



The Prime Minister's
**OFFICE OF PUBLIC
SERVICES REFORM**

department for

education and skills

creating opportunity, releasing potential, achieving excellence

SCHOOLS DRIVING CHANGE

**Interim report
July 2002**

SCHOOLS DRIVING CHANGE

Joint report from DfES and OPSR

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INTRODUCTION

This interim report is the result of a commission from the Prime Minister and Secretary of State for Education and Skills for OPSR and DfES to jointly review the capacity of schools to drive further pupil attainment. We were asked to focus on earned autonomy and to do so particularly in the context of incentives and rewards.

We have approached this by starting from first principles, looking first at what constitutes good teaching and learning, and then analysing obstacles, support mechanisms, and how to make the most of the best. On the basis of this analysis, we have developed a number of recommendations for further work.

The report falls into three parts:

Part A sets the background and context for the review, including terms of reference and details of the research methodology e.g. the workshops and interviews with 87 headteachers of some of the most improved schools in the country.

Further, we summarise current levels of pupil attainment, and articulate the critical importance of good teaching and school leadership to drive further improvement. We set out the characteristics of good teaching and school leadership, and summarise OfSTED data on the extent to which it currently exists.

Part B addresses what needs to be done to improve the quality of teaching and school leadership, by considering four questions in turn. For each question we summarise the evidence we found, refer to work that the DfES is already doing in each case and, where we have identified gaps, propose areas for further work:

- (i) **What are the obstacles to good teaching and leadership?** We examine the challenges presented by poor and insufficient teachers and leaders, bureaucracy, excessive workload, and micro-management
- (ii) **What helps people to teach and lead better?** We address the importance of better data about pupils' performance, refining the national curriculum and how it is taught, providing more time to plan and learn from successful practice elsewhere, more control over resources, better support from statutory agencies, and improving school governance.
- (iii) **What motivates people to teach and lead better?** We refer in particular to professional recognition, effective performance management, and recognition and support for innovation (alongside pay and conditions, and time to do the job properly).
- (iv) **How can good teaching and leadership be spread more widely?** We comment on making the most of the best, leadership development, making the most of the best, and developing and spreading best practice.

Finally, **Part C** summarises our recommendations, based on the analysis set out in Part B.

PART A

1. PURPOSE OF THE PROJECT

The Office of Public Services Reform was established to support the Government's public services reform strategy, as summarised by four principles:

- It is the Government's job to set national standards that really matter to the public, within a framework of clear accountability
- These standards can only be delivered effectively by devolution and delegation to the front line
- More flexibility is required for public organisations and their staff to achieve the diversity of service provision needed to respond to the wide range of customer aspirations
- Public services need to offer expanding choice for the customer, and an element of contestability between alternative suppliers.

On 7 February 2002, the Prime Minister and Secretary of State for Education and Skills agreed the following terms of reference for a joint review by OPSR and DfES of the capacity of schools to act as drivers of change:

Terms of reference (extract)

“The Government's key objective for schools is that all pupils should have the opportunity to achieve their full potential as learners, before moving on into further education and employment. There are too many schools where this objective is far from being realised at present, with (for example) only half of 16 year olds achieving 5 decent GCSE grades, so major change is needed. In the context of the Education Bill and other developments, we will review the capacity of schools to act as the drivers of this change, and what this means for their relationship with LEAs and the DfES. In particular, we will ask:

- What organisational design will best ensure that earned autonomy for schools delivers the necessary step change in standards of learning?
- Specifically, what further systems of support, incentives, freedoms, rewards, accountability, contestability and use of ICT will ensure that the earned autonomy programme enables schools to deliver the best possible education appropriate to local circumstances?

In considering these questions, it will be important to identify what can be learned from the methods by which individual schools have made dramatic improvements in standards of learning, and how this can best be spread more widely.”

2. METHODOLOGY

OPSR and DfES established a joint project team, and adopted the following methodology for the review (see Appendices 1 and 2 for more details):

- A series of workshops with 87 head teachers of the most improving primary and secondary schools in England (8 workshops in London, Birmingham, Leeds and Manchester covering over 40% of the 200 most improved schools)
- Workshops with 23 frontline teachers at 3 secondary schools and 1 primary school
- Analysis of pupil attainment and other performance data; OfSTED inspection data; as well as a range of other DfES data on all topics explored in the project
- Analysis of policy papers and related reports and documents (Appendix 2)
- Analysis of research on school improvement (David Hopkins, Michael Barber, Michael Fullan, John Macbeath, John Gray and others), including interviews with some of them
- Interviews and workshops with senior representatives of OfSTED (including both the current and incoming HMCIs), Audit Commission, TTA, NCSL
- Interviews and workshops with ex-GM heads, independent school heads (including CTCs) and other heads, school governors
- Interviews and workshops with new entrants to the schools marketplace (3Es, Capita Education)
- Interviews and workshops with CEOs (Hertfordshire, Cambridgeshire, Bradford)
- Interviews and workshops with key DfES people (Standards and Effectiveness Unit and others across DfES Schools Directorate)
- Discussions and liaison with PMDU, FSU, and RIU, each of whom are currently working in this area.

A Steering Group was established to guide the project team's work, comprising Wendy Thomson (Prime Minister's Adviser on Public Services Reform), Will Cavendish (Special Adviser to Estelle Morris), Peter Housden (Director-General Schools, DfES), Andrew Adonis (No. 10 Head of Policy and Deputy Head Policy Directorate, Education and Skills). The Steering Group met on 25 March and 30 April. The team has been in ongoing dialogue with the individual members of the Steering Group.

3. THE CHALLENGE

3.1 Pupil attainment

Levels of pupil attainment have risen significantly over the past few years. This has been particularly marked for primary school pupils - the proportion of 11 year olds achieving level 4 in English and Maths has increased from 63% and 62% respectively in 1997 to 75% and 71% respectively in 2001. Over the same period the proportion of 16 year olds achieving 5 or more GCSEs at grades A*-C has increased from 45% to 50%. The levels of literacy, numeracy and science achieved by 15 year olds is higher than the average across the OECD. However, despite these improvements it remains the case that a quarter of 11 year olds and half of 16 year olds do not achieve the expected levels for pupils of their age.

Looking underneath this headline data, there are huge variations in performance between different schools. The gap between the average achievement of pupils in the highest-performing schools and the lowest-performing schools continues to widen (as set out in OfSTED's most recent annual report). The recent PISA study conducted by the OECD revealed that the gap between the highest and lowest achievers at secondary level in England is one of the highest in Europe.

Much of this variation is correlated with the percentage of pupils known to be eligible for free school meals, which is used as a proxy for levels of deprivation. For example, last year those schools with fewer than 5% of 11 year olds known to be eligible for free school meals had 83% or more achieving the expected levels of literacy and numeracy, compared with only 54% or more achieving these levels in schools with over 40% of pupils known to be eligible for free school meals.

However, there are variations in performance of between 10% and 20% **within** each free school meals band, which demonstrates in broad terms how levels of attainment vary significantly between schools even after taking account of differing levels of deprivation. Professor David Hopkins, Director of the DfES Standards and Effectiveness Unit, has another way of putting it for secondary schools: "the difference between the top 20% and bottom 20% is the difference between 7 grade Cs and 7 grade Es per pupil".

3.2 Schools' drivers of pupil attainment

In order to drive up standards across the system, we need to examine why this variation occurs – what is it that enables some schools to do so much better than others? The evidence shows that the key drivers for schools in improving the quality of learning and in improving levels of pupil attainment are the quality of teachers and school leadership. For example, an analysis of London schools' OfSTED reports over the period 1996-2000¹ showed that the proportion of pupils achieving 5 GCSEs at grades A*-C was 8% lower than would be expected (given the schools' intake – measured by FSM entitlement and not by prior attainment) where OfSTED assessed the quality of teaching in years 10/11 as satisfactory. The gap was as high as 13%

¹ FSU *Education and Skills Strategic Review, Phase I report, December 2001, p. 114.*

where teachers' performance was unsatisfactory. In contrast, where teaching was very good, 18% of pupils achieved more than would have otherwise been expected. The same study showed that where head teachers were scored as satisfactory by OfSTED, their pupils achieved 7% less than expected, whereas in schools with very good heads, pupils achieved 5% more than expected.²

Successive reports from HM Chief Inspectors have underlined this:

From Annual Reports of Her Majesty's Chief Inspector of Schools

There is no doubt that if standards of pupil attainment are to be raised, then the quality of teaching must be the focus of everyone's efforts. (1996/7 Commentary)

The key to raising standards in schools where achievement is currently too low is obviously to improve the quality of teaching and the strength of leadership provided by the headteacher. (1997/8 Commentary)

If standards are to continue to rise we need decisive management action, locally and nationally, that concentrates attention on the two imperatives that really matter: the drive to improve teaching and strengthen leadership. We now need...to focus relentlessly on these essential tasks. (1998/9 Commentary)

To give all young people the education they deserve, the most important ingredient remains a teaching profession which is of high quality, sufficient in numbers and led and managed well. (1999/2000 Commentary)

The importance of high-quality leadership cannot be overestimated. (ibid.)

In secondary schools the high quality of departmental management is particularly important: it is a consistent strength of effective schools. High priority should be given to heads of departments' professional development, since they play a crucial role in assuring the quality of teaching - a prerequisite for raising standards further. (ibid.)

At secondary level, the quality of leadership given by headteachers is often closely related to the quality of that of heads of department. The impact of effective middle managers is vital if secondary schools are to be transformed. (2000/01 Commentary)

In the schools where pupils' progress is unsatisfactory overall, the most frequent contributory factors are:

*inadequate attention to literacy and numeracy;
pupils' poor attitudes and behaviour;
poor or, more often, irregular attendance;
weak teaching, sometimes caused or compounded by difficulties in recruiting and retaining staff. (2000/01 para 70)*

Inspection shows that schools with higher relevant qualification rates among their teachers are more likely to be judged good or better. Where a subject is taught by a

² *ibid.*, p. 123.

high proportion of teachers with limited qualifications in the subject, this lack of subject knowledge manifests itself in lower expectations, weaker teaching and less effective learning in the subject. (2000/01 para 384)

A study by the Institutes of Education in London and Singapore found that a headteacher who can empower staff, parents and pupils to bring about positive change can be a key factor in school improvement:

Research from London University's Institute of Education and the National Institute of Education, Singapore, shows how four under-performing secondary schools - two in London and two in Singapore - were transformed into high-achieving institutions with results above those expected from their below average intakes of pupils. In each, the transformation began when the school acquired a new, enthusiastic headteacher who believed everyone capable of learning and knew how to infuse staff and students with this ideal. All four schools were in working-class areas, and all were multi-cultural. Parents tended to be poorly educated, with manual jobs. All had poor reputations among prospective parents before their transformations. (The Culture of Change: Case Studies of Improving Schools in Singapore and London, Institute of Education, February 2000)

Thus the key challenge is to promote policies which will lever up the quality of teaching and school leadership everywhere. To meet this challenge, we need to:

- (a) be clear what we mean by high quality teaching and school leadership, and identify where it does and does not exist;
- (b) identify what motivates teachers and school leaders to achieve high performance, recognising that this will vary according to their current performance and drive, and ensure the right incentives and rewards are put in place to deliver the necessary improvement across the schools system;
- (c) make the most of high quality teachers and leaders we have in the system, finding ways of extending their impact.

4 WHAT IS GOOD TEACHING AND LEADERSHIP, AND HOW MUCH OF IT IS THERE?

4.1. Teaching and learning

We found a clear consensus about what makes for good teaching. Those who we spoke to from some of the most improved schools in the country told us that good teachers:

- Set their sights high for what they expect each of their pupils to be able to achieve.
- Think carefully about what each child needs in order to learn well.
- Find out what makes lessons interesting and enjoyable both for themselves and the pupils, and deliver that in practice.
- Have the confidence to shape the curriculum to engage every pupil's interest.
- Use assessment data to plan and review learning goals with pupils.
- Work as a team with their fellow teachers and with the school leadership, being open to give or ask for support where it is needed.
- Constantly renew their professional practice.
- Understand that teaching is a demanding profession, that there are always going to be stresses and strains, and that it is never going to be a 'nine to five' job.

To quote from what some of them told us:

- *“There is nothing like the sense of achievement you get from seeing the kids do really well.”*
- *“We are in the business of educating a kid to go out into the world. This country wants people who are creative and thinking. It isn't just ‘Where does the apostrophe go?’”*
- *“We used to teach literacy in a rigid way and we weren't getting the results. The children were totally bored. ... Now we have a learning ethos and we are here to create a learning environment.”*
- *“Are we following the literacy strategy five days a week? No. Our teachers have the confidence not to. We make links across the curriculum ... For instance we do science poems – we teach literacy through science as well as through English You can adjust the system like that to make it work.”*
- *“If you are bored with your work as the teacher, then the children will become bored with their work.”*

However, these standards are not met in enough schools. According to OfSTED's most recent annual report (published February 2002), the quality of teaching is excellent or very good at Key Stage 2 in 17% of primary schools and at Key Stage 4 in 17% of secondary schools. It is good in 58% of primary schools and 65% of secondary schools.

But this still leaves 25% at Key Stage 2 (approx. 5,000 primary schools) and 16% at Key Stage 4 (approx. 500 secondary schools) where the quality of teaching is less than good. The report recognises the progress that has been made in recent years, although it does refer to the “increasing staffing difficulties” in commenting on the quality of teaching in the secondary sector.

4.2 School leadership

The NCSL Think Tank report (2001) concluded that the essential qualities of leadership in schools can be described through ten propositions, which focus on values, creating an active learning community and on the importance of distributed leadership. David Hopkins (2002) cites the following assessment of the requirements of school leaders in New York School District #2:

Principals ... are directly and explicitly accountable for the quality of teaching and performance in their schools, which means that principals and teachers hold their jobs on the basis of their capacity to learn how to teach at progressively higher levels of accomplishment. ... Principals are the lynchpins of instructional improvement. ... They are recruited, evaluated, and retained or dismissed based on their ability to understand, model, and develop instructional practice among teachers, and ultimately, on their ability to improve student performance.

The views put to us argued that good leadership of a school requires the same sort of skills and attitudes as good leadership in other services and sectors. Broadly, it is a mixture of the following factors:

- There needs to be a vision for the school, its pupils and its staff, which the head teacher, the senior team, and all the staff can put into words and drive forward. These words must translate easily into action for pupils as well as staff. Everyone needs to be clear where the school is going and why, and their own part in it.
- Good leadership of a school is about creating a climate in which all can sign up to this vision. When you go into a well-led school, you can tell that the whole place feels committed to going on that journey. It is evident in everything about it, in the atmosphere of the place, in the activities, in the behaviour, in the results.
- The ethos of the school is set by the leadership. This starts with the head's attitude to responsibility and accountability. Every single person, whether staff or pupil, must be clear about what is expected of them and how to do that, including the little things as well as the big things.
- A well-led school is clearly committed to some key values. Trust, openness, fairness, support; these are typical values that inspire and inform well-led schools (as well as other organisations). The head teacher and the senior team have to be scrupulous in adhering to these in their standards of behaviour, because they are the role models for each other, for the staff and for the pupils.
- Good school leaders are risk takers, not hemmed in by the rules and regulations that might stifle them and their colleagues, or bore their pupils. But they are not irresponsible – they manage risk well.
- Good school heads turn problems round, find ways through, do not get discouraged by setbacks, always look for imaginative solutions to difficulties. They do this by mobilising all their resources, using all their networks and contacts, and operating with flexibility. They create opportunities without asking permission or waiting to be told to do so by 'authority'. They are on the lookout for ideas from elsewhere, and bold about adapting these to their own school.
- The effective school head has rich professional expertise and experience – they know what conditions have to be in place for learning to occur well, and for teaching to be done well.

- The effective head also knows how to manage the organisation well – so that the staff are well-equipped for doing the right job and they are highly motivated to do their best.
- Professional development of the staff must be managed by the head and the senior team, always seeking opportunities to stretch those that could raise their sights and go further. Encouraging each teacher’s capacity to change themselves and to handle the changing world more confidently. Courses have a part to play, but often much more significant is the development that comes from collaboration and learning with and from peers.

To quote:

“You put as much energy as you can into the learning, but you have got to address the ethos too, the culture. Looking back, that is the reason for our success here. The teachers work hard, they want the children to succeed and they educate them – that means much more than just the literacy strategy or the curriculum or the tests and exams.”

“We encourage out of hours activities: drama; sport, music and the other activities that good middle class families would automatically provide for their kids. The home culture of most of our kids is such that parents don’t know about taking their child to the museum. But now, here, the pupils benefit and the staff enjoy it more. You get into a virtuous circle.”

Looking again at OfSTED’s annual report, the quality of school leadership is highly variable. Specifically, OfSTED identifies 40% of primaries and 42% of secondaries where the leadership is excellent; 34% and 35% respectively where it is good. But this still leaves 26% of primary schools and 23% of secondaries where the quality of leadership is less than good.

4.3 Driving change

In summary, between one in four and one in five of all schools do not exhibit good or better teaching and leadership as assessed by OfSTED. This is evidence of variability within the schools system, and that there is a significant tail of under-performance. The DfES has developed a programme of intervention in the least effective schools, and the plans for earned autonomy described in section 7.1 below are designed to support the further progress of the best led schools. However, the challenge for the Government is to ensure that its school improvement strategies are sufficiently sensitive to respond effectively to the different needs and aspirations of schools across the entire spectrum, and the teachers within them.

To address what needs to be done to tackle this challenge, we consider four questions in turn:

- (i) What are the obstacles to good teaching and leadership?
- (ii) What helps people to teach and lead better?
- (iii) What motivates people to teach and lead better?
- (iv) How can good teaching and leadership be spread more widely?

In addressing each of these questions below, we identify what the evidence that we (and others) have collected suggests by way of answers, and we summarise what the DfES is already doing in each case. In carrying out this analysis, we have identified a number of areas which we propose for further action, which we italicise in each of the following sections, and then summarise in the final section of the report.

PART B

5. WHAT ARE THE OBSTACLES TO GOOD TEACHING AND LEADERSHIP?

5.1 Poor teachers and leaders

The teachers and heads we spoke to identified a number of obstacles. Firstly, good teachers find it harder to succeed when working alongside ineffective teaching colleagues. One headteacher said to us:

“Schools are often in the position of having to employ whoever looks like they can do a half way decent job of managing a class. There’s very little choice and seldom the opportunity to appoint to create a balanced team in terms of knowledge, skills and experience...The more difficult the school, the more likely it will get the less competent supply teacher, so compounding the problems.”

A poor school leader impacts adversely on the quality of the teaching in their school too. Conversely, the greater the number of good teachers now, the larger the pool of potential school leaders for the future.

We summarise in section 8.2 below the work that the DfES has been doing to improve the quality of school leadership, through the National College of School Leadership (NCSL) and in other ways too. More directly, the DfES has a well-developed strategy for intervening in failing schools – those which exhibit the least effective teaching and leadership. There has been a fall in the number of schools in special measures from a peak of 515 in summer 1998 to 302 in Spring 2002.

But while poor teaching persists it is important that school leaders take responsibility for tackling it, both by action to improve the quality of individual teachers’ performance and, where necessary, by removing those poor teachers who are unable or unwilling to improve. We were told that one disincentive to this was the collegiate nature of school staff – even in the face of obvious poor performance – and thus the additional negative impact of firm action even on good staff. We did not find data on the extent to which school leadership teams are making full use of the strategies available to them and suggest that this is an area in which further investigation would be useful.

We need to incentivise all school leaders to make more use of the powers they have, and to reward them for so doing.

Because the processes at a head teacher’s disposal for dealing with poor quality teaching are time consuming, we propose to further investigate what action is already taken and what incentives could be offered.

5.2 Insufficient teachers and leaders

A continuing challenge, despite increases in teaching numbers since 1997, is the recruitment and retention of sufficient qualified teachers. Vacancy rates have risen, and now stand at over 4% in inner London. Wastage rates from the profession are also increasing.

The main reasons that we were given for these problems were: pay (both for new teachers, and for others who have been teachers for only a few years and thus have little early prospect of increasing earnings for some time), excessive workload, behaviour problems, especially in secondary schools, and house prices in London and the South East.

One consequence of recruitment and retention problems is an increasing dependence on supply teachers. OfSTED data shows that, on average, two thirds of lessons taught by qualified teachers with one or more years of teaching service are judged to be good or better, whereas only one third of lessons taught by supply teachers are good or better.³ In addition, we address the disincentive of excessive workload in section 5.4 below.

To continue raising standards in schools against this background, DfES has concluded that the situation requires a radical transformation in the way schools use their workforce. Better use of support staff, more imaginative timetabling, full exploitation of new technology and more time for teachers to concentrate on teaching are all needed. DfES is using 32 schools as pathfinders to test which models work best and has a major spending review bid to roll out the necessary changes nationwide. We address the disincentive of excessive workload in section 5.4 below.

5.3 Bureaucracy

Many of the teachers and heads we spoke to expressed concern over continuing bureaucracy. It is associated in their minds with a number of different sources, including the number of Government initiatives, the extent of monitoring and other information sought by the DfES, OfSTED and LEAs, and the bureaucracy imposed by schools themselves. Generally, the drivers of bureaucracy arise from different degrees of trust and from the requirements of accountability relationships, though centrally-determined and driven processes do not have to be bureaucratic in principle.

In order to tackle the extent of school bureaucracy, in 1998 the DfES issued Circular 02/98: "Reducing the Bureaucratic Burden on Teachers", which set out what was and was not necessary in dealing with paperwork and administration. The Department also produced a "Bureaucracy Cutting Toolkit", available on its Cutting Burdens website. However, in 2001 the PWC Teacher Workload Study (discussed later in this section) asked a sample of teachers whether they were aware of the circular; 30% were and 70% were not. Similarly, 10% were aware of the website and toolkit, 90% were not. They were asked what impact the circular/website had had on the school.

³ *Annual Report of HMCI of Schools 200/1, February 2002, para. 387 and Charts 24-5.*

There were ten types of response, all the positive ones scoring less than 10%; 65% said it had made no difference.⁴

As long ago as 1995 the DfEE established a 'gateway' designed to control the amount of material sent routinely to schools. The Schools Communications Unit's efforts had to be stepped up again in 1997, when advice to schools increased substantially, particularly in connection with the literacy and numeracy strategies, but also occasioned by the new government's policy changes. Between May 1997 and the end of March 2000, DfES sent a total of 390 items to schools:

62	consultation papers
248	guidance documents
65	data collection exercises
15	letters from ministers

In June 2000 the Secretary of State made a commitment to reduce the number of documents DfEE sent to schools by a third and the number of pages by a half. The 2000/2001 and 2001/2 targets were to send no more than 87 documents (1453 pages) to primary schools and fewer than 97 documents (1266 pages) to secondary schools. From this year DfES has stopped counting pages "...in part because a 12 point font standard has made documents a lot longer in page terms than last year. And well spaced, easy to skim documents with bullet points take more pages while being quicker than prose to read."

The agreed list of mailings to schools for 2001/2 averages about 2 documents a week in term time with just under one a week for action. This school year's volume is unusually heavy because the White Paper, Pay and Conditions Document and SEN Code and Green Paper, fell into this school year whereas they had been expected them to be in schools last year. Schools will also have to deal this year with the Race Equality Code and the Code of Practice on the DDA, which are sent by other parts of government.

Documents such as the Pay and Conditions Document are for reference not for reading through, and many sections remain the same from year to year. The Department provides much shorter guidance on key changes for heads to read or skim through, but the full document is sent to schools – at heads' request – so that they can check particular points that may affect one or more teachers in their school. DfES also provides software to help schools calculate teachers pay as the rules change.

In August 1999 DfES also introduced a "Star Chamber" which vets data gathering requirements placed on schools as part of its Information Management Strategy, a component of the measures to reduce bureaucracy. In addition, the DfES is introducing new implementation arrangements that require an assessment of impact on the school workforce of new policy developments.

The Regulatory Impact Unit has also been working with the DfES to identify ways of reducing bureaucracy. They reported in April 2000 with proposals which they estimated could reduce time spent on bureaucracy by over 200 hours per school per

⁴ PWC Teacher workload study, final report, December 2001, Technical Annexes, Data Section, Tables 8.1-2.

year. They are currently following up this work with a further study, on which they will be reporting in July. In this current work, they have identified a number of potential opportunities for reducing bureaucracy, including examination arrangements, SEN review procedures, coursework assessment, and bids for resources from the New Opportunities Fund, and they are working alongside the DfES to put forward practical proposals to cut this bureaucracy.

The underlying causes of bureaucracy are not well diagnosed. It is important to distinguish between necessary and unnecessary demands upon schools, and what causes the unnecessary demands. The DfES commissioned PwC to undertake a study of teachers' workload. PwC published their final report in December 2001, and found that:

“Teachers identified many tasks they found burdensome as apparently arising from school level practices, for example, requirements relating to the level of detail of lesson planning, records of pupil assessment and reports to parents. However, these in turn could often be linked through the head teacher to perceptions of requirements of, or comments actually received from, inspection teams.

“This perception was often not in line with the written requirements of central government and other agencies; although there are cases where it was. However, we did detect that messages about the need for quality tended to be magnified as they transferred from DfES through its agencies, and through Local Education Authorities. Whilst quality in itself is desirable, issues arose when documentation requirements were also increased. In addition the comments that teachers told us had been made by individual OfSTED inspection teams could also be taken as implying a need for greater documentation. Where this feeling manifested itself strongly, it led to a lot of record keeping – much of it, we believe, unlikely to be looked at by anyone – and also undermined attempts to reassure teachers that they are valued and regarded as professionals.”

To quote one of the heads we spoke to:

“My staff don't mind paperwork when they see that it contributes to children's learning – they voted to write two reports per year for each child instead of one! But some of the suggested reporting and recording is totally unnecessary – but people believe they need to do it.”

Of the various examples of bureaucracy reported to us by the heads and teachers we spoke to, perhaps the most striking one relates to the use of the Standards Fund. The DfES allocates funding to LEAs under 54 discrete headings, and requires LEAs to allocate this money to individual schools under the same 54 headings. Schools are then required to submit a report on how much money they have spent against 23 sub-categories, and what they have spent it on.

This is undoubtedly a bureaucratic exercise for all concerned, and a completely unnecessary one, because DfES now permits schools to spend the money largely as they like (rather than separated between the headings any more, other than in a handful of cases). Further, a number of the heads we spoke to complained that the DfES does not allow them to vire the money between the headings when in fact they

do – it seems that the bureaucracy of the system has led them to believe that they have less flexibility than they actually do.

We therefore propose that LEAs and schools should no longer be allocated Standards Fund resources split between each of the 54 headings, although we recognise the need to indicate broad priorities on which Standards Fund can be spent. Instead of having to report on how much they have spent under each heading schools should simply be required to make one annual return on the use they make of the public funds they receive. Consistent Financial Reporting should enable sufficient analysis of spending to remove the need for separate returns on the Standards Fund.

5.4 Insufficient time/excessive workload

In addition to concerns about the extent of bureaucracy, teachers and heads referred to excessive workload.

PwC's report identified that teachers work an average of 51 hours per week during school terms, 16% more than the average for other professionals of 44 hours. Although over a whole year this is compensated for by the length of school holidays (even after allowing for the work that teachers do during these breaks), during term time teachers continue working at their school after 6 p.m. a couple of times a week, and do a further 12 or so hours work at home per week. In particular, they spend an average of 18 hours a week preparing lesson plans and marking work, up by 17% since 1994.

One consequence of excess workload is under-investment in professional development needed to improve their effectiveness, and it is also a major factor in the difficulty faced in retaining teachers, as referred to above.

Teachers identify many causes of excessive workload, ranging from general administration to the extent of liaison with parents. In some cases, this problem can be tackled by recruiting non-teaching staff to carry out a number of tasks currently performed by teachers. PwC also identified the need for more effective use of ICT.

However, a regular theme was summarised by one head we spoke to, whose request to Government was that it should:

“...free up schools to identify their priorities and concentrate on them. Pause the constant flow of initiatives, and allow time to reflect and consolidate.”

Schools were as concerned about dealing with continuing change as about the weight of the current burden. They pointed out that even introducing simplification of existing procedures amounts to change, which in itself creates new work, by requiring schools to become familiar with new systems and arrangements, and potentially to committing time and effort to system change and training.

This theme is pursued by the School Teachers' Review Body (STRB), in the report they published on 8 May in response to the PwC study, recommending (among other things):

- a more rigorous assessment of the need for initiatives and fewer of them;
- better management of initiatives, including trials and evaluation before national implementation, thus avoiding constant modifications;
- deployment of additional support staff at the earliest possible date;
- a guarantee that all teachers will have an allocation of time set aside for planning, preparation, marking and recording.

The DfES is consulting on the STRB's recommendations, and has submitted a bid as part of the Spending Review, as described in section 5.2 above, which includes provision to pay for more classroom assistants to support reductions in teacher workload, and a guaranteed 2.5 hours per week non-contact time for all teachers.

One further workload issue worthy of consideration is the time spent in the production of local plans. LEAs are required by the DfES to set out how they intend to use their responsibility for school improvement by producing an Education Development Plan (EDP). This is alongside a number of other plans which LEAs are expected to prepare (sometimes in partnership with others), which generally require school involvement. Many, but not all of these are statutory. As well as a national Literacy Plan and national Numeracy Plan, there is an Accessibility Strategy, Asset Management Plan, Behaviour Support Plan, Connexions Plan, Early Years and Childcare Development Plan, ICT Development Plan, Lifelong Learning Development Plans, post OFSTED Action Plan, and School Organisation Plan. LEAs in certain areas also have to produce an Excellence in Cities Plan, an Excellence Cluster Plan, Excellence Challenge Plan and Education Action Zone Plan.

The advantages of the extent of this planning regime include the ability it gives the DfES to drive the implementation of national strategies, and to hold LEAs to account (including intervention in the case of LEA failure). The downside is that individual schools can find themselves subject to consultation-overload as they are sent drafts to respond to, and invitations to join LEA working groups.

Several heads said to us that they wanted their LEA to be more actively articulating an overarching education strategy, not just producing an EDP. There is a risk that LEAs might spend a lot of time and money on the production of highly detailed plans, and fail to spot the big picture – for example, the need for more radical approaches to schools causing concern, or finding ways of reconfiguring local provision to better meet pupils' aspirations. Of course, the best LEAs succeed in tackling their strategic challenges effectively, and find better ways of consulting. We are encouraged by the current pilot being undertaken by five LEAs to explore the case for the production of one school improvement strategy, replacing, in those LEAs, where appropriate the Education Development Plan, Behaviour Support Plan, and planning in relation to literacy, numeracy, Key Stage 3 and ICT.

We propose that this approach should be taken forward speedily for all but failing LEAs. One way of doing this would be for LEAs to enhance their existing EDPs in future, instead of being required to write whole new plans covering the related subjects listed above.

5.5 Micro-management

This was a particular concern of the heads we spoke to. There was concern about the unintended impacts on the ground of what is often seen as prescription:

- *“I can only move my school forward with a certain amount of risk-taking. The current culture does not allow for this – it stifles it before it has even begun to generate innovation.”*
- *“The prescription and heavy guidance offered by Whitehall-based civil servants is simply patronising to a head teacher like me, running a 1200-strong comprehensive in difficult circumstances.”*
- *“The over-prescription saps creativity – my teachers want to do their best for pupils, but spend a lot of time worrying about covering everything that might be required.”*
- *“We would like to be more innovative, but there is always the worry that OfSTED will come in and say that what we are doing is wrong.”*
- *“OfSTED judges simplistic outputs and the way they are achieved. If you are doing something unconventionally, it simply doesn’t get recognised.”*

In reporting this, it is important to recognise that one person’s ‘micro-management’ can be another’s comprehensive implementation strategy.

In particular, the national literacy and numeracy strategies are extremely detailed: teachers are given comprehensive and highly-recommended guidance on how to teach literacy and numeracy, sometimes even broken down by day of the week, and with ready-made grids for teachers to record progress. This has been a very deliberate programme designed to tackle unacceptably low levels of literacy and numeracy, and the significant increases in Key Stage 2 test scores demonstrate what has been achieved by this strategy.

However, it has its limitations, as set out by Michael Barber in a piece which summarises schools reform over the last 20 years:

*“Until the mid-1980s what happened in schools and classrooms was left almost entirely to the teachers to decide. However, at the time no means were in place to ensure effective practice was identified, disseminated and universally adopted. In short, the system as a whole had no means of learning effectively. Almost all teachers had goodwill and many sought to develop themselves professionally but, through no fault of its own, the profession itself was **uninformed**. The response of the Thatcher government in the mid-1980s to the evidently under performing system was to centralise. But, ironically, it too was in no position to prescribe on the basis of real knowledge because the system generated so little good evidence or data. The result was that we moved from a system of **uninformed professional judgement** to one of **uninformed prescription**.*

*“However, as a result of the reforms of the late 80s and early 90s – especially the National Curriculum, national testing and independent inspection – the potential for the system to become **informed** was established. The data and therefore the evidence about best practice have become steadily more powerful. The Blair government, after*

*its election in 1997, was able to exploit this opportunity. It used the emerging evidence to inform and justify its hard-hitting approach to school failure, for example. It also used this evidence – as well as international research – to inform its literacy and numeracy strategies at primary school level. In addition it was able to monitor the implementation of policy better than ever before and was therefore able to refine and strengthen implementation as it proceeded. In short, the 1997-2001 Blair government inherited a system of **uninformed prescription** and replaced it with one of **informed prescription**.*

*“This worked remarkably well for a while. It was an important and necessary stage but it had a downside: teachers perceived the changes as imposed from outside and worried about the degree to which they could tailor and adapt the government’s materials to their own purposes. Moreover, in a fast-moving, large, complex system confidence, innovation and creativity at the frontline – where the service meets the customer – is of vital importance. Centrally driven policies, however good, cannot by definition deliver these vital characteristics. The new White Paper signals the next shift: from **informed prescription** to **informed professional judgement**. Bringing this about requires radical change in the way both government and teachers function.”*

As Michael Barber states, the DfES has signalled a new approach in the ‘Schools Achieving Success’ White Paper, and now the Education Bill 2001, recognising that the degree of prescription was crucial to the first phase of reform but now risks putting a limit on the capacity of good teachers to achieve their potential. This matches up with what a number of the heads and teachers we spoke to described as a ‘culture of compliance’, with the accountability framework as it currently operates stifling both creativity and innovation.

In addressing this issue, it is important to be clear as to what is meant by creativity and innovation, and in what forms they could support improved standards of teaching and learning. Michael Barber suggests that great acts of creativity arise from the disciplined taking forward of knowledge, experience, expertise and best practice in application to other settings or circumstances, whereas innovation means going beyond what is already known.

Creativity and innovation are not in themselves guaranteed to raise standards – it is important to ensure that opportunities for creativity and innovation are focused on (a) those who can be expected to make the most of such opportunities; and (b) in those areas which are most closely related to the raising of standards – hence the notion of earned autonomy for schools.

Those schools which are improving most quickly are good candidates for this autonomy, which is why we interviewed the heads of a large number of such schools. What they argued was that too often schools and teachers lack the confidence to tailor and adapt strategies to meet their pupils’ individual needs and aspirations because they are concerned that OfSTED will criticise variance and that any dip in published performance indicators flowing from innovation will cause the school to be publicly criticised.

For these reasons we propose that the earned autonomy ‘offer’ should include the opportunity for successful and well-led schools to apply the national literacy and

numeracy strategies and the Key Stage 3 strategy more flexibly in future. We return to this issue in section 7.1 below.

We also propose to work with OfSTED to modify the existing school inspection framework, ensuring that inspections focus to the greatest possible degree on what schools are able to demonstrate works best for their pupils in practice, rather than focusing on a pre-specified template.

More generally, we were struck by the extent to which relatively few heads seem to use the opportunities they already have to employ more non-teaching staff, vary pay and conditions, organise the timetable or the school day or year differently, or take advantage of other freedoms and flexibilities they have to help them address local challenges. This seemed to us perhaps to be an unintended consequence of prescription. For teachers and heads to achieve more of their potential, they need to feel ownership of reform, rather than see themselves simply as implementing someone else's agenda. Making a success of the new approach signalled by the Education Bill will therefore be crucial to enabling schools to drive further success.

This issue has been picked up by PSX,⁵ which is seeking to explore how to entrench a real change in culture in the management of schools, and encourage heads to use the new flexibilities on pay, performance, incentives and recruitment offered by earned autonomy.

⁵ PSX meeting 23/5/02 – see para 4 from letter of 24/5/02 from Chief Secretary to Secretary of State for Education and Skills.

6 WHAT HELPS PEOPLE TO TEACH AND LEAD BETTER?

6.1 Better data

One of the keys to enabling teachers to be as effective as possible is to have the best possible information about each pupil's performance. Currently DfES publishes in the annual performance tables aggregate data, which tells only part of the story about a school's performance, and benchmark tables, which allow schools to compare their performance with those in similar contexts, as measured by free school meal entitlement, and to compare the progress made by their pupils against the progress made by the cohort as a whole.

Some schools are already very effective at using the more detailed data they already have in comparing the performance of pupils and teachers in a range of different analyses. Many now use analysis of performance actively in target setting for individual pupils, shared with their parents. Some use the limited data available, coupled with local knowledge to identify schools or departments from whose performance it appears they could learn. But data use is patchy and alongside the provision of more and better data, schools need to develop the skills better to use it.

This approach needs to spread more widely in order to support high standards across the system. That is why the DfES has been developing a National Pupil Database, providing a longitudinal record for each pupil, enabling analysts, OfSTED, LEAs and schools themselves to derive on a pupil by pupil basis information that combines their performance in Key Stage tests and GCSE exams with the full range of contextual information collected in the annual pupil census.

The Department is focusing at present on using the data to develop a single measure of 'value-added', which can more accurately show publishes in the annual performance tables how pupils at a school progress based on their prior attainment. In doing so, they are measuring the average progress made by a school's pupils between key stages relative to other pupils, for example, from KS2 to KS3, by comparing their KS3 achievement with the achievements of other pupils nationally with the same KS2 results. Pupils attending school 'A' may achieve results in KS3 tests above the expected level while pupils at school 'B' achieve below, but in value added terms the pupils at school 'B' may have made more progress than other pupils relative to their KS2 starting point and therefore have a higher value added 'score'.

The Department's current timetable is to publish value-added data as follows:

- | | |
|--|---|
| • between KS3 and GCSE/GNVQ
and between KS2 and KS3 | pilot in 2001; full publication in 2002 |
| • between KS1 and KS2 | pilot in 2002; full publication in 2003 |
| • between GCSE/GNVQ and
general and vocational A levels | pilot in 2003; full publication in 2004 |
| • between KS2 and GCSE/GNVQ | pilot in 2003; full publication in 2004 |

A single value-added figure for each school which averages out the progress made by all of their pupils will provide a simple measurement for inclusion in the performance tables. But it is an inadequate measure of individual teachers' and schools'

effectiveness in meeting the needs and aspirations of specific groups of pupils in comparison with others facing similar challenges.

What is needed urgently is the provision of a wide range of information, including data and inspection judgements available on-line, together with a wider range of value-added performance measures including, for example, by gender, by language, for pupils with special educational needs, and data which takes account of pupil mobility. This wider range of information would enable individual schools and their teaching staff to benchmark their own performance and to identify similar schools and departments with which they could network to improve performance. And it would enable LEAs, OfSTED and the DfES to tailor their support and challenge roles much more accurately. But at present no date has been set for the work to be done to bring this into effect.

We therefore propose that the necessary systems are put into place with all due speed to enable the sophisticated use of this data by all parties.

6.2 Refining the National Curriculum and how it is taught

The Government's national literacy and numeracy strategies have undoubtedly provided a powerful means of ensuring that all primary teachers have access to good quality and comprehensive teaching materials in core subjects. The DfES is now rolling out Key Stage 3 strategies for English, Mathematics, science and ICT, seeking to build upon the successes at Key Stage 2. The national strategies are a critical part of establishing coherent national standards, by specifying what is known to work and how to secure good teaching. That was essential to the first phase of reform and the national strategies will continue to have a central role in securing improvements in performance – particularly for new and less experienced teachers, and for weaker schools.

However, the next phase of reform needs to build on what successful and improving schools are already finding: that it is important to make the curriculum offer more appropriate to the needs and aspirations of all pupils, incentivising each of them to learn. The challenge is to have appropriate teaching and learning for each child as they move through the different stages of their education at school and beyond.

Good teachers in improving schools told us they were able to individualise teaching and learning much more, so as to meet the needs and aspirations of each of their pupils. In so doing, they were recognising the different ways that their individual pupils learn most effectively, and (particularly at secondary school) the variations in knowledge and skills that different pupils will most benefit from receiving.

Our proposal for the more flexible implementation of the literacy, numeracy and Key Stage 3 strategies to become a key element of earned autonomy will provide an opportunity to formalise and expand this approach, in ways which will benefit the school system as a whole.

For Key Stage 4, the 14-19 Green Paper proposes a more flexible curriculum than is currently in place, designed to be more responsive to pupils' individual needs. In

particular, there will be fewer compulsory subjects that all pupils must take, and more room for other subjects and types of study like work-related or vocational learning.

6.3 Time

Many of the teachers and heads we spoke to identified the importance of having sufficient time to enable them to plan ahead and to learn from successful practice elsewhere – we have already referred to the STRB's proposals on workload. The DfES is seeking to modernise the school workforce, to achieve classrooms which are 'rich in trained adults – such as technicians, learning mentors, teaching assistants and administrative staff – who support learning to new high standards'⁶ and has a major spending review bid to support this remodelling and transformation. The Government is aiming to secure at least an extra 10,000 teachers and 20,000 support staff by 2006, in addition to the 11,000 more teachers and 52,000 more support staff now in post compared with 1997. But this will require change at school level, and in particular will require acceptance on the part of teachers of deregulated staffing arrangements and a much greater role for a new type of teaching assistant.

The Department is also seeking to enhance the use of ICT in schools, a key issue raised in the PwC report, and in our workshops and interviews. This could reduce significantly the amount of time that staff spend on paperwork, including the production of reports, assessments and plans. We were particularly struck by the extent to which some of the heads we spoke to seemed to be making very little modern use of ICT at all, complaining about a lack of laptops, for example, but not doing anything about it. This is another example of the importance of making the 'shift' described in section 5.5 above, such that more schools seize the opportunities already available to them and take greater responsibility for driving improvement.

At the same time, our attention was drawn to a lack of widespread exploration by schools of the potential to restructure their timetables and patterns of the school day/year as a means of tackling this issue of time and workload (we have already referred to this in section 5.5 above). This is one area being explored by the School Workforce Pathfinder schools which are piloting a range of workforce remodelling proposals with the DfES. *We propose that this should also be the subject of one of the education collaboratives we recommend in section 8.3 below.*

6.4 More control over resources

The DfES has been setting LEAs increased targets for delegating money direct to schools. In 2001/2 LEAs delegated 87% of the Local Schools Budget (up from 79% in 1998/9). Alongside this, the DfES has been funding schools directly, in particular through the School Standards Grant since 1999, which stands at £653m for 2002/3, equivalent to £24,700 and £72,000 per year for the average primary and secondary school respectively. The Department has also been allocating capital resources direct to individual schools, alongside its capital funding to LEAs.

⁶ Estelle Morris, 12 November 2001, speech to the Social Market Foundation.

However, heads did raise a number of concerns related to funding, in particular:

- that an annual budget cycle with no certainty for the coming financial year until a matter of weeks beforehand hampered their ability to plan strategically – and in part contributed to school decisions to maintain high balances as a reserve;
- that the variety of funding streams, some of which were specifically targeted, each with their own timescales and requirements for reporting, created additional work and frustration – and did not always match the school’s own development priorities.

This last point was made to us again and again:

- *“There is real frustration over ring-fencing. Why can’t you trust us to spend the money effectively?”*
- *“Competitive bidding structures are appalling. The schools in the most need can’t always put together the best bids.”*
- *“The timetable to bid is tight, but decisions take too long by the centre.”*

We therefore propose that the Spending Review 2002 be used to reduce the degree of ring-fenced grants and bidding processes for schools.

A number also commented on perceived discontinuity in levels of funding across LEA boundaries and inadequate targeting to need within LEAs, creating inequality in funding between schools serving broadly similar catchments.

The Government is reforming the way in which LEAs are funded by replacing the Education Standard Spending Assessment with two separate assessments: one relating to the LEA’s central functions, the other relating mainly to the cost of provision for pupils. This means looking at how resources are allocated between authorities and aims to create a simpler, more transparent and fairer formula that reflects on the basis of up to date evidence the needs of authorities in different parts of the country. This change will take effect from April 2003. The proportion of funding that must be allocated between schools on the basis of pupil numbers has been reduced from 80% to 75% - in order to allow more targeting within LEAs.

At the same time, the local schools budget will be replaced by separate schools and LEA budgets, which correspond to the two assessments. A reserve power will enable the Secretary of State to require an LEA, in exceptional circumstances, to set its schools budget at a specified minimum level. Authorities will be free to contribute extra to their schools budgets as in the past; this is about setting a minimum not a maximum.

The Bill also seeks to increase the influence of schools over the deployment of the schools budget by requiring each LEA to set up a representative schools forum. The Government expects the forum to play a role in determining whether funding for some items should be delegated or centrally retained by the LEA.

Now that the Government sets local authority SSA figures three years ahead, it would be possible for LEAs to prepare a three year budget strategy (as some LEAs do already), including an indicative budget for each school for each of the three years,

subject to any changes in pupil numbers (and other unforeseen changes, e.g. any further increases in funding arising from increases in teachers' pay).

Some LEAs might express concern that this move would take away their democratic right to decide in the second or third year to switch money away from schools during the three year period (e.g. to other services, or to help reduce council tax levels). One option would be to frame the guidance for these budget strategies in such a way as to allow LEAs to amend their plans during the three years in certain circumstances (e.g. a local election). However, realistically councils already have limited room for manoeuvre, given the reserve power of the Secretary of State, and in practice there is real desire and local political pressure to maintain and increase funding to schools.

We therefore propose that LEAs should prepare three year budget strategies along the lines suggested above, in order that they should plan ahead and share their plans with the schools, so that schools themselves can plan ahead.

We further propose that LEAs should integrate their medium term budget strategy with the overall school improvement strategy proposed in section 5.3 above.

In examining funding (and other) issues, we have compared the previous regime that applied for Grant Maintained schools, with the one that now applies for community and foundation schools. We summarise the position in Appendix 3, which shows that the resource position for schools today compares reasonably in most cases with that which applied for GM schools, with two exceptions. First, GM schools received a 'top-up', which was supposed to represent 'their share' of LEA central funding. This concept no longer applies to community and foundation schools, though delegation from LEAs has increased, and the Education Bill provides the opportunity for LEAs to delegate school improvement functions as well.

Secondly, GM schools had the power to borrow, subject to the approval of the Funding Agency for Schools, although this was later curtailed because of the impact on the PSBR when GM schools ceased to be classified as being in private sector. All schools are now able to seek approval to borrow (from the Secretary of State), but in practice only on the condition that they are able to borrow on more favourable terms than the public sector is normally able to achieve, and if a local authority is prepared to allocate from its own Credit Approval budget to cover the borrowing.

With the advent of prudential borrowing from April 2004, local authorities will be allowed to borrow for investment purposes, so long as they can demonstrate that they have the ability to repay from their revenue budget, and subject to a reserve power to enable the Government to cap the totality of such borrowing, if necessary. The Treasury is currently considering the rules that will apply, but in principle it seems to us that it should be possible for individual schools to have access to that power too, subject to being able to demonstrate that they could afford the repayments from their revenue budgets without any risk to the effective delivery of education. To address the possible concern about the extent of borrowing that such a power might generate, it would be possible to set a cap (e.g. a percentage of a school's revenue budget). We would also need to explore with the Treasury, the Office of the Deputy Prime Minister and other relevant stakeholders how such a power could best be used with minimum

bureaucracy, given that the aggregate of all such borrowing would need to be managed locally.

This would further empower schools, whilst at the same time enabling the LEA (following consultation) to use the power strategically. This would build on the benefits already flowing from the successful introduction of devolved capital for every school.

6.5 Better support from other agencies

The last (but by no means least) of the main messages we received from the evidence we gathered was that schools alone cannot ensure that all pupils achieve their full potential. Where pupils have behavioural and other problems, these can present barriers to their learning, and can place a significant burden on their teachers, as well as on other pupils. Teachers therefore rely on a range of professional support, which at its best reduces teachers' load and creates a more conducive climate for everyone's learning.

We were told:

- *“You have to teach some children how to be learners. That means behaviour support and social support.”*
- *“Heads are spending too much time talking to social services. It is time-consuming and stressful.”*

PwC reported that:

“Many teachers were concerned about what they perceived as rising pupil behavioural problems, and a feeling that parents and other carers are less likely to support school behaviour policies and decisions than they used to be, while at the same time expecting higher standards from the school... Where, in extreme cases, behaviour linked issues impacted on teacher recruitment and retention, the impact on workload was strongest.”

The DfES has developed a number of partnership programmes to foster strong and co-ordinated engagement with schools by the other statutory services for children, young people, their families and communities – in particular the Children's Fund (a cross-Government programme for 5-13 year olds) and Connexions (13-19 year olds). In addition, the Excellence in Cities programme has included a major programme of investment in learning support units and other measures designed to tackle behaviour and discipline problems.

The cross-cutting review of children at risk has now reported its recommendations to the Chief Secretary to the Treasury under five key headings:

- the promotion of multi-disciplinary working by professionals delivering services to children and young people and their families;
- shared core training for people working with children and families, including education professionals;

- co-location of services for children and families, as proposed for ‘extended schools’;
- new cross-cutting targets, especially for children missing school, youth crime, and social and emotional development in early years; and
- filling gaps and improving services.

Critical to achieving these goals is the better strategic co-ordination of services at local level, though the cross-cutting review does not prescribe one standard model for planning and delivering services or for the necessary funding mechanism, but suggests a range of options for further exploration. That work is being driven by an inter-departmental Implementation Group, which will report to Ministers in the summer.

Several local authorities (including Hertfordshire among others) are taking steps to achieve greater integration of casework and data between schools, social services, youth justice and health, in order to help address behavioural problems, inform classroom practice, and build the capacity of schools to provide an appropriate mix of teaching and learning for all abilities.

The CEO of Hertfordshire spoke persuasively to us about the efforts that are being made in his authority to bring together education, social services, youth justice and health professionals to support individual pupils in order to tackle the particular challenges they faced. He puts a strong case for integrated casework between the professions, and integrated datasets for joint use.

Through the Prime Minister's street crime initiative, DfES and the CYPJ are working with 34 local education authorities to develop a concerted focus on behaviour in the most at risk primary and secondary schools and to bring together services to work with schools, children and families. This work includes a focus on identification, referral and tracking and the development of systems of integrated casework and datasets between statutory agencies.

There are many other ways in which local authorities can support school improvement beyond the school gates too: as social landlords, as providers of library and leisure services, as planning authorities etc. (depending on their statutory responsibilities). The best LEAs are already taking advantage of their wide-ranging responsibilities to promote integrated school improvement strategies.

We propose that all LEAs should be encouraged to see their school improvement responsibilities in this wider context, incorporating within their Education Development Plans the work they will do beyond the traditional Education Department, and in partnership with the local statutory agencies, in a co-ordinated campaign to improve standards.

Finally, the Education Bill contains a provision for ‘full-service schools’ to be established by enabling governors to provide community services or facilities in schools, such as childcare, health and social services and adult education. The decision to provide services is for the governors, taking into account the needs of the local community, facilities and expertise available in the school and what is already being provided. The school is likely to be open for extended hours. Health and social

care services are offered with other partners – organised locally – so that professional staff can deal with pupils’ and parents’ non-education related problems and with the effects of those problems. Implementation of full service schools will be subject to the availability of resources. Piloting and implementation of these provisions will depend on the availability of resources.

6.6 Improving school governance

The Hay Group study (*No barriers, no boundaries*, May 2002) of ten transformational head teachers found that all the schools had strong and effective governing bodies, often to the extent of being noted and commended by OfSTED. The heads took frequent action to inform, influence and debate with their governors. A strong chair was often the head’s closest ally, as well as being a valued source of new ideas from outside education. Many of the heads we spoke to were dissatisfied by the poor quality of most governors and seemed at a loss about how their governing bodies could be enabled to make a more positive contribution to the work and progress of their school. As one head said:

“It is a hit and miss affair. There is no certainty that a school will have high quality governors, who will understand the role they have to play and the decisions they are asked to make.”

A few heads, who were getting good value from some members of their governing bodies, were very appreciative of this. Key characteristics of effective governing bodies, as set out in HMCI’s most recent annual report, are their involvement in determining the school’s strategic direction, the process of development planning and budget setting and monitoring the school’s performance. HMCI’s annual report states that the effectiveness of governing bodies in fulfilling their responsibilities has improved in both primary and secondary schools.

Nevertheless, there is certainly room for improvement (HMCI’s most recent annual report identifies that though over 90% of governing bodies are fulfilling their responsibilities at least satisfactorily, the performance of 39% is less than good). School heads and governors should be encouraged to take the initiative in reviewing how they could improve the quality of governance to suit their local circumstances, using the flexibility already offered in the Bill in respect of the constitution and shape of the governing body, subject to maintaining a balance between the stakeholders

OPSR also suggests use of the power to innovate in the Education Bill to invite schools to experiment further where appropriate and where the school could demonstrate how that would support raising standards. Innovations that could be considered include paying leading governors⁷; finding new ways of involving particular stakeholders; and engaging parents through parents councils, which might elect one representative onto a small governing body. In this context it is interesting to note that all non-executives of health trusts are paid at present, and the Housing

⁷ Recognising that a consultation exercise carried out in November 2000 suggested that governors as a whole were more enthusiastic for additional ICT and administrative support, and arrangements designed to make it easier for all governors to claim expenses, than they were for paying chairs an honorarium.

Corporation is proposing to invite housing associations to pay their board members too (see Appendix 4).

7. WHAT MOTIVATES PEOPLE TO TEACH AND LEAD BETTER?

Teachers and heads identified a whole range of motivations. They are motivated by having sufficient time to do the work they know needs to be done properly, hence the importance of the STRB report. They are of course motivated by working in good schools – working alongside effective teaching colleagues and working for excellent leaders.

The right pay and conditions, and career structure, are also important. The DfES has introduced a new pay system which seeks to reward good teaching as well as good management. As a result of the new performance threshold system and other changes, the salary of a good experienced teacher has risen by 17% in real terms since 1997. Teachers can now earn up to £31k, with advanced skills teachers able to earn up to £45k. School leaders can now earn up to £79k.

7.1 Professional recognition

However, the most significant motivation is to be given the responsibility associated with being treated as a professional. We were told:

- *“Control is perhaps the most significant motivation. Moving from a culture where external agencies demand greater accountability. Focusing on self-management creates the confidence to be less dependent on external authorities.”*
- *“You can improve motivation by allowing schools to shape initiatives to their own community/staff/pupils, so creating ownership.”*

This issue is explored by the Secretary of State’s November 2001 pamphlet ‘Professionalism and trust – the future of teachers and teaching’⁸. It is also a subject of Michael Barber’s paper of October 2001, already referred to above. To quote:

“The era of informed professional judgement is only just beginning. There are certainly risks attached to it but it also has immense potential to unleash energy and creativity and ensure higher standards of achievement than ever before.”

PwC described the issue as follows:

“Underlying these issues was a wider question about finding the right balance between accountability and trust – and a related issue about professional confidence. Many teachers and headteachers took the view that their aims coincided with those of the Government; but that in order to be able to deliver higher standards in a sustainable way, greater trust needed to be placed in them. In particular this meant reduced requirements for documentation and greater capacity for local innovation, which in turn meant that more risk-taking needed to be allowed for.”

The Education Bill’s proposals for earned autonomy offer greater trust for teachers and schools which are able to demonstrate that they can be expected to use it well. The intention is to offer new freedoms and flexibilities to well led, successful schools.

⁸ *Professionalism and Trust: pamphlet by Estelle Morris, accompanying her speech to the Social Market Foundation, November 2001.*

The Department proposes that for these schools, four freedoms should be made available:

- (i) to vary the programmes of study in the non-core subjects within the National Curriculum (i.e. to decide what to teach in the non-core areas);
- (ii) to receive a lighter touch OfSTED inspection regime (in line with Mike Tomlinson's proposal for accredited heads/schools – in fact OfSTED are already consulting on a proposal to inspect high-performing schools once in every six year cycle);
- (iii) less external verification of the performance threshold assessment (though high-performing schools will continue to be required to submit their decisions on threshold to external assessment);
- (iv) to adjust some elements of teachers' pay and conditions.

This last freedom would enable schools to:

- reward teachers for particular professional development activities
- set up their own arrangements for rewarding good classroom performance
- reward teachers for taking pupils on school trips that require extended supervision
- reward teachers for activities that require special commitment in terms of time and energy, such as school musical productions
- reward teachers for varying and extending their working patterns, by, for example, participating in collaborative arrangements with further education institutions or industry; or operating new kinds of school day, week or term.

In light of the evidence we collected about the potential for good teachers to tailor the Government's teaching strategies more effectively to the needs and aspirations of their pupils, we think there is a good case for the application of these strategies to be considered within the earned autonomy framework – in other words, to give more flexibility to those schools which are able to demonstrate success. At the same time, it would be a powerful symbol of the Government's commitment to trusting good teachers and leaders, which we have suggested is a key motivator.

7.2 Effective performance management

Knowing in detail how well a teacher's or a school's pupils are achieving in comparison with others in similar circumstances can be used (by a head, an LEA, OfSTED and DfES) to incentivise better performance, as well as identify where inadequate performance needs to be challenged. This is why it is so important that full use is made of the data being collected for the National Pupil Database (see section 6.1 above).

However, a more effective performance management regime is one in which, alongside the measurement of current performance, the capacity to sustain and improve performance is measured as well. An assessment both of a school's current performance and capacity and – on the evidence of current capability – of its potential to improve on its current position, would enable more effective targeting of incentive and challenge, and in particular would support the identification of under-achieving schools.

OfSTED currently assigns scores to schools (and individual teachers) on aspects of their performance using a scale of 1-7 (1 = excellent, 7 = very poor), and it aggregates these into a single 1-7 score for overall effectiveness. Schools' own annual reports consolidate these into a four-point scale. In 2000, OfSTED introduced the judgement that a given school might, while providing an acceptable standard of education, be "underachieving." This judgement is made by considering together the inspection team's judgements about the effectiveness of the school and the degree of improvement since the last inspection, and the school's performance in comparison with schools in similar contexts. The judgement has been used rarely (174 schools at the last count) – and anecdotally has been used by some inspectors to dodge a judgement of serious weaknesses.

Performance ratings that reflect potential as well as performance are beginning to be considered for other public services. The NHS and social services now use a four-point star rating (0-3 stars) for assessing their frontline organisations. The comprehensive performance assessments to be introduced for local authorities may adopt a similar system.

We propose that OfSTED should consider with the DfES what changes are needed to make the inspection regime one that explicitly assesses each school's potential – its capacity to improve – alongside the assessment of current performance. This would mirror the approach they already follow when inspecting LEAs. It should include serious examination of replacing the existing 1-7 assessment ratings with the four-point 0-3 stars scale.

LEAs could complement this approach in between OfSTED inspections, building upon the existing notion of 'schools causing concern' and supporting intervention in inverse proportion to success.

We therefore propose further work to develop a specific methodology to assess potential, to which OPSR could contribute, particularly by bringing together the experience of inspection regimes across the public services, such as the development of comprehensive performance assessments in local government, and SSI's annual performance reviews, both of which assess organisations' capacity to improve as well as current performance.

7.3 Recognition and support for innovation

Recognition and support for innovation is a significant motivator for ambitious and successful teachers and leaders, who seek to extend themselves beyond the norm, and use their creativity to achieve more of their potential. The beacon school programme and requirements on specialist schools to work with other schools already provide ways in which better performing schools can work with others to drive up schools' performance generally.

The regime of earned autonomy for successful and well led schools will offer freedoms to innovate in key areas currently constrained by legislation. The Education Bill proposes a 'power to innovate'; namely that any schools (via their governing

bodies) and LEAs can, after consulting with relevant bodies, request the Secretary of State, by order, to:

- exempt them from any requirement imposed by education legislation
- relax the application of any education legislation requirement to them
- enable them to exercise the function of another education body
- modify consequential provisions of education legislation.

Alongside this power, the DfES is establishing an Innovation Unit, seeking to create a climate in which innovation is promoted and good practice disseminated and integrated. The Unit's ultimate aim is a school system that welcomes and challenges knowledge creation and innovative activity, which is well led and supported at all levels, particularly by Departmental policies. It will support and promote projects of broadly three types:

- those which “bubble up” from within the system through a practitioner network;
- priority areas identified by the Unit for innovative work – for which schools would be invited to submit ideas; and
- innovation to be backed at system level, such as federations, pathfinders and centres of excellence.

A key function for the Unit will be capacity building:

- at local level by providing recognition and support for innovation; and
- nationally, feeding into DfES processes and procedures and increasing the department's capacity to integrate innovation.

We suggest there is now a need to consider proactively how the power to innovate, supported by the new Unit, could best be used. Earlier in the report (section 6.6) we suggested schools use the power to innovate in respect of improving their governance arrangements; below (section 8.1) we suggest its application to federations of schools.

8. HOW CAN GOOD TEACHING AND LEADERSHIP BE SPREAD MORE WIDELY?

8.1 Making the most of the best

Some of the heads we spoke to told us that their leadership teams could take on more than one school. An effective way of tackling poor performance in a school, and supporting opportunities for further development in schools that are ready to move on is to encourage different forms of joint working. LEAs could be encouraged actively to support successful schools who want to expand their impact, by enabling them to 'take over' other schools, and by identifying the under-performing departments and schools and setting up formal collaborations with better ones (with appropriate financial incentives).

The Education Bill provides two means of supporting this development. First, the Bill promotes the notion of a federation of schools under a single governing body (as well as the establishment of joint committees of the governing bodies of schools). And secondly, the Bill includes new powers which extend to community schools the power to publish enlargement proposals currently only available to foundation and voluntary schools and will enable popular schools to appeal to the Adjudicator if their proposals are rejected by the School Organisation Committee.

These are both powerful tools for getting the best out of good teaching and leadership. For example, a successful school might (a) expand by taking on more pupils on its own site, (b) enlarge its influence by federating with a poor school or (c) merge with the poor school and use both sites. A successful secondary school might also federate with its feeder primaries, in order to more directly tackle improvement of the quality of its intake. DfES will be issuing guidance to School Organisation Committees and Adjudicators on how to deal with proposals from individual schools to expand, which will encourage acceptance of such proposals where the pluses for local education and standards exceed the minuses.

We have looked at ways of incentivising successful schools to extend their reach. In practice, depending on the circumstances, there could be financial consequences for the successful school, for example in the short term there could be additional management costs of taking on these new responsibilities, as well as costs of the consequent change management. Successful schools would need to know that they would obtain financial support to enable them to proceed. However, the revenue implications might be less significant than at first appears, because DfES already provides additional funding to failing schools. Where a successful school 'took over' a failing school, that additional money would enable the successful school to drive the change.

We propose that LEAs should be required to encourage successful schools to look carefully at their capacity to extend their reach, including consideration of the additional provision that may be required to help them to do so, particularly where this would tackle ineffective provision elsewhere.

We propose that the DfES's guidance to School Organisation Committees and Adjudicators on the expansion of popular schools should be drafted in such a way as

to support proposals from successful schools to expand where that will best meet local needs. SOCs should not be enabled to turn down proposals simply because there is a potentially adverse impact elsewhere (as a result of pupils leaving a less popular school for the newly expanded one). In particular, we propose that LEAs should be responsible for assisting the SOC by setting out what the effect would be on meeting current and future need in the area, including ways of mitigating any adverse impact. The SOC would then have the opportunity to consider that advice alongside the school's proposal for expansion.

The development of federations of schools provides the opportunity to develop more radical ways of raising standards. For example, why not allow a federation to be run by a chief executive without teaching experience, alongside a senior professional headteacher? At the same time, federations of schools established as companies under the Education Bill could be well-placed to be delegated further responsibilities from their LEA in respect of school improvement functions.

8.2 Leadership development

The National College for School Leadership, established 18 months ago, has the task of supporting the development of improved leadership across the school system. They are developing a five-pronged leadership development framework:

- a) Emergent leadership (when a teacher is beginning to take on management and leadership responsibilities and perhaps forms an aspiration to become a headteacher)
- b) Established leadership (comprising assistant and deputy heads who are experienced leaders but do not intend to pursue headship)
- c) Entry to headship including teacher's preparation for and induction into the senior post (National Professional Qualification for Headship and Leadership and Management Programme for New Headteachers)
- d) Advanced leadership (the stage at which school leaders mature in their role, look to widen their experience, to refresh themselves and to update their skills, including the Leadership Programme for Serving Headteachers)
- e) Consultant leaders (development of able and experienced leaders with skills in training, mentoring and inspection).

Planned work on the development of leadership teams in secondary schools is hoped to reach between 700-1000 schools per annum, and NCSL is also developing the idea of cross-school peer learning and development, through its current pilot Networked Learning Communities project. They hope that the initial pilot will involve up to 70 partnerships.

However, progress is not as fast as it might be or needs to be. The timing of the introduction of a mandatory professional qualification for headship is being consulted upon until the end of June, and given that some of the College's work is predicated first on the production of 250+ consultant heads, it will be some time before maximum impact obtains.

We propose:

- *NCSL should use data from OfSTED and DfES to differentiate between cohorts of schools of different leadership quality and devise specific plans to target them differentially recognising the best and using them to support others and offering focused development adapted to what the school needs ;*
- *NCSL should develop jointly with OfSTED a leadership assessment model, which identifies the attributes of good leadership, with a self- and external assessment tool;*
- *strategies developed by DfES with LEAs and NCSL to identify and develop future school leaders earlier in their careers and in greater numbers with a clearer priority;*
- *as part of the response to the STRB, addressed through SR2002, greater commitment to continuous professional development in contracts and funding to give space and time for learning (backfill).*

8.3 Developing and spreading good practice

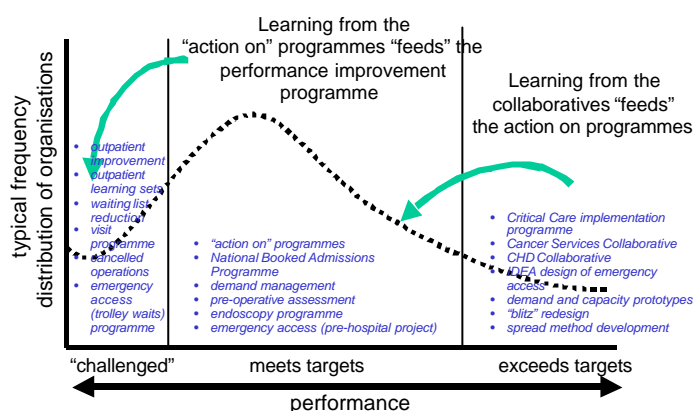
The DfES has increasingly been seeking ways of spreading the practice of the best schools. For example, the DfES is in the process of increasing the number of Beacon schools by 150 from this September, and anticipates meeting its target of 400 secondary Beacons by 2005. The Technology Colleges Trust provides a network for specialist schools – growing each year – including some schools which are not designated. Beacon schools are expected to work in partnership with other schools and specialist schools to act as a community resource, with strong links to other schools and the wider community. Excellence in Cities has been constructed on the basis of partnership, and on the strengths of schools working collaboratively to meet the diversity of needs across the school population. And the NCSL is supporting the development of Networked Learning Communities. In a similar way, the radical plans for remodelling and transforming the school workforce, now being tested with Pathfinder schools will be rolled out nationwide, according to the success of the spending review bid.

We have considered the potential for adapting for use across the schools system elements of the NHS ‘Collaboratives’ programme, through which the most capable organisations strive to create world class standards of patient care to which the rest of the NHS can aspire. Its programme for the highest performers aims to:

- innovate and test new models of care delivery
- dramatically improve performance for the patient group
- create learning for the whole of the NHS

as shown in the diagram below from the NHS Modernisation Agency (for more details see Appendix 5). What is particularly striking about the NHS model is its ‘whole system approach’, designed to maximise impact.

A “whole systems” approach to improving performance in the NHS



Collaboratives can be an effective means of supporting innovation in times of change, promoting the dissemination of good practice, enhancing the professional development and supporting capacity building. In concrete terms, they can provide an opportunity for institutions of all kinds to share a wide variety of knowledge and assets such as leadership and governance capability; service delivery; professional development of staff; ICT capacity; and procurement and resources.

This approach, suitably adapted for schools, could support the development of new programmes of action to improve teaching, learning, leadership and management, by developing and then disseminating evidence-based improvement methodologies across the system, and we therefore propose further work is done on piloting it. It would also send out a powerful message about the determination of Government to develop the next stage of education reform in active partnership with schools themselves.

Specifically, we suggest two areas in which education collaboratives could usefully be set up. These pick up suggestions for change made earlier in the report. The pilots should be designed not only to make a substantial contribution to progress in these areas; simultaneously they should provide the opportunity to assess the potential of the collaboratives model to be applied beneficially to other areas of education reform:

- (a) *the next stage of development of the national teaching strategies (see section 6.2 above), through a more sophisticated assessment of individual pupils' needs by teachers, together with greater consequent tailoring of the actual teaching and learning with those individuals, to address their strengths and weaknesses more precisely;*
- (b) *exploration of the potential to restructure school timetables and patterns of the school day/year as a means of tackling issues of time and workload (alongside the Workforce Pathfinder projects).*

PART C

9. RECOMMENDATIONS

In carrying out the analysis described in the previous sections of the report, we have identified a number of further actions, building on the DfES's current work programme, which we believe will enable schools to drive further change.

- (a) We propose that the earned autonomy 'offer' should include the opportunity for successful and well-led schools to apply the national literacy and numeracy strategies and the Key Stage 3 strategy more flexibly in future.
- (b) We propose that OfSTED should consider with the DfES what changes are needed to make the inspection framework one that explicitly assesses each school's potential – its capacity to improve – alongside the assessment of current performance. It should include serious examination of replacing the existing 1-7 assessment ratings with the four-point 0-3 stars scale.
- (c) We propose to work with OfSTED to modify the existing school inspection framework, ensuring that inspections focus to the greatest possible degree on what schools are able to demonstrate works best for their pupils in practice.
- (d) We propose that the necessary systems are put into place with all due speed to enable the sophisticated use of the National Pupil Database by schools, LEAs and OfSTED, including the provision of a wide range of data and inspection judgements available on-line, together with a wider range of value-added performance measures. These should include, for example, by gender, by language, for pupils with special educational needs, and data which takes account of pupil mobility.
- (e) We propose that LEAs and schools should no longer be allocated Standards Fund resources split between 53 headings, and that schools should no longer have to report on how much they have spent under 23 sub-categories (the new Consistent Financial Reporting system should make this requirement redundant).
- (f) We propose that the Spending Review 2002 be used to reduce the degree of ring-fenced grants and bidding processes for schools.
- (g) We propose that in future, LEAs should be required to produce one school improvement strategy, rather than a series of separate plans. One way of doing this would be for LEAs to enhance their existing EDPs in future, rather than being required to write new behaviour support plans and separate literacy, numeracy, Key Stage 3 and ICT plans.
- (h) We propose that all LEAs should be encouraged to see their school improvement responsibilities in the context of the wider community, incorporating within their school improvement strategies the work they will do beyond the traditional Education Department, and in partnership with the local statutory agencies, in a co-ordinated campaign to improve standards.

- (i) We propose that LEAs should prepare three year budget strategies, in order that they should plan ahead and share their plans with the schools, so that schools themselves can plan ahead, and that LEAs should integrate their medium term budget strategy with the overall school improvement strategy proposed above.
- (j) With the advent of prudential borrowing from April 2004, local authorities will be allowed to borrow for investment purposes, so long as they can demonstrate that they have the ability to repay from their revenue budget, and subject to a reserve power to enable the Government to cap the totality of such borrowing, if necessary. The Treasury is currently considering the rules that will apply, but in principle it seems to us that it should be possible for individual schools to have access to that power too, subject to being able to demonstrate that they could afford the repayments from their revenue budgets without any risk to the effective delivery of education. To address the possible concern about the extent of borrowing that such a power might generate, it would be possible to set a cap (e.g. a percentage of a school's revenue budget). We would also need to explore with the Treasury, the Office of the Deputy Prime Minister and other relevant stakeholders how such a power could best be used with minimum bureaucracy, given that the aggregate of all such borrowing would need to be managed locally.
- (k) Because the processes at a head teacher's disposal for dealing with poor quality teaching are time-consuming, we propose to investigate further what effective incentives could be offered.
- (l) School heads and governors should be encouraged to take the initiative in reviewing how they could be making more effective use of their governance arrangements. They should consider many different ways of improving the quality of governance to suit their local circumstances, using the power to innovate set out in the Education Bill, alongside the flexibility already offered in the Bill in respect of the constitution and shape of the governing body, subject to maintaining a balance between the stakeholders. OPSR suggests the innovations that could be considered include paying leading governors; finding new ways of involving particular stakeholders (e.g. business leaders); and engaging parents through parents councils, which might elect one representative onto a small governing body.
- (m) We propose that LEAs should be required to identify and incentivise appropriate opportunities for the use of the provisions to expand and enlarge schools, particularly where this would tackle ineffective provision elsewhere. We propose that the DfES guidance to School Organisation Committees and Adjudicators should be drafted in such a way as to support proposals from successful schools to expand where that will best meet local needs. SOC's should not be enabled to turn down proposals simply because there is a potentially adverse impact elsewhere (as a result of pupils leaving a less popular school for the newly expanded one) though they must take into account the extent of the impact and in particular the longer term implications. In particular, we propose that LEAs should be responsible for assisting the SOC by setting out what the effect would be on meeting current and future need in the area, including ways of mitigating any adverse impact. The SOC would then have the opportunity to

consider that advice alongside the school's proposal for expansion when considering the impact and potential longer term implications. The development of federations of schools provides the opportunity to develop more radical ways of raising standards. For example, why not allow a federation to be run by a chief executive without teaching experience, alongside a senior professional headteacher? At the same time, federations of schools established as companies under the Education Bill could be well-placed to be delegated further responsibilities from their LEA in respect of school improvement functions.

- (n) We propose that further consideration be given to allowing school federations to be able to be run by a chief executive without formal teaching experience, alongside a senior professional headteacher. At the same time, federations of schools established as companies under the Education Bill could be well-placed to be delegated further responsibilities from their LEA in respect of school improvement functions.
- (o) We propose that NCSL should use data from OfSTED and DfES to differentiate between cohorts of schools of different leadership quality and devise specific plans to target them differentially, recognising the best and using them to support others and offering focused development adapted to what the school needs.
- (p) We propose that NCSL should develop jointly with OfSTED a leadership assessment model, which identifies the attributes of good leadership, with a self- and external assessment tool.
- (q) We propose that strategies are developed by DfES with LEAs and NCSL to identify and develop schools leaders earlier in their careers and in greater numbers with a clearer priority.
- (r) We propose as part of the response to the STRB, addressed through SR2002, greater commitment to continuous professional development in contracts and funding to give space and time for learning (backfill).
- (s) We propose that education collaboratives should be piloted, including ones to:
 - develop the differential implementation of national strategies at Key Stage 2 and Key Stage 3;
 - exploration of the potential to restructure school timetables and patterns of the school day/year as a means of tackling issues of time and workload, alongside current Workforce Pathfinder projects.

Appendix 1: Individuals consulted

(a) Head teachers (87)

Abram	Ian	Castle Hill CP School	Bolton
Amraz	Ali	Stepney Primary School	Hull
Ashton	Nigel	Hurstclough Primary	Hyde
Bailey	Mark	Leeds Boys Grammar School	Leeds
Bates	Carol	Harris City Technology College	London
Billingsby	Anne	John Hellins Primary School	Northants
Bovey	Stephen	Hillview School for Girls	Kent
Britton	Norman	Plover Primary School	South Yorks
Brooksbank	Chris	Ireleth St Peter's CE Primary School	Cumbria
Campbell	Sheila	Wyvern Technology College	Hampshire
Cane	Karen	Slater Primary School	Leicester
Carey	E	St Anthony's RC School	Kinghurst
Chawdhry	Hasan	Edinburgh Primary School	London
Clare	Charles	Geoffrey Field Junior School	Reading
Clough	Jill	East Brighton College of Media Arts	Brighton
Coates	Barbara	Little Hallingbury Primary School	Hertfordshire
Cole	A	Saltley School	Birmingham
Collier	Stephen	Biddulph High School	Staffordshire
Conibare	Roger	Denbigh School	Milton Keynes
Connor	Erica	New Monument School	Surrey
Coslett	Deborah	The Hayesbrook School	Kent
Craig-Kemal	Arziye	Paxton School	London
Crook	John	Halliford School	Middlesex
Dennison	David	St Margarets C of E High School	Liverpool
Down	Wendy	Framingham Earl High School	Norwich
Egan	Ron	Methodist Junior & Infant School	Wakefield
Eubank	Cynthia	Grinling Gibbons Primary School	London
Evea	Richard	The Angmering School	West Sussex
Farrow	Hazel	Loxford School of Technology	Essex
Ferdinand	Dawn	St Marks CE Primary School	London
Floyd	David	Thomas Mills High School	Suffolk
Fox	Trevor	Lepton CE (VC) J, I & N School	Huddersfield
Garvey	Colin	Sacred Heart RC Secondary School	London
Gerber	Veronique	Hurlingham and Chelsea School	London
Gibson	Robert	The Ridings High School	Bristol
Gordon	Catherine	Holy Name RC School	Manchester
Green	Frank	Leigh CTC	Dartford
Greig	Duncan	The Hythe Primary School	Egham
Grigg	David	Lord Lawson of Beamish School	Durham
Grimshaw	S	Spring Hill CP School	Accrington
Guy	Andrew	Millhouse Primary	Penistone
Hamper	David	The Crypt School	Gloucester
Harcourt	Brendan	Braunton Caen Primary School	Braunton
Harris	L	Blessed Thomas Holford Catholic Sch	Altrincham
Harris	Paul	Brooksby Primary School	Nottingham
Horsewood	Graham	The School of David St Katherine	London
Howe	Hugh	Fir Vale Secondary School	Reading
Howell	Vivian	Chailey School	Lewes
Johnson	J.M.	Havercroft Junior & Infant School	Wakefield
Jones	Gill	Woodchurch CE Primary	Wirral
Jordan	Bill	Dyke House Comprehensive School	Hartlepool
Kelly	Martin	Clarendon Fields Community Primary	Cheshire
King	John	Gable Hall School	Essex
Limbirt	Phil	Harrogate Grammar School	North Yorks
MacDonald	Alasdair	Morpeth School	London

Maloney	Christopher	Allanson Street County Primary	Merseyside
Markhall	David	Rivelin Primary School	Sheffield
McGarry	Dennis	St Albans Catholic High School	Suffolk
Mott	Sue	Leigh Primary School	Tameside
Murphy	Michael	Crown Woods School	Eltham
Owen	Diana	Huntingdon Primary School	Nottingham
Percival	Adrian	Matthew Arnold School	Oxford
Perry	Tony	Bacons College	London
Phillips	Ann	Cross Flatts Park Primary School	Leeds
Phillips	Elizabeth	The St Marylebone CE School	London
Pooley	Beryl	Albemarle School	Wimbledon
Pritchard	Alan	Teign School	Kingsteignton
Rai	Manjit	North Beckton School	London
Revie	Bev	New Christ Church Primary School	Reading
Reynolds	Robin	Woodgate Junior & Infant School	Birmingham
Richards	Blazena	Launcelot Primary School	Kent
Richardson	Jeff	Wexham School	Slough
Rosen	Marion	Star Primary School	London
Sampey	Keith	Alban Wood Junior School	Watford
Simpson	Peter	Brooke Weston CTC	Corby
Smales	Len	Burnham Upper School	Bucks
Stonehouse	Pauline	Devonshire Hill Primary	Tottenham
Taylor	John	Swakeleys School	Middlesex
Toye	John	Breckfield CC School	Liverpool
Tumber	Alan	Ladypool Primary School	Birmingham
Vawda	Omar	Gladstone Primary School	Peterborough
Veal	David	The Ruskington Coteland's School	Lincolnshire
Walton	Sandra	Allens Croft Junior Infant School	Birmingham
Warton	Jan	Vicarage Primary School	London
Whittaker	Mr	Hall Green School	Birmingham
Wiltshire	Thelma	Christ Church CE Primary	Birkenhead
Zarraga	Mike	St Thomas More School	Tyne & Wear

(b) Other teachers (23)

Aulich	Lucy	Edinburgh Primary School	Walthamstow
Cook	Ginny	Edinburgh Primary School	Walthamstow
Derrington	Mark	Edinburgh Primary School	Walthamstow
Smith	David	Edinburgh Primary School	Walthamstow
Vollins	Caroline	Edinburgh Primary School	Walthamstow
Bathgate	Sue	Gable Hall School	Thurrock
Feeney	Sally	Gable Hall School	Thurrock
Goffe	Horaine	Gable Hall School	Thurrock
Summerhayes	Emma	Gable Hall School	Thurrock
Tredgett	Jo	Gable Hall School	Thurrock
Webb	Phillip	Gable Hall School	Thurrock
Ahmed	Abe	Morpeth School	Tower Hamlets
Hall	Melanie	Morpeth School	Tower Hamlets
Maru	Neelam	Morpeth School	Tower Hamlets
Moise	Allison	Morpeth School	Tower Hamlets
Sarris	Achilles	Morpeth School	Tower Hamlets
Stenton	Maria Garci	Morpeth School	Tower Hamlets
Edwards	Joan	Thomas Mill High School	Framlingham
Hanly	Richard	Thomas Mill High School	Framlingham
Harvey	Nigel	Thomas Mill High School	Framlingham
Jones	Mary	Thomas Mill High School	Framlingham
Meecham	Sandra	Thomas Mill High School	Framlingham
Page	Jo	Thomas Mill High School	Framlingham

(c) DfES officials

Andrews	Keith	Diversity Division, SEU
Barnett	Margaret-Anne	Diversity Division, SEU
Critchley	Julian	School Improvement & Excellence Division, SEU
Crowne	Stephen	SEU Director of Operations
Day	Simon	Diversity Division, SEU
Evans	Sheena	LEA Policy and Improvement Unit, SEU
Hopkins	David	Director, SEU
Jacobs	Ron	Diversity Division, SEU
Kershaw	Stephen	Director, School Workforce
Lawson	Janice	School Improvement & Excellence Division, SEU
Longstone	Lesley	Diversity Division, SEU
Rushton	Andree	LEA Policy and Improvement Unit, SEU
Scott	Shan	Diversity Division, SEU
Sebba	Judy	Senior Research Advisor
Shaw	Barnaby	School Improvement & Excellence Division, SEU
Williams	Helen	Director, School Organisation and Funding
Williams	Martin	Deputy Director, School Workforce
Woods	David	Acting Chief Education Adviser, SEU

(d) Others

Albury	David	OPSR/DfES consultant
Bahl	Parin	Capita Education
Barber	Michael	Head, Prime Minister's Delivery Unit
Baxter	Andrew	CEO Cambridgeshire; past president ACEO/SCEO
Bell	David	HMCI, OfSTED from 22 April; CEO Bedfordshire
Bragg	Valerie	Formerly Kingshurst CTC, Birmingham; now 3Es
Chatfield	Brian	Governor, Chipping Camden School
Cooper	Stephanie	Education consultant
Davies	Gareth	Forward Strategy Unit
Du Quesnay	Heather	Director, NCSL
Duchesne	Gillian	Ex-Head teacher, Benenden School
Goodchild	Stanley	Managing Director, 3Es, Birmingham
Gray	John	Professor of Education, Cambridge University
Halpern	David	Forward Strategy Unit
Hammond	Kate	Prime Minister's Delivery Unit
Hargreaves	David	Ex-Director, Qualifications and Curriculum Authority
Harrington	John	Education consultant; former head teacher
Harrison	Ian	Capita Education
Jenner	Phil	Regulatory Impact Unit
MacGilchrist	Barbara	Deputy Director, Institute of Education
Passmore	Elizabeth	Director of Inspections, OfSTED
Pattison	Mark	Chief Executive, Education Bradford
Pearson	Terry	National Association of School Governors
Penny	Jean	National Redesign Leader, NHS Modernisation Agency
Phillips	Sarah	Assistant Director, LEA Inspections, Audit Commission
Rushbrook	Phil	Regulatory Impact Unit
Shostak	Ray	CEO, Hertfordshire
Tabberer	Ralph	Teacher Training Association, ex-DfES SEU
Tomlinson	Mike	Outgoing HMCI, OfSTED
Wilkinson	Greg	Accenture
Wreford	Jane	Director, LEA Inspections, Audit Commission

Appendix 2: Selected documents

Audit Commission	Held in trust, Update 2002 Schools' views of their LEA, 2001
Barber, Michael	Large-scale education reform in England: a work in progress (Oct 2001)
Better Regulation Task Force	Annual report 2000-2001 Red tape affecting head teachers
DfES	14 – 19: extending opportunities, raising standards Achieving Success: White Paper, 2001 City academies – prospectus, 2000 Compendium of analytical material prepared for FSU's Education and Skills: Strategic Review, Phase 1, 2001 Education and Skills: Delivering Results. A strategy to 2006, 2001 Education Bill 2001 Education Funding Strategy Group papers (EFSG-4, EFSG-9, EFSG-MINS1 etc.) Evaluation of innovation in the use of ICT and in the school day in the City Technology Colleges Note on selected sources on international educational practice Statistics of Education, 2001 The Way Forward: a modernised framework for school governance (consultation paper and consultation final report)
DTLR	Local Government White Paper: Strong Local Leadership – quality public services
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Appendix 3: Freedoms offered to GM schools, compared with those offered to community and foundation schools today

	GM SCHOOLS	COMUNUNITY/FOUNDATION SCHOOLS TODAY
Recurrent Funding	received the same as maintained schools in their LEA area, but with a top-up representing “their share” of LEA central funding, though the fairness of this share was disputed.	receive funding by formula, but with a much-enhanced level of delegation for LEA - maintained schools, up from approximately 79% to 87% today. LEA central functions will be funded separately from 2003-04.
Specific Grants	received a much higher level of specific grant than other schools on top of their basic funding, and had greater freedom about how they spent it.	receive levels of specific grant that have risen to and beyond the old GM level, and from 2001-02 have had discretion over how they spend most of the Standards Fund.
Capital Funding	received much higher levels of capital funding than other schools, including a formula element, and access to seed challenge funding.	have access to capital funding at around former GM levels, with all schools now receiving devolved formula capital and having access to seed challenge funding.
Borrowing	had freedom to borrow for a certain period of time; but when it was ruled that they were public bodies and their borrowing counted against the PSBRs, borrowing was made subject to Funding Agency for Schools control.	LEAs can have provision in their Fair Funding scheme for licensed deficit budgets or for a loan scheme for schools. Schools can also apply to the Secretary of State for permission to borrow, but PSBR restricts this.
Premises	owned their own premises, which were transferred from the LEA if the governors did not already own them.	own their own premises if voluntary or foundation; owned by LEA if community (though such schools can seek to change to foundation status).
Staffing	employed their own staff. They had the right to opt out of national pay and conditions for teachers, but only 3 out of 1200 did so.	employ their own staff if aided or foundation; employed by LEA if community school.
Governance	had governing bodies with a majority of “first” or foundation governors, and no LEA representation.	have a majority of foundation governors if aided. Foundation schools have a special governance model including a number of foundation governors, but also some LEA representation. Education Bill gives all schools more freedom to choose the governing body size and model that best suits them, provided they meet certain key stakeholder balance principles.
Admissions	were their own admission authorities, so could decide their own admissions policies and which children to admit in the light of their over-subscription criteria – though the application for GM status had to include details of the proposed admission arrangements which could, if necessary, be modified by the Secretary of State.	are their own admission authorities if foundation or voluntary aided; LEA acts as admission authority for community schools (other than where the LEA delegates decisions to them).
School organisation issues	LEAs had no power to make proposals to change the status of GM schools. The governing body could make proposals to change the character of the school such as adding a nursery or sixth form or	all governing bodies have the power to publish to remove selection but none have done so. A grammar school could also lose its status through parental ballot (just one ballot held so far, no change resulted). All schools have the power to propose a change

	GM SCHOOLS	COMUNUNITY/FOUNDATION SCHOOLS TODAY
	introducing selection. The governors could also propose to enlarge the premises. The power to close a GM school rested with the Secretary of State or the Funding Agency for Schools.	of category (i.e. between community, voluntary and foundation status). All school organisation decisions are now made by local School Organisation Committees on which the LEA is represented, along with local schools; the CE and RC Dioceses and LSC. Where the SOC cannot agree, decisions are made by the Adjudicator. The Education Bill will mean that proposals for brand new secondary schools and proposals by the LSC to add or remove sixth forms will now be taken by the Secretary of State.
Curriculum	had to follow the national curriculum.	have to follow the national curriculum.

Appendix 4 Governance arrangements in health and housing

There are over 3000 non-executive members of the 304 PCTs, 279 NHS hospital trusts and 42 health authorities in England. They are appointed by the NHS Appointments Commission (on behalf of the Secretary of State) which also makes arrangements for the appraisal, mentoring and training of the chairs and non-executives of health authorities, NHS trusts and PCTs. The current annual rate of remuneration payable to chairs of health authorities is £20,420. PCT and health trust chairs receive between £16,017 and £20,420, depending on their trust's turnover. Non-executive directors and members of health authorities, NHS trusts and PCTs are entitled to £5,295 per annum. Levels of remuneration are determined by the Secretary of State and reviewed annually.

The training needs of chairs and non-executives are assessed, and opportunities for appropriate training are provided through regional offices, the Leadership Centre and NHS Confederation. Chairs and non-executives are subject to an annual appraisal of their performance, by the Regional Commissioner or the chair of their board respectively.

There are over 30,000 voluntary members of the c. 2000 housing associations in England, managing about 1.45 m homes housing at least 2.9 m people. The Housing Corporation invests public money in housing associations and regulates them. Since 2000 it has been revising its position on governance, including the modernisation of boards, in response to evidence that the majority of boards are experiencing barriers to effective governance. The main ones are: recruiting the right people for the job, managing and motivating them, recognising and rewarding them, and the charity model of governance itself.

Following recent consultations on its paper *Modernising Governance – an enabling approach (2001)*, the Corporation has concluded that there is a strong case for allowing those associations that want to, and can make a good case for so doing, to pay their board members. Associations stressed that 'one size fits all' solutions were not appropriate. Large housing associations are multi-million pound not-for-profit businesses; small housing associations have different needs and skills available and need a different regulatory regime.

The Housing Corporation has decided to issue proposals to housing associations later this summer (subject to clearance by ODPM), inviting associations to consider whether or not remuneration of members will help them achieve their outcomes. Those who want to pay their members will have to show how payment will address problems of recruitment (diversity), skills, retention and performance (accountability). The level of remuneration would be for the housing associations themselves to propose. The Housing Corporation would set an overall upper limit and expect to approve payment levels that meet one of two tests: either proportionality (by comparison with payments to non-executives of other similar-sized local organisations) or a percentage (probably 0.1%) of turnover.

Appendix 5 NHS Collaboratives – an example

The Cancer Services Collaborative (CSC) involves nine cancer centres or networks from across the NHS working together to improve significantly the delivery of care for patients with suspected or diagnosed cancer. Each participating centre is undertaking up to five projects, each of which focuses on patients with a specific cancer. Each project team will participate in four, two-day workshops during the 16 months of the project. Between each workshop they will undertake an “action period” working in their own organisations to create improvement. Project teams will maintain contact with other teams, sharing ideas and knowledge, learning and testing methods for improvement, implementing proven change principles and measuring progress. Improvements will be piloted with small groups of patients and then spread across participating centres and to services for other groups of patients with cancer. At the end of the 16-month programme, the project teams will share their achievements and lessons learnt with other cancer centres/networks and with the wider NHS. This will take the form of:

- a national reference guide to improving delivery of care to patients with suspected or diagnosed cancers
- a national seminar
- a programme of events for spreading new systems of care delivery

Participating cancer centres/networks are expected to:

- appoint a full-time programme manager for the duration of the project
- provide a clinical lead to sponsor the programme and champion the spread of changes in practice
- send teams representing all projects to each learning workshop
- devote time to devising, piloting and implementing changes in practice
- provide expert staff on an as-needed basis
- action the agreed project plans, test and implement the changes
- make regular progress reports
- provide information/data for the external evaluation of the Collaborative
- share learning and information between the projects and across the cancer centre/networks
- spread new systems of care delivery to other groups of patients with suspected/diagnosed cancers
- actively contribute to the national collaborative programme both during and between the learning workshops
- actively contribute to the transfer of learning from the Cancer Services Collaborative to the wider NHS at a regional and national level
- support the development of a national reference guide and a national conference to spread the learning from the Cancer Services Collaborative

The national and regional co-ordinators of the Cancer Services Collaborative will:

- provide evidence-based information and improvement methods
- offer coaching, facilitation, feedback and support to project teams
- provide direction and co-ordination for the initiative
- provide communication systems to keep teams connected
- make resources available to support development.

Source: NHS Modernisation Agency, 2002