

**New Models of Headship**

**Varieties of shared headship: a preliminary  
exploration**

**Full report**

**A report prepared for the  
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by  
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# Varieties of shared headship: a preliminary exploration

## Executive summary

### Key findings

The key findings of our evaluation are as follows.

- There is not sufficient evidence to suggest that any of the models of shared headship we explored could work in all schools.
- There is no one model to suit all circumstances.
- Job redesign should be part of a larger educational vision, not simply an expedient to deal with a current problem.
- With unconventional models of headship, it is particularly important to secure the maximum support of all stakeholder groups including staff, students, families and the wider local community.
- Research into introducing new models of headship should focus as much on governance – including local authorities – as on school leaders and should look closely at the interaction between them.

### The study's purpose and methods

Growing concerns about the recruitment and age distribution of headteachers, as well as the increasingly challenging work that many headteachers face, have led to a search for changes that may help to reduce some of the pressures. Among the new models are various versions of what may be termed 'shared headship', covering in particular three areas of current development:

- **executive heads** who have responsibility for more than one school
- **federations** in which groups of schools agree formally to work together in part through structural changes

- **co-headships** where two heads jobshare the leadership of the school or
- **dual headship** where two full-time heads lead the school

The purpose of this project was to carry out a short, preliminary exploration of existing knowledge about these models.

The research literature on these models is sparse. A substantial proportion of it derives from the National College for School Leadership (NCSL) itself. In addition to searching for other relevant research studies, we explored non-research literature including newspapers and online sources, and contacted key respondents in national agencies and bodies.

We sought information on:

- the arrangements that exist, including their location and prevalence
- their origins and purposes
- how they work
- how they are perceived to work by relevant stakeholders (if known)
- any evidence of impacts and explanations for these

## **Leadership and collaboration**

The idea of shared headship implies a collaborative approach to leadership, so we examined relevant literature on leadership and collaboration. Among the factors associated with successful leadership of collaborations are:

- establishing and maintaining trust
- managing tensions between collaboration and competition
- deploying both facilitative and more directive styles flexibly as appropriate
- recognising that collaboration is a dynamic process not a single event
- devoting significant leadership resources and energy to constant nurturing of the process

## **Executive headship**

On the basis of our brief review, we are not clear how widespread the practice of executive headship is. We were able to identify only two studies that focused specifically on executive headship, both produced by NCSL and both drawing on a small number of respondents. A range of positive impacts was identified, including improved management structures, improved behaviour and attendance, the development of a can-do culture and removal of schools from special measures and serious weaknesses. Other issues raised were a possibly limited supply of people and of lead schools with the required characteristics for executive headship, and the need to monitor sustainability.

Our search of non-research sources using the keyword 'executive head' yielded only eight items, with executive headship also identified in a further six federation sources. This suggests that executive headship is still quite rare.

In the majority of cases, the arrangement was designed to attack poor performance but there was also reference to recruitment problems, small-school issues, anticipated resource savings and the concept of families of schools. In a few cases, the arrangement was hailed a success, usually on impressionistic evidence, but no evidence of impact was provided in the majority of cases, and sometimes it was clearly too early for this.

The clearest conclusion to emerge is the paucity of evidence available. It seems particularly important to determine whether the role's potential is restricted to (usually) time-limited turnaround interventions intended to deal with a school's underperformance, where there is some indication of successful outcomes, or whether it has a wider contribution to make towards easing recruitment problems, alleviating pressures faced by small schools, or enabling two heads simultaneously to exert leverage on long-standing barriers to change in schools that operate in the most challenging environments.

Other sources of data, such as stakeholder perceptions and pupil achievement outcomes, are needed. Moreover, there is the need to monitor sustainability, test other models such as extended secondment, consider other structures (especially joint governance), and determine how to make the role manageable.

### **Leadership of federations**

The policy of promoting school federations dates from the Education Act 2002 (the Act) and regulations issued subsequently that allowed for the creation of a single governing body or a joint governing body committee across two or more maintained schools. Many different types of federation have developed. One distinction made has been between 'hard' and 'soft' federations, the former term referring to single legal entities, with a single governing body across all schools as permitted by the Act. Looser arrangements in which the individual schools have a degree of autonomy are referred to as soft federations.

We understand that individual federations have not conducted formal evaluations of their processes and effectiveness.

One respondent suggested that, for federations of larger schools to work effectively, it was necessary for a leader to step out of his or her school role in order to concentrate on the federation as a whole. There were said to be several variants of this. None of these has direct accountability in a managerial sense but their leadership and co-ordinating function can be critical. However, the small-school model was said to be different: here you have an executive head with full managerial accountability.

We identified three relevant research studies. Issues arising from these included the following questions.

- The sustainability of federations: what are they for? To nurse ailing schools back to health or to conserve scarce leadership resource?
- Would federations work best if each school were a unit in a larger entity (the federation) with collective accountability for pupil performance and inspection outcomes?
- How does leadership change when leading two or three schools — can the focus be kept on learning as well as on budgets and buildings?

A small-scale study of six primary schools in Wales (Thorpe and Williams, 2002) addressed some of the questions about sustainability, identifying how buildings were used, the regular attendance of the head on all sites, curriculum co-ordination across school sites, community support and a sense of ownership were all contributory factors. A federation triggered solely as an expedient, eg to deal with a specific recruitment problem, is unlikely to be sustained. This evidence is interesting but the project was too small in scale to provide firm evidence of generalisability.

From a Department for Education and Skills (DfES) database of federations, it appears that most hard federations have an executive head with operational heads in each school, but there are exceptions. Most of the federations classified as soft have a headteacher in each school, with no single leader of the federation.

Some noteworthy features emerged from our review of the non-research literature.

- There is growth in the number of all-age federations, linking primary, secondary and in some cases pre-school phases.
- Small, generally rural primary schools are linking into federations. Some Local Authorities (LA) are playing proactive roles to facilitate creative solutions that can keep school sites open within their communities.

- Some interesting structures emerged, eg the linking of a grammar and a community school in Kent and the internal structure devised for the Weston Federation of four 11–16 community schools and two special schools involving strand leaders across the federation.
- There is some development of chains or brands of schools as a specific form of federation. Examples include the Haberdashers' Aske's Federation in Lewisham, and the South Maidstone Federation now branded as NewLineLearning.
- To the extent that federations are seen as longer-term arrangements, it is important to look for examples of successful working over a period. A possible example is the Plymouth Confederation of Colleges.

The evidence suggests that federating involves a sensitive and delicate process of change management. The potential for a scheme to collapse is ever-present. Movement into federation needs to be well led and well supported. Different staffing structures, working practices and cultures need to be integrated. In addition, systems designed to support single institutions need to be re-thought to accommodate a federation. Where one or more of the schools is struggling, additional considerations arise, in terms both of support structures and leadership requirements.

### **Co- and dual headship**

The term 'co-headship' is intended to refer to a situation in which two heads share the headship of a school, while 'dual headship' indicates two full-time heads jointly leading a school, but we did not find this distinction maintained consistently. The National Association of Head Teachers (NAHT), which supports such arrangements, refers to 'jobshare headship'. There has been a considerable growth in enquiries from its members about opportunities of this kind.



We found only one major research study on these arrangements but it referred to a range of other international sources. The developing NCSL database of co- and dual headship arrangements lists 32 schools, 9 of which are secondaries and 23 primaries. There is no consistency in arrangements. Of the 10 shared headships within which the partners are known to be full time, some heads teach and some do not. In the arrangements in which the partners do not work full time, the split varies from school to school.

We found reports of 18 arrangements, including 4 that appeared to be dual headships (2 full-time heads). Of these, 11 were from England, and 7 scattered across the world (Australasia, Hong Kong and the US).

The wide variety of schemes defies generalisation, but noteworthy features include partnerships:

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

The research has shown that co-headships can succeed and bring benefits to individuals and to schools. There seems to be a tendency for research on this topic to be conducted by advocates of such arrangements, so there is a need for caution about whether a balanced picture is being presented. If co-headship is to make a significant contribution to the future development of the headship role, it

is important to understand the potential pitfalls as well as the gains that might be available.

## **Conclusions and recommendations**

A question central to our project was whether there is yet sufficient evidence to suggest that the models of headship we have examined can contribute to improving the manageability and attractiveness of the role. On the basis of our review, we conclude that at present there is **not** enough evidence available to answer this question, which is why our recommendations below have concentrated on identifying priorities for future work.

As a next step, NCSL might commission a more detailed evaluation of different models of shared headship, paying particular regard to:

- factors related to the sustainability of partnerships, possibly using retrospective studies
- local dynamics of specific contexts and transferable lessons
- views of stakeholder groups including staff, students, their families and the wider local community
- a range of measures of impact and outcomes, including independent assessments such as those of Ofsted
- effects of different approaches to governance, including the role of local authorities
- implications for headship of the development of chains or brands of schools

# **Varieties of shared headship: a preliminary exploration**

## **Full report**

### **1. Introduction**

Growing concerns about the recruitment and age distribution of headteachers, as well as the increasingly challenging work that many headteachers face, have led to a search for changes that may help to reduce some of the pressures. For example, in its recent report, the School Teachers' Review Body (2005: 41) has drawn attention to the significance of non-pay factors in determining the attractiveness of the most senior positions in schools:

Whilst pay is cited as a factor, it is the responsibilities and expectations of deputies and heads that are the biggest source of dissatisfaction to job-holders and the most significant deterrent to aspiring leaders. We suspect there may be issues about job-design that are particularly pressing on these grades at this point of transition.

NCSL is focusing on this key issue of job-design by investigating new and emerging models of headship to see how far these can provide viable solutions. The premise is that there are many ways to lead schools and there are new opportunities for increased flexibility in the organisational structure of schools. Among the new models are various versions of what may be termed 'shared headship', in particular where:

- a single head works across more than one school
- heads collectively share responsibility for two or more schools
- headship of one school is shared between two or more people

These can all be regarded as examples of new models of shared headship. The purpose of the project reported here was to carry out a short, preliminary exploration of existing knowledge about three areas of current development relevant to the above categories:

- **executive heads** who have responsibility for more than one school
- **federations** in which groups of schools have a formal agreement to work together, in part through structural changes in leadership and management
- **co- and dual headships** where two heads jobshare the leadership of the school (co-headship) or where two full-time heads lead the school (dual headship), although we have found that this distinction between the two terms is not always sustained in practice

Arising from this exploration, any implications for policy and practice and indications for future research to track these arrangements over time were to be identified.

NCSL and the researchers were aware that the research literature on these models is still very sparse. Indeed, we have confirmed that a substantial proportion of it derives from NCSL itself and we have thought it right to give full recognition to this work in our report. In addition to searching for relevant research studies, we sought intelligence about these developments in non-research literature including online sources, as well as by contacting key respondents in national agencies and bodies. Details of our methodology follow.

## **Methodology**

*Literature search.* Drawing on literature supplied by NCSL at the start of this project, the following list of keywords was compiled as the basis of the search:

- federation
- executive head
- co-heads
- dual heads
- collegiate
- cluster
- network
- alliance
- shared headship

It was anticipated that most of the relevant literature would be very recent. It was therefore decided that most keywords would be explored only from January 2003 onwards, unless the sources identified in this search themselves indicated an important earlier source, which was then followed up. The term 'cluster', however, was known by the researchers to have been in use for much longer, and this keyword was explored from January 2001 onwards.

For exploring the Australasian and North American literature, the term 'co-principal' was employed instead of 'co-head', since that is the commonly used term for headteachers of schools in those education systems.

The enquiry was initially scoped by inputting all keywords into the Google Scholar search engine. The search of research literature was subsequently pursued through the ERIC, EBSCO and Emerald Fulltext databases. Nominations were made by the researchers themselves on the basis of their knowledge of the literature, and that of colleagues.

Material published and/or recommended by NCSL was examined. NCSL supplied databases and a list of material that it already possessed. This included a list of local and national government websites. All the national sites were explored. Because of constraints of time, local authority sites were explored only

if they were known to be locations in which shared headship was promoted or supported, or to triangulate other material emerging within the project.

Among newspapers, the archives of *The Times Educational Supplement*, *The Guardian*, and *The Independent* were explored. The websites of prominent school federations, clusters and schools with co-heads (both nationally and internationally) were visited.

During the early stages of information-gathering, the research team developed a protocol for analysing the main research sources. This was adapted from a protocol devised for a previous NCSL project conducted by Bennett *et al* (2003) with which both researchers were familiar. The researchers agreed on which academic sources, 11 in all, were of most relevance, and one researcher wrote the protocols. The other moderated five of these.

Drawing on the research protocol, a shorter, more focused protocol was developed for the non-research sources in order to facilitate the creation of a database that would make this material easier to search for themes. Both researchers read and shared material from all these sources: one researcher then created the database.

### **Most relevant academic sources identified**

Barnes, I, 2005, *Primary Executive Headship: a study of six headteachers who have responsibility for more than one school*, Nottingham, NCSL

Connolly, M & James, C, 2006, Collaboration for school improvement: a resource dependency and institutional framework of analysis, *Educational Management, Administration and Leadership*, 34(1), 69–87

Court, M, 2003, *Different Approaches to Sharing School Leadership*, Nottingham, NCSL

Jervis-Tracey, P, 2005, Inter-institutional networks and alliances: new directions in leadership, *International Journal of Leadership in Education*, 8(4), 291–308

Lindsay, G, Arweck, E, Chapman, C, Goodall, J, Muijs, D & Harris, A, 2005, Evaluation of the Federations Programme: 1st and 2<sup>nd</sup> interim reports (April and June 2005), Coventry, CEDAR, University of Warwick

NCSL Research Group, 2005a, *Executive Headship: a study of heads who are leading two or more secondary or special schools*, Nottingham, NCSL

NCSL Research Group, 2005b, *Does Every Primary School Need a Headteacher? Key implications from a study of federations in the Netherlands*, Nottingham, NCSL

Slater, L, 2005, Leadership for collaboration: an affective process, *International Journal of Leadership in Education*, 8(4), 321–33

Thomson, P & Blackmore, J, in press, Beyond the power of one: redesigning the work of school principals, [forthcoming in the *Journal of Educational Change*]

Thorpe, R & Williams, I, 2002, What makes small school federations work? An examination of six instances of small school federations in Wales, *The Welsh Journal of Education*, 11(2), 3–25

Vangen, S & Huxham, C, 2003, Enacting leadership for collaborative advantage: dilemmas of ideology and pragmatism in the activities of partnership managers, *British Journal of Management*, 14, S61–S76

The two protocols, one for research and the other for non-research sources, are shown in Appendix 1. Both were designed to include items related to each of the project aims, which were in essence to seek information on:

- the arrangements that exist, including their location and prevalence
- their origins and purposes
- how they work
- how they are perceived to work by relevant stakeholders (if known)
- any evidence of impacts and explanations for these

The longer research protocol included items on the nature of the particular study, its methodology, the transferability of its findings and other matters.

*Respondents* We also contacted a range of respondents in national agencies and bodies to ask for information and references connected with the project aims outlined in the previous paragraph. This included a number of personal interviews conducted by one of the researchers as well as contact by email and telephone. We were unable in the time available to make direct contact with personnel at local authority or school level. A list of respondents is provided in Appendix 2. One of the researchers attended a DfES roadshow on federations, held in west London, and the other attended a headteacher conference at which two executive heads were speakers.

## **Structure of the report**

The idea of shared headship implies a collaborative approach to leadership, so we have decided to devote the next section, Section 2, to leadership and collaboration as a generic theme before moving to consider executive headship in Section 3, leading federations in Section 4 and co-headship in Section 5. Section 6 presents our conclusions and recommendations.



The 11 research studies we identified as most relevant to our concerns are distributed between Sections 2–6 according to the specific focus of each study. We draw on our communications with respondents throughout the report. In Sections 3–5 we also present our findings from our review of non-research literature relevant to each section. The database we have compiled of non-research literature using the short protocol in Appendix 1 is provided in a separate electronic file as Appendix 3. At appropriate points, we draw on databases that have been provided to us by NCSL and the DfES.

We present here a very important note of caution about the non-research literature referred to throughout the report. This is generally in the form of newspaper or magazine articles or website entries. Inevitably it suffers from numerous limitations. The narratives are often out of date and we cannot establish the current position, which may be very different from that described. Frequently, the description is of an early stage in the particular venture, before some of the key challenges have been faced. Often the account is based on interviews with the venture’s champion or champions, so it is potentially both subjective and selective. Finally and perhaps most importantly, as with all such material, it is fragmentary, and disconnected from the broader context in which the venture is situated, making it difficult to draw valid or meaningful conclusions.

A particularly striking comment about these developments was made by one of our DfES respondents, who said: “There’s a huge variety – it’s a bottom-up process. You can’t tidy it up”. This fits with our perception from looking at all the data. Each arrangement is unique, designed to fit a specific situation and set of personalities with particular histories. Generating databases and other forms of data reduction can give a misleading sense of order and commonality. The reader is asked to bear this constantly in mind in what follows.

Another of our respondents said: “The scene is immensely dynamic, changing all the time”. This is a common characteristic of collaborative ventures and is further

discussed in Section 2. Such undertakings should be viewed as processes, not events, and therefore accounts and analyses of their operation and conclusions based on these should always be regarded as provisional.

## **2. Leadership and collaboration**

Collaboration between institutions in the interests of students is at the heart of much current educational policy. To give a topical example, the Education and Inspections Bill at present before Parliament includes a new power enabling a local authority to require a weak school to collaborate with another school or to work with a partner on school improvement. One of our DfES respondents indicated that this was a central issue for the DfES and that it did not believe that “schools should be doing it all on their own”.

This is a generic issue for two of our shared headship topics, executive headship and federations. However the research evidence is somewhat sparse. The Select Committee on Education and Skills commented a few years ago that ‘more evidence is required to establish the impact of collaborative models’ (House of Commons Education and Skills Committee, 2003: para 77). The Audit Commission (2005) has also noted the lack of evidence on the effectiveness of partnership working, and the leadership aspects are probably even less well understood. In discussing the task of leading partnerships, Glatter (2004: 217) has argued elsewhere that ‘this form of leadership ... merits special attention in educational leadership development’. However, we were able to find a few research studies on this theme that we consider relevant to our overall focus, and we will discuss these after making some general observations about terminology and possible collaborative models.

## Meanings

The terms ‘partnership’, ‘collaboration’, ‘co-operation’, ‘collegiate’, ‘cluster’, ‘alliance’, ‘network’ etc are very slippery. Just taking one of them, ‘partnership’ remains a varied and ambiguous concept’ (McQuaid, 2000: 12).

Lowndes and Skelcher (1998) argue that ‘partnership’ and ‘network’ are distinct ideas. The ‘network’ idea implies voluntary associations based on trust, loyalty and reciprocity – a way of working or ‘mode of governance’, whereas the multi-organisational partnership is a different thing, a form of organisation. Partnership working is not always as cosy as network operation implies – it can include command and control and competitive relationships as well<sup>1</sup>.

On the basis of research into two education action zones, Jones and Bird (2000) also warn about simplistic notions of partnership that take too little account of conflicts over influence and management and the impact of inequalities of power and resources among partners.

Finally on meanings, how can we classify different types of partnership? Here are two examples. The first is a typology of institutional linkage arrangements taken from a study in the field of higher education by Harman (2000).

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<sup>1</sup> In this project, we did not look at work directly relevant to networked learning communities (NLCs) because of our explicit focus on shared headship, and also because NCSL’s Networked Learning Group has recently completed a systematic research review of the impact of networks together with the Centre for the Use of Research and Evidence in Education. This review found it hard to identify evidence relating to leadership: ‘The studies rarely focused directly on leadership of the networks’ (Bell *et al*, 2006: 7).

*Voluntary co-operation agreement:* can be enacted by a simple exchange of letters between institutional heads or may involve formal legal agreements

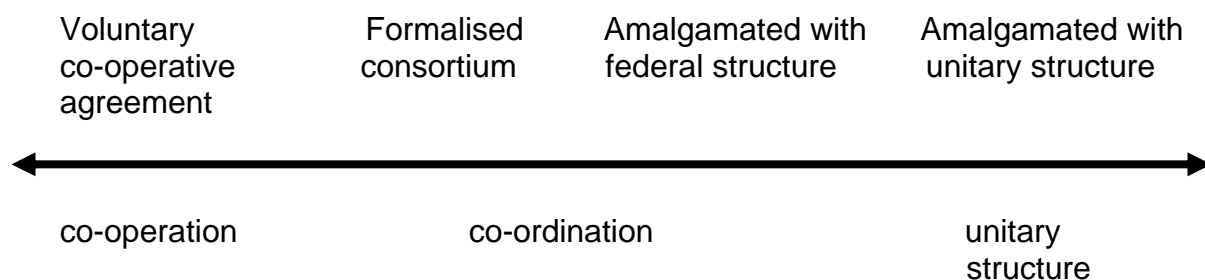
*Formalised consortium:* usually organised to provide common services to participating institutions

*Federation:* responsibility shared between participating institutions and a new overarching body

*Institutional merger:* the combination of two or more separate organisations into a single entity, with unified management control

Harman, 2000: 345-6

Harman places these types along a continuum:



Many existing partnerships in the schools sector would fall under the heading of 'voluntary co-operative agreement', that is, they are very loosely coupled arrangements.

A more detailed continuum of collaboration has been drawn up as part of an inquiry into the future of smaller primary schools in the Republic of Ireland (Morgan and O'Slatara, 2005). This has five levels:

*Level 1: **Association.*** Informal exchanges/discussions between principals and teachers [in different schools] to discuss issues of common concern.

*Level 2: **Co-operation.*** Principals and teachers meeting and collaborating on management issues, joint policy documents and schemes of work.

*Level 3: **Partnership.*** Undertaking activities such as exchange of teachers with specific expertise, shared delegation, shared resources, opportunities for pupils to work on joint activities/projects.

*Level 4: **Confederation.*** Formal structure with a joint committee formed from the boards of management with responsibility for cluster co-ordination and making recommendations to encourage co-operation. The schools maintain their individual status. Recommendations may include: recommending joint staffing; agreeing job descriptions for new staff in partner schools; interviewing and appointing staff to be used jointly; recommending a portion of budget to be shared by the cluster schools.

*Level 5: **Federation.*** This occurs when a new school is created with a single board of management from a number of existing schools. These schools continue to function catering for their respective catchment areas in their existing premises. A number of schools are organized as one school and decisions are taken for the federation rather than the individual schools within it.

Morgan and O'Slatara, 2005: 43

These two examples illustrate the range of possible collaborative models. Another typology, drawn up by the DfES to distinguish different forms of federation, will be considered in Section 4.

## **Research and conceptual studies**

Four of the studies we identified related to the theme of leadership and collaboration. Our discussion of themes below is based on our assessment of them against the longer protocol we developed (see Section 1 above).

## Study 1

Connolly, M & James, C, 2006, Collaboration for school improvement: a resource dependency and institutional framework of analysis, *Educational Management, Administration and Leadership*, 34(1), 69–87

This is an attempt to construct an analytical framework of collaboration using two theoretical perspectives. Various drivers for collaboration are identified from a literature review (Connolly and James, 2006: 72) and the significance of the initial context is emphasised: ‘trust is a key element in encouraging collaboration and individuals are more likely to trust those with whom they have established good relationships’ (*ibid*: 79). Factors leading to successful collaboration are identified (*ibid*: 72–3) and reference is made to the tensions involved in managing competition and collaboration simultaneously: ‘Recognising appropriate circumstances for collaboration in a competitive environment requires substantial managerial sophistication’ (*ibid*: 75).

The study uses the two related theoretical perspectives specified in the title, three stages of a collaborative process (preconditions, processes and outcomes) and three levels (individual teacher, institutional leader and local authority) to construct an analytical framework for understanding collaboration for school improvement. The article is based on reports in the literature rather than original research, so its validity depends on the nature and methodology of the original studies, which are not discussed. The discussion is quite general and not focused on particular settings, so issues of transferability do not arise directly.

## Study 2

Jervis-Tracey, P, 2005, Inter-institutional networks and alliances: new directions in leadership, *International Journal of Leadership in Education*, 8(4), 291–308

This article seeks to analyse the potential role of networks and alliances in relation to discourses of school-based management in Australia, examining the Education Alliance, a network of seven primary and three secondary schools in Queensland with affiliation to the local university, as a specific example. This was originally based on simple geographical proximity but led to a strategic development of common interests. Within a structure consisting of a core group of four principals and a general group including all principals together with deputy principals, teachers and university lecturers, various project groups investigate or pursue particular issues.

The author presents three views of devolution in recent years — referred to as social democratic, corporate managerialist and market — and suggests that networks and alliances may be a fourth and may serve to ‘supplement the shortfall of school-based management policy and negate the market view of schooling (Jervis-Tracey, 2005: 307). There is limited, purely descriptive information provided on the Education Alliance, so a judgement about validity is not possible. On transferability, the strength of the conceptual analysis could be assessed by applying it to various settings. Other ideas presented in the article such as ‘pseudo-devolution’ (*ibid*: 293) and ‘collaborative individualism’ (*ibid*: 306) also seem worth testing empirically.

### Study 3

Slater, L, 2005, Leadership for collaboration: an affective process,  
*International Journal of Leadership in Education*, 8(4), 321–33

We decided to include this study even though it deals primarily with leadership within rather than across institutions, partly because the scope of our project includes this focus (in relation to co-heads and dual heads), and partly because of the light it claims to throw on the general capabilities needed for collaborative leadership. Slater argues that the ability to work collaboratively is one of the core requirements of contemporary school reform. The study sought to investigate the understandings, skills and attitudes needed for collaborative leadership. It was based on a large school district in Canada in which parents, teachers, assistant principals and principals who were connected with 14 different elementary schools took part in a series of focus group sessions, with each participant involved in 2 sessions. The key research question was: 'How does the principal support collaboration?'

The study's central interest is in the affective domain of leaders' work and their emotional competences. According to the reported responses of the focus groups, supportive behaviour by the principal includes modelling, communication, valuing others and advocating collaboration, and each of these is discussed (Slater, 2005: 326–8). It is difficult to assess validity because the article gives only a broad summary of the focus groups with some direct quotes from participants, and no indication is given of any differences in perspective between parents, teachers and principals. Also, there is an issue about whether focus groups are an appropriate, or at least adequate, method of identifying the subtle qualities needed to promote effective collaboration. Regarding transferability, the context is Canadian elementary schools which may have commonalities with



English primary schools. In terms of further work, the author argues that more exploration is needed of the emotional experience of educational leadership.

#### Study 4

Vangen, S & Huxham, C, 2003, Enacting leadership for collaborative advantage: dilemmas of ideology and pragmatism in the activities of partnership managers, *British Journal of Management*, 14, S61–S76

This is one of a series of papers that Vangen and Huxham have produced over an extended period in their attempt to understand inter-organisational collaborative processes. We have chosen this one for special attention because it is the more recent of two papers focusing specifically on leadership. It presents a rather more downbeat picture than Study 3 above. Its aim is to develop a conceptualisation of leadership activities undertaken by participants in collaborations, given that ‘leading collaborative initiatives is not necessarily a comforting or rewarding experience’ (Vangen and Huxham, 2003: S74) and ‘reports of unmitigated success are not common’ (*ibid*: S62). The authors undertook ‘a rigorous process of action research’ based on interventions during work with 13 varied public and community sector collaborations mainly in Scotland. The data was ‘naturally occurring’ in an ethnographic sense. The research approach is described in detail on pages S63–S65.

The authors define leadership as ‘the mechanism that makes things happen in a collaboration’ and see three ‘leadership media’ as important to a collaboration’s outcomes – structures, processes and activities (*ibid*: S62). They concentrate on the last of these in this paper, dealing with the two others elsewhere (see below). They conclude that there are two distinct leadership roles in relation to collaboration – a *supportive* role ‘embracing, empowering, involving and

mobilizing' and a *pragmatic* role relating to things such as influencing the agenda and political manoeuvring. Each of these is presented in diagrams and discussed in the text. The authors speculate that the successful leadership of partnerships is related to the ability to operate in both directive and facilitative modes and to manage the tensions between them. The conceptualisation is sophisticated and the research approach fully set out, although it is not possible for the reader to identify the links between the data and the interpretations. With regard to transferability, the authors consider that the broad principles and many of the examples are relevant to other participants in collaborations as well as those managing partnerships. This could usefully be tested through research in schools.

### **Other relevant work**

It is worth making reference here to some other work by these authors. Huxham and Vangen (2000a) discuss aspects of managing partnership *processes* in terms of managing aims, managing language and culture and managing trust and power and also analyse partnership *structure* through the ideas of ambiguity, complexity and dynamics. For example, the last of these, dynamics, signifies the changes to which partnerships are subject over time, for instance because of new government policies or changes to the purpose of existing ones, or because of the natural evolution of a partnership's purposes or membership. This means, according to this research, that building understanding and trust must be a continuing process throughout the life of the partnership.

With regard to outcomes, the authors suggest the research points to 'aiming for modest, but achievable, outcomes in the first instance, becoming more ambitious only as success breeds a greater level of trust' (*ibid*: 299–300), though they realise that this small-wins approach may not satisfy the expectations of external funding bodies for clear outputs. Partners must have the maximum flexibility to adapt the initiative to local circumstances. Sensitivity and attention to detail will

be constantly required. In consequence, significant resources will need to be allocated and personal energy expended, since success almost always depends on at least one competent individual who is able and willing to make this kind of investment in order to champion and nurture the process. In another paper Huxham and Vangen (2000b: 792) refer to collaborations as being 'necessarily highly fragile structures'.

Lowndes and Skelcher (1998: 331) consider that: 'Such relationships cannot be forced and will survive only where there is perceived need and collective will among participants'.

In general, this research suggests that partnership processes can be slow and painful and that partnerships often do not deliver what was expected of them. This parallels experience in the US corporate sector. In a literature review, Judge and Ryman (2001) report that more than half of all strategic alliances fail to meet their stated objectives and that 'while effective shared leadership by top executives involved with strategic alliances is not common, it is crucial to alliance success (Judge and Ryman, 2001: 74).

While emphasising the dangers of easy generalisations, researchers have tried to summarise common problems as well as features often associated with success. Thus McQuaid (2000: 22), surveying partnerships (including public–private ones) in the UK public sector, lists problems that may occur as including:

- unclear goals
- resource costs
- unequal power
- cliques usurping power
- impacts upon other mainstream services
- differences in philosophy between partners
- organisational problems

Aspects of successful partnerships include: clarity of objectives; agreement on modes of operation; clear lines of communication and decision-making; clear exit routes; suitable incentives *within and between* organisations; support among the partners' institutions; and, most importantly, trust between the partners (McQuaid, 2000: 29–30).

A recent survey of examples of school collaborative schemes (several of which were also reviewed for this project) concluded that the most successful cases 'are those which began and have been sustained in a spirit of common resolve and sensitivity to the needs of others' (Arnold, 2006: 38). This report, which was prepared for the Education Management Information Exchange (EMIE) at the National Foundation for Educational Research, also highlights the challenges for partnership schemes of a policy context emphasising competition and choice, and the need for counter-balancing incentives to promote collaborative working.

It is against this background that in Section 3 we examine the first of our specific areas of shared headship.

### **3. Executive headship**

There is a degree of artificiality in considering executive headship separately from federations, since the two often go together. However, federations do not necessarily have executive heads and the schools for which executive heads are responsible are not always in a federation.

There is considerable policy debate about the merits of executive headship. In July 2005, David Bell, then HM Chief Inspector of Schools, was reported as saying that "the only way to improve failing and 'coasting' schools is to fast-track the Government's plan to create executive heads of more than one school" because there would never be enough outstanding heads to achieve the standard of excellence being sought (Hill, 2005). Bell was supported by the Chief

Executive of NCSL, but criticised by the Secondary Heads Association (now the Association of School and College Leaders) on the grounds that executive headship could have a negative impact on recruitment as it would exacerbate workload pressures, and therefore conventional headship needed to be made more attractive instead.

NCSL gave advice to the Secretary of State for Education and Skills in September 2005 indicating that when a school is in serious trouble, a paired arrangement with a successful school, with that school's head acting as executive head, can be a very effective model. This led to the proposal to award the designation of 'national leader of education' to outstanding leaders who were willing to take lead responsibility for one or more schools in very challenging circumstances: national guidance about the skills and expertise needed would be published (Munby, 2005). A less positive assessment was made by the National Audit Office (NAO, 2006) in its report on *Improving Poorly Performing Schools in England*. This said that while the model had worked in some schools, it carried risks of over-burdening the executive head and setting up unrealistic expectations. It urged the DfES 'to commission research to identify the critical success factors associated with executive headteachers' (NAO, 2006: 17).

An article about David Triggs, an executive headteacher, quoted him as saying: "I think a good head could run five schools" (Revell, 2004). However, a DfES respondent thought that while executive headship was useful for retention, to stretch the most experienced heads, there was only a limited number of heads nationally, perhaps 50, who could run more than one school of any size. The potential number was however much greater in the case of small primary schools, for example a single head taking responsibility for 3 schools of 60 pupils each.

## Research studies

We were able to identify only two studies that focused specifically on executive headship. Both of these were conducted by members of the NCSL Research Group and were provided to us at the start of this project.

### Study 5

NCSL Research Group, 2005a, *Executive Headship: a study of heads who are leading two or more secondary or special schools*, Nottingham, NCSL

This study focused on executive headship in turnaround, time-limited situations which included extensive support by key staff in the lead school. It was based on semi-structured interviews with eight executive heads. The arrangements were designed to deal with significant weaknesses or even extreme situations in partner schools. Almost all the approaches came from the relevant local authority with DfES involvement in some cases. Generally, the head took a person or team from the lead school and negotiated clear preconditions and time limits. The leadership style used in the partner school tended towards the prescriptive, but the heads sought a culture of openness and trust and to win hearts and minds.

Based on the interview data, substantial impact is claimed in 11 areas (NCSL Research Group, 2005a: 27), including improved management structures, improved behaviour and attendance and the development of a can-do culture. In terms of validity, the report provides a summary of the interview data which is restricted to executive heads themselves. Regarding transferability, the report comments that there may be a limited supply of people and lead schools with the required characteristics. Issues for further work identified in the report include data from others in the school community, student achievement data and

sustainability of the model. Also, executive headship in non-turnaround contexts could be investigated.

## Study 6

Barnes, I, 2005, *Primary Executive Headship: a study of six headteachers who have responsibility for more than one school*, Nottingham, NCSL

This study was based on interviews with six primary executive heads where the partner schools faced recruitment problems and other difficulties. For this study, executive headship was defined as leadership of another school by a headteacher who is also substantive head of her or his own school outside a formal, hard federation. The specific arrangements varied considerably (see the table in Barnes, 2005: 12) and were subject to change (*ibid*: 25). A range of positive impacts is claimed and it is noteworthy that two schools in special measures or with serious weaknesses were removed from their category. Possible negatives for the host school are also identified (*ibid*: 35–8).

The conclusions appear valid within the limitations of the number of interviewees and the range of data sources. In relation to generalisability, the report asks whether executive heads need special characteristics for success in the role. In terms of further work, the report mentions the need to obtain other sources of data such as stakeholder perceptions and pupil achievement outcomes. Moreover, there is the need to monitor sustainability, test other models such as extended secondment, consider other structures (especially joint governance), and determine how to make the role manageable.

## **Non-research sources**

Our search of these sources using the keyword 'executive head' yielded only eight items. In addition, executive headship was a prominent feature in a further six items among those identified using the keyword 'federation'. There was some overlap with the executive heads interviewed for Study 5. The terms 'executive head', 'executive principal', 'executive director' and 'chief executive officer (CEO)' were found. In the majority of cases, the arrangement was designed to attack poor performance but there was also reference to recruitment problems, small-school issues, anticipated resource savings and the concept of the family of schools. In a few cases, the arrangement was hailed a success, usually on impressionistic evidence, but no evidence of impact was provided in the majority of cases though sometimes it was clearly too early for this. The full database is provided in electronic form as Appendix 3 to this report.

## **Concluding comments**

On the basis of our brief review, we are not clear how widespread the practice of executive headship is. The fact that few cases emerged from our search of non-research sources might suggest that it is still quite a rare arrangement. This may be relevant to the debate about the generalisability of the model<sup>2</sup>.

However, the clearest conclusion to emerge for us is the paucity of evidence available on this issue. NCSL's two studies (2005a; 2005b) are thorough and helpful but are largely based on the perceptions of executive heads themselves and the numbers are relatively small. We agree with the National Audit Office that more work on this role is urgently needed. The NCSL researchers seem to us to have accurately identified the areas that need detailed investigation. It seems

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<sup>2</sup> Nonetheless, it may be significant that the Specialist Schools and Academies Trust has recently announced a new leadership programme for executive headteachers based on the assumptions that there will be growing system-wide interest in the role and that the number of executive headteachers will increase ([www.specialistschools.org.uk](http://www.specialistschools.org.uk) information accessed 4 April 2006).



particularly important to determine whether the role's potential is restricted to (usually) time-limited, turnaround interventions intended to deal with a school's underperformance, where there is some indication of successful outcomes, or whether it has a wider contribution to make in relation, for example, to easing recruitment problems, alleviating pressures faced by small schools, or enabling two heads simultaneously to exert leverage on long-standing barriers to change in schools that operate in the most challenging environments.

With regard to turnaround situations, it would be worth examining issues of leadership style. As indicated in Section 2, some of the literature on leadership and collaboration emphasises soft, supportive leadership qualities, but NCSL work suggests that in these challenging, outcome-focused settings, a significant element of prescription is likely to be needed. It seems possible that the ability to operate effectively in contrasting modes — both directive and facilitative — and to manage the tensions between them, as envisaged in Study 4 above, could be particularly important in this context.

The issue of leadership beyond a single institution is about to be investigated further by NCSL and the DfES Innovation Unit through a series of next practice field trials. Seven novel and distinct structural scenarios have been identified (which appear at least in some cases to be based on existing examples). A formal application process is currently under way. This seems an innovative and potentially valuable way of testing the scope for new models of executive headship and related arrangements to meet identified needs and improve leadership and governance.

#### **4. Leadership of federations**


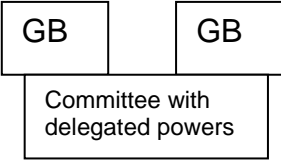
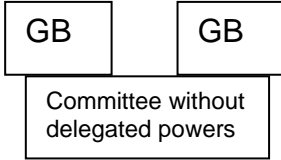
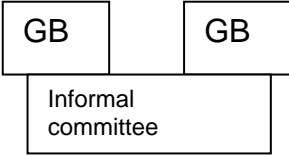
The policy of promoting school federations dates from the Education Act 2002 (the Act) and regulations issued subsequently that allow for the creation of a single governing body or a joint governing body committee across two or more

maintained schools. Many different types of federation have developed (outlined in Table 1), by no means all of them making use of the Act's provisions. One distinction made has been between 'hard' and 'soft' federations, the former term referring to single legal entities, with a single governing body across all schools as permitted by the Act. Looser arrangements in which the individual schools have a degree of autonomy are referred to as 'soft' federations. Where soft federations wish to delegate responsibilities from individual governing bodies to joint committees, they also have to use the Act's provisions, but otherwise soft federations can be established without any statutory basis. This is a complex area in terms of the law, so the DfES has recently produced a draft federations continuum running from 'informal loose collaboration' to 'hard governance federation' (see Table 1). This has some similarities with the two continua of collaboration that we looked at in Section 2 but is specific to federations and incorporates the legal issues that are relevant to them.

One of our DfES respondents suggested that currently there might be as few as five hard federations, although other groups are telling the DfES that they are working towards this status. In fact, 15 arrangements are described as hard federations in a database constructed by the DfES, which we discuss later. There is apparently considerable interest currently in hard federations, particularly from the primary sector in response to falling rolls. The DfES originally provided funding to 37 schemes for federation development. Many of these were soft federations which did not propose to use the Act's provisions. This funding has now ended. However, the DfES is still keen to encourage federation development, particularly hard federations, where the initiators consider this would serve clear purposes. Its aspiration is for schools to create models that suit them in a bottom-up fashion. While our project was in progress, the DfES ran five federation roadshows, one of which was attended by one of the researchers. A draft guidance document, *Establishing a Hard Governance Federation*, was among the material given to roadshow participants, presumably indicating the DfES's firm interest in promoting federations of this kind.

They have also recently announced targeted capital funding to support federations with shared governance (DfES, 2006). The £50m funding over two years (which must be bid for and is also available for Fresh Start schools and schools working together under a common Trust) will be “for buildings or ICT, which would be used across the partnership and will enhance collaborative activity” (*ibid.*, para. 4.2). It is targeted at federations which have a single governing body or a shared governors’ committee with delegated powers, that is, those falling under the ‘Statutory’ sub-heading in Table 1.

**Table 1: Draft federations continuum**

	<u>Hard governance federation</u>	<u>Soft governance federation</u>	<u>Soft federation</u>	<u>Informal, loose collaboration</u>
	<b>Statutory</b>		<b>Non-statutory</b>	
<b>Diagram</b>				
<b>Governing body?</b>	<b>Single governing body</b> shared by all schools.	Each school has its own governing body, but the federation has <b>joint governance/strategic committee with delegated power</b> .	Each school has its own governing body, but the partnership has a <b>joint governance/strategic committee <u>without</u> delegated powers</b> .	<b>Each school has its own governing body</b> and the group of schools meet informally on <i>ad-hoc</i> basis.
<b>Statutory?</b>	Yes. Hard governance federations are established using <b>Federations Regulations</b> made under Section 24 Education Act 2002.	Yes. Soft governance federations established using <b>Collaboration Regulations</b> , made under Section 26 Education Act 2002.	No. Schools can set up soft federations without having to follow regulations.	No. Schools can form informal collaborations without having to follow regulations.
<b>Common goals?</b>	All schools share common goals through <b>service-level agreement (SLA) and protocol</b> : having single governing body allows for <b>efficient, streamlined decision-making in all areas</b> .	All schools share common goals through <b>SLA and protocol</b> ; joint committee can make <b>joint decisions in some areas, but not all</b> .	All schools share common goals through <b>protocol</b> ; joint committee <b>can make joint recommendations</b> , but it is up to individual governing body to authorise plan.	<b>All schools share common goals and can work together</b> on <i>ad-hoc</i> issues and informal agreements.
<b>Common budget?</b>	No, but having a single governing body allows for <b>prompt budgetary decisions</b> .	No, but if joint strategic committee (JSC) has budgetary powers delegated to it, they can make prompt budgetary decisions for the group of schools.	No, but it could <b>make budgetary recommendations</b> for the group, which in turn would have to be approved by individual governing body.	<b>No. However, if group of schools wish to commit budget, they would need to go back to their individual governing bodies to approve.</b>
<b>Shared staff?</b>	Common management and appointments <b>are agreed in a simple, effective manner</b> . Sometimes choose to have single headteacher across group of schools.	Common management positions and appointments, <b>but need to have protocol/contract to underpin commitment to shared posts</b> .	Common management positions and appointments, <b>but need to have protocol/contract to underpin commitment to shared posts</b> .	<b>Unlikely to have common management positions</b> , but if they exist, they have to be agreed in a protocol/contract.

Source: Department for Education and Skills. GB = governing body. Please note that this is a draft.

There are now many other federations in existence beyond those that have received development funding from the DfES, as will become clear later in this section. Among these, the distinction between a non-statutory, soft federation and other types of partnership is uncertain. For example, until recently many different national policies involved a significant element of partnership working (Glatter, 2003). In 2005, the concept of education improvement partnerships (EIPs) was introduced 'to give some unity and sharper purpose to the idea of collaboration in the education service' (DfES, 2005a: 2) and it seems likely that the distinction between a soft federation and an EIP will not always be clear-cut. Indeed, one head of a federation has written that: 'Federation is interpreted in many different ways across the country' (Saxby, 2006). His is an interesting case, in that this particular federation was established as far back as 1981 and involved two small primary schools closing and re-opening under a new name as a single school on the two sites. It illustrates the author's point well, since in other areas it might simply have been referred to as a split-site school.

The DfES Innovation Unit brought together a group of experienced federation heads to write a guide for those who might want to federate. In this, the authors identified what they considered to be the conditions for a successful federation partnership:

In our experience to date, we have found many of the factors below to be crucially important to the success of our partnerships:

1. A sense of shared identity between the schools. Geographical proximity and having common aims on curricular and non-curricular activities are extremely beneficial.
2. A common purpose. Schools need a shared sense of what needs to be done and how, with a joint vision for improving attainment and achievement levels.
3. Leadership. Partnership working requires strong leadership and federations will benefit from developing and sustaining leadership at all levels.

4. A strong management structure. Schools must understand and co-operate with this for effective partnerships to grow.
5. Trust. Trust is fundamental to effective collaboration and should be fostered at every level of management. There has to be a real sense of openness and a willingness to operate in a joined-up way amongst governors, heads and all other staff.
6. A system of review. We need to have good monitoring/evaluation systems to show that we are achieving the anticipated benefits of federation.
7. Commitment. Both time and resources are needed to ensure that the federation is effective and sustainable.
8. Communication. Excellent communication mechanisms are required when introducing change, particularly where lots of schools are involved. Many of us are developing intranets and various other e-forums.
9. Sustainability. There must be a clear sustainability strategy in place to enable a collaboration to cope. For example: if the leadership of one of the schools changes; if additional schools wish to join in; if existing schools wish to leave.
10. If committing to contracts or expenditure for any length of time, financial sustainability is vital.

DfES, 2005b: 9–10

While this appears to be a helpful list and is in line with much of the research on partnerships, we understand that individual federations have not conducted formal evaluations of their processes and effectiveness, despite the fact that instruments to help them do this are available on the DfES Innovation Unit's website ([www.standards.dfes.gov.uk/innovation-unit/collaboration/federations](http://www.standards.dfes.gov.uk/innovation-unit/collaboration/federations)). We will refer to the national evaluation shortly.

Our specific focus is leadership of federations, and in this regard one of our DfES respondents suggested that, for federations of larger schools to work effectively, it was necessary for a leader to step out of his or her school role in order to concentrate on the federation as a whole. There were said to be several variants: a paid co-ordinator, who is not substantively a headteacher; a more senior

person acting as director who has parity with the headteachers; an existing head stepping out to take on a strategic role in the federation; a retired head taking on a part-time co-ordinator role; and even a co-ordinator coming in from a business setting. None of these has direct accountability in a managerial sense but their leadership and co-ordinating function can be critical. This is in line with the research findings on successful partnerships: 'It is paradoxical that the single-mindedness of leaders appears to be central to collaborative success' (Huxham and Vangen, 2000c: 1171). However the small-school model was said to be different: here you have an executive head with full managerial accountability.

## Research studies

We identified three relevant studies.

### Study 7

Lindsay, G, Arweck, E, Chapman, C, Goodall, J, Muijs, D & Harris, A, 2005, *Evaluation of the Federations Programme: 1st and 2<sup>nd</sup> interim reports* (April and June 2005), Coventry, CEDAR, University of Warwick

These are the first two interim reports of the national evaluation of federations, conducted for the DfES by the University of Warwick, which began in April 2004. This evaluation is due to be completed in September 2006. The focus is on 38 federations that have received specific development funding from the DfES. A questionnaire was sent to heads, teachers and governing body chairs in 28 federations, producing a 56 per cent return rate. In the 10 remaining federations, 107 interviews were held with executive heads or directors, heads, teachers, governors, local authority officers and some pupils. There has also been scrutiny of Ofsted reports and researchers have attended federation meetings.

Three types of origin are identified: some federations grew from existing partnerships of various kinds, others arose from the need to address significant weaknesses in one or more schools, and in a third type the local authority sought to improve buildings through developing a federation. There was some overlap between these. In terms of operation, the researchers found a striking lack of uniformity. There is a continuum rather than a dichotomy between hard and soft federations, and there are large variations in structure and process as well as in the role of the federation leader (where there is one). It is too early in the evaluation to identify effects but the second report highlights the importance of process factors: communications, trust and motivation, and leadership seen as more collegial and distributed than in the notions of 'hero innovator' and 'super head'.

Regarding validity, the survey results are clear but no source data is provided for the case study interpretations (second report) so these must be taken on trust. In terms of transferability, the study covers the group of federations that had specific DfES funding. As this included soft as well as hard federations, and as some of the others have had separate funding from the DfES Innovation Unit, the conclusions seem quite likely to be transferable. An issue raised for further consideration is the sustainability of federations: what are they for? Are they only to nurse ailing schools back to health or is the model broader, for example to conserve scarce leadership resource?



## Study 8

NCSL Research Group, 2005b, *Does Every Primary School Need a Headteacher? Key implications from a study of federations in the Netherlands*, Nottingham, NCSL

This project, the report of which was provided to us by NCSL, set out to examine the roles of leaders of federations (known as ‘more-schools’) in the Netherlands and to consider the implications of this structure for the UK. These federations — two or more schools which share one board, analogous to a hard federation in England — have been a quite widespread feature of the Dutch system in recent years. Interviews were conducted with eight more-school heads and five superintendents (to whom heads, including more-school heads, report in some federations). Eight reasons for federating are identified in paragraph 6.2.4 and various models of governance and of federations are enumerated in paragraph 5.2.

A wide variety of different views emerged from interviewees, generally but not universally positive. However, the federations had not embraced a collaborative way of working across schools, nor did they have a strong focus on learning. The study did not look at effectiveness in relation to standards. This is a summary report of the interviews so the interpretations have to be taken on trust; however the diversity of views reported suggests face validity. The report points out that the Dutch model of federations is very different from that operating in England. The purpose of the study was to raise issues rather than direct transferability. Issues identified as emerging include the following.

- Would federations work best if each school was a unit in a larger entity (the federation) with collective accountability for pupil performance and inspection outcomes?

- How does leadership change when leading two or three schools – can the focus be kept on learning as well as on budgets and buildings?

## Study 9

Thorpe, R & Williams, I, 2002, What makes small school federations work? An examination of six instances of small school federations in Wales, *The Welsh Journal of Education*, 11(2), 3–25

This study sought to assess the factors associated with stability and reversion in small-school federations. It focused on small primary schools in rural Wales. Semi-structured interviews were held with 16 respondents (heads, governors, local authority officers) involved with 6 federations, together with documentary evidence and notes from public meetings. A federation was defined as a 'situation where separate small schools combine to form a single school using the premises of the former schools, but now with one head and one governing body' (Thorpe and Williams, 2002: 5), that is, a hard federation in current English terms. The purposes of the federations were to avoid closure and strengthen small schools by enabling them to draw on the resources of a larger unit.

In the event, four of the six federations stabilised and two reverted. In federations that stabilised, the original buildings were retained as bases, the head worked in all bases, pupils stayed in their bases most of the time and teachers undertook curriculum co-ordination for the whole school. Also, where the driving force came from within the community and there was a sense of ownership among parents, governors and staff, the federation was more likely to be sustained. In non-stable federations, the arrangement was created as an expedient triggered by a circumstance such as the inability to fill a vacant headteacher post, cultures differed and the schools remained separate entities. In our project, a DfES

respondent echoed this point that if the federation is set up just to deal with a specific recruitment problem, it is unlikely to be sustained.

The article presents a summary of findings from data so the interpretations must be taken on trust. The authors claim that the findings are likely to be applicable to schools in similar contexts, and conclude that 'the federating of small schools appears to have a great deal of potential' (*ibid*: 22).

### **Non-research sources**

Here we draw first on a database constructed by the DfES and then on our own database of relevant non-research literature.

There is no requirement on federations (other than those that have received specific development funding from the DfES) to inform the DfES of their existence. However, the DfES has developed a database of those federations of which it was aware and made this available to us.

The database contains 137 groups of institutions, many of them self-reporting. For the purposes of our summary, we have reduced this total by removing those for which there was little or no information, unconfirmed federations, and any groups merely forming a networked learning community of some kind, as opposed to more formal shared operations. This left a total of 61 groups, falling into 3 broad categories: hard federations, soft federations, and collaboratives. There are 15 confirmed hard federations, of which 2 have now been amalgamated into single schools, and 23 are confirmed soft federations, of which 4 are thought to be moving towards hard federation. There are 23 collaboratives, of which 2 are moving towards soft federation. Between them, these groups incorporate 429 separate organisations, though not all of these are schools.

It should be noted that, while the database is believed to represent the most recent data, there are no dates on the entries. Their currency cannot therefore be guaranteed.

Data on the *headship arrangements* are not available for all groups. In relation to the federations classified as hard, most of them had an executive head with operational heads in each school. Exceptions were: a single headteacher; two executive heads but one governing body; and a non-executive head (holding National Professional Qualification for Headship (NPQH)) with an accountable head in each school. There was in addition a case of an executive head who was also operational head of one of the schools.

Most of the federations classified as soft had a headteacher in each school, with no single leader of the federation. Four either had moved or were moving towards the predominant model for hard federations (see above).

Arrangements classified as collaboratives fell into two main groups, with a single exception. Each collaborative in the larger group had an accountable headteacher in every school. Collaboration had a community dimension, for example sharing multi-agency work, combined post-16 provision, or provision of adult learning. The smaller group consisted only of primary schools, and arose from the need to support a school causing concern. The model was of a headteacher leading another school as well as her or his own. The exception was a case where there was a non-executive headteacher (holding NPQH) with an accountable headteacher in each school.

For this database, the DfES grouped the federations by *initial drivers* broadly in five categories. Information about this is not available for all 61 federations on which this summary is based. However, 11 federations were intended ‘to support a school or schools “causing concern”’; 7 were ‘to provide all-age learning centres’; 32 were ‘to develop “whole-town” provision of particular services – such

as special needs or community-based learning' (this includes a sub-set of 6 concerned specifically with the 14–19 curriculum); 4 were 'to deliver shared services across a group of schools/agencies with greater efficiency'; and 4 were 'to resolve leadership difficulties', for example in recruitment or the quality of leadership. A particular issue arising in the last category was leadership of small schools facing falling rolls.

Despite the limitations of this exercise, arising from the uncertainties of the information on which it is based, it seems to have been a useful first step in charting the wide range of collaborative schemes and their dynamic nature. A similarly varied picture emerged from our review of the non-research literature using 'federation' as a keyword. This yielded 30 items with a further 10 identified through the keyword 'cluster' and 3 using 'collegiate'. (These totals exclude references to speeches although the latter are included in the database itself provided electronically as Appendix 3.) As for executive heads, the sources were fragmentary and decontextualised and references to the impacts of the arrangement and to stakeholder perceptions of it were extremely rare and very limited even where they occurred. In some cases, the arrangements were very recent, in others the descriptions were some years old. However, there were some noteworthy features which are briefly discussed below in no particular order.

1. There is growth of all-age federations, linking primary, secondary and in some cases pre-school phases: striking examples are the Canterbury Campus (which includes adult education provision), the Dudley-Pensnett Hard Primary and Secondary Federation (established in April 2004 and said to have been the first all-age (3–16) hard federation in the country); and the Darlington Education Village, involving a primary, secondary and special school. Apparently there are all-age federations currently in operation on 20 sites, and a number of benefits are claimed for this type of arrangement, particularly around continuity in phase transition, flexibility and economies of scale. This model clearly brings distinct

leadership challenges and the DfES Innovation Unit has set up a self-help collaborative so that experiences can be shared and issues debated.

2. There is linking of small, generally rural primary schools into federations (illustrated in Study 9 above). Local authorities such as Norfolk and West Sussex are playing proactive roles to facilitate creative solutions that can keep school sites open within their communities. This may require extra funding as in Norfolk's case (Nightingale, 2006). The contemporary position of such schools has been argued to be particularly challenging in the light of falling rolls and of both the standards and extended schools agendas, with a consequent need for intensive research and development in this area (Jones, 2006). There are clearly significant implications for leadership support and development.

3. Some interesting structures include, in a selective system, the linking of a grammar and a community school in the Valley Invicta Park (VIP) Federation in Kent. Perhaps of wider relevance is the internal structure devised for the Weston Federation of four 11–16 community schools and two special schools, which includes strand leaders responsible across the federation for the functions of learning and teaching, organisation, continuing professional development (CPD), initial teacher training and ICT. The strategic leadership team of this federation has published its terms of reference and operating principles, which include this vision:

Basic principles that will ensure the commitment of the six school communities to the vision of the federation can be defined as:

1. Taking responsibility for communication within the group.
2. Taking responsibility for each other – and for the success of each other's schools.
3. Playing to each other's strengths and recognising their contribution.
4. Playing an active role in federation activities.

5. Ensuring that you bring 'your gifts to the party' – and others have the opportunity.
6. Embracing the principle of resolution, not compromise.
7. Accepting short-term loss in favour of longer-term gain.
8. Willingness to cede authority on occasion – and accept accountability.

Weston Federation, 2006: 1

Enacting such an ambitious vision through leadership is likely to be a testing assignment. Assessing the extent of its achievement will also be demanding.

4. The development of chains or brands as a specific form of federation is likely to have implications for leadership. This trend has been given a boost by the growth of academies and the introduction of trust schools is likely to reinforce it. For example, the King Edward VI Foundation in Birmingham is responsible for five maintained voluntary-aided (VA) schools and two independent schools. The trustees appoint governors to the VA schools. The foundation's central office deals with finance and core administrative tasks and employs specialists in management (DfES, undated; Stewart, 2006), presumably allowing heads to focus their energies on educational leadership. Another example that appears to alter the head's role as normally conceived in state-maintained schools is provided by the Haberdashers' Aske's Federation, which currently has two academies with their own principals operating under a chief executive and a single governing body. The chief executive indicates that the two schools operate 'with a single vision and ethos' and that the ethos is 'based on "mutual respect", "responsible behaviour" and a strict uniform policy' (Sidwell, 2005). These are issues that would conventionally in the state system be determined by the headteacher and governing body of an individual school. While this type of arrangement with its potential for imposing an inappropriate mission on a group of schools has provoked controversy surrounding the academies programme (Paton, 2006), the ideas of chain and brand may be spreading to the maintained sector. Thus the South Maidstone Federation – a joining together of three state

secondary schools that will see their individual identities disappear – has apparently been branded as NewLineLearning (Revell, 2005).

5. To the extent that federations are seen as longer-term arrangements, it is important to look for examples of successful working over a period. These have been hard to find, though Study 9 above gives some indications of factors that may be related to sustainability within the context of small primary schools. A possible example is the Plymouth Confederation of Colleges, a long-standing confederation of three community colleges. According to an account by their principals (Gledhill *et al*, 2006), this confederation has successfully withstood changes in governors and principals of all 3 colleges over a period of 15 years. It is able to point to an impressive array of substantive achievements. In the light of our earlier discussion, it is interesting that this confederation is seeking education improvement partnership (EIP) rather than federation status. It would be worth examining this and any similar long-standing schemes to try to understand the governance processes and structures and the leadership characteristics that have been associated with their longevity.

## **Concluding comments**

Reflecting on the material we have seen and the attendance of one of the researchers at a recent conference addressed by two prominent executive heads of federations, it seems clear that federating involves a sensitive and delicate process of change management. The potential for the scheme to collapse is ever-present. Movement into federation needs to be well led and well supported. Especially where the aim is to move to a hard federation, different staffing structures, working practices and cultures need to be integrated. The literature we examined on leadership and collaboration in Section 2 pointed to the dynamic nature of collaborative schemes and their frequent fragility, and indicated that they had to be continually nurtured. In addition, systems designed to support single institutions need to be re-thought to accommodate a federation.



Where one or more of the schools is struggling, additional considerations arise, such as:

- the need for high calibre leadership, both of the federation and within individual schools
- clear agreement on outcomes sought
- proper recognition and resourcing for the lead school
- significant extra funding and support for the partner school(s) from the local authority

Especially in a national context in which institutional autonomy and separateness are deeply rooted in history and culture, any substantive form of federation is a considerable challenge. If it is to deliver the benefits hoped for, it must be viewed as a process of major institutional and cultural change, and be led and managed accordingly.

## **5. Co- and dual headship**

Traditionally, a single headteacher has been identified with an individual school, and while this is a common conception in most parts of the world, as was suggested at the end of Section 4, it has particularly powerful force in this country. The concept of shared headship, which links together the various topics in this report, questions whether that identification is either necessary or inevitable.

There may be a single *position* of headteacher, though the precise functions and responsibilities involved may vary from context to context, but its discharge may be shared between two or more people and/or a single school may share its headteacher with one or more other schools. Even in the latter case involving what has come to be known as executive headship, there is often, as we have seen, another head at the level of the individual school so that the headship of that school is shared in two senses. In addition, in a collaborative arrangement

such as a federation there may be an aspiration that heads of individual schools should also feel a responsibility for other schools in the federation and for their pupils, as we saw earlier in one of the operating principles of the Weston Federation's strategic leadership team: '*Taking responsibility for each other – and for the success of each other's schools*' [our emphasis]. According to a recent report for the Association of School and College Leaders, such an altruistic aspiration is widespread: 'School leaders want a clear message that freedom for individual schools should function within a framework of shared responsibility of all schools' (Hill, 2006: 84).

The term 'co-headship' is intended to refer to a situation in which two heads share the headship of a school, while 'dual headship' indicates two full-time heads leading a school, but we did not find this distinction maintained consistently. Also, there appear to be relatively few cases of dual headship, perhaps not surprisingly in view of the likely cost implications and the constraints in the regulations. The National Association of Head Teachers (NAHT), which is in support of such arrangements, refers to 'jobshare headship'.

NAHT told us that there has been considerable growth in enquiries from its members about opportunities of this kind. The most common reasons relate to childcare commitments and work-life balance issues as people near retirement age, but there have also been instances in which someone in the middle of their career has wanted to vary his or her contract, for example to pursue further qualifications or research. Such arrangements are thought to be attractive to the individual as well as useful instruments for promoting recruitment and retention. The feedback that NAHT has received from members is that: 'Jobshare headship works well. Obviously good communication and a shared vision for the school are paramount. On the whole, governors who have been sceptical about jobshare have been pleasantly surprised and most LEAs are very supportive' (email from Sally Langran, NAHT, 6 February 2006). NAHT has produced a guidance document for members (NAHT, 2005) and has set up an arrangement with a

company called Flexexecutive, which runs a service to bring potential jobshare partners together.

## Research study

We have been able to identify just one study for specific consideration in this area. However it incorporates a review of a range of other relevant research.

### Study 10

Court, M, 2003, *Different Approaches to Sharing School Leadership*, Nottingham, NCSL

This study was undertaken by an NCSL international research associate who was based at the Open University during her stay. She is a New Zealander who had already undertaken considerable work in this area and was familiar with the international literature. The aim was to examine alternatives where two or more people share or replace the position of headteacher. The study uses a 'continuum of leadership' model (Court, 2003: 6) running from 'sole leadership' through 'supported leadership' and 'dual leadership' to 'shared leadership'. The last two are the focuses of the study. 'Shared leadership' at one end includes 'headless schools' where there is no formal hierarchy among teachers and the head's responsibilities are widely shared among staff, as in a Norwegian school referred to in the study which has apparently been running successfully for some 25 years with all 8 teachers acting as a leadership collective. A more recent study identifies the same approach operating in Steiner schools (Woods *et al*, 2005).

Various possible drivers for teachers, heads, school boards, policy-makers and others to engage in shared leadership initiatives are summarised by Court (*ibid*: 4–5). A range of possible approaches, from full-time, task-specialised co-

headships to leadership collectives, is listed and discussed, drawing on the literature. The benefits and the factors that contribute to success are identified (*ibid*: 34–5) and a few cases in which there was a reversion to a sole headship are discussed (*ibid*: 15–18).

The report is composed mainly of narrative accounts and contains little or no discussion of methodology. The longer Hillcrest Avenue School case (of a co-principalship in New Zealand) seems to be based on non-participant observation and interviews. In terms of validity, the report appears to accentuate the successful and beneficial aspects of these arrangements. It does include unsuccessful examples but the lessons from these are not clearly incorporated into the conclusions. Some transferability is likely but the cases are quite varied. With regard to further work needed, the author identifies the impact of such arrangements on student learning and how shared leaderships evolve and change over time.

### **Non-research sources**

NCSL is developing a database of co- and dual headship arrangements, adding to it as new examples come to light. The following is a summary of the data at the time of writing. Of the 32 schools included, 9 are secondaries and 23 are primaries (either infants only or junior, middle and infant schools). There is no consistency in arrangements, which have evidently been made to take account of local circumstances, and therefore there are no obvious patterns.

Of the 10 shared headships within which the partners are known to be full time, some heads teach and some do not. In the arrangements in which the partners do not work full time, the split varies from school to school. To give an indication of the variety:

- In one school, both partners work for three days each.
- In three schools, the split is 50:50.

- In three schools, the split is 60:40.
- In one school, one partner works two days as a second headteacher and three days as deputy.
- One school is in a federation, and the headship arrangements include an executive and an operational head.
- One partnership was acting up on 0.6 each as an interim arrangement awaiting a full-time appointment.

There is limited information about whether part-time co-heads teach in the half of the week when they are not contributing to the headship, or whether they only work part time.

It should be noted that, though these data are being constantly updated by NCSL, they rely substantially on self-reporting, and the arrangements may not all still be current. The latter caution also applies to our search of non-research literature using the keywords 'co-heads' and 'dual heads'. We found reports of 18 arrangements, including 4 which appeared to be dual headships (2 full-time heads). Of these, 11 were from England, 3 from New Zealand, 2 from Australia and 1 each from Hong Kong and the US. In addition, one mysteriously emerged from our 'federations' keyword search which turned out to be a temporary co-headship arrangement as part of a recovery plan for a struggling school in London.

Although as we have said the wide variety of schemes defies generalisation, there are noteworthy features about some individual schemes that may be helpful in delineating the range of options available. These include partnerships:

- entered into at least partly for philosophical reasons (collaborative working and shared decision-making regarded as values in themselves)
- based on existing jobshare teams, for example as deputies or in other posts of responsibility

- set up at least in part in order to retain a leader in the school (either a head wanting a reduction in hours or a deputy who would have left to gain promotion)
- aimed at providing job enrichment (the co-heads pursuing wider work in education in the time they are not contributing to the headship)
- based on husband-and-wife teams (we are aware of two of these)

Overall, the cases of co-headships that have been the subject of research (see for example Upsall, 2003) indicate that they can succeed and bring benefits to the individuals concerned and to their schools. There seems to be a tendency for research on this topic to be conducted by advocates of such arrangements, so there is a need for caution about whether a balanced picture is being presented. If co-headship is to make a significant contribution to the future development of the headship role, and to ameliorating its pressures, it is important to understand the potential pitfalls as well as the gains that might be available.

## **6. Conclusions and recommendations**

While this was a short exploratory project, the underlying issues — the manageability and attractiveness of the role of headteacher — are of major importance. The most recent report of the annual survey of senior staff appointments conducted by Education Data Surveys concluded that ‘the level of our re-advertisement ratio clearly demonstrates a labour market in some form of crisis’ (Howson, 2006: 14). The School Teachers’ Review Body (2005) referred to some of the pressures in the quotation from its most recent report given at the start of this document, and it pointed to the likely significance of factors related to job-design. It regarded the situation as sufficiently serious to warrant the following recommendation to the Secretary of State for Education and Skills:

- that the Secretary of State remit us to look fundamentally at the leadership group and how its changing role and responsibilities should be reflected in its future pay structure;

- to provide a sound evidence base for that remit, that a comprehensive independent study be carried out by December 2006 on the roles, responsibilities, structures and reward systems for the leadership group, looking at both current practice and likely future developments, and including at least the following issues:
  - new models of headship;
  - the role and functions of deputy and assistant heads;
  - administrative support;
  - recruitment planning;
  - type of contract; and
  - reward.

School Teachers' Review Body, 2005: 43

The Secretary of State accepted the recommendation in principle in a statement to Parliament in December 2005.

At the time of writing, full details of the independent study are awaited. It is worth noting, however, that the Education and Inspections Bill now before Parliament proposes a significant increase in school autonomy through encouragement to schools to become trust schools and hence control their assets, staffing and admissions. This, along with the development of the full-service extended schooling agenda, appear likely to have a significant impact on the role of headteachers and to feature in the future developments to be examined in the study for the School Teachers' Review Body (STRB). One style of headship that may be required much more frequently in the future is that of the 'social entrepreneur' (Leadbeater, 1997). This is significantly different from the traditional role and it may be questioned how widespread the relevant capabilities are among potential aspirants.

In this general context, the central question from our project is whether there is yet sufficient evidence to suggest that the models of headship we have examined

can contribute to improving the manageability and attractiveness of the role. Before addressing this, we will look at the final study we have selected for special attention. It was passed to us by NCSL and we include it because of its broad sweep over the issues and models with which we are concerned.

### Study 11

Thomson, P & Blackmore, J, Beyond the power of one: redesigning the work of school principals [forthcoming in the *Journal of Educational Change*]

The study seeks to consider how the principal's position might be redesigned because international experience and research indicate that the work is increasingly difficult, time-consuming and unattractive to potential applicants (see also Caldwell, 2006; Milburn, 2006). The authors report on various types of arrangement at both primary and secondary level in Australia, including a 'regional consortium' (a formal curriculum and staff-sharing network), two co-principalships and two cases of several separate schools amalgamated into a single, multi-site school. Features of more and less successful schemes are contrasted. The study concludes that redesigns need to have a prime focus on students' learning and must be based on a view of principals' work as part of a larger social and educational enterprise, rather than simply being seen as an expedient, for example to deal with competitive threats.

The authors consider that although there is no single template for redesign, it is extremely important to build organic relations between school and community. The study is based on conceptual analyses and narrative reporting of brief case studies. There is no explicit discussion of methodology. On transferability, one of the principals interviewed argued that specific models were not transferable but that what he called 'belief structure, the cultural stuff' can help thinking about redesign.



This study reinforces some of the key findings of other work we have discussed, in particular that:

- there is no one model to suit all circumstances
- job redesign should be part of a larger educational vision, not simply an expedient to deal with a current problem
- with unconventional models of headship, it is particularly important to secure the maximum support from all stakeholder groups including staff, students, families and the wider local community

## Recommendations

1. Given the current emphasis in national schools policy on partnership working combined with greater school autonomy, and the research evidence mainly from beyond education indicating the fragility of many collaborative arrangements, **the factors related to the sustainability of partnerships, including relevant leadership capabilities, should be investigated urgently.**

This recommendation applies to co- and dual headships as well as to cross-institutional arrangements. Assessing sustainability is complicated by the considerable time required to conduct longitudinal studies which may negate the value of any conclusions for policy. It may be possible to shorten the timescale involved in such work by conducting *retrospective studies* of schemes that have survived over a substantial period and apparently brought a range of identifiable benefits. We therefore suggest that the potential of such retrospective studies for producing relatively rapid conclusions should be explored, and also that lessons should be sought from arrangements that were not sustained as well as from partnerships that have lasted.

2. Our brief study has not explored in detail the local dynamics of different schemes, but we commented at the beginning on the evident wide diversity of arrangements. We also noted that few schemes appear to have undertaken or commissioned an evaluation even when this was an expectation under a grant.

**Forms of shared headship should be studied at local level in order to gather evidence about the effectiveness of different models.** Factors that need to be examined include:

- nature of the context (for example, urban or rural)
- role of proactive local authorities as brokers
- impact of influential headteachers
- significance of different governance arrangements
- degree to which a collaborative culture extends beyond the leading players to the workforce as a whole

3. A major deficiency in most of the work we have reviewed is that stakeholder assessments are hardly ever taken into account. Only 4 of the 11 studies to which we have given special attention included stakeholder groups. Even in these, their perceptions are only reported in the broadest of terms and with no distinctions between the groups. This is clearly a problem in view of the evident importance of gaining stakeholder consent and preferably buy-in for unfamiliar arrangements. **Future enquiries on new models of headship must include stakeholder views as a prominent feature.**

4. Few of the studies appear to have examined the outcomes of schemes or attempted explanations for these beyond the impressions of the central actor(s). **Future work needs to examine a range of evidence beyond the views of the main participant(s).** The proposals in the NCSL studies of executive headships regarding the types of evidence that could be used provide a helpful checklist. Another possible source is Ofsted assessments, particularly its judgements on leadership and management.

5. **The implications for leadership of the development of chains and brands of schools should be examined.** They could enhance manageability of the role by providing an infrastructure of support and direction. On the other

hand, the potential loss of autonomy and the additional layer of oversight might act as disincentives.

6. It has become evident to us that introducing new models of headship, winning consent for them, and monitoring them involves major issues of governance, yet little of the work we have seen gives any attention to this dimension. **Research into this area should focus as much on governance (including local authorities) as on the leadership of the heads and senior operational teams and should look closely at the interaction between them.**

As a next step, therefore, NCSL might commission a more detailed evaluation of different models of shared headship, paying particular regard to:

- factors related to the sustainability of partnerships, possibly using retrospective studies
- local dynamics of specific contexts and transferable lessons
- views of stakeholder groups including staff, students, their families and the wider local community
- a range of measures of impact and outcomes, including independent assessments such as those of Ofsted
- effects of different approaches to governance, including the role of local authorities
- implications for headship of the development of chains or brands of schools: this topic might be investigated in a separate study

At the start of this section, we said that the key question arising from our project was whether there is yet sufficient evidence to suggest that the models of headship we have examined can contribute to improving the manageability and attractiveness of the role. On the basis of our review, we conclude that at present there is **not** enough evidence available to answer this question which is why, in our recommendations above, we have concentrated on identifying priorities for future work. We feel that the proposed independent review to be undertaken for

the STRB (School Teachers' Review Body, 2005: 43), and the work set in motion by NCSL and the DfES Innovation Unit on leadership beyond a single institution have the potential to add considerably to our knowledge and understanding in this area and hope that these projects take account of our conclusions. As well as experimenting with ways of redesigning the job to accommodate new requirements, it would be important to examine how the total demands on the role might be reduced in order to make the school system capable of attracting and retaining some 25,000 able and effective headteachers.

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## Appendix 1: Research protocols

### Research sources protocol

Reference	Keyword(s)
	federations / executive heads / co-heads / dual heads / collegiates / clusters / networks / alliances / shared headship / other

<b>1) Arrangement</b> (Our unit of analysis if the account is a case study) Otherwise focus* of the account	eg, a specific co-headship arrangement, a particular federation. Describe the arrangement (or the focus) and any claimed distinctiveness in two sentences max (What?)	
<b>2) Location</b>	eg, town: also indicate type of school and phase (Where?)	
<b>3) Origins/purposes of arrangement</b>	(Why?)	
<b>4) Operation</b>	(How?)	
<b>5) Stakeholder reactions/perceptions</b>	(if available)	
<b>6) Impacts and any explanations of these</b>		
<b>7) Nature and aims of the study/account</b>	State whether research paper, document, short article, news report, interview or other (specify)	
<b>8) Methodology</b>	eg, questionnaire and statistical analysis, qualitative analysis: indicate number of schools, respondents etc	
<b>9) Analytical framework</b>	including definitions whether explicit or implied	
<b>10) Validity</b>	To what extent are the conclusions valid interpretations of, and supported by, the data? Could other interpretations be equally valid?	

<b>11) Generalisability</b>	How likely are the data and conclusions to be characteristic of other settings?	
<b>12) Issues for further work</b>	arising from the account, eg gaps in knowledge identified	

\* If the account is intended to be generic rather than a case study, eg an assessment of co-headship in general, we refer to 'the focus' instead of 'the arrangement'.

## **Non-research sources protocol**

1. Arrangement

2a. Location

2b. Type of institution

3. Origins

4. Operation

5. Stakeholder perceptions

6. Impacts/explanations for these

Source

Date of source

## **Appendix 2: Respondents**

We are very grateful to the following people for responding to our requests for information or interviews. They are not of course responsible for any views expressed in the report.

Dr Chris Chapman, Senior Lecturer, University of Warwick

Dr Marian Court, Massey University, New Zealand

Anne Diack, DfES Innovation Unit

Dr John Dunford, General Secretary, Association of School and College Leaders

Noreen Graham, Divisional Manager, School Leadership, DfES

Deryn Harvey, Director, DfES Innovation Unit

Jeff Jones, Principal Adviser, Centre for British Teachers (CfBT)

Sian Jones, Audit Principal, National Audit Office

Sally Langran, National Association of Head Teachers

Janice Lawson, Head of Excellence in Cities Unit, DfES

Professor Geoff Lindsay, University of Warwick

Peter O'Reilly, Sponsor Unit, DfES

Robin Stoker, HMI, Head of Standards and Research Unit, Ofsted

Debby Upsall, Open Polytechnic, New Zealand

Professor David Woods, Consultant to DfES

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### **Appendix 3: Database of non-research sources**

This appendix is supplied as a separate electronic file.

To request a copy please contact NCSL at [research@ncsl.org.uk](mailto:research@ncsl.org.uk)