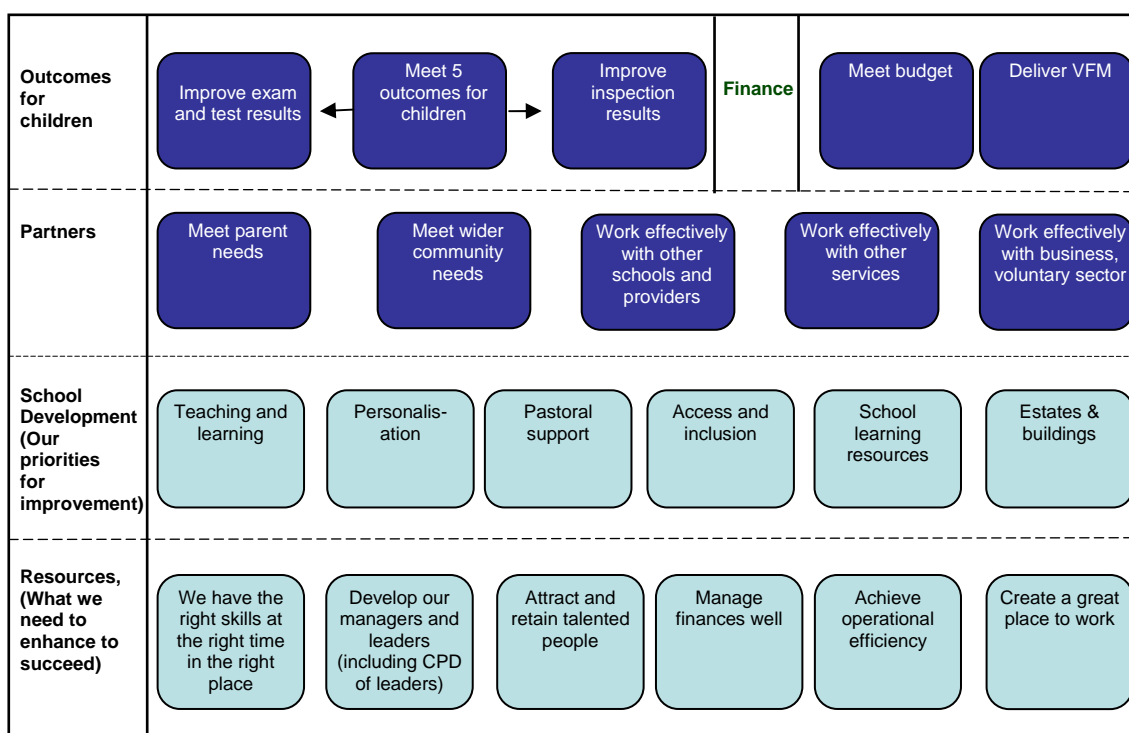
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<sup>52</sup> RIG comprises DfES, NEOST, ATL, NASUWT, PAT and ASCL.

<sup>53</sup> <http://www.teachernet.gov.uk/management/payandperformance/performancemanagement/keydocuments/>

7.47 It is our view that consideration should be given to whether, building on and supporting the processes that have been set up, schools could be supported through the development of school-level indicators of success which take account of a school's wider purpose. These could then be linked to measures of leadership and workforce performance. This might be expressed in terms of a 'balanced scorecard' which sets institutional, individual and other needs alongside each other, as illustrated below, and which takes account of the broader range of objectives of the school. We also believe that in time such measures might be reflected in the way that the performance of individual schools and the system as a whole is described.

7.48 An illustrative performance framework for schools, leaders and the workforce is provided below.



7.49 In terms of contractual arrangements, schools and LAs must abide by the statutory requirements for teachers' pay and conditions for maintained schools in England and Wales set out in the STPCD. One specific contractual issue highlighted has been whether there would be advantages in providing fixed term contracts. Although we believe there is no reason why school leaders should not be appointed on fixed term contracts if it is right for the circumstances of the school, we do not see merit in the use of these more generally. If they were used more widely this could deter many teachers from moving to leadership positions, and since school leadership posts are permanent positions the use of fixed term contracts might not in practice make it easier or less expensive to remove a school leader from their post, should that be the intention.

7.50 A further contractual issue is that the head with responsibility for extended services in, for example, a Voluntary Aided school might have one contract with the school as employer and one contract with the LA as employer (particularly when there is a co-located Children's Centre on the school site). There is a sense in which the ability of school leaders to do this suggests, in our view, that there is a reasonable degree of flexibility in the existing system which should not be compromised in the future. However, some of the qualitative evidence also suggests that school leaders are keen to have greater clarity around how their increasing

involvement in the extended services agenda can be reflected most effectively in their contractual arrangements. It was noted earlier that opening hours and the definition of the 'school year' are specific issues that a number of school leaders have highlighted in this regard. More generally, the moves made by some schools towards the multi-agency managed model (discussed earlier in this report) present opportunities for providing greater clarity in this area. And, finally, school leaders have articulated clearly the need to ensure that, irrespective of which specific form of contract or leadership model is adopted, the additional responsibilities that emanate from extended services provision should be recognised and reflected clearly in their contracts.

7.51 Finally, there are a number of other additional issues addressed in this report that have specific implications for contractual arrangements, including:

- Opportunities for secondments and sabbaticals;
- Moving towards a wider range of school –level indicators of success; and
- Ensuring that serving heads undertake appropriate CPD.

## Conclusions

7.52 It was clear from our research that reward is an area of concern, but what is less clear to us is that the current system of reward requires wholesale reform to accommodate new models of leadership. The basis of the current system is that it places each school into groups by reference to the numbers of pupils (adjusted to give more weight to pupils in higher Key Stages). Progression through the pay scale is linked to performance. Besides the number of pupils, there are other aspects of job size that could, either together or separately, be used to determine the salaries of school leaders and these include:

- Numbers of staff for whom the job holder is responsible;
- Financial responsibility, based on revenue budgets;
- Deprivation (or socio-economic factors), recognising the additional complexities of working in schools in deprived areas; and
- Specific additional responsibilities, such as responsibilities for Children's Centres.

7.53 We have considered adopting an extensive job evaluation system to measure the specific responsibilities of each leadership role under a set of generic headings incorporating some or all of the items mentioned above. However, such a process would be complex and administratively expensive, and for most leadership roles it would be unlikely to result in significantly different outcomes to those which result from using pupil numbers.

7.54 We have considered whether it might be appropriate to recommend a shortening of the pay scales to which individual school leaders are allocated and rewarding performance through the use of non-consolidated cash bonuses rather than annual increments. This approach would serve to tie reward in more closely with individual performance, provide for a more flexible system, and would be a significant step forward in the modernisation of the pay system. However, such a radical change would result in a significant disruption and, in the absence of evidence that the system is in need of radical reform we concluded that this should not be a recommendation.

7.55 Although the use of numbers of pupils might be an imperfect approach, it does have the advantage that it is straightforward to operate and understand. We do not see a case for making wholesale changes to the system although we do believe that some refinements and additional flexibilities are needed. Notably the following issues were identified in our research:

- The system does not readily accommodate aspects of the new models of leadership, such as co-headships, executive heads and federations;

- If school leaders take on additional permanent responsibilities, which have an impact which is beyond the schools for which they are responsible then the reward system should recognise these, since they will not be captured through pupil numbers;
  - It is questionable whether the weighting of pupils by reference to Key Stages is appropriate. Under the current arrangements the headteacher of a large primary school receives a lower salary than would be the case for a headteacher of a secondary school with the same number of pupils. This difference may be justified by the additional complexities in managing a secondary school, but it is important to note that the view of 78% of primary heads that the phase of school should not be a determinant of reward. In addition, policies that have increasingly emphasised the importance of primary education in recent years, together with the absence of job evaluation evidence to support the current arrangements, suggest that this aspect of the pay system should now be reviewed.
- 7.56 It was the overwhelming view of participants to our survey that pay should be linked to individual performance. In England 70% of primary heads and 81% of secondary heads agreed that individual performance should be taken into account in determining pay. The current pay structure does enable pay to be linked to performance through an incremental pay scale. However, some of our respondents raised questions about how well this system was operating, due to budgetary constraints and questions about the capability of governors to manage the system. We believe that the development of a nationally recognised balanced scorecard approach to measuring the performance of school leaders, which takes account of outcomes for children, partners, school development and resources, could contribute significantly towards linking reward to the performance of school leaders more effectively.
- 7.57 It is not uncommon for differentials to be highlighted when asking employees to comment on their pay structures. We believe that within the same school the pay system provides for reasonable differentials, but that there could be an issue with school leaders moving from larger to smaller schools. The question of whether differentials are reasonable in this context can only be resolved through a formal job sizing exercise, which is beyond the scope of our current research. However, there is a case for carrying out such an exercise to review the calibration of pay between different sizes of schools and also to review whether the current system of weighting pupils is appropriate.
- 7.58 In relation to contracts, we do not see merit in the use of fixed term contracts more widely. We also support the ongoing work that the DfES is currently undertaking on the position of senior support staff in schools, especially in the light of some feedback that schools are finding these posts difficult to fill. The level of reward for senior support staff members needs to be sufficient to enable people with the necessary skills to be recruited and retained in schools. We also believe that there is a strong case for asking the STRB to make recommendations on a flexible framework for the salaries of senior support staff in schools, enabling the Review Body to take a holistic view of school leadership when making its recommendations.
- 7.59 Teachers, support staff and associated professionals are working side-by-side, on different terms and conditions and many school leaders expressed concern about this issue. Furthermore, with the emergence of all-year extended services being located on school sites, and the recommendation for these centres to have staff with teacher training, it is conceivable that teachers in these centres might be required to work significantly longer hours than others. Our view is that there is nothing inherently wrong with having people working side-by-side on different terms and conditions where they fall into clearly different professional groups, provided that the differentials between these groups are fair. What matters is that the different terms and conditions, such as holiday arrangements, should not impact on the delivery of services.

7.60 The main solution to this problem will be to apply more flexibility in the way in which the reward systems for the different groups operate, and our impression from the research is that the reward systems are not being used as imaginatively as they could be. For example, school leadership teams increasingly need to work together to ensure that appropriate cover is in place throughout the calendar year, including the school holidays. However, this cover does not always have to be provided by the headteacher and where school leaders need to work substantially during the school holidays, arrangements should be made so that they can take their holidays at other times. There is also a need to adopt more flexible approaches to reward, recognising the importance of other benefits.

# 8 Recommendations

## Introduction

8.1 Responding to the challenges identified in this Report requires important changes in policy, legislation, behaviours and mindsets. In this section we outline a series of evidence-based recommendations which, taken together, we believe could transform the face of school leadership in England and Wales, and ensure that school leaders are equipped to embrace and deliver on their new challenges. A number of points are worth noting at the outset about how we have approached the recommendations:

- **Direction;** the recommendations are presented in such a way as to provide a clear indication of the direction in which the sector and the government need to travel. Further development is necessary of the detail that will be required in order to implement specific initiatives. This is necessary given the very wide scope of the study, and the large number of factors that leadership impinges upon. Related to this, some of the recommendations represent specific initiatives that the sector, the DfES or others can take forward in the short term - in other words 'quick wins' - whereas others are wider issues that are only likely to be addressed effectively as part of a longer-term strategy;
- **Responsibility;** the responsibility for implementing the recommendations needs to be shared across a wide range of stakeholders. There are a number of key areas in which the sector itself, either individual school leaders or their representative bodies and associations, need to take responsibility for moving the leadership agenda forward. For some, the DfES and its agencies will be largely responsible; and for others, parents and the wider public need to accept that they too have a key role in delivering change. Ultimately, if change for the good is to happen, there needs to be a recognition of the collective challenge posed; no one group of people or organisation can resolve the challenges alone;
- **Evidence;** all of the recommendations are based on our analysis of the evidence that has been gathered as part of the research or our wider knowledge of reform in the public and private sectors. In a number of areas, it is clear that further research needs to be undertaken in order to develop the recommendations more fully; where this is the case we have said so, and the need for further research has become a recommendation in itself; and
- **Resources;** one of the key features of some of the recommendations we make is that, from the DfES's point of view, they can in principle be implemented in a relatively cost-neutral way. For these recommendations, the key resource required is not funding but, rather, the imagination and commitment of those in and around the sector to think through and deliver on them. Notwithstanding this, other recommendations will require additional funding to be made available, and where this is the case, it will be important to develop an indication of the broad orders of magnitude involved.<sup>54</sup>

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<sup>54</sup> Ultimately, if the DfES decides to move forward with the recommendations a full cost-benefit analysis will need to be undertaken. It will be important for such an analysis to adopt a long-term, system-wide assessment of the costs and benefits, in particular, factoring in potential benefits of some of the measures such as the long-term impact on recruitment and retention.



8.2 In the remainder of this section we have set out discussion of our key recommendations under the following headings:

- School leadership models;
- Capacity building;
- Reward;
- Promoting the role of parents and learners;
- Winning hearts and minds;
- Measuring and managing the change; and
- Conclusions.

## **School leadership models**

### **Diversifying leadership models**

- 8.3 We have identified a number of existing, emerging and potential models of school leadership. The new structures have often emerged as a response to the new policy imperatives (e.g. flatter management-style structures with a head of learning, a head of inclusion and a Finance/HR Manager may be a response to the wider set of responsibilities). We have also sought to identify the local contexts in which these models are likely to yield most benefits, without being overly prescriptive. In addition, the new models are often a response to the fact that many school leaders are increasingly feeling that they are stretched across a number of broad areas which were not previously within their remit (e.g. supervising and developing new projects, liaising with other agencies, dealing with the wider workforce associated with the extended school). In addition to feeling over-stretched, many headteachers suggested that these additional demands were taking them away from the core business of teaching and learning. Pressures were felt to be particularly significant in smaller schools (often primary schools) which generally had less capacity and flexibility.
- 8.4 We know that a 'one size fits all' approach will not be acceptable or appropriate for the sector, and would not in any case be practical given the high level of school autonomy that exists. Schools cannot be compelled to adopt new structures but they can be invited and encouraged to review their current arrangements and be offered examples of alternative ways of organising themselves. A key aspect of any change in this area is that the teaching and learning environment and focus of schools is maintained and enhanced. Any new model that does not achieve this is unlikely to deliver benefits and be sustainable.

## Recommendations

### Diversifying leadership models

- The DfES should publish and promote the findings on the models identified and described in this report, together with other material on new models developed by NCSL and the Innovation Unit, to all schools and their governing bodies, through a simple guide containing examples of good practice appropriate to different contexts.
- The DfES should consider developing a national programme, led by the NCSL, aimed at encouraging and supporting school leaders, governing bodies and local authorities, to develop new models.
- The DfES should pump-prime a further series of innovative models beyond the current *Next Practice* programme supported by the Innovation Unit and NCSL, in order to establish a greater range and depth of experience on which schools can draw.
- Building on the success of existing Federation regulations and the potential of *Power to Innovate*, the legal and regulatory barriers to some of the more innovative school structures should be removed, e.g. sharing accountability across a number of school leaders, and formally recognising in the legal framework the post of executive head.
- The DfES should continue to monitor and evaluate the effectiveness of different models of school leadership as they develop and mature, so that their benefits can be further captured and disseminated. This should include consideration of formal longitudinal evaluations.

### Distributing responsibility with accountability

- 8.5 The evidence suggests that the new models require greater levels of distributed leadership and that it is not possible to distribute leadership in schools without also distributing accountability. Our research has also highlighted the fact that many of the new models exist within a regulatory framework that was defined for an earlier period, and hence find themselves operating at the limit of current legal and statutory guidance and sometimes beyond, or at least in an area of ambiguity.
- 8.6 A key change is to encourage the school to distribute responsibility away from the headteacher to whichever named responsible officer within the school is most appropriate for the function in question. This will allow bursars, and other members of the senior leadership team from teaching and support backgrounds, to fully exercise leadership functions and relieve the pressure on headteachers.<sup>55</sup> It would include ensuring that there is a responsible officer for leadership of teaching and learning in schools where this is not the responsibility of the headteacher, along the same lines as the model in the health service where there is a distinction between the Chief Executive and head of clinical services. It is also important to note that many of the flexibilities which school leaders requested in our research, actually exist already under the provisions of the 2002 Education Act which gave governing bodies greater choice in the delegation of duties and decisions. Notwithstanding this, the research has shown clearly that there is a lack of understanding across the sector in relation to the nature of these flexibilities.

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<sup>55</sup>These should be treated as new roles and should not adversely impact on the overall workload of existing members of the school workforce.

## Recommendations

### Distributing responsibility with accountability

- The DfES should review the policy and practice relating to school accountability in order to simplify the accountabilities for headteachers and facilitate greater distributed leadership, specifically. This is likely to involve the following:
  - Reviewing current legislation and regulation impinging on schools and headteachers to ensure that accountability for the maximum number of functions can be distributed in an appropriate way. For some functions the legislation may allow for the accountable individual(s) to be determined at school or LA level;
  - Further communicating and explaining the existing and new flexibilities afforded to governing bodies under the 2002 Education Act;
  - Reviewing the resource implications of moving towards a more distributed leadership model, in particular the incentives for members of the wider SLT and workforce to take on additional responsibilities;
  - Clarifying the accountabilities of executive heads and heads of schools in the partnership;
  - Encouraging school leaders to structure their functions with clear and distinct responsibilities and accountabilities, and communicate these structures to parents and the wider community;
  - Including a greater emphasis on distributed leadership in the *National Standards for Headteachers* and in qualifications and training design;
  - Legitimising and promoting models that support shared accountability and work-life balance such as co-headship;
  - Extending the provision of training and licensing (including, but not exclusively, in the areas of child protection and duty of care) to leaders who do not have QTS in order to help distribute accountabilities across the school; and
  - Requiring schools to identify and designate a head of teaching and learning where this is not the same as the headteacher.

### Interaction with governing bodies

- 8.7 Generally, the evidence suggests that a number of key aspects of school governance need to be reformed. For example, a significant minority (one fifth) of headteachers in both primary and secondary schools described the governance arrangements in their own schools as 'very ineffective' or 'quite ineffective', with a lack of suitable/required skills being, in their view, a key element of this. In addition, the development of new leadership models suggests the need for a corresponding development of new and innovative governance models.<sup>56</sup>
- 8.8 A particular issue arising from our research is the need to balance the representative role that governors and governing bodies fulfil on behalf of their local communities and parent bodies, and the extent to which they bring professional skills and expertise that can support school leaders. This links to how governors are recruited and rewarded for the role they play, and how this needs to be set in the context of the increasing demands on their time and commitment. There is also some evidence to suggest that governing bodies could be smaller and more strategic. On the other hand, the emergence of extended schools also opens up the possibility of co-opting representatives from other services such as, for example, health, social services and the voluntary sector.

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<sup>56</sup>Note that DfES is already taking steps in this direction through the governance model being adopted in relation to Trust schools via the new Education and Inspections Act.

## Recommendations

### Interaction with governing bodies

- The DfES should further examine a number of key issues in relation to governance that have been identified in this study, and have an important impact on school leadership, including:
  - The size and composition requirements of governing bodies, balancing the need to reflect the various constituencies e.g. parents, staff, local authority, church, with the increasing need for people with the required range of skills, knowledge and experience. As part of this it will be important to explore in particular the possible development of a 'slimline' executive governance model;
  - The key implications for school governance of the emergence of multi-agency involvement in schools, driven by the delivery of the ECM and the 14-19 agendas;
  - How Government, the National Governors Association, local authorities and schools can best work with employers and employers' organisations to increase the pool of potential governors with the right skills to offer;
  - Whether aggregating governance structures is a good way of accommodating new school models such as federations;
  - The extent to which a more formal *modus operandi* could be developed for pro-bono contributions to governance from the private sector, focusing initially on support to schools with the greatest levels of need, and building on the existing work of the School Governors One Stop Shop; and
  - The extent to which there is a requirement for further guidance on the roles and responsibilities of governors, particularly in regard to their strategic involvement in the school, and to wider accountabilities in relation to, for example, extended services.

### Streamlining policy

- 8.9 Over the last five years, the DfES has made a considerable effort to minimise the policy, research and regulatory burden placed on the sector by government and other bodies, not least through the establishment of the IRU, which was set up following the PwC Teacher Workload review, and the ongoing work of the Star Chamber and bodies such as WAMG. However, it is clear from the research evidence that the sector still feels overwhelmed by the complexity and scale of the initiatives they have to deal with from the DfES, local authorities and other agencies. For example, the word 'initiativitis' was used frequently by school leaders in our school visits.
- 8.10 Such concerns were articulated clearly to the study team on many occasions and we have reported them faithfully in this Report. However, it is our view that the level of concern expressed in this area cannot go unchallenged. There is a sense in which many leaders in the sector seem to be wishing for a stability and consistency in their environment which cannot be delivered, and which is not enjoyed by any other organisation in the public or private sector. Change, diversity and complexity is an inevitable feature of the current and future environment of all sectors, and leaders need to accept and embrace this. A more legitimate concern is not with change itself but with the way in which change is managed and communicated by different agencies. It is therefore incumbent on the DfES, local authorities and other agencies to re-examine the efficacy of the arrangements that are currently in place to minimise the burden on the sector, and to ensure that they are acting in consort to deliver a coherent and 'joined up' message.

- 8.11 It is worth noting that the problem of administrative burden is not unique to the education sector, and is a recurring feature of debate in most other parts of the public and private sector. From work that PwC has done elsewhere, a particular issue appears to be that while the actual number of new regulations and policies may be small, they are surrounded by a plethora of (often well-intentioned) advice that, whilst not mandatory, appear as recommendations to schools. To put it another way, the number of 'musts' may be low but the number of 'shoulds' and 'coulds' can be high, and difficult to ignore for schools. Thus clarity from central and local government in these areas is vital. This is particularly the case within the context of an inspection regime that examines the 'shoulds', the 'coulds' and the 'musts' and in the view of some stakeholders, does not distinguish explicitly between them.

### Recommendations

#### Streamlining policy

- The DfES should consider strengthening its various mechanisms for limiting the creation of unnecessary burdens on schools from its own policy development activities, and from those of other government bodies operating in the schools sector.
- As part of this, the DfES should provide greater clarity in new policy and regulation between the mandatory and the optional/advisory aspects.
- The DfES should ensure that any changes required or recommended in schools are adequately supported. This will involve further consideration of how a school might spend its budget in order to meet any required changes, and what the exit strategy may be if the initiative is time-bound. We are not proposing ring-fenced funding around each new change, but rather a process of 'sense checking' that a recommended change can plausibly be implemented by a school or local authority within the available budget.
- The DfES should undertake a regular mapping exercise in relation to existing and future regulations, programmes and policies and how they impact on schools. Such a mapping exercise would be aimed at addressing any unnecessary requirements, and streamlining and linking different initiatives. The aim should also be to achieve a proportionate reduction in burdens on schools that can be balanced against any additional requirements resulting from new policies.
- In addition to existing performance indicators, the DfES should consider how best to promote measures that recognise the wider contributions of schools to areas such as extended provision, social outcomes, collaboration between groups of schools, and inter-agency networking.

## Capacity building

### Developing people, diversity and succession planning

- 8.12 The research evidence strongly suggests that there is a clear need to renew leadership capacity in the sector in order to enable leaders to embrace and deliver on the new policy and delivery agendas, both within existing traditional models of school leadership and in the emerging and new models. For example, many school leaders feel they do not have the necessary experience and expertise to enable them to cope with the challenges of the new ECM and 14-19 agendas, manage major investment or building programmes and network effectively on an inter-agency basis, in spite of the fact that NCSL is already investing in a range of training initiatives in these areas. At the same time school leaders have also expressed concerns around their capacity to develop themselves and their staff in an effective and strategic manner, and in such a way as to equip them to deal with the challenges of the 'new world'.

- 8.13 These new challenges are, to a large extent, the logical implication of the key new policy initiatives that have been developed in recent years and have changed the face of schools and school leadership in the country. But alongside this, the evidence from the research suggests strongly that there has *not* been an associated transformation in, for example: the approach leaders adopt to their own CPD; the social and demographic composition of the leadership *cadre*; the career pathways into headship and beyond; the expansion of school leadership teams to accommodate longer opening hours; and the provision of more diverse services on school sites. In other words, the capacity 'on the ground' to deal with the new policy agendas is relatively immature and is, in a sense, playing 'catch up' with the fairly mature thinking on and acceptance of the policy initiatives themselves. Given this, there is a clear need to 'renew', or transform the strategic and operational capacity in the sector to deliver on the new policy agendas.
- 8.14 School leaders have expressed a clear need for support in relation to managing, developing and supporting all their people not just teachers. It is also clear from our review of the private sector's approach to leadership that this is one of the most important agendas in relation to leadership more generally. This has been recognised by leading thinkers in education management too, as illustrated by statements like 'the job of leaders is to create more leaders'.<sup>57</sup> The people and succession planning agendas, therefore, need to be placed more firmly at the core of the school leadership agenda. The outcomes of the on-going pilots of the NCSL succession planning strategy will be very informative in this regard.
- 8.15 Furthermore, our evidence suggests that professional development is not a priority for all school leaders, with one in ten heads and one in five senior support staff claiming to have undertaken no significant professional development activity in the last three years.<sup>58</sup> There was also a clear need to further develop professional support networks. Related to this, and in order to meet the leadership demands of these new organisations, there is a necessity to promote greater diversity within leadership teams. Diversity must be considered in its broadest sense, e.g. to include gender, ethnicity and age as well as BME representation, and must also encompass new leadership opportunities and career routes for senior support staff and other professionals working in schools.

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<sup>57</sup> Fullan (2003).

<sup>58</sup> While this finding may be due to a lack of recognition of the full range of activities encompassed by professional development (so that heads are only recording particular types of training, or formal training), it still suggests, to some extent, a lack of a strong CPD culture in the sector.

## Recommendations

### Developing people, diversity and succession planning

- The DfES should, where appropriate, promote and encourage the possibility of suitably experienced professionals who currently work in senior support positions within schools, or outside the schools sector, taking on school leadership roles. This is likely to involve the following:
  - Providing ‘permission’ – without being over-prescriptive, the DfES should endorse proactively the possibilities around suitably experienced and qualified professionals (other than teachers) playing key roles on the leadership team in schools, up to and including taking lead responsibility for the school (whilst also ensuring that there is a senior leader with QTS responsible for teaching and learning in cases where this is not the overall leader);
  - Paying particular attention to applications from non-traditional groups in the ongoing review of NPQH;
  - Integrating leadership and management modules into initial teacher training<sup>59</sup>; and
  - Reviewing the effectiveness of SIPs and other support networks for school leaders for both teaching and senior support staff.
- The DfES should proactively encourage and promote ways of shortening the time from QTS to headship (currently, the average time is around 20 years, although there is no formal regulation requiring this).
- The DfES should consider a pilot initiative involving the rotation of leaders at periodic intervals around a cluster of schools, similar to the approaches being adopted in many parts of the private sector. This would need to be carefully managed, incentivised and evaluated, possibly by NCSL.
- The DfES should review good practice in relation to initiatives that promote diversity in school leadership teams, particularly as regards gender and ethnicity, and consider further how to roll out the lessons from this review across the sector.
- The DfES should further encourage and support ‘system leadership’ (i.e. leading beyond the institution), and consider how it can be used as a vehicle for more effective and co-ordinated succession planning. In addition, succession planning should be further prioritised as a key strategic issue, building on the success of the recent NCSL pilots.

### Adopting a new approach to leadership qualifications and programmes

8.16 The main existing leadership qualification is the NPQH, which is currently under review by the NCSL, and the main programme for serving heads is Head for the Future (formerly LPSH). There is mixed evidence from school leaders and stakeholders on the appropriateness of these qualifications and programmes. In particular, the evidence suggests that some key aspects of these qualifications require reform in order to ensure that they are appropriate and fit-for-purpose.

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<sup>59</sup> In relation to this, note that the TDA does not specify course content for initial teacher training. Rather, the TDA develops professional standards for teachers and it is then for training providers, inspected by OfSTED, to develop their courses in ways they think best meet the QTS standards and the needs of their trainees.



- 8.17 Some school leaders have also indicated to us that other qualifications such as MBAs and Masters degrees have proved, in their view, to be very useful in terms of helping them deal with leadership challenges. This suggests the need to widen the concept of leadership qualifications, and draw on the best of what is already in the market in terms of other bespoke management and leadership qualifications, for ongoing leadership development.
- 8.18 Related to this, the development of new 'multi-agency' or 'managed' leadership models in response to the ECM agenda, and the associated involvement of non-QTS professionals on school leadership teams, suggests that there are likely to be benefits from 'joining up' leadership qualifications and training across the public sector and perhaps also with the private sector.

## Recommendations

### Adopting a new approach towards leadership qualifications and programmes

- Building on the ongoing review of NPQH, the DfES and NCSL should give consideration to reforming key aspects of NPQH and Head for the Future (formerly LPSH), in particular:
  - *Content*; ensuring that the key needs articulated by school leaders in this research are given further prominence, in particular financial management, extended services and the associated implications for team working and people management;
  - *Delivery*; modernising the delivery vehicle to include, for example, e-learning solutions; a greater element of modularisation and tailoring to individual need; cross-sectoral inputs and participation; and less emphasis on what often comes across as a formulaic 'tick box' approach;
  - *Accreditation*; ensuring that NPQH is fully 'joined up' with the outputs from secondments, exchanges and other CPD initiatives, so that participation in these initiatives can provide significant accreditation towards modules of NPQH. Ensuring also that this is the case, and understood to be so, in relation to relevant elements of other professional qualifications including, for example, Masters degrees and MBAs;
  - *Positioning*; ensuring that NPQH and Head for the Future are widely understood across the sector, *not* as one-off exercises, but rather part of an ongoing development process;
  - *Constituency*; ensuring that leadership training for support staff and senior support staff leaders (e.g. the Bursar Development Programme, delivered by NCSL) is accepted across the sector as being as important as leadership training for teachers; and
  - *Mentoring and support*; promoting ongoing mentoring and support programmes in order to increase the successful number of NPQH candidates who take up headship or other leadership positions in schools.

### Mainstreaming innovative, experience-based CPD activities

- 8.19 The research has highlighted a number of examples of good practice in relation to innovative CPD activities such as business or public sector secondments, and international exchanges of school teachers and leaders.
- 8.20 The evidence suggests that initiatives such as these, although they are not without their challenges, contain many of the key elements required in order to transform leadership capacity in the sector, e.g. experience in other sectors or other countries, time out to reflect strategically, and experience-based learning by doing. The problem is that the scale of such activities remains relatively small, and participation in them often relies on the proactivity of the individuals concerned. In other words participation tends to be driven by the motivation of individuals, rather than the infrastructure and culture of the system.

- 8.21 Consequently, in our view there needs to be a step change in innovative experience-based activities of this nature; in effect a re-balancing of the basket of CPD activities away from traditional 'chalk and talk' training programmes, towards more experience-based programmes that include opportunities for critical reflection. In doing so, it will be important for NCSL to build upon the success of its more experiential and blended programmes such as New Visions. Although the DfES and its agencies and providers have an important responsibility for this, the agenda needs to be owned and driven by the sector itself.

## Recommendations

### Mainstreaming innovative, experience-based CPD activities

- DfES should consider how it can stimulate a major ratcheting up of participation in innovative CPD initiatives including at least some of the following elements:
  - Secondments into business or the public sector, cross-sectoral mentoring programmes, international exchanges, and study or research opportunities (all of which should be undertaken within a clear set of parameters that focus on outcomes that will have benefits for participants' institutions and/or the wider system);
  - Work-shadowing other school leaders in different contexts;
  - On-going CPD, some of which might be made compulsory, for all sectors of the school workforce, especially those in leadership positions. CPD should include an element of verifiable training in core subjects relating to system-level priorities<sup>60</sup>;
  - Ensuring that school funding includes a sufficient allocation that recognises funding for CPD for leaders; and
  - Tailoring of CPD to sector specific needs, e.g. schools in challenging circumstances, targeting pupils with Special Educational Needs, or effective approaches to collaborative working.
- Children's Trusts should be encouraged to develop training that brings together senior leaders from education, health, social services, and other relevant services to provide a joined-up approach and a greater understanding of the ECM agenda.

### Developing system-wide e-learning solutions

- 8.22 In order to renew leadership capacity in the sector, a series of new training initiatives will be required. The evidence suggests that, driven by the new policy agendas, school leaders have a fairly clear idea about their training needs.. Two key areas they have identified are:

- Management – dealing with the new challenges around devolved funding, e.g. managing finances and buildings; and
- Extended services – learning how, in practice, to implement the bringing together of the learning and social agendas 'on the ground'.

- 8.23 The feedback we have received on the existing training provided in these areas is mixed. In particular, a number of leaders have indicated that much existing provision is disparate, difficult to access, and hard to justify taking time out during term time to complete. The private sector provides good examples of delivering appropriate e-learning solutions to particular types of training needs. E-solutions work best in situations in which there is a large scale training requirement (i.e. a large number of individuals who need to be trained), and the

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<sup>60</sup> The thrust of current policy is that the school workforce should have a professional responsibility and a contractual entitlement to be engaged in effective, sustained and relevant professional development. In this context, the policy around devolving funding and decision-making to schools is intended to ensure that such CPD is tailored to sector and institution-specific needs.

delivery of the training needs to be tailored to individuals' circumstances (i.e. can be done at a time and place that suits the individual). In this context, and recognising that it would only be part of the overall solution, there is a clear opportunity to develop a suite of innovative e-learning solutions as a cost-effective way of addressing some of the key training requirements of the sector.

#### Recommendations

##### Developing system-wide, e-learning solutions

- As part of a wider 'blended' approach to learning, DfES and NCSL should consider how best to develop further e-learning training solutions to meet some of the key training needs currently facing school leaders, particularly in the areas of management, broadly defined, and extended services.

## Reward

### Maintaining the existing pay framework

- 8.24 Our terms of reference require us to consider the reward system in the context of the research that we have carried out on existing, emerging and future models of leadership, and it should be noted that we have not been asked to undertake a formal and comprehensive review of the current reward system and its practical operation. Our recommendations on reward should therefore be seen in this context; we advise on the suitability of the reward system to accommodate new models of school leadership and also highlight some issues which we believe need to be addressed or reviewed in more detail.
- 8.25 Our primary conclusion is that fundamental changes to the current reward system are not required to accommodate new models of leadership. Some modifications may be required, additional guidance is needed, and schools need to be more adept at using the flexibilities that already exist. We do not think that any of the new models of school leadership could not be accommodated within the existing broad framework, and have not identified other compelling reasons for making fundamental changes to the framework. Our recommendation is for modification and not radical change.
- 8.26 We believe that some aspects of the reward system need to be reviewed to address other concerns raised during our research. We make separate recommendations under the heading of maintaining the integrity of the reward system.

#### Recommendations

##### Maintaining the existing pay framework

- The key features of the existing reward system for school leaders should be maintained – we recommend modification of this system, not radical change.

### Rewarding new roles and individual performance

- 8.27 The emergence of new models of leadership does require some changes to the current reward system, although we envisage that much of this should take the form of guidance rather than be prescription. For example, the pay range for the executive head of a federation of schools could be determined by aggregating all of the pupils within the federation, using the Key Stage weightings which currently apply. The aggregated calculation could then be discounted by a nationally agreed factor to take account of the fact that within each school there is a headteacher to whom most of the responsibilities are delegated. The headteachers within the federation would have their pay range determined as at present with a discount applied to recognise that they report to the executive head.

## Recommendations

### Rewarding new roles and individual performance

- The STRB should be asked to review the current reward structure and provide guidance on how new models of leadership can be accommodated most effectively within the reward system (for example, through the additional points to the normal salary scale in carefully defined circumstances). This should include assessing:
  - How the salary range for executive heads and chief executives could be determined where they are responsible for more than one school;
  - How the salary range of heads should be adjusted where they report to an executive head or chief executive; and
  - How to deal with reward for school leaders who assume additional responsibilities beyond their school that do not impact directly on outcomes for children.
- The DfES and STRB should further consider how best to provide additional flexibility, to enable non-QTS senior support staff in school leadership teams to be rewarded on a basis that enables senior support staff with the necessary skills to be recruited and retained. The DfES is currently reviewing this matter, and we recommend that the result of this work should be some national guidance around the salary levels and wider terms and conditions to be provided for senior support staff in all schools. There is also a case for asking the STRB to make recommendations on a flexible framework for the salaries of senior support staff in schools, enabling the Review Body to take an holistic view of school leadership when making its recommendations.
- We support the use of the new performance management framework for school leaders and teachers, developed by the Rewards and Incentives Group (RIG), to ensure that the reward of school leaders is properly linked to personal performance. This could be based on a 'balanced scorecard' approach taking into account a range of measures.
- Guidance and training should be provided to headteachers, governors and local authorities on how to reward leaders. In particular, this should encourage the use of the flexibilities that already exist. This should include guidance on how to use the reward system flexibly, for example to ensure that school leaders are able to work together, and cover responsibilities throughout the year without losing their holiday entitlements. Where there are contractual impediments to achieving the required flexibilities (for example in STPCD) these should be identified and removed.

### Maintaining the integrity of the reward system

- 8.28 It was clear from our research that school leaders have some reservations about the current reward system. In particular there is widespread concern that differentials do not provide an adequate incentive for promotion within the system and it is also notable that only 14% of primary heads believe that phase of the school should be taken into account in determining reward. These reservations would best be addressed by asking the STRB to review the areas that are giving cause for concern. The outcome of this review might result in changes to the system, or alternatively in providing the rationale to reassure school leaders as to its integrity.
- 8.29 Such a review should also consider the differentials between school leaders in schools of different sizes to ensure that they reflect differences between job size of heads, deputies and other school leaders. It should also consider whether the continuation of the distinction between deputies and assistant heads is merited given the evidence of the lack of distinction between the roles in practice.

## Recommendations

### Maintaining the integrity of the reward system

- STRB should be asked to review a number of issues as follows:
  - Pay differentials to ensure that these properly reflect differences in job size between head, deputy and assistant posts, in different sizes of schools;
  - The different weightings of pupil numbers currently set out in the STPCD to determine whether they continue to provide a fair basis for determining the salaries of school leaders in the primary, secondary and special sectors; and
  - Whether there should continue to be a distinction between the pay scales for deputy and assistant heads.

## Promoting the role of parents and learners

8.30 The research suggests that many of the school leaders we spoke to are absolutely focused on the needs of learners and parents in the way their school is run. Increasingly, they are also adept at responding to a much wider range of users, in order to tailor extended services to the wider community. We also know that, as the range of services provided by schools increases, the range of such users, and their needs, will become increasingly diverse, and that headteachers and the wider workforce will require further development and support to meet these needs. Within government, the private sector and the research community there has been a rapid growth in the literature and practice relating to 'customer-centric' services.<sup>61</sup> A recent report summarising case studies on dozens of public sector organisations, including schools, identified a need for greater feedback channels for frontline staff to shape services to meet the changing needs of different users, e.g. through on-line discussion forums.<sup>62</sup> We have encountered schools which make use of IT in order to allow pupils and parents to give regular feedback to schools. Again, there has been some useful thinking in this aspects of public sector delivery within the Cabinet Office Delivery Council.

8.31 In order to support headteachers and governing bodies in taking account of the view of users in an effective, but low burden way, DFES and its national partners need to invest in the identification and embedding of good practice in the seeking and using of user feedback. In addition to supporting school leaders to shape services to respond to users at school level, users also need a 'voice' in the proposed reforms. We do not underestimate the challenge of representing this hugely numerous and diverse group on a national body; but we urge DFES and its partners to consider ways to do so.

## Recommendations

### Promoting the role of parents and learners

- DfES and its national partners should further consider how to ensure the voice of users is best represented in the development and implementation of school leadership reforms. Part of this may involve school leaders being supported in the use of low burden ways to seek and respond to the voice of users of their services. Parent governors on governing bodies may also need to be encouraged to provide critical challenge to headteachers about this aspect of the school.
- DfES should review best practice in consulting users and involving them in the development of services, building in particular on the experiences of those involved in the Children's Trust pathfinders.

<sup>61</sup> See for example *Customer Insight in Public Services - "A Primer"*, [http://www.cabinetoffice.gov.uk/public\\_service\\_reform/delivery\\_council/workplan.asp](http://www.cabinetoffice.gov.uk/public_service_reform/delivery_council/workplan.asp)

<sup>62</sup> <http://www.demos.co.uk/publications/thejourneytotheinterface/>

## Winning hearts and minds

8.32 Our research indicates that changes to public opinion will help to underpin some of the developments in the new models that we have identified. There are two aspects to this. The first is explaining the need for schools and their leaders to look different from the traditional models of the past. The second is that a broader range of managers and leaders in other sectors may want to consider school leadership themselves.

### Key elements of the message to be communicated in public opinion shaping

#### **Schools have changed...**

- Their raison d'être is different now, and they are working to new agendas...
- In particular, there's the juxtaposition of learning and social agendas...
- The workforce looks different... and is broader
- Schools are really committed to listening and responding to what their communities need.
- And there are clear benefits from all of this.

#### **School leadership has changed...**

- School leadership now needs to be done by teams, not individuals... it's distributed...
- Leadership teams look different now... many of them are not teachers...
- As a strong leader or manager in another sector, you might have a valuable role to play in schools of the future.
- The result of these changes will be beneficial for you, for pupils and for society.

8.33 Recommendations under this heading relate to the need to shift the thinking around what school leadership means in the 21<sup>st</sup> century. In particular, there is a need to raise awareness and acceptance of the concept of distributed school leadership, both within and outside the sector. This winning of hearts and minds is one of the fundamental components required to turn the acceptance of the principles of distributed school leadership into a reality. This can only be achieved effectively through a broad coalition between government, school leaders, professional association and unions, local authorities and those representing parents and learners.

### Recommendations

#### Winning hearts and minds

- DfES and NCSL should consider developing a communications campaign, possibly as part of NCSL's ongoing succession planning work, in order to challenge the conventional wisdom (e.g. around 'hero heads'), explain the benefits of new school leadership models, and enlist new entrants into the talent pool from diverse backgrounds.

## Measuring and managing the change

8.34 At a national level there is a clear need to receive up-to-date, insightful information to allow an assessment of the progress of reforms, and whether they are having the desired impact. An initial view of the indicators that may be required is provided overleaf. Where appropriate these need to be provided at a specific level, e.g. to monitor unfilled vacancies at local and regional level, for different school types, as well as at national level.

## Key indicators of success for implementation of a new school leadership strategy

Success descriptors	Lead indicator (inputs)	Lag indicator (outputs)
Diversified leadership models	<ul style="list-style-type: none"> <li>• New models being promoted</li> <li>• Legal/regulatory barriers removed</li> <li>• Distributed accountability enabled</li> <li>• Different training models developed and implemented</li> <li>• Governance review undertaken</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence of effectiveness of new models in raising standards of educational achievement amongst pupils</li> <li>• Recruitment and retention improved in key regions</li> </ul>
Streamlining policy	<ul style="list-style-type: none"> <li>• Policy/ implementation links reviewed and reformed</li> <li>• Programmes, policies and regulations reviewed and streamlined</li> <li>• Publication of broader measures to recognise wider school performance</li> </ul>	<ul style="list-style-type: none"> <li>• School leaders are more positive about the purpose, coherence and manner of implementation of government policies</li> </ul>
Building capacity	<ul style="list-style-type: none"> <li>• Future leaders identified early</li> <li>• Initiatives to recruit under-represented groups under way</li> <li>• Reforms to NPQH implemented</li> <li>• Reforms to CPD implemented</li> <li>• A suite of system-wide e-learning solutions is in place</li> </ul>	<ul style="list-style-type: none"> <li>• Average shortening of time from QTS to headship</li> <li>• More diverse leadership including gender, ethnicity and those from a non-teaching background.</li> <li>• Increased number of headteachers undertaking a 'system leadership' role.</li> <li>• School leaders are more positive about the qualifications required and available for school leaders, and their links to CPD</li> <li>• Increase in range and diversity of leadership CPD experiences</li> <li>• Uptake of e-learning solutions</li> </ul>
Reward	<ul style="list-style-type: none"> <li>• New roles and responsibilities rewarded</li> <li>• More equitable reward for all school leaders</li> <li>• Modernised reward package</li> </ul>	<ul style="list-style-type: none"> <li>• More leaders aspiring to headship</li> <li>• Clearer, more transparent system</li> <li>• Greater diversity in the leadership team</li> </ul>



Success descriptors	Lead indicator (inputs)	Lag indicator (outputs)
Role of parents and learners	<ul style="list-style-type: none"> <li>• Appointment of user representatives</li> <li>• Evidence of views shaping reforms</li> <li>• Evidence on extent to which voice of user shapes leadership training and development</li> <li>• Schools have tools to interact with users in a range of ways</li> </ul>	<ul style="list-style-type: none"> <li>• Parents/learners say school leaders respond to their needs</li> <li>• School leaders say they have the skills and tools to respond to user needs</li> </ul>
Strong steering group arrangements are in place and working effectively	<ul style="list-style-type: none"> <li>• Range and depth of representation of school leaders, workforce, government and users involved in managing the change</li> </ul>	<ul style="list-style-type: none"> <li>• Achievement of key objectives by the different representatives</li> </ul>

8.35 Active management of the system based on the information received is an even greater challenge than collecting the information, and clear responsibility for operational action will be required.

Recommendations
<p><b>Measuring and managing the change</b></p> <ul style="list-style-type: none"> <li>• DfES and WAMG should ensure that the national steering arrangements for school leadership reform are based on up-to-date, insightful management information, using our proposals above as an initial template.</li> <li>• DfES and WAMG should ensure clear ownership for implementation of the recommendations, linked to a project plan including active identification and management of risks.</li> </ul>

## Conclusions

8.36 By way of summary, the key recommendations we have made are as follows:

- **Diversifying leadership models;** proactively promote new and emerging leadership models; develop a national programme to support schools seeking to move towards new models; and remove the key legal and regulatory barriers to the development of new models;
- **Distributing responsibility with accountability;** review policy and practice in relation to accountability in order to facilitate greater distributed leadership. This will involve, *inter alia*: a review of legislation and regulation in relation to accountability in schools (focusing, for example, on legislation in relation to co-headship, executive headship and responsibilities relating to exclusions and performance management); further communicating the flexibilities in relation to accountability afforded under the 2002 Education Act; and extending the provision of training and licensing to leaders who do not have QTS;

- **Reviewing governance;** consider further the interaction between leadership and governance, addressing issues including: the size and composition of governing bodies, the implications of multi-agency working in schools, and the *modus operandi* for pro-bono contributions from the private sector;
- **Streamlining policy;** review the mechanisms currently in place for limiting the bureaucratic burden on schools; conduct a regular mapping exercise of existing and future regulations; and provide greater clarity around which aspects of policies and requirements on schools are mandatory and which are optional/advisory;
- **Developing people, diversity and succession planning;** promote suitably qualified professionals from outside the schools sector taking on school leadership roles; encourage shortening the time from QTS to headship; and develop a pilot initiative involving the rotation of leaders at periodic intervals around a cluster of schools;
- **Adopting a new approach towards leadership qualifications and programmes;** reform NPQH and Head for the Future, focusing on a range of aspects including: sharing modules with professionals from other sectors and wider accreditation of prior learning;
- **Mainstreaming innovative, experience-based CPD activities;** build leadership capacity in the sector by promoting and mainstreaming a series of innovative, experience-based CPD activities including secondments into business or the public sector and cross-sectoral mentoring programmes. Also encourage Children's Trusts to develop training that brings together senior leaders from education, health, social services and other relevant agencies;
- **Developing system-wide e-learning solutions;** do this in order to address some of the key training needs identified in this study, and as part of a wider 'blended' approach to learning;
- **Ensuring that the existing reward system works better;** i.e. we are not recommending radical changes to the existing reward system. We do not think that any of the new models of school leadership could not be accommodated within the existing broad framework, and our main recommendation relates to modifying the existing system, not changing it radically;
- **Rewarding new roles and individual performance;** modify the existing reward system in a number of areas including:
  - Examining how salary ranges for executive heads and chief executives can be best determined, and also how the salary range of heads should be adjusted where they report to an executive head;
  - Reviewing the ways in which non-QTS senior support staff are rewarded in order to promote effective recruitment and retention; and
  - Providing further guidance and training to headteachers, governors and local authorities, on how to reward leaders most effectively.
- **Maintaining the integrity of the reward system;** review a number of aspects of the existing system including: pay differentials between heads, deputies and assistants; the different weightings of pupil numbers set out in the STPCD; and whether there should be a distinction between the pay scales for deputies and assistants;

- **Role of parents and learners;** provide support to school leaders in the use of low burden ways to seek and respond to the voice of the users of their services, in particular, learners and parents;
- **Winning hearts and minds;** develop a communications campaign in order to challenge the conventional wisdom (e.g. around 'hero heads'), explain the benefits of new leadership models, and enlist new entrants into the talent pool from diverse backgrounds; and
- **Measuring and managing the change;** ensure the national steering arrangements for school leadership reform are based on up-to-date, insightful management information, and that there is clear ownership of all recommendations being taken forward as a result of this study.

## 9 Conclusions

- 9.1 This report has highlighted a number of key positive aspects of school leadership in England and Wales. For example, in terms of the broad trends, Ofsted has indicated that the quality of school leadership has been improving generally since the early 1990s. Furthermore, since the late 1990s there has been substantial investment in school leadership with the creation of the NPQH and the NCSL.
- 9.2 Nevertheless, the report has also highlighted a number of key challenges for school leadership as we move forward into the 21<sup>st</sup> century. Many of the challenges faced by school leaders today are driven by the increase in the scale and complexity of agendas that school leaders are having to take forward. A large part of this is driven by the changes associated with the juxtaposition, through Every Child Matters, of the learning and standards agendas on the one hand, and the social and inclusion agendas on the other. In addition, as we have outlined in the Report, other major policy initiatives including the 14-19 agenda and BSF, all present their own particular challenges for school leaders going forward. All of this means that schools and schooling are changing radically, and this in turn poses a fundamentally different set of challenges for school leadership (although the ultimate aim of promoting better outcomes and standards for children and young people remains).
- 9.3 These changes are presenting tests to the existing (still dominant) traditional model of school leadership and are also leading to the emergence of a number of new models which seek to address them more adequately, particularly in schools at the forefront of the new agendas. They are responses to the fact that schools must manage a much broader range of issues and functions internally, and must also increasingly link with other schools externally. Thus there are internal and external pressures on schools to re-examine the ways in which they organise themselves and allocate leadership roles. As further changes work through, for example the 14-19 reforms and the personalised learning agenda, then these pressures are likely to intensify.
- 9.4 This report has examined a range of existing, new and emerging models of school leadership and set out a series of recommendations which we hope will be embraced by school leaders and their representatives, Government and wider stakeholders.

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