THE UNIVERSITY OF HULL

An exploration of competency-based leadership development and its application in education exemplified by a case study of the East Riding of Yorkshire Local Authority

being a Thesis submitted for the Degree of Doctor of Philosophy

in the University of Hull

by

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November 2013

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Glossary of Acronyms

(A)SBM	(Advanced) School Business Manager
AST	Advanced Skills Teacher
AWPU	Age-weighted pupil unit (of funding)
CBT	Competency-based Training and Education
CE	Church of England
CIPD	Chartered Institute of Personnel and Development
CPD	Continuous Professional Development
CSBM	Certificate in School Business Management
CSSB	British Civil Service Selection Board
DCSF	Department for Children, Schools and Families
DfES	Department for Education and Skills
DfE	Department for Education
DSBM	Diploma in School Business Management
DSG	Direct School Grant (funding source for schools)
EDR	Employee Development Reviews (appraisal for Local Government paid staff)
ERYC	East Riding of Yorkshire Council
FS	Foundation Stage (pupils up to 5 yrs old)
FTE	Full-time equivalent (sometimes referred to as WTE or "whole-time equivalent")
GCSE	General Certificate of Secondary Education
GDP	Gross Domestic Product (a measure of economic activity)
GOYH	Government Office, Yorkshire and the Humber
GRIST	Grant-related In Service Training, the usual name for the Local Education Authority Training Grant Scheme

HLTA	Higher Level Teaching Assistant
HMI	Her Majesty's Inspector/ate
HIP	Headteacher Induction Programme
HR	Human Resources
I(C)T	Information (Communications) Technology
ILS	Improvement and Learning Service (for advising schools)
ISB	Individual School Budget share of DSG (qv.)
ISR	Individual School Range (for salaries)
ITT	Initial Teacher Training
KPI	Key performance indicator
KS	Key Stage (KS1 age 5-7, KS2 age 7-11, KS3 age 11-14, KS4 age 11-16, post-16 is sometimes referred to as KS5)
LA	Local Authority
LDC	Leadership Development Centre
LDP	Leadership Development Programme
LEATGS	Local Education Authority Training Grant Scheme (also known as GRIST)
LLE	Local Leader in Education accredited by NCSL (qv)
LMS	Local Management of Schools
LPSH	Leadership Programme for Serving Heads
MBA	Masters in Business Administration
NCSL	National College for School Leadership
NEAC	National Education Assessment Centre
NOS	National Occupational Standards (for support staff)
NPQH	National Professional Qualification for Headship
NQT	Newly Qualified Teacher (a teacher subject to a one-year induction programme)

NRT National Remodelling Team; a section of TDA, (qv.) responsible for overseeing workforce reform from 2003

OFSTED Office for Standards in Education

PPA Planning Preparation and Assessment time

PSCL Primary Strategy Consultant Leader

QTS Qualified Teacher Status (which all teachers in maintained schools must possess)

RIG Rewards and Incentives Group (for determining teachers' pay)

SAT Standard Assessment Test (taken by pupils at the end of a Key Stage (qv)

SENCO Special Educational Needs Coordinator

SEND Special educational needs and disabilities

SIA School Improvement Adviser

SIP School Improvement Partner

SLT Senior Leadership Team

SMTF School Management Task Force

STPCD School Teachers' Pay and Conditions Document

STRB School Teachers' Review Body

TA Teaching Agency

TAT Thematic Apperception Test (a form of psychometric testing)

TDA Training and Development Agency for Schools

TLR Teaching and Learning Responsibility Allowance

TRIST Technical and Vocational Education-related In Service Training Scheme

TSA Teaching School Alliance

UPS Upper Pay Spine (the highest level of classroom teachers' pay)

VLE Virtual learning environment

WOSB War Office Selection Board (for officers)

Preamble

Purpose of the research and its contribution to educational leadership development

The purpose of this research is to explore the potential value and application of a form of leadership and management development which has been hitherto largely the domain of the commercial and non-educational public sector: the use of competencies. In order to do this in a manner which suggests that this might be generalised across the sector, I shall use a case study compiled following the experiences of one Local Authority (LA), the East Riding of Yorkshire, which, over a period of years, has used this method, first to secure the development of its own managers but, since 2007, also as a succession planning tool for school leadership.

There have been, especially since the creation of the National College for School Leadership (NCSL) in 2000, numerous iterations of programmes of development for aspiring school leaders at all levels of the teaching hierarchy; these focus on the apprenticeship required to deliver appropriately the National Professional Standards for Headship, the only current benchmark for leadership in schools. In doing so, however, these programmes may be seen to neglect key elements of leadership related to the "softer" skills of leadership such as the development of interpersonal relationships, favouring rather the focus on the delivery of the tasks seen as the core purpose of headship. This thesis will set out to demonstrate how this additional dimension, known as "competencies," forms a key part of the leadership process, and that to neglect it is a major oversight. Processes to diagnose the strengths and areas for development of aspiring and existing school managers in terms of their competencies, both in the teaching profession and in the ever-growing numbers of support staff will be explored. A clear understanding of the term and how competencies differ from and complement professional standards will be presented.

Neither is this process limited to the advantages gained by the people in the organisation; the tenet of the East Riding programme is that the development of the individual person leads to the improvement of the organisation as a whole. For Headteachers therefore, exposing their colleagues to the form of development described in this research can and should have a positive effect on the future effectiveness of the whole school.

Nationally, there is little evidence of the successful delivery of programmes of this kind in the educational sphere. This thesis will demonstrate how attention to the individual's competencies can address a major gap in their personal and professional development at all stages of their career and how it will transfer into their future lives and their future positions of employment.

School Leaders

For the purposes of this research, when I refer to "school leaders" it should be taken to imply all those with any responsibility for leadership or management tasks in a school. This is the definition which the Office for Standards in Education (OFSTED) uses in forming a judgement around the leadership and management of the school. These are usually, but not always, remunerated positions, and include, apart from the headteacher, members of senior leadership teams (deputy headteachers and assistant headteachers, and sometimes school business managers), so-called "middle leaders," who include subject coodinators in primary schools, heads of faculty or departments in secondary schools, year group or phase leaders in primary schools, heads of year in secondary schools and Special Educational Needs Coordinators (SENCO). Sometimes leaders have a limited range of influence; in small schools, a head of subject may be a sole teacher which is often the case for subjects such as music; in larger schools the same position might involve managing a number of people. In any case, all these post-holders need to demonstrate appropriate knowledge, skills and attributes to undertake their role effectively. This thesis will explore a specific approach to the development of those qualities as practised in the East Riding.

The role of the researcher

I have been employed by East Riding of Yorkshire Council (ERYC) for seventeen years as a School Improvement Adviser (SIA). In that time, I have exercised a number of specific responsibilities, one of which was Workforce Reform Strategy Manager. This involved oversight of the introduction in schools of a series of changes to Schoolteachers' Pay and Conditions (STPCD), specifically between 2003 and 2012, the specific nature of which is explored later in this thesis. Part of this role entailed the management of the Local Authority's succession planning and leadership development programme, which forms the basis of this research.

Chapter 1: Context and background to the research

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By the summer of 2007, a number of factors had come together to precipitate concerns about the future structures of education provision in England as a whole, and in the East Riding of Yorkshire in particular. Key drivers in this were the following issues:

- the impact of falling rolls and constrained budgets, and the sustainability of schools, especially small rural schools, in the face of these pressures.

- The perception of the role of headteacher as excessively demanding especially against the backdrop of the above issues

- The demographic landscape of the East Riding, which suggested that the number of headteachers who were eligible to retire was potentially greater than the number of available future headteachers to replace them

- Workforce Reform, begun in 2003, and including changes to the pay and conditions of service of teachers, and the increasing importance of support staff such as School Business Managers

- The definition of "leadership" in the Office for Standards in Education (OFSTED) inspection guidance which reflects the idea of all those with any kind of leadership role being included in the judgement about this aspect of the school's work, thus implying a wholesale need for the training and development of those undertaking this role.

Each of these drivers is explored in greater detail in chapter 2 below, but taken together, they contributed to a major shift in the way in which education provision in the East Riding was structured. An increasing number of schools therefore gave consideration to:

Introducing more viable leadership models, including schools working together in collaborations or federations under a single headteacher and with joint governance. By July 2013, 38 schools were engaged in such partnerships[i].

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[i] This number is arrived at by counting the number of schools known to be in partnership arrangements from the LA contact directory. This number was reported by me to parents and governors in a presentation to a prospective collaborating school in the summer of 2013.

Alternative leadership models for individual schools such as co-headship, where leadership of the school is shared between usually two individuals. By July 2013, 10 schools had employed this model of leadership. One school has a true co-headship (i.e. the headteacher post is shared on equal footing by two people). The remainder have had substantive headteachers for part of the week, with a deputy or assistant head in charge for the remaining time. The substantive head retains overall accountability in this scenario, but it has usually proved beneficial in the lead up to the substantive headteacher's retirement, because it allows the individual to wind down in terms of workload as they approach the end of their career, and thus extend their useful contribution by, sometimes, several years. It has equally proved a good succession planning tool. Eight of the ten schools have reverted to a single substantive head upon the retirement of the substantive head, but five of the eight appointed (following a selection process) the former co-head. In the other three instances the former co-head was not an applicant.

Sharing staffing and administration across more than one school, even where joint leadership is not present. There are numerous examples of these arrangements in both the primary and secondary sectors; notable examples include: among the Roman Catholic primary schools in East Riding, a single school business manager oversees all their administrative functions; an infant and junior school on the same campus share business manager and site manager posts, secondary schools share teachers in minority subjects such as law and psychology; a primary school "hires out" its site manager to undertake fire risk assessments in other schools; secondary schools share their ICT technician with partner primary schools.

Each of these approaches implied looking carefully at the through-put of future school leaders, and each remains dependent on the training and development of those individuals, alerting them to the possibilities, whilst also preparing them to function in ways which they might not hitherto have explored.

At the time when these issues became prevalent, the national solution proposed by the Department for Education (DfE) was the National Professional Qualification for Headship (NPQH). Other programmes for leaders at lower levels, which were designed by the National College for School Leadership (NCSL), also existed. However, these

programmes were not producing "graduates[ii]" (in the terminology of the NCSL) or "heads in waiting" as they were later termed, at the rate required to allow certainty in the recruitment process, and this situation was made worse when the NPQH was made obligatory in April 2009. At one stage, the NCSL predicted that in the East Riding, there would be one more holder of the NPQH than there were projected vacancies. It therefore became essential to design a local solution to the succesion planning issue, and this was recognised by the NCSL in 2007, as they made grants available to Local Authorities (LA) to permit them to design these solutions.

To address these concerns, the East Riding of Yorkshire Council (ERYC), through its Schools' Forum[iii] set up a task group led by myself to design a programme to address the sustainability of schools and maintain the quality and supply of effective school leaders. The Schools' Forum is the legally constituted body set up through the School Standards and Framework Act (1998), to manage the distribution of government provided school funding at the local level. Its duties and responsibilities have been modified by statute over time, until they hold significant influence over LA policy. An amendment to their regulatory framework in 2005 gave them local powers to influence decisions made by LAs which would previously have been referred to the Secretary of State (DfE 2005). It was in line with these enhanced powers, that the East Riding Forum set up the Sustainability Task Group. This group met for the first time in February 2007, and set up a programme of leadership development, using the Council's existing competency-driven leadership framework, and a development centre model (LDC) which had been used extensively within the Council for a number of years previously, both as a development and a selection tool.

A "Leadership Development Centre" is a two-day programme of activities designed to assess the strengths and areas for development of delegates attending it; the term "Centre" refers to the concept of that activity rather than to a building or location where the activity is held.

[ii] Whilst the programme can be recognised in academic terms with the award of Masters Degree level credits (up to 60), it is not a degree programme as such, making the College's term misleading.
[iii] The composition of the Schools' Forum is set out by statute and includes elected representative headteachers and Governors of Primary, Secondary, Church Schools (Both Church of England and Catholic), 14-19 providers, and, since 2011, academies. Only elected members can vote, and Local Authority Officers who attend act in an Advisory capacity.

Officers from the Chef Executive down had attended these Centres and been assessed as delegates. This was perceived by the task group therefore as a solution which could be delivered quickly for the schools, without excessive re-development work, and from which it was hoped that results in the form of increased numbers of prospective headteachers would ensue. The theoretical basis for competency-based leadership development, the background and development of this model in the Council, and its subsequent adaptation for use with school leaders will be discussed in Chapter 3.

It was my task to coordinate this programme, and undertake the development work needed to bring this project to fruition. This included adaptation of the language of the Competency Framework from a local government model to one which was workable for schools without reducing the content or breadth of the existing framework. In changing the vocabulary, however, the basic premise of the competencies was not changed, and the concept of generic leadership and management competencies was applied; nouns rather than adjectives or verbs were changed. The language of local government and schools is in some ways different; there is a jargon which is understood by those who work in each sector. A small working party consisting of the eight headteachers who were eventually to undertake a trial centre as delegates (see below), myself and members of the LA Workforce Reform Team systematically went through the Competency Framework line-by-line to ensure that the language used was consistent with that which would be understood by education professionals. Good examples of the changes made included changing the word "customer" in the Council version to "stakeholder" in the schools' version; changing the word Council (e.g. understands the *Council's* aims) to "school."

In the first four years of operation, which is the period of time covered by this research, one pilot cohort consisting of the eight headteachers mentioned above, and eighteen cohorts of aspiring and existing school leaders were assessed at Leadership Development Centres at a rate of one Centre approximately every six weeks. A full dicussion of the workings of these centres is to be found in chapter 3, below. A maximum of eight delegates was assessed at each Centre, although not every Centre has been full. This total number of delegates has therefore provided a significant cohort on which to base this research, which is essentially designed to determine the impact on those delegates of this investment in time and money on the part of the LA. This approach to developing school leaders, as the literature will show, has not been widely

adopted, and therefore the need to demonstrate its effectiveness is paramount. The impact falls into two measures: one which is readily quantifiable, which is the number of delegates who have progressed further in their careers, often, but not always, into Headship. The other is the impact of the learning and the approach of this model of development on the individual, whether they have progressed in their career or not. The legacy of the model in terms of the behaviours and practices of these individuals is as important a measure of impact as the more measurable numbers of new headteachers generated.

Because of this type of impact, which may be described as emotional or behavioural, it has not been possible to measure it by quantitative data alone. Mixed methodology has therefore been applied, so that, as well as the collection of numerical data, semi-structured interviews with randomly selected Centre delegates have been conducted to gauge the emotional response. These have been supported by a corroborative questionnaire among the delegates not interviewed. The multiple roles of myself as Local Authority Adviser, project leader and researcher led to a view that the outcomes of face-to-face interviews, and therefore the integrity of the findings of the research, might be skewed if delegates thought they could not express themselves frankly or honestly; if words expressed to me in interviews as researcher might be used against them by me in my role as Adviser, for instance when advising a governing body's selection panel for a headship, for which one of the interviewees may have been an applicant. This issue is developed fully in the chapter on methodology, below (Chapter 4). Other sources of data, again set out fully in chapter 5, and analysed in chapter 6, were used to maximise the supporting evidence available. As a result, data from a significant proportion of the delegates in cohorts 1-18 have been gathered.

This model of leadership development is significantly different from that offered by the NCSL in its programmes; as Chapter 3 will show, there has been little in the history of the development of school leaders which has focused on the underlying competencies or the individual as a leader rather than their skills in handling the operational essentials of their role. Chapter 4 explores the rationale behind the research sampling and the methods used to investigate the impact of the programme.

In Chapter 5, I will undertake an analysis of the outcomes of the research, which was essentially carried out using an immediate impact questionnaire, semi-structured

interviews and the follow-up corroborative questionnaire. The views of all the delegates in the first eighteen cohorts were sought, and all responded by at least one of the above means. Interviewed delegates (14, including two pilot interviews) and those who responded to the corroborative questionnaire (30), provided feedback through two of the avenues.

By these means, it has become possible to assess the extent to which this approach to leadership development has impacted both the local provision of effective school leaders, and the delegates themselves.

I will now proceed to examine the background and evolution of this type of leadership development, set against the theoretical underpinning of the process; chapter 2 of the thesis will explore the local context which led to the need to establish the programme; chapter 3 will trace the history of competency-based leadership development as a concept, including how the development of school leaders relates to this. I will go on to examine the local implementation of the model first in the East Riding of Yorkshire Council, and subsequently how it was adapted for use with schools, culminating in an identification of the research questions to be answered. Chapter 4 will lay out the methodology by which these answers to these questions will be sought. The outcomes from this will be presented in chapter 5, and these will be analysed and the results discussed in Chapter 6. In chapter 7 I will present my conclusions and recommendations emanating from the research

Chapter 2: Contextual issues influencing the research

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Section 1: The Nature and context of the East Riding and the role of the researcher.

The East Riding of Yorkshire (ERYC) is the largest unitary authority in England, covering some 950 square miles. The economy of the East Riding is made up of a high proportion (in excess of 90 per cent) of small and medium enterprises with a concomitant effect of the East Riding providing dormitory accommodation for other, neighbouring authorities. The single largest employer is the East Riding of Yorkshire Council itself. This results in the East Riding generating a low level of gross domestic product (GDP) per resident.

The East Riding is, in addition, a coastal authority, bordered on the south side by the Humber Estuary, crossed by a toll bridge. This also impacts on the economy of the region, as all links are to the north or west, making the accessibility of some coastal parts of the authority difficult. This is reflected in the sparseness of the population in these areas, and the concomitant difficulties in attracting potential employees who would undoubtedly need to relocate in order to access jobs in these parts. The difficulties this provokes for educational provision are set out below.

The East Riding is, under the current funding arrangements, among the lowest-funded Local Authorities (LA) in England. In 2009-10, (DfE[iv] figures) East Riding was the eighth lowest funded LA; by 2013 it had dropped to become the third lowest funded LA. The situation has persisted for many years, and this factor results in lower pay for those on the Local Government Pay scales than people working in neighbouring LAs, as well as the Individual School Ranges (ISR) of East Riding Schools. This acts as a further disincentive to recruitment and retention when added to the locality issues.

[iv] Throughout this thesis the term "Department for Education" (DfE) will be used to refer to the Government Department in charge of Education. The name of this department has changed regularly over time, including during the time-frame referred to in this thesis, but since the election of the Coalition Government in May 2010, it has been known as the "Department for Education."

The settlements of the East Riding are widespread and can be classified according to a hierarchy. The smallest settlements are known as either "Market Villages" or "Rural settlements." Some 75 settlements fall into these categories, many of which contain schools.

At the January 2009 Census, 9 schools had under 50 pupils, with a further 31 between 50 and 100 pupils. With 16 schools between 100 and 140, a total of 56 East Riding Schools come into the DfE classification of "Small Schools." 39 of these schools fall in the smallest communities. There are 18 secondary schools in the East Riding, each with an average catchment area of 57 square miles. This varies considerably, however, as the table below shows:

Table 2.1: catchment areas of East Riding Secondary School partnerships:

School	Area of School's Catchment Area (square miles)
Beverley Grammar (Boys) and Beverley High (Girls) Schools	38
Bridlington School Sports College	52
Cottingham High School	22
Driffield School	163
Goole High School	34
Headlands School (Bridlington)	18
Hessle High School	3
Hornsea School and Language College	78
Howden Secondary School	88
Longcroft School and Performing Arts College	38
South Holderness Technology College	75
South Hunsley School (Melton)	41
The Market Weighton School	65
The Snaith School	30
Withernsea High School	100
Woldgate School and Sixth Form College	122
Wolfreton School	6

This compares to the average catchment of a school situated in a London Borough of 1.5 sq. miles. This has significant effects on a variety of issues, as we will see when considering the LA approaches to developing new leadership structures for schools, below.

School Funding and conservation of local provision

When the National Agreement on Workload and Raising Standards was introduced in 2003, the East Riding Schools' Forum undertook a revision of the Schools Funding Formula. In my role as Workforce Remodelling Adviser, I was a member of the group set up to undertake this task and report to the Forum. It was clear that some of the smallest schools would experience difficulty in securing staffing to allow for the introduction of Planning Preparation and Assessment (PPA) time for all staff, as well as other provisions in the School Teachers' Pay and Conditions Document (STPCD). PPA time, for instance required each teacher to be allowed 10 per cent of their time in contact with pupils to be given as non-contact time in order to undertake planning, preparation and assessment. During this time, another member of staff needed to be in charge of the class, and whilst this was sometimes a support staff member, many schools chose to appoint additional teaching staff, with the concomitant additional cost.

The Workforce Reform Strategy Team (which I led at the time in my capacity of "Remodelling Adviser," a position which later became known as "Workforce Reform Strategy Manager"), carried out a survey of headteachers in order to gauge the extent to which they were compliant with those aspects of the Workload Agreement that concerned them. This showed that 25 per cent of East Riding headteachers taught for over 50 per cent of the school week, were not taking PPA time themselves, and certainly did not take their entitlement to guaranteed headship time. Similarly, although teachers benefited from the changes, heads had continued to undertake cover for absent colleagues in excess first of the 38-hour limit, and then in defiance of the "Rarely Cover" regulation introduced by the government as a further phase of workforce reform, which requires teachers to cover for absent colleagues only in the most extreme emergency.

In this period, the school funding formula consisted broadly speaking of two elements: a block sum designed to cover essential running costs, and an Age-Weighted Pupil Unit (AWPU) value. This is a "per pupil" payment and so varies according to the pupil numbers. The block sum value was determined by the group size of the school. A readjustment was made to the formula which increased provision to small schools through their block-sum, and a further protection to guarantee a minimum staffing level of 2.7 full-time equivalent (FTE) teachers for schools of under 52 pupils was introduced. This was achieved through the transfer of £0.187 million from secondary to primary budgets. The School Budget Share (SBS) per pupil for Schools of less than 140 (£4085.84) in East Riding is 34 per cent higher than schools of more than 140 (£3032.26).

These schools represent, however, a significant asset in these communities. Although the LA has closed its smallest schools in recent years, the difference this makes to available funding is actually small, in comparison to the effects of transporting pupils to other schools, and relocating or making staff redundant. The average budget share for a school of under 50 pupils is £211,754. When divided by the number of pupils in the LA (47,176, Jan 2009), this represents £4.49 per pupil

The argument that small schools are expensive to run, and therefore should be closed does not hold, therefore, especially when weighed against the issue of Extended Service delivery, or the availability of school premises to allow the delivery of services other than education within the community. Extended Services was a key government policy from 2005 - 2010, and consisted of using the school as a hub for an offer (referred to as the "core offer") which provided access to key services for the benefit of parents and children alike. The five core services were: out of hours or "wrap-around" childcare (breakfast clubs or after-school clubs, for instance); parenting support (sometimes drop-in clinics on school premises); swift and easy referral to other services (such as social care or mental health); out of hours activities for children and young people (sports clubs, music, for instance), and community access to the school premises (by local clubs and societies not immediately linked to the school or education, which included, in schools I was connected with societies such as slimming clubs and indoor sports such as judo; parents or children from the school may have been members of these clubs but not necessarily). Although the Coalition Government abandoned the policy in 2010,

vestiges of its existence continue, especially in the continued community use of premises and the presence of wrap-around childcare.

In 2006, the Elected Members of East Riding Council, in line with Central Government policy, revised the policy for the rationalisation of primary provision to include a presupposition against closure, which meant that the initial response to questions about the sustainability of a school should precipitate a discussion about how that school might be supported, not closed. A good example of this is a small primary school with under thirty pupils in the East Riding. It was deemed by its own head and governors not to be providing an adequate curriculum for its children in Key Stage (KS) 2 (aged 7-11 years). Sometimes there was only one child in a year-group, for example, offering no peer support or interaction. A workshop held on the school premises and attended by all key stakeholders including local elected members, staff and governors, which I facilitated, led to a decision to transfer the KS2 children to a neighbouring much larger school, and retain the KS1 (5-7 year old) children on site. The site was additionally developed, however, as an outreach centre providing child care and elements of the extended services core offer described above, and thus the school was able to be retained actively within the community, whilst securing a standard of education which was to be defined as good by the School Inspectorate in a subsequent inspection. Its future was further secured as it became part of a federation with another local infant school, under a single Executive Head; it therefore became a case-study of both partnership working (with the local junior school) and alternative leadership models (the federation).

The classification of settlements described above (p. 16) is based on the availability of services in those communities. At the time of classification, however, extended services and integrated delivery of Children's Services had not been fully implemented. Certain elements of the Core offer, especially wrap-around child-care, and swift referral to other services, cannot be delivered unless the school is available to provide a location for them. By 2011, all East Riding primary schools had entry at only one point in the year (September), and many now have Foundation Stage Units in order to secure the free early entitlement of places for 3 and 4 year-olds. Every family in England is entitled to up to fifteen hours per week of free nursery education prior to compulsory school age, taken in flexible combinations of up to five three-hour sessions (usually five mornings

or five afternoons per week). This is sometimes taken in nursery units attached to primary or infant schools, sometimes by private or voluntary providers. In England, pupils obligatorily have to start school in the term in which they attain five years of age; however, because there are three terms in the year, this leads to pupils starting school at different points in the academic year (September, January and April), and precipitates issues around continuity and staffing. Indeed the youngest pupils only spend a single term in the Reception or FS2 Class, before passing on to Year 1. This has led to on-going and largely unresolved questions about the potential impact of such a system on the future progress of the youngest pupils, when the older children have spent up to seven months longer in the FS2 class. East Riding LA therefore has a policy by which every child starts formal education at the beginning of the academic year (September) in which they attain five years of age. Many therefore start at age four, and this is known as "Early Admissions." The presence of younger children requires specific provision, and this is compensated for financially by provision of an "Early Years Grant" which allows, for instance, the employment of a "Nursery Nurse" or support staff member specifically trained to work with under five year olds. Foundation Stage Units are created to allow continuity of provision for three year olds (Foundation Stage or FS1 pupils) and four and five year olds (Reception or FS2).

The creation of these models of delivery is a local policy decision. The manner of organising education impacts directly on the amount of finance available. This total sum is known as the Direct School Grant (DSG), and is provided by the Government on the basis of the number of pupils who are educated in a given area; however, the national formula by which it is calculated means that the amount per pupil varies significantly from one LA to another. East Riding receives a per-pupil amount which is around 50 per cent of that given to the highest-funded LAs. (source: DfE annual funding statement to Local Authorities). Clearly a model which requires the provision, for example, of additional nursery nurses will eat further into the available amount of finance than the three-termly entry model.

Transport

Around 15 per cent of East Riding children travel each day to school, from Reception to Year 13. This cost (in the academic year 2009-10) came to £4.8 million. Additional transport costs are incurred through the need to provide appropriate provision for pupils

with special educational needs and disabilities (SEND) (£3.2m) and behavioural support (£0.47m). This issue is exacerbated by the widespread nature of the LA which means that the pupils exhibiting these specialised needs are spread unevenly across the Authority. Many of these pupils require "passenger assistants" both on journeys to mainstream schools and to SEND provision at a cost of £1.24m. Additional transport overheads make the total investment in transport for the LA in 2008-9 £10.7m

The cost of this transport is not met from the education budget, but via the Council's central budget. In many LAs, the Council is able to supplement the DSG with local funding supplements, and this did pertain in East Riding until relatively recently. This is no longer possible in East Riding, however, as a result of the high level of investment which the Council is obliged to make in transport, meaning that only such funding as is provided by the DSG is available to support schools. As this has reduced over time, the proportion available to the Council to support central services, known as the "non-ISB (Individual School Budget share) has reduced, and it is therefore central services which have so far borne the brunt of budget reductions. The LA Improvement and Learning Service (ILS) has reduced by 50 per cent in number, for instance. School budgets barely can keep pace with inflation, however, so, in spite of a relative maintenance of ISB values, in real terms, school budgets have reduced.

Special Needs and Looked After Children

We have already seen how local arrangements such as early admissions impact on the availability of funding; how the nature of the LA leads to high transport costs, and how the distribution of special needs pupils leads to a necessity to transport them to the specialist provision. This can also include boarding arrangements when the provision is far from their homes. A further example is that of Looked After Children, or those children who for whatever reason, are taken into the care of the Local Authority. All LA have a series of Key Performance Indicators (KPI) laid down by central government which dictate how it should work, and the statistical targets for which it should aim. There is one Key Performance Indicator which requires a Local Authority to place Looked After Children within a radius of twenty miles of their own home. This is a KPI that East Riding LA has difficulty in meeting, because of the location and widespread dispersal of its communities across the area of the Authority.

The impact of rural sparsity on the management of SEN issues cannot therefore be underestimated, as the cost of delivery of services in rural areas is by definition higher than in urban areas which are compact. The mere cost of travelling around the 950 square miles of the East Riding is not comparable to an inner-city borough where schools might be reached on foot.

This area of concern includes the delivery of specialist services from the Centre. Local Authorities deliver a number of support services to schools. These include advice and support from Local Authority advisers (known as the Improvement and Learning Service in the East Riding), financial and human resource services, and visiting educational psychologists and behavioural and learning support officers who help schools to deal with the particular problems of individual pupils. The extensive distances which members of these support services need to travel in order to undertake school visits, or the alternative model of locating specialists in the vicinity of the stakeholders, (which is the model of integrated services towards which the East Riding is working), both provide challenges in terms of cost. This is either through the need to pay travel expenses and lose significant amounts of the working day in travel in the case of centrally located staff, or through infrastructure costs in terms of locality provision. The resultant higher expenditure on service infrastructure precipitates a stark choice for Council managers between higher numbers of staff with the flexibility to travel the required distances or less staff with higher workloads. As time progresses, and central government reduces the amount of funding available to local government, the latter model, fewer staff to deliver high volumes of service, is becoming ever more prevalent, with the resultant impact on the workload of those people.

Recruitment and retention of staff

The Recruitment and retention of staff with appropriate qualifications and experience is a key part of delivering a quality learning experience for all pupils. Evidence from Human Resources, supported by the East Riding "Dashboard" provided by the National College for School Leadership (NCSL) shows that the LA will have a problem in replacing its current headteachers as they retire. Munby (2012) in his presentation to the ER Leadership Conference, provided national statistics which show that in 2011, 54 per

cent of heads were aged over 50, and 30 per cent over 55. These proportions have increased significantly in the last fifteen years. Nationally, in 2011, 38 per cent of primary schools had to readvertise their headship, and these figures grew to 51 per cent of Catholic schools, where the Headteacher must be a practising, communicant member of the Catholic church, and 42 per cent of Church of England (CE) schools, where the headteacher must align themselves with the Christian values upon which CE schools are founded.

This problem is exacerbated by the impact of low funding on school structures. It has already been seen that headteachers historically have borne the brunt of changes to STPCD. In a report to the Sustainability Task Group in 2007, I wrote (paragraph 12):

> Findings show that previous evidence of teaching loads still pertains, with 23 per cent of respondents indicating a teaching load of 0.5FTE. This compares with 20 per cent shown by the School Census in 2006, and is a direct consequence of small schools. There is no corresponding PPA allowance being taken, as 78 per cent of heads responding indicated that they have no PPA allowance at all. The Summer 2005 report into workforce reform highlighted the fact that headteachers do not allocate themselves "Guaranteed Headship Time" or maybe even have an understanding of what this entails. This survey shows that 45 per cent of respondents still do not have any such allocation, and a further 6 per cent see it as "variable," which by definition, means not guaranteed. 28 per cent however, have 10-12 hours per week. Cover continues to be an issue, however, with 25 per cent of heads reporting that they undertake cover in excess of the 38 hour contractual limit. There is clear evidence that little progress has been made in addressing the issues around Headship and workload at individual school level

This situation was made worse in 2005 when all schools were required by central government to undertake a process of restructuring. Many schools took the opportunity to create economies by creating flatter structures and many deputy headships and management allowance posts were abolished. This has further worsened the workload of headteachers and at the same time reduced the opportunities for teachers to gain appropriate leadership experiences to qualify them for access to the NPQH programme, which, although not compulsory at the time, was perceived by school governors as an important sign that the applicant had made attempts to undertake management training, and was therefore serious about headship. To qualify for NPQH, prospective headteachers need to demonstrate how they can show whole-school strategic leadership experience in each of the six areas of the National Standards for Headship. These will be explored in greater depth in chapter three. The situation is at its worst in small

schools, where frequently only the headteacher has a promoted post, and therefore must shoulder all responsibilities.

In the same way as rural sparsity plays an important part in determining local strategies for the organisation and management of services, as described above, so it does in recruitment issues. Most rural schools are Group 1 Schools, (schools which have less than 142 pupils[v]), which, almost by definition, attract first-time heads. This is because the salary of the headteacher of a group 1 school is often only slightly higher than that of a deputy head in a larger school, and when weighed against such factors as potential relocation, can be a disincentive. Isolated rural schools require their headteachers to move into the locality, as access routes are often not easy. These schools are not able to offer incentives to attract applicants from outside, and the LA is not in a position to offer relocation packages or similar incentives. This suggests also that most applicants for small schools will come from the local area. If the above situation with regard to the training and development of local leaders through national programmes is considered, the supply of such applicants from the locality is equally restricted. Small rural schools therefore face a major recruitment crisis

Data provided by the Training and Development Agency[vi] (TDA Workforce data dashboard, March 2010), shows that East Riding has the lowest number of teachers per 100 pupils of any LA in England, an average of 0.3 Full Time Equivalent (FTE), less than the national average. For the number of pupils in ER, this equates to around 0.5FTE for every school in the Authority, and goes some way to explain the high proportion of teaching heads in the LA. Job opportunities are therefore reduced in the East Riding.

This problem is exacerbated by the location of the school within the LA, as schools in the East of the LA, in the most sparsely populated areas, experience greater difficulty than schools in the west, although here too, the most isolated schools have difficulty. This is evidenced by the number of applicants and readvertisements. In 2009-10, for 17

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[v] In England, all schools have a group size based on the number of pupils. Headteacher salaries are determined according to group size
[vi] In 2012, the Training and Development Agency (TDA) changed its name to the Teaching Agency, and assumed many of the functions of the General Teaching council, which was abolished, as well as its own former functions. Since April 2013 this organisation has merged with the National College for School Leadership to become an

primary headships, there were an average 1.8 applicants, leading to significantly high numbers of readvertisements and acting headships. Given that some applicants applied for more than one of the vacancies, this shows a very low number indeed of prospective candidates for headship. Neither is this limited to School leaders. In 2009 there were no registered supply teachers on the LA list living in the post-code area of one coastal secondary school. The Training and Development Agency recognised the impact of coastal recruitment issues and set up a Coastal Recruitment strategy group comprising North Yorkshire, East Riding, North East Lincolnshire and Hull.

Other local issues in the recruitment of headteachers:

In addition to the NCSL data from 2009 on the availability of National Professional Qualification for Headship (NPQH) Graduates in the East Riding, (described above), there were other issues affecting headteacher recruitment, however:

1. Between April 1st 2009, and April 2012, holding NPQH was a compulsory requirement before an applicant could be short-listed for a headship appointment. Significant numbers of headships in the East Riding are at Group 1 level (under 140 pupils), and do not attract current substantive headteachers to apply; that means that the pool of available applicants was, during this period of time, dependent on existing NPQH graduates. This pool nationally had yielded only 4 headteachers for every 10 graduates.

2. There was already evidence that not all existing NPQH graduates in the ER identified by NCSL would be available to apply for headships, as the LA was aware of some affected by personal issues which rendered them unavailable to apply.

3. The number of applicants from the Yorkshire and Humber area to the revised NPQH (15 LAs) was a cause for some concern. In round 1, 84 original applicants were reduced to 48 for the second phase of selection; only one ER person at that stage qualified to be a "trainee head;" a second person who was admitted onto cohort 2. This low number of applicants was a concern.

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executive arm of the DfE; together these organisations are now known as the "National College for Teaching and Leadership." Their respective names at the time of events referred to in this thesis will be used.

Decreasing Pupil Numbers:

Trends in pupil numbers continued to decline. January 2009 Census year group numbers were as follows:

Table 2.2: January 2009 pupil numbers (totals per year group)

N1	N2	R	1	2	3	4	5	6	7	8	9	10	11	12	13	14	**Total**
175	650	3086	3208	3252	3332	3332	3627	3707	3936	3777	4018	4034	4018	1688	1297	19	47156

Taking account only those pupils in Reception to Year 11, it can be seen that the general trend is for year groups to get smaller. This confirms the predictions made at the beginning of the Sustainability Task Group's work. 11 schools at that stage had less than 50 pupils. See Tables 2.3 and 2.4 on the next page for a full summary.

Table 2.3: Summary totals: Primary School Pupil numbers, (East Riding) 1996 - 2013

East Riding Secondary Schools - Actual and Projected Numbers on Roll											
Year (January)		Year 7	Year 8	Year 9	Year 10	Year 11	Year 12	Year 13	Total	Schools' total capacity (AMP 2006)	Surplus Places	
											Number	%
Actual numbers on roll	1996/1997	3,838	3,675	3,565	3,537	3,635	1,337	1,120	20,707	24,392	3,685	15%
	1997/1998	3,868	3,864	3,696	3,552	3,525	1,389	1,069	20,963	24,392	3,429	14%
	1998/1999	3,921	3,911	3,885	3,696	3,551	1,409	1,134	21,507	24,392	2,885	12%
	1999/2000	4,013	3,970	3,933	3,909	3,688	1,474	1,179	22,166	24,392	2,226	9%
	2000/2001	3,939	4,087	3,980	3,940	3,892	1,518	1,200	22,556	24,392	1,836	8%
	2001/2002	4,087	3,974	4,132	4,010	3,944	1,660	1,234	23,041	24,392	1,351	6%
	2002/2003	4,189	4,133	3,977	4,124	4,004	1,618	1,309	23,354	24,392	1,038	4%
	2003/2004	4,171	4,163	4,153	3,984	4,048	1,688	1,263	23,470	24,392	922	4%
	2004/2005	4,023	4,153	4,199	4,157	3,909	1,794	1,332	23,567	24,392	825	3%
	2005/2006	4,019	4,018	4,175	4,194	4,069	1,696	1,377	23,548	24,392	844	3%
	2006/2007	3,977	4,034	4,051	4,170	4,089	1,798	1,261	23,380	24,392	1,012	4%
	2007/2008	3,734	3,983	4,045	4,056	4,082	1,736	1,341	22,977	24,392	1,415	6%
Projected numbers on roll	2008/2009	3,885	3,741	4,003	4,045	3,965	1,763	1,300	22,702	24,392	1,690	7%
	2009/2010	3,811	3,892	3,759	4,003	3,954	1,712	1,320	22,452	24,392	1,940	8%
	2010/2011	3,702	3,818	3,912	3,759	3,913	1,708	1,282	22,094	24,392	2,298	9%
	2011/2012	3,457	3,709	3,837	3,912	3,675	1,690	1,279	21,558	24,392	2,834	12%
	2012/2013	3,472	3,463	3,727	3,837	3,824	1,587	1,265	21,176	24,392	3,216	13%

Table 2.4: Summary totals: Secondary School Pupil numbers, (East Riding) 1996 - 2013

East Riding Primary Schools - Actual and Projected Numbers on Roll															
Year (January)		Livebirths				Reception	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Total	Schools' total capacity (AMP 2006)	Surplus Places	
															Number	%
Actual numbers on roll	1996/1997					3,408	3,904	3,892	3,537	3,746	3,617	3,667	25,771	28,658	2,887	10%
	1997/1998					3,665	3,826	3,957	3,812	3,587	3,745	3,647	26,239	28,658	2,419	8%
	1998/1999	3,045				3,724	3,724	3,892	3,861	3,820	3,632	3,789	26,442	28,658	2,216	8%
	1999/2000	2,759				3,617	3,788	3,831	3,779	3,900	3,873	3,687	26,475	28,658	2,183	8%
	2000/2001	2,807				3,453	3,669	3,858	3,743	3,861	3,954	3,955	26,493	28,658	2,165	8%
	2001/2002	2,856				3,646	3,545	3,798	3,800	3,807	3,948	4,005	26,549	28,658	2,109	7%
	2002/2003	2,814				3,567	3,708	3,605	3,719	3,836	3,886	4,010	26,331	28,658	2,327	8%
	2003/2004	2,964				3,498	3,621	3,764	3,530	3,722	3,860	3,896	25,891	28,658	2,767	10%
	2004/2005	2,973				3,260	3,477	3,590	3,679	3,619	3,802	3,916	25,343	28,658	3,315	12%
	2005/2006	2,931				3,029	3,316	3,544	3,652	3,708	3,651	3,851	24,751	28,658	3,907	14%
	2006/2007					3,203	3,278	3,285	3,585	3,687	3,759	3,681	24,478	28,658	4,180	15%
	2007/2008					3,067	3,233	3,296	3,321	3,561	3,689	3,800	23,967	28,658	4,691	16%
Projected numbers on roll	2008/2009					3,256	3,174	3,242	3,336	3,325	3,584	3,727	23,645	28,658	5,013	17%
	2009/2010					3,266	3,370	3,183	3,282	3,340	3,346	3,621	23,408	28,658	5,250	18%
	2010/2011					3,220	3,380	3,380	3,222	3,286	3,361	3,380	23,230	28,658	5,428	19%
	2011/2012					3,194	3,333	3,390	3,421	3,226	3,306	3,396	23,266	28,658	5,392	19%
	2012/2013					3,206	3,306	3,342	3,431	3,425	3,246	3,341	23,297	28,658	5,361	19%

These issues presented a significant threat to the East Riding which was recognised as requiring action in 2006. The School Forum is a statutorily convened body set up to oversee schools' budgets. It consists of members drawn from each phase and type of school, both headteachers and school governors, augmented by representatives from the Dioceses (Church of England and Catholic), and the Professional Associations/Trades Unions. It is serviced by Local Authority Officers who advise but do not have voting powers. It has powers to determine local funding factors, especially to determine the formula by which the funding provided to the LA to fund its schools, known as the Direct School Grant (DSG), should be distributed. This group became concerned at the impact of falling rolls and constrained budgets, and commissioned a task group to address issues in the sustainability of schools in the face of these pressures. The Sustainability Task Group began its work in the autumn of 2006, originally intending to conclude by the following autumn, but in the event it continued to operate until the restructuring of the Improvement and Learning Service and Local Authority funding reductions brought its work to an end in summer 2011. The Group operated under my leadership, as by then I had been appointed Workforce Reform Strategy Manager. This position had been developed since the inception of workforce reform in 2003, and it had consequently been my role to oversee the introduction of each phase of change brought about in Teachers' Pay and Conditions, whilst linking this to ways in which the changes could contribute to school improvement, for instance through enhancing the role and status of teaching assistants.

East Riding was of the view that workforce reform was inextricably linked to school improvement, and therefore placed the Strategy Manager role firmly within the School Improvement Service. Other Local Authorities took the view that it should be a Human Resources role, and therefore it focused much more on the changes in pay and conditions from a contractual and legal point of view, and less about school improvement. The link established in the East Riding allowed workforce reform to influence school organisation and school leadership therefore, in a much more holistic way. Much of what has been achieved in this domain could not have happened without that link.

A team which represented a cross-section of the educational workforce was assembled. This included representatives from:

- The LA Admissions and Inclusions Team
- The LA Early Years and Childcare Development Team, including Extended Services
- Headteachers, selected for their innovative approaches and representing each school phase, including Special Schools, and each of the geographical areas of the LA
- The LA Human Resources Team
- The LA Improvement and Learning Service, including the Workforce Reform Team
- The LA Schools Finance Team
- A representative School Business Manager
- A representative of the Trades Unions and Professional Associations of both teaching and support staff

Key speakers, from other parts of the Council and from external organisations were invited to inform deliberations. The work of the Sustainability Task Group led to a series of reports and actions which were reported through the School Forum, and which led to changes in both the school landscape, with the introduction of new models of school leadership, and the approaches to leadership development that the remainder of this thesis deals with.

Part of their work was the Council's "Strategy for the Collaborative delivery of Children's Services" which was published and launched at the Leadership Conference in November 2008. It can be shown, and is a key tenet of school improvement, that collaborative activity is an effective means of addressing school improvement.

At this point, and in support of this statement, it is worth examining the national context which has prevailed in recent years. Successive governments nationally have sought to improve less successful or failing schools by involving another, more successful, school as a guiding partner. Headteachers of successful schools have also been able to achieve special status first as "Primary Strategy Consultant Leaders" (PSCL) or since 2011, "Local Leaders in Education" (LLE). This role can involve taking over the management of a "failing" school completely, a role known as "Executive Headteacher." There are

many examples in the East Riding of schools which have been judged by OFSTED as requiring specal measures (a judgement which means that in the view of inspectors, the standards of achievement of pupils, the quality of teaching, behaviour and safety of pupils, and / or leadership and management are judged to be in most or all respects inadequate), whose fortunes have been significantly improved by this model of working. The East Riding LA has operated this model for some time. Nationally, this end has been achieved by removing the failing school, initially voluntarily, but more recently compulsorily, from Local Authority control, and converting them to work as "academies" where they are taken under the wing of a successful school (which is already an academy) or an academy sponsor with a track record in education, and thereby expected to improve. This process, which began under the Labour government of 1997 – 2010, has been picked up and accelerated by the Conservative / Liberal Democrat Coalition government which came to power in 2010. This has led to the creation of "academy chains" or "multi-academy trusts," whereby several schools work together under the sponsorship of an independent organisation. This organisation may be either a successful school, or a commercially-run organisation. Some of these chains extend to as many as thirty plus schools; other trusts involve secondary schools with their partner primary schools.

In 2010, shortly before the general election which took place in May of that year, and led to the election of the current coalition government, East Riding was invited to present at two events which were held at the DfE Sanctuary Buildings in London, one for Government Office regional workers, and one for Local Government officers, on the theme of working collaboratively, because the East Riding had been successful in generating a spirit of collaborative working without resorting to compulsion and academisation, and government officials were intrerested in understanding how this had been brought about. I gave the presentation on behalf of the East Riding, emphasising the manner in which collaborative solutions were sought and developed in this locality. The theme of these presentations and the 2008 ERYC Leadership conference emphasised, in the words of the East Riding Strategy for Collaborative Delivery, that collaboration is "a force for good" and that it can benefit all schools including those which are deemed good or better. In this respect, this is a departure from national policy, sees all schools as able to benefit from a collaborative model of working, and, rather than expect other successful academies or sponsors to come in to provide the solutions, the LA has brokered positive collaborations, to an extent which has altered

the landscape of provision in the LA. (consider the example of the small school described above). One key question asked by the DfE staff was whether this was a "hearts and minds" or a legislative issue. The view expressed by East Riding was that this is a hearts and minds issue; it is about supporting headteachers and governing bodies in particular in understanding the advantages and potential pitfalls of working collaboratively, and demonstrating that the model can be effective. In summary, the LA's approach has been as follows (Stork 2010):

- It is the role of the school Governors to decide what is the best way forward for their school

- The LA informs stakeholders, promotes the idea and supports schools in making the model work – this has been a drip-feed process spread over many years

- The LA emphasises that collaboration does not "save money" – it allows resources to be better used

- The LA ensures that all schools are required to debate alternative models of leadership when their headteacher resigns

- LA will use powers of intervention where necessary but will not enforce long-term federation

In the course of feedback at one of the 2008 conference workshops, a Headteacher[vii] provided two key questions:

"How can I collaborate to improve the outcomes for the children in my school?"
"How can I collaborate to contribute to improving the outcomes for children in other schools?"

These questions have formed the basis for much subsequent work in the East Riding, leading to the models of leadership and the approaches to succession planning described in the following pages.

[vii] John Murray, Headteacher, Bay Primary School

A celebration of leadership and management approaches in the East Riding

The introductory section of this thesis showed how significant a factor for schools has been the need to respond flexibly to the financial constraints imposed by the multiple threats of workforce reform, low funding and falling pupil numbers; a report from the Sustainability Task Group in 2009 showed how far alternative approaches to school leadership had developed in the East Riding (Stork 2009):

> Whilst there remains a significant way to travel, there are now 62 schools involved in some way in developments around leadership and management; this list does not include those schools involved in 14-19 Diploma collaboratives, or those where a single representative has attended the ER Schools LDC.

Alternative leadership models included:

- Federations

- Collaborations

- Co-headships (where the substantive head steps down to part-time, with a deputy head "acting up" for the remainder of the week, or the headship is shared between two individuals of equal status)

- Shared management models, with business manager or site manager shared between schools

There were also a series of externally-funded projects which encouraged schools to work together or to develop their leadership capacity:

- Bespoke Leadership Project: (TDA Funded) a version of the Leadership Development Centre involving 360 degree assessments and Myers-Briggs personality testing, carried out with a group of staff from the same or pairs of schools; leading to re-appraisal of roles and management styles

- Bridlington Together: Work led by Bridlington School to introduce collaborative planning and delivery of services in the Bridlington Area using the TDA School Improvement Planning Framework. Implementation supported by the LA and TDA; further opportunities offered by TDA for roll-out in the other two LA areas.

- TDA Rural Collaboration Project: (TDA funded) a group of schools building trust by undertaking learning walks in each other's schools and sharing views; a

powerful continuous professional development (CPD) model, which could lay the foundations for operational collaboration.

- School Business Director Pilot (NCSL Funded): one of thirty-six national "demonstration projects" supported by NCSL and the DfE Innovations Unit. The pilot involved one Advanced School Business Manager working in support of six other primary-phase schools. This programme was designed to ease workload and make financial savings, and yielded valuable evidence of how this might be achieved. This role provides the outlet and career development opportunity which Primary SBMs have needed. This project was supported by a "Community of Practice" via a dedicated "Moodle" web-site, which is a virtual learning environment (VLE), where resources and ideas can be posted and shared.

A key part of the work of the Sustainability Task Group was to address the issues around sustainable school leadership, and how the issues described above regarding recruitment of headteachers could be addressed. This issue is set out more fully below, but the major outcome of the work was the recognition that headship could only be perceived as doable if:

- Heads were supported by multi-faceted management teams including school business managers

- Aspiring heads were offered opportunities to experience leadership and undergo effective leadership development which focused on their leadership skills.

The Sustainability Task Group therefore made the following 10 recommendations:

Recruitment and Selection of School Leaders:

1. The LA should ensure that every school leadership appointment process includes a discussion about the potential for alternative leadership solutions. This should be a policy decision implemented where possible, for instance in headteacher and deputy head appointments, through the involvement of School Improvement Team members with governing bodies, and should be written into a revised version of the guidance on recruitment and selection of headteachers.

Primary Rationalisation and commissioning of school places:

2. There is a link between the primary rationalisation process and the LA policy on collaborative activity. On completion of the current round of partnership reviews, this policy will be revised. There should be automatic consideration of the need to create federations as part of the review of each partnership, and the LA might reserve the right to implicate schools from neighbouring partnerships in such arrangements where it would be advantageous to the two schools, and provision might be better allocated as result.

Securing quality outcomes for pupils:

3. The annual review of schools should include a process by which the LA automatically considers the appropriateness of invoking paragraph 63 of the Education and Inspections Act 2006, utilising collaborative or alternative leadership strategies where schools are placed in category 3 or 4.[viii] In certain instances, federation may be considered.

4. The LA might consider pupil numbers as a factor in adjudicating whether a school in category 2 for achievement might benefit from being considered for a collaborative working arrangement for certain year groups or key stages where curriculum provision is deemed inadequate.

5. A school receiving a judgement of "satisfactory" by OFSTED, and therefore potentially subject to short-term re-inspection, should be considered for inclusion in a collaborative arrangement.

6. Schools in Category 1 must share their practice by participating in a collaborative leadership organisation with another school if so desired by the LA. This should be defined as a key element in receiving category 1 status.

[viii] East Riding Schools are categorised under 5 groupings:
Category 1: Successful and exemplary (typically graded as "outstanding" by OFSTED)
Category 2: Good
Category 3a: Satisfactory and improving
Category 3b: Schools causing concern
Category 4: Schools deemed by OFSTED to require a Notice to Improve, Special Measures, or in receipt of a Local
Authority notice to improve.

Succession Planning and Leadership Development

7. Schools identified by the LA as having leadership and management practices which are good or better should be invited to act as host schools to provide placements for those holding or seeking leadership positions as part of their professional development.

8. Schools working collaboratively or in federation should be asked to share their practice through the Leadership Development Programme

9. The School Business Director pilot should, following appropriate evaluation and revision, be rolled out across the LA.

10. Headteachers should identify prospective school leadership candidates, encouraging them to attend the ER LDC, and should be expected to provide support for the future development of the individual concerned. This may include release to spend time in another school or on a job-swap.

As described below, the outcome from this was that the East Riding Leadership Development Centre for Schools, set up in 2007, should continue to be the principal local means of addressing succession planning issues at all levels of the school organisation, including both those aspiring to headship and those undertaking other key roles in this landscape such as school business managers.

It has been my role to lead this development, both in the strategic and the practical sense; as a result I have been an assessor in all but one of the Centres, which have run on the basis of five per year since the spring of 2008, when the first Centre opened to school leaders. By the end of 2009 academic year, there had been 8 Schools' Leadership Development Centres, catering for 57 delegates; 100 colleagues, teaching and support staff have completed the on-line leadership programme registration form, with around 60 regularly accessing the East Riding LDP "Moodle." 10 Leadership seminars had been held, with an average attendance of approximately 20. Participants from the programme had begun to secure headships, deputy headships, acting positions or proceed to NPQH. This group of delegates forms the basis of the study group for this thesis. A comparison group has been provided by those attending up to and including cohort 18, (2011) at which time data collection ended for research purposes, although evaluative evidence continues to be collected for use within the Council.

Section 2: Further issues in the career development of teachers: the route into Headship and the influence of these changes on leadership development in the East Riding.

The previous section provides a rationale within the political context for the development of a leadership strategy for the Local Authority. Impossible to ignore, however, were the external drivers of change within the teaching profession as a whole, and therefore on those individuals embarking on a career pathway towards headship. These changes are described fully below.

The Route into Headship career pathways and a historical view of leadership development

In previous generations, there existed a relatively common route to headship, particularly in primary schools, which is explored by a research project undertaken by Ribbins et al. (1997, chapter 11, chapter written by Ousten). This work examined the routes by which ten headteachers and college principals had made their way into their current roles, and how they had been influenced on the way. Whilst there are perceived flaws in the methodology (for instance all the interviews are carried out by different researchers and there is no real consistency), the basic factual outcomes seem secure. One of the Heads was from an East Riding school, and her experiences would seem to corroborate the hypothesis generally formulated from discussions with current East Riding heads through focus groups[ix] at the inception of the East Riding's Leadership Development Programme. The route to headship consisted of (frequently): a horizontal move in the early stages of the career into a different type of school; the assumptions of voluntary responsibilities to gain experience of leadership; promotion through (especially in the primary sector), unpaid middle leadership as a subject coordinator, deputy headship and then into headship. In this study, if we consider the routes to headship of those in conventional primary or secondary education (not special or further education), we find confirmation of the above hypothesis.

Headteacher 1 (Mary Gray[x]), then Headteacher of a large primary school, had followed the above route. She says:

[ix] Group 1: Aspiring School Middle Managers, Jan 16th 2008
Group 2: Aspiring School Senior Managers January 24th 2008
Group 3: Headteachers of East Riding Schools identified as "Successful and Exemplary" January 31st 2008

[x] The actual names of the interviewees have been used in referring to them in this thesis, as the headteachers and Principals interviewed are named in the original research.

> I've been used in so many ways by other people, that really this helped me develop skills for headship... I was astute enough to see how other people worked, and identify what approaches appeared to be successful and unsuccessful.

Mary also acknowledges the difficulties that some individuals had when, good teachers as they were, they did not make the successful transition into leadership. This is an issue we shall explore later.

Headteacher 2, Rosemary Whinn-Sladden, the Head from East Riding, gained her first promotion in her first school, then took a sideways move to become Head of Science, before Deputy Headship, which she did for four years including a period of acting headship before her first headship. The large primary school she led in East Riding was her second headship.

Headteacher 4, a secondary Head, had spent time as deputy Head in two schools before his headship, but had also held a variety of promoted posts before doing so. He had taken advantage of some leadership courses run in the Inner London Education Authority (ILEA) for those "with potential," but he emphasises the learning on the job. He says:

> I have worked with seven headteachers, and you do learn. I remember one of them saying to me: 'Well, you'll watch me, you'll watch me make some mistakes and you'll go elsewhere and you won't make those same mistakes, but remember, you'll make your own.'

Headteacher 5, Bernard Clarke, gives much the same message: "I watched the people I worked with, my immediate colleagues, and there came a time when I thought 'I could do that.'" He describes this as his "apprenticeship period," and speaking of one of his former headteachers describes how "my time with him helped to clarify the sort of head I wasn't going to be."

Headteacher 6, Helen Hyde, admits to "no overt preparation for headship," but gained experience through working for four headteachers. Of one she says, in line with the others "I learnt a lot by watching him."

Helen Hyde raises the issues of dealing with staff. She says: "The single most important resource we have are staff. Your most important job is to look after the staff." Whilst there might be some that would find this a narrow view of leadership, especially in the light of current accountabilities, it does reflect the aspects of leadership rarely picked up by some training: the focus on leading people and the development of relationships. Headteacher 7, Mary Marsh, comments on her career progression through a variety of posts: "It was fascinating to see how many underlying issues were to do with people, and that they are the same almost wherever you go." This will be an important theme in later aspects of this study.

Simkins (2012) undertakes a review of leadership development, drawing on a series of studies over time. In doing so, he identifies three periods of development, linked to evolution of the role of Headteacher, echoing the work of Bolam (2004), although Bolam's dates differ from those chosen by Simkins. The latter's first period, (1944 to the mid-1980s), he refers to as the "era of Administration," and his appraisal of this period coincides exactly with the models described above by the headteachers in Ribbins' study. He describes how training did not always exist, and there was a heavy reliance on gaining experience in the job. The role of headteacher as administrator was emerging (and would be confirmed with the introduction of Local Management of Schools (LMS) in 1988 for most maintained schools in England outside Inner London), but was at this stage not prepared for. Where training did exist at this stage, it was characterised by University-based accredited courses or LA-designed short courses, which led to a fragmented and inconsistent model across the country. Bolam's article calls this "ad-hoc provision."

His second period, the "era of Management" encompasses the mid 1980s to 1997. He suggests (p. 624) that during this time "there was a shift in the kinds of knowledge that underpinned the discourse of development, with the social science initially being complemented by, and then increasingly replaced by management theory, often adapted from business contexts." Part of this approach was the introduction of professional standards, with an early initiative by Education Management South who created an assessment centre for headteachers at this time. (see Chapter 3, below). Simkins comments (ibid.): "expectations placed on LMD [Leadership and Management Development] [became] more explicit, with an increasing focus on the identification of standards and competences for managers and the development of technologies such as

assessment centres associated with these." It is to be noted that he uses the term "competences" not "competencies." As we shall see below, the identification of what a Head should be doing if they are doing the job "competently" differs from the underpinning "competencies" required to be successful in the role, which this research examines in some depth, below. Some writers, including Simkins, use the two terms interchangeably, as later in the same article (p.625), he describes how the Teacher Training Agency (TTA), created towards the end of this period in 1994, "embraced the competencies approach by establishing a set of 'tasks and abilities' required of headteachers." The issue of the definition of these two words will be addressed in Chapter 3, below.

This work had been begun earlier, in the wake of three Acts of Parliament, enacted between 1986 and 1988. These Acts wrought the greatest changes in British Education since the 1944 Education Act (sometimes referred to as the "Butler Act"), which made education available to all. The two 1986 Acts referred in general terms to school governance, and began the process by which Local Education Authorities' control over the operational management of schools was diminished and passed into the hands of lay persons, i.e. the school governing body. This was a direction which was championed by the Conservative Party at the time, and which has been revitalised upon their return to power in 2010, with the removal of schools from Local Authority control through academisation.

In the 1988 Act the now characteristic image of the education of children in England and Wales came about with the introduction of the National Curriculum, the reorganisation of schooling into four "Key Stages," with concomitant re-numbering of year groups to be consecutive through the system, the introduction of compulsory testing at the end of each key stage, with accompanying accountability through publication of results and so-called "league tables" of schools. 1988 was also the year of the introduction of "Local Management of Schools" (LMS) as noted earlier, with all the expectations placed on headteachers to manage budgets and undertake the roles which had hitherto been managed for them by the Local Authority, such as fixing staffing levels. As a personal experience of this phase of school development, and an example of the magnitude of the change, the school in which I taught at the time, and where I had responsibility for curriculum and timetabling, and therefore staffing, was a pilot school for the introduction of LMS. Overnight, instead of the LA informing us, as they

previously would have, of the number of teachers we were entitled to have per year group (established by a formula which was applied purely on numbers, although somewhat erroneously referred to as "curriculum- based staffing"), the decision passed to the school, so that we could determine the teaching force we needed, and how it should be deployed. For the first time, we could decide that, if we could afford them, we could have more teachers than the formula dictated, and so reduce class sizes, or, if numbers fell, choose to retain staff if budget permitted rather than making colleagues redundant. Governors would become the ratifying body of recommendations that the Headteacher made around such key decisions.

In the wake of these changes, the Government set up a School Management Task Force (SMTF) in 1989 to, in its own words (Bolam et al.1993 p.1) "support the implementation of this massive and complex series of innovations" and "to promote the development and training of headteachers and other teachers with school management roles." This Task Force worked with a "Professional Working Party," comprising Task Force members, DfE and representatives from the teachers' and headteachers' professional associations. There had been previous attempts to codify management, and therefore management development, through the two government Circulars 3/83 and 4/84 (Guidance documents issued to schools as non-statutory advice). Two initiatives arising from these circulars, the Technical and Vocational Education-related In Service Training Scheme (TRIST) in 1986, and the Local Education Authority Training Grant Scheme (LEATGS) in 1987 commonly known in Local Authorities as GRIST (Grant-related In Service Training), began to be brought to bear on management development. The latter in particular, in so far as seventy per cent of the funding was dedicated to national priorities, became influential, as management development was seen as a national priority.

Information shared by Male (2013, shared in a supervisory meeting), who had been a representative from Greater London Local Authorities to the SMTF, suggests that it was Bolam's desire, through the SMTF, to properly rationalise and formalise the training and development of headteachers. As expressed by Male, through his personal experience of the time, and in his report of the National Development Centre for School Management (see Bolam 1986), Bolam distinguished between different elements of support for headteachers and aspiring heads. He defined these as:

- Training: or courses which took place off-site

- Development: which took the form of on-site coaching

- Education: higher education accredited programmes such as Masters level degrees.

LEATGS was focused mostly on training, so the prevalence of off-site courses put on by LA personnel; SMTF sought to bring about more in the way of development. Subsequently this led to programmes such as "HEADLAMP" (1991) and the Headteacher Induction Programme (HIP 1998) for newly appointed Heads, and thereafter, the publication of National Standards in 1997, which will be dicussed in greater depth below.

Therein can also be found the foundations for many of the ways of thinking which are nowadays seen as fundamental to the management of schools. Bolam et al (1993 page 2), list the features of effective schools as they perceive them:

- Strong, purposive leadership by headteachers

- Broad agreement and consistency between headteachers and teachers on school goals, values, mission and policy

- Headteachers and their deputies working as cohesive management teams

- Involvement of teachers in decisions about school goals, values and mission

- A collaborative professional sub-culture

- Norms of continuous improvement for staff and students

- A leadership strategy which promotes the maintenance and development of these and related features of the school's culture

- An enhanced capacity to implement the national reforms.

The third and final phase is termed by Simkins "the era of leadership," and begins with the introduction of the National Professional Qualification for Headship (NPQH), in 1997, closely followed by the inauguration of the National College for School Leadership (NCSL) in 2000. He chooses the name "era of leadership" as "leadership" first appears as a concept at this stage (especially in the name of the National College,

and also in the title of the journal in which he is writing, which changed its name at that time to be the journal of "Educational Management Administration *and Leadership*." (my italics). The term may not be entirely appropriate however, particularly in the light of the type of development activity which emerged at this stage. In chapter five, where outcomes of the field-work are discussed, there is a discussion of the comparison between the National College programmes, such as NPQH, and the Leadership Development Programme as delivered by the East Riding Leadership Development Centres and surrounding activity. There are grounds for suggesting, based on the evidence set out in this later section of the thesis, that the emphasis of the NCSL programmes is much more related to the National Standards for Headship, and therefore, by definition, more operational in nature. We shall see also later in this thesis, (chapter 3), that there are significant areas within the National Standards for Headship which can be deemed to be deliverable at middle management level, so the extent to which this phase of development can be deemed to be the era of "leadership" must be open to question.

Simkins, working in hindsight, describes how the programmes evolved by the National College fit into a model of a career in five stages, with a nationally recognised development programme (in italics) marking the transition from one stage to the next: Main-scale/Upper pay spine teacher > *Leading from the Middle* > Middle Management > *Leadership Pathways* > Senior Management > *NPQH* > Headship > *Leadership Programme for Serving Heads* > Second Headship etc. This is, as Simkins sees it, a wholly centralised model of leadership development, which in many ways resembles the Labour Government's approach to the National Curriculum and pedagogy in general, which was characterised by centrally developed National Strategies, for instance for Literacy and Numeracy.

In terms of school leadership development, however, Simkins is here making a key omission. I will explore the issue in greater depth in the next chapter, but, whilst the existence of national programmes may suggest an overarching vision, the NCSL recognised that it was not possible to deliver the programme wholly in this way. This led to grant-funded "local solutions" of which the model of leadership development described in this thesis and used in East Riding is a clear example.

Changes in Teachers' Pay and conditions

We have so far explored a number of factors leading to the need to radically re-examine the manner in which school leaders are formed. These have focussed on the way schools are organised, led and managed from the senior leadership point of view. Factors affecting the roles and responsibilities of teachers at lower levels of seniority have also affected the way in which these individuals might progress towards more senior positions. These issues were taking place in parallel to many of those described above, and are described in detail below. The cumulation of the points made below leads to an overall conclusion that there has been, since 2003 in particular, a trend towards a reduction in the number of available rungs on the ladder from main-scale teacher to senior manager. Each of these rungs is explained in detail below. The outcome, however, is to suggest that the "on-the-job" learning model favoured historically and described by those interviewed by Ribbins et al (1997), is becoming more problematic to implement, and there is a growing implication that solutions need to be sought to provide the kind of experiences which prospective school leaders require, but which are now less available to them than they hitherto might have been.

The Labour government, in 2003, began a period of significant reform of teachers' pay and conditions, starting with the National Agreement on Workload and Raising Standards launched by the then junior minister, David Miliband. These impacted largely on teachers below leadership spine level in the school, but their impact on career progression and especially progression into leadership roles has been far-reaching. Evidence from the focus groups convened at the outset of the East Riding Leadership Development Programme to help to inform the programme content and style (aspiring middle leaders, aspiring senior leaders, and heads of schools deemed good or outstanding), suggests that there have been a number of unforeseen consequences arising both from the changes in the School Teachers' Pay and Conditions Document (STPCD), specifically between 2003 and 2007, and the budgets of schools. These continue, and the on-going development of training programmes has needed to take account of those further changes which have ensued since the programme began. These changes are:

- The review of staffing structures and the introduction of Teaching and Learning Rsponsibility Allowances in 2005

- Changes to what teachers could and could not be held accountable for without remuneration

- Changes to the regulations on teachers' appraisal, which became known as "performance management" in 2007

- Issues arising from falling rolls and the impact on school budgets

- Changes to the format and requirements for NPQH.

The detailed impact and issues arising from each of these changes is as follows:

Review of School Staffing structure and the introduction of Teaching and Learning Responsibility Allowances:

In 2005, the Government introduced a requirement for all schools to review the structure of their staffing, and to introduce a new pay structure (Rewards and Incentives Group 2005). This structure reformed salary scales, and introduced what were to be called "Teaching and Learning Responsibility Allowances" (TLR). The purpose of this was to continue to focus on the notion of the "new professionalism" which the 2003 National Workload Agreement had introduced, and which implied a focus on teaching by teachers, with the increasing administrative burden tranferred to support staff. This has led to the tripling of the number of support staff employed in schools since 2003, and as a consequence, an increase in the requirement that support staff should come into the management structure of schools. School business managers are now often members of senior management teams, and pastoral staff (such as "heads of year") in secondary schools, who would once universally have been teachers are now frequently support staff members. Among teaching assistants, a category of "Higher Level Teaching Assistant" (HLTA) has been created, and these individuals work to a level, defined by National Occupational Standards (NOS) which almost match the professional standards of teachers; a whole new management structure for these posts has therefore had to be created. This has had the advantage for support staff members of creating a career structure for them; the whole nature of support staff work has become much more systematic and professional, but on the other hand, roles which might have given teachers leadership and management opportunities no longer exist. Clearly economic considerations also came into play, and some schools took the opportunity to reorganise

their leadership teams. Verbal evidence from the focus groups and a comparison between the number of known posts at deputy head level and the number of schools (Lunn 2007) indicates that the number of deputy headships available in schools in the East Riding has reduced since this reform. In many schools, deputy heads have been replaced by assistant heads, on a lower pay-scale without the School paying heed to the legal differences between these two roles[xi]. A further consequence of these changes is that assistant heads can be, and frequently are, appointed from within their own school[xii].

Curriculum leadership in primary schools is by and large not seen as a management responsibility to be rewarded under STPCD (see below for further changes in this domain). Data included in the 2008 report of the School Teachers' Pay Review Body (STRB) shows that the number of TLR and safeguarded management allowances has reduced since 2004 (STRB 2008). This situation therefore calls into question the extent to which teachers undertake such tasks as curriculum leadership in a manner commensurate with the responsibilities involved, and receive an appropriate level of time and resource. This point needs to be considered in conjunction with the point below about accountability and responsibility.

Changes to regulations on responsibility and accountability

Since the focus group discussions, in September 2008, a new paragraph was introduced into Teachers' Pay and Conditions (STPCD 2008, paragraph 65) which makes the holding of a position of responsibility subject to the payment of a TLR allowance. This restricts what teachers can do under contract to playing a supporting role in the development and delivery of the curriculum. All teachers, whatever their status are accountable for standards and performance in their assigned classes, including the performance of other adults who work alongside them. Similarly, a teacher paid on the Upper Pay Spine (UPS) can be expected to contribute to the development of the curriculum or schemes of work, and to the support of other colleagues in the school by

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[xi] The Deputy Head can act in all circumstances in place of the Headteacher, whereas this is not true of an Assistant Head. Two key decisions involving school closure or the exclusion of a pupil are limited legally to the Headteacher or to the Deputy Head. Someone who does not have the title "Deputy Head" cannot assume responsibility for either of these decisions but must refer them to the Head.

[xii] There are 140 primary schools in the East Riding; there were, at the time of the above report, 74 Deputy Heads and 22 Assistant Heads. By January 2008, there were 61 schools with one or more Deputy Heads; 23 with an Assistant Head but no deputy; the remainder have no leadership spine post other than the Headteacher. (Source: East Riding Corporate Resources Directorate, Human Resources Department)

dint of their experience (a teacher can reach the top of the pay spine, UPS point 3, after a minimum of 11 years service). They cannot, however, be held accountable for any of these things without being in receipt of a TLR, which implies accountability for performance of other pupils or teachers beyond their own classes.

Introduction of changes to the regulations for Teachers' Performance Management (RIG 2006)

These regulations prohibit those teachers without a defined line-management responsibility from undertaking the performance management of their colleagues. This role has often been carried out on a peer to peer model in the past, in schools of whatever size. This has two unforeseen consequences: further responsibility and workload is thrown onto headteachers, who in the smaller schools are most often the only person among the teaching staff with a designated line-management responsibility, and a subsequent disempowering of aspiring middle managers from carrying out this people management role.

Issues arising from funding levels related to falling rolls

The East Riding is faced with a fall of around 500 pupils per year for the foreseeable future (see Chapter 1, above); this impacts directly on the amount of funding available to schools, already, as we have seen, among the lowest in the country.

Historically and reported consistently across all the groups consulted, teachers would move from school to school to gain experience of different school types and environments. This process presupposes that the schools are prepared to employ experienced teachers, with the accompanying salary level. In the current climate, vacancies, when they arise, are being filled by Newly Qualified Teachers (NQTs), many of whom are appointed on temporary contracts. The annual number of NQTs appointed (194 in total in 2007/8), seems to support this argument. Another opportunity for teachers to broaden their experience therefore seems to be threatened if not already lost. In addition, accountability systems often lead to schools keeping experienced teachers who are successful at getting good results in formal assessments in fixed year groups (Year 6 principally in the primary school), for long periods. The phenomenon of the "Year 6 Teacher" leads to Heads not offering a chance to younger, less experienced teachers to work at this level because they fear that in doing so, results might slip, and

this could expose them to criticism by the LA or OFSTED or both, with potentially dire consequences. As a result, other teachers are prevented from obtaining the all-important area of experience of teaching children who are subject to national assessment.

Changes to the National Professional Qualification for Headship (NPQH)

This change, outside the Pay and Conditions Document, is the remodelling of the NPQH. NCSL themselves indicate that of those teachers who held the NPQH qualification prior to its redefinition in 2009-10, only 43 per cent have gone on to Headship. This statistic was the principal motivation for revamping the programme, as it was perceived as no longer fulfilling its purpose. For many, the qualification has provided a useful form of professional development, but not a stepping stone to school leadership. A new qualification was introduced in 2009 which could only be undertaken by those who were deemed ready to apply for Headship, i.e. who would be Heads in the twelve months following their graduation. To obtain a place, applicants had to demonstrate how they, in the latest three years of service, could demonstrate how they have shown whole-school strategic leadership in each of the six areas of the National Standards for Headship. Although new Professional Standards for Teachers were introduced in 2012, there are no changes in the Standards for Headship, and these continue to be the benchmark for the appointment of headteachers. (see Chapter 3 for a detailed examination of these and their relationship to the competency based approach, and Annex 1 where the relationship between the East Riding Competency Framework and the Headteacher Standards is fully laid out).

For teachers subject to all the constraints described above, and more especially for those in small schools, this is a difficult set of standards to reach. The former model had three routes to the qualification, one of which allowed progression from a relatively low base-line. No such opportunity now exists. This created an imperative that a form of preparation for accessing the qualification, which the teacher could access within their locality became desirable.

A further revision to the NPQH programme was due to be instituted in September 2012, but when this thesis was written, no information was available about the format for delivery of this model, and no individual had yet graduated from it. The interviews which provide a major part of the evidence for this thesis took place in summer 2010,

i.e. before the new format was available, and therefore when delegates compare their experiences of competency-based development with those gained through NCSL programmes, they do so referring to the version of NPQH prevalent at that time.

These issues imply that the route to senior leadership in primary schools in particular is a different process from that which might have pertained as recently as the last decade of the twentieth century, as evidenced both by the anecdotal evidence from the serving teachers spoken to and by the examples taken from the study by Ribbins et al (1997). I have summarised this in tabular form as follows: (Table 2.5)

Table 2.5: a summary of teachers' traditional career progression compared with current issues

Traditional Route	Current Issues
Teachers move schools to gain experience of different environments	Schools recruit NQTs to main-scale posts Experienced teachers retain key roles such as Y6 teaching
Teachers take on additional responsibility, often on a voluntary basis	No responsibility without TLR payment
Teachers take on appraisal of colleagues	No opportunity to performance manage a colleague unless a TLR holder
Teachers move on to deputy headship	Deputy head posts lost on restructuring in 2005; cheaper alternatives sought
Teachers undertake NPQH	Only fast-track route now available

A further complication was introduced following the election of the Coalition Government in 2010. The NPQH, which had been made compulsory as recently as April 2009, ceased to be so by September 2011. This means that individuals who have no previous leadership training can in theory now apply for headships. Whilst this has loosened up the application process, and in fact seems to have increased the number of applicants for local headships, it also radically alters the process of preparation for headship, placing greater onus on the individual and the individual's employer (the school or, indirectly, the local authority), to provide appropriate experiences to those who aspire to this position. Guidance (revised by Stork January 2012), issued by the LA to governors when drawing up the person specification for a headteacher during the

recruitment process suggests that, whilst the NPQH is not mandatory, and therefore might not be an essential criterion for selection:

> It is the recommendation of the Improvement and Learning Service that the NPQH should be retained as a desirable element within the person specification. This avoids precluding very good applicants who have shown other qualities and undertaken leadership development such as the East Riding Leadership Development Programme

This responsibility on both the employer and the individual is reinforced through the entitlement that career aspirations are taken into account in setting performance management objectives for teachers. (Rewards and Incentives Group Guidance 2006). With the revision of the regulations on Performance Management, now known again as "Appraisal" (from September 1st 2012), a new model policy has been agreed between the Trades Unions and the LA which reinforces this as one of the options that schools have in defining the objectives set for their staff. Since there is a covenant between the School and the Teacher to provide such CPD as may be required by the individual to allow them to achieve their appraisal objectives, it continues to be necessary to ensure that opportunities can be offered which are accessible to all.

Much documentation, such as the research carried out by Pricewaterhouse Coopers (2007) on behalf of the then DfE has sought to establish some of the reasons to explain the difficulty in recruiting headteachers at any type of school, a national problem which has led to the creation of the project "Tomorrow's Leaders Today" developed by the National College for School Leadership. Southworth (2004), Director of Research at NCSL, writing "A response from the NCSL" in a special edition of EMAL devoted to the NCSL, and responding to comments made by other writers in that edition, notably Bolam, (op.cit., above), noted that the potential number and sheer scale of the leadership and management development needed to cater for the needs of every potential leader in schools required a diversified and localised approach. This work focuses firmly on succession planning, and was, at its inception in 2007, supported by grants to each LA to enable the development of "local solutions." Each LA was allocated a "succession grant," which in the case of the East Riding was initially £22,500 per year, which could be spent on activities or personnel at the discretion of the LA, but subject to monitoring and impact reports mediated through a locally-based NCSL succession consultant. At this time also, some NCSL programmes, such as the

Certificate of School Business Management (CSBM), and Leading from the Middle were franchised for local delivery with school-based tutors, accredited by the NCSL. Models of local leadership development began to evolve at Local Authority level throughout the country. In the Yorkshire and Humber region alone, significant projects were developed in Leeds and Kirklees, both of which have drawn on practice in the East Riding whilst adapting it to their own context. East Riding now undertakes to provide its Leadership Development Centres in North Lincolnshire, often mixing delegates from the two LAs in the same Centre. The City of Hull has undertaken work on the "Urban Leadership" programme. In each LA, the key factor was on the local context, and this contradicts Simkins view of the NCSL national programme as the definitive version of leadership development at this time. In some ways, this would suggest a return to the early days of ad-hoc provision, but the strongly complementary aspects of local solutions alongside the NCSL programmes provides a powerful model. The complementary nature of the East Riding programme and the National College models is examined in depth in chapters five and six. It is likely that this "national system delivered locally" will indeed form the basis of future delivery models as the National College turns more to delegated delivery through a franchising system.

The Coalition government elected in 2010 put an end to LA funding of all sorts for any aspect of workforce reform. This included the succession grants, and it abolished local delivery of the CSBM, although the teachers' programmes are still delivered through franchise arrangements on behalf of the NCSL. East Riding has sought to maintain its programmes, however, and will continue to do so through collaboration with the local Teaching School Alliance (TSA). A Teaching School is one which has been graded by Ofsted in its most recent inspection as outstanding overall, and especially in the areas of achievement of pupils, quality of teaching and leadership and management. Any type of school, whether LA maintained or academy, primary, secondary or special, can aspire to be a teaching school, but only individual schools can hold the designation. There is an expectation, however, that the teaching school will form an "alliance" with other schools both in the immediate locality and beyond. The East Riding Teaching School Alliance, known as "Riding Forward," comprises over 70 schools, including partnerships from outside East Riding. This alliance forms a delivery network whose expertise can be drawn on to deliver the areas of work, including Initial Teacher Training (ITT), training and development of staff and support for other schools, functions which hitherto would have been the domain of Local Authority School

Improvement Services. Teaching Schools, in the new scenario which reduces the involvement of LAs in the delivery of most things, have been given the responsibility to recognise and develop the future leaders at local level. In East Riding, this will take place through a partnership involving the LA, which, contrary to much practice in England, is represented on the Steering Groups of the Alliance, and lends its expertise and delivery models, such as that involved with the Leadership Development Programme, to enhance the capacity of the TSA.

Chapter 3: Development of a competency based approach to leadership development in the East Riding

Chapter 3: Development of a competency based approach to leadership development in the East Riding

Introduction:

The previous chapter sets out the historical perspective on the development of school leaders over time. It has, by referring to Simkins' (2013) summary of developments, and the work of Bolam (1997, 2004), and the School Management Task Force set up in 1989, shown how the training and development programmes available in England mirrored the changing role of the Headteacher, and resulted in what appears to be a single national model of leadership training and development under the guidance of the National College for School Leadership. We have also seen, however, how the local need to develop school leaders led to the evolution of a local process, and how the National College's "local solutions" policy was used in the East Riding to permit the creation of a leadership development model to address a pressing need.

As a consequence of the issues set out in chapter 1 above, therefore, the East Riding has set out to establish a programme for leadership development which can offer teachers who aspire ultimately to headship to undertake those learning experiences which contribute to their preparation for presenting themselves for assessment under the revised NPQH programme. A key element of this is the notion of developing the generic competencies of leadership. Of all the competencies in the East Riding Framework, the one on which the process is fundamentally based is "Maximising Potential and Managing Performance." Not only is this seen as a key competency for all managers to possess, but it is also the view of the Council, expressed through its "Striding Ahead" programme (see below, section 3 of this chapter) that there is a link between this competency and an overall improvement in the effectiveness of the organisation resulting from the development of those people within it. In the instance of East Riding schools, however, it also means providing a resource in the form of people who are confident and desirous of moving into headship, at a time when the context we have seen discourages rather than encourages them to do so.

The Council has invested significant resource over a period of years in the concept of a Leadership Development Centre during which delegates undertake two days of intensive activity to assess their strengths and areas for development relative to the

Council's own Competency Framework. Financially, this amounts to some £500 per delegate; each Centre costs approximately £4000 to put on. For this reason alone, a means of identifying the impact of the centres is required. There is, however, also a basic need to discover how the programme of leadership development presented by the LA to its school-based staff prepares them for the next stages of their career. This is not about the impact of leadership on standards in schools, but about the impact of the programme on individuals, and their personal professional journey through to leadership.

The route to the creation of a competency based approach to leadership development for schools has several phases, which are explored in the next four sections:

1. The development of competencies as a basis for leadership development
2. The development of leadership development centres
3. The development of competency-based leadership development in the East Riding of Yorkshire Council;
4. The adaptation of the Council's competency-based model for use with schools

Section 1: The Development of competencies as a basis for leadership development

What is (a) competency?

The Oxford English Dictionary definition of "competency" in this context is "ability (*to* do or *for* a task)."

Before examining the role played by competencies in leadership development in the East Riding, it is necessary to define what is meant by the term "competency," and how the concept of competency differs from "being competent."

Eraut (1994) explores the origins of the words. He shows how "competent" can be seen in both a positive light, meaning "getting the job done" or in a negative way "adequate but less than excellent" (p.166), and concludes that "competent" is to be found somewhere on a continuum between "novice" and "expert." However, viewed in the positive light, being competent suggests that clients have received adequate service, and that there is, therefore, "some performance referencing" in that judgement. In this case, Eraut is dealing with professional competence, applying the concept to jobs where there is largely a single focus. He recognises, however, that jobs which require a broader range of skills, which he refers to as "heterogeneous" "will need a profile of specific competencies which clearly demonstrates those aspects of the job in which each professional is competent." (p.165). Leadership and management of a school falls into the latter category, whereby those who operate in that context are required to understand the educational elements of learning and teaching, whilst at the same time showing the broader skills of running a complex organisation with many employees. In summary, Eraut's definition of "being competent" is that it has a "general and holistic meaning and refers to a person's overall capacity," whilst competency "refers to specific capabilities." (p.179)

Eraut goes on to sum up the process by which competencies must be derived and, following on from his notion of "performance referencing," measured. This summary is key to the process which the East Riding of Yorkshire Council has, in common with many other professional and corporate bodies (see Hogg, 2008, explained below), undertaken in its own quest to improve the quality of its leadership and management.

> Competence is not a descriptive but a normative concept. Before a person can be judged as a competent teacher or manager, there needs to be agreement on a particular view of what it is to be a teacher or manager, what will be the scope of any statement of competence, what criteria will be used, and what will be regarded as sufficient evidence (p.169)

The origins of competency-based approaches to leadership and management

This concept can be found originally in the work of the American psychologist David C. McClelland. He built on a method of analysing personality known as the "Thematic Apperception Test" (TAT), which had been developed in the 1930s by Henry A. Murray and Christiana D. Morgan. This process essentially requires subjects to fantasise around a series of pictures. Analysis of the stories produced against a predetermined scoring system, which was McClelland's key contribution, allows the analyst to identify certain elements of the personality of the subject. During the 1950s, McClelland (1953, 1955), isolated three elements contributing to the motivation of the subjects he studied: Achievement, or the motive to succeed; Power, or the motive to control; and Affiliation, or the motive to form relationships. The fact that these can be measured or given a value leads to the value being referred to as "n-power" "n-achievement" and "n-affiliation."

The National College for School Leadership continues to use these three elements in its training programmes, for example in the preparation of Local Leaders in Education (LLE), who are heads of good or outstanding schools and offer their support to other headteachers. The College represents the relative importance of these elements for successful leadership in the chart below (my adaptation). The formation of the "tick" shape is symbolic in so far as this is represented by the College in their training as the appropriate balance. There is an implication in this that:

1. Good leaders are as at ease with giving power away through effective delegation as they are with holding on to it for themselves (an evenly balanced n-power score of 5/10);

2. Good leaders have a strong achievement drive which is evidenced both in their own achievements and how they want success for their school and their students (a relatively high n-achievement score of around 8/10);

3. Good leaders are less concerned about the feelings of others and will make the difficult decisions or take action against an underperforming member of staff as required. (a relative low n-affiliation score of around 3/10).

These notions are reflected in the statement by Bolam et al. (1993, p.23), "the image of the effective headteacher is of someone who, in conjunction with senior colleagues, provides a clear sense of direction, but otherwise is not afraid to delegate certain management responsibilities, and yet is prepared to assert his or her leadership as circumstances warrant."

Figure 3.1: the relative importance of power, affiliation and achievement in a "good" leader (NCSL)
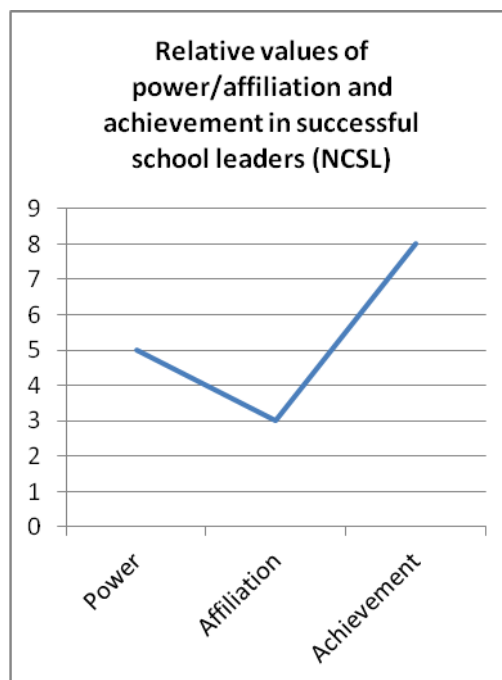
In 1961, McClelland brought these notions together to demonstrate how certain "psychological factors" (1961, p.7), are important to the economic development of nations. He later argued (1973, pp 7-8) that "there is ample evidence that tasks which sample job-skills will predict proficiency on the job." And then he goes on to say: "To pick future businessmen, research scientists, political leaders, prospects for a happy marriage, they will have to make careful behavioural analysis of these outcomes, and then find ways of sampling the adaptive behaviour in advance." For McClelland, therefore, effective performance at a job could be defined in terms of certain behaviours which could be isolated and described in a form which allowed them to be measured.

The Hay McBer Group, of which McClelland was a founder, went on to identify those elements or behaviours which lay beneath successful business organisations.

An associate of McClelland at Hay McBer, Richard E. Boyatzis (1982), honed these thoughts further, offering a clear interpretation of the concept, and showing where McClelland's thoughts link into the kind of competency frameworks which now exist in organisations such as the Council:

> Effective performance of a job is the attainment of specific results (i.e. outcomes) required by the job, through specific actions while maintaining or being consistent with policies, procedures and conditions of the organisational environment…..specific actions cause or lead to specific results….certain characteristics of the person enable him or her to demonstrate the appropriate specific actions. These characteristics can be called competencies….When the responsibilities of the job to produce the desired results require the demonstration of specific actions, the individual draws on his or her inner resources for the capability to respond. (p.12)

For Boyatzis, there are three elements to effective job performance, of which competencies are one.

This is represented diagrammatically in Fig. 3.2.
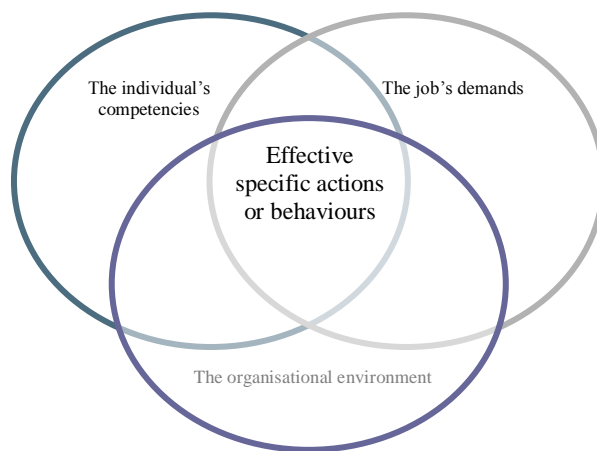
Fig 3.2: A model of effective job performance reproduced from Boyatzis (1982) p.13.

The three components are complementary, so:

- "job demands" describe "what a person in the job is expected to do;"
- the "organisational environment" component reveals: " …primarily how a person is expected to react to job demands."
- "The individual's competencies component" reveals "why he or she may act in certain ways." (ibid.)

Both McClelland and Boyatzis promulgate their interpretation of the understanding of what makes an effective manager on an understanding of the nature of the job itself. This may be referred to as "job analysis."

Job analysis: competency compared to professional standards.

Job analysis is a key part of the process, but can lead to quite different interpretations and use of the outcomes. Eraut (1994 pp.169-179) describes these different outcomes to the use of job analysis: "Competency-based Training and Education (CBT)" involves the breaking down of a job into a series of tasks, which themselves might be broken down into sub-tasks. The trainee can then be supported in improving their abilities to perform these tasks. This was popular in North America in the post second world war period, and in education can be associated with Tyler (1949), whose approach to curriculum design finds its modern manifestation in the National Curriculum, which is based on identified learning objectives. "The most useful form for stating objectives is to express them in terms which identify both the kind of behaviour to be developed in the student, and the content or area of life in which this behaviour is to operate." (p.46)

For teachers and headteachers, this model can be identified with the professional standards which have been designed to interpret the functions of the roles that members of the teaching and support staff professions must demonstrate in order to be seen as competent in their jobs. Male (2006) describes this as the "Occupational Standards approach," which "describes the outcomes that a leader, manager or management team has to achieve in order to demonstrate competent performance" (p.61). Since Male's work, in addition to the standards for headteachers, professional standards were introduced in 2007 for all teachers, as well as National Occupational Standards (NOS) for support staff. The similarity of these to the CBT approach is seen in their use to determine objectives in Performance Management for teachers, where CPD might be offered to the teacher to assist them in achieving an objective couched in this way. Hogg (2008) reporting for the Chartered Institute of Personnel and Development (CIPD), the UK organisation which validates and controls qualifications in the field of Human Resource Management, and as such the leading UK authority in this field, makes the key distinction between competencies and occupational standards, describing the latter as "operational outcomes."

The work of McClelland and Boyatzis, however, falls into the category that Eraut calls "generic approaches to competence." For Boyatzis (1982), building on McClelland, this was a process to identify the characteristics of managers who were superior performers

compared to the average. Essentially it describes those behaviours which are transferable between contexts, although there may nevertheless be contextual factors which affect overall performance, and the balance between different competencies may alter from, for instance, school to school, especially between phases in education or size of school. They are rooted within the individual, and the individual can draw on them to address situations which arise in the course of their work. This approach can also be termed the "personal qualities" approach.

Male (2006) describes how Spencer and Spencer (1983) attempted to bring the two systems together, defining occupational standards as that part of an iceberg which is "above the waterline, 'observable,'" whereas personal qualities, or competencies are "below the waterline" and "contribute in an invisible way to skilled behaviour." Robertson, Bartram and Callinan (2002) take the argument further, emphasising the need to recognise a personal dimension to the job analysis process which can be overlooked:

> Traditional work-oriented job analysis has focused narrowly on job characteristics: activities, tasks, duties and responsibilities. While this approach has been useful for defining the skills needed to perform many blue-collar jobs, it has been less successful in defining what is required for someone to be successful as a manager. Task-based job analyses tend to provide only part of the picture for higher level jobs and also tend to miss the personal characteristics that enable us to generalize about the transfer of competence from one job or position to another. (p.105)

Jirasinghe and Lyons (1996) use and seek to develop the approach described above and transfer it into the context of Headship. They state how these are "techniques widely adopted in non-educational sectors, but hitherto not systematically adopted within education." (p.119) They emphasise the difference between competence and performance (p.40), showing how competence of itself does not guarantee satisfactory performance, but that there must be complementary competencies. In pages 47-89 they discuss a research project undertaken using two different types of questionnaire, a Work Profiling System "focusing on key job task and context elements" (p.47), and the Occupational Personality Questionnaire, "providing an orientation to heads' preferred behaviours and ways of working" (ibid). Using the outcomes of this research, which involved a cross-sectional sample of 255 heads, they identify their view on management competencies for headteachers. This is work which in many ways mirrors that of others

who have attempted to codify the competencies into a series of frameworks (See below, pp. 72 et seq.). This particular model does not seem to find subsequent reflection in the models which have emerged. Its influence must therefore remain in the realm of the theoretical rather than the practical.

For those currently working in schools, and with increasing rigour since 2007, when the new professional standards for teachers were introduced, and again revised in 2012, the occupational standards approach is the one that they must work with in their everyday activity, because it is against these standards that their performance is judged, and from September 2013, their levels of pay determined. Judgements around the induction of Newly Qualified Teachers (NQT), and the right to pay progression for all other teachers, including those on the leadership spine (i.e. headteachers, deputy and assistant headteachers), are measured by performance against the Professional Standards, following procedures which each school has to publish through a pay policy. To assist schools in achieving a consistent application of the standards which is therefore fair to all teachers in all schools managed by the same Local Authority, (and therefore obviate the possibility of litigation and equal pay claims locally), a benchmarking tool has been created which shows the standards benchmarked at three levels, using interpretative statements which show both the teacher and any observer what might be seen in the teacher's practice if a given standard is being met to a given level. To assist pay progression, the evidence is described as emergent, expected and exceeding expectations, according to the pay level of the teacher, and therefore what might be resonably expected at that pay level. The level of pay of a teacher or school leader is no longer chronologically determined, and therefore a teacher may be seen to be demonstrating levels of performance beyond that which their chronological service might suggest; i.e. a Newly Qualified Teacher (NQT) might consistently deliver outstanding teaching which would exceed expectations. These expectations are inevitably, in the context of current accountability measures dictated by the national inspection regime, and couched in terms which match the judgements likely to be made by school inspectors, which tend to be based almost entirely on pupil outcomes or clearly measurable data.

It has been demonstrated in this section, however, that relying entirely on the extent to which an individual meets the professional standards may give an incomplete view of their overall performance. A school leader who lacks interpersonal skills may achieve

results through the imposition of authority, and this may give an outward impression of a successful school; the ethos of that school among its workforce may nevertheless leave much to be desired. It is inappropriate, therefore, to ignore those personal characteristics which underlie performance, and which make a difference to the individual's capacity to perform the functions described in the Standards. In Boyatzis' diagram (Fig. 3.2 above), the standards can be taken to represent the demands of the job. It is, therefore, useful to bring the two systems together, and it is indeed possible to interpret the standards in the light of associated competencies, asking the question "what underlying personal characteristics and behaviours allow the successful delivery of the function described in the Standards?" This is a process that ERYC has sought to do by introducing its Competency Framework into the development of school leaders, and producing an interpretation of the School Leadership Standards in the light of these competencies (Stork 2009, reproduced as Annex 1, p.248). The manner in which this was brought about is discussed below.

Section 2: The Development of Leadership Development Centres

Having determined that competencies can be used as a measure of how effective an individual might be in the role as manager, and given that competencies are inherent to the individual and therefore transferable from one context to another, by arriving at an assessment of how developed these competencies are in each individual it ought to be possible to identify potentially good future managers, or, equally to identify areas for development in existing managers. This is essentially the process which McClelland began. This concept has given rise to the emergence of models of assessment of these competencies, and their use in two ways:

1. To assess the readiness of an individual for a particular job, and therefore often used in whole or in part, in the selection process for making appointments, typically at a more senior, managerial level. This model is essentially referred to as the "assessment centre."

2. To nurture and develop individuals' competencies in readiness for future promotion or career enhancement. This model is essentially referred to as the "development centre."

In essence the two types of centre share many characteristics; their purposes are clearly different, however, and in this respect, the manner in which an individual might approach one or the other will almost certainly be different. This thesis is concerned with the introduction of the development centre model to staff in East Riding schools, but in exploring this, and since the concept of the assessment centre was a precursor to that of the development centre, it will be necessary to examine both. This section will explore how these concepts have emerged, and describe their key characteristics.

Jirasinghe and Lyons (1996) state (p.118): "The assessment centre process [...] is presented as the most accurate and valid measure currently available to assess headteacher competence." In view of the fact that there had been, up to that point in time, little use made of the model, and indeed there is little evidence of its widespread use more recently, this seems to be an ambitious statement, however, there is evidence to suggest that the assessment centre for development purposes (as opposed to those used for selection purposes) does have a credible track record, in the non-educational

sector at least. Some attempts have been made to use the model in the educational sector, and these will be explored later in this chapter.

Jirasinghe and Lyons, and Thorne (2011) both quote an illustration originally published by Smith (1989) which shows a comparison of various forms of selection method, and suggests that of the various selection models used, assessment centres for developmental purposes have the highest potential success rate, although there is no indicator in the literature as to how this conclusion was reached, and the original article has proved impossible to trace.

Fig 3.3: Better than chance? adapted from Smith (1989)

1.00	← Perfect prediction
0.9	
0.8	
0.7	← Assessment Centres (promotion)
0.6	Work Sample test
0.5	ability tests
0.4	assessment centres (performance)
0.3	situational interviews
0.2	bio-data
0.1	personality tests
0.0	interviews
-0.1	references
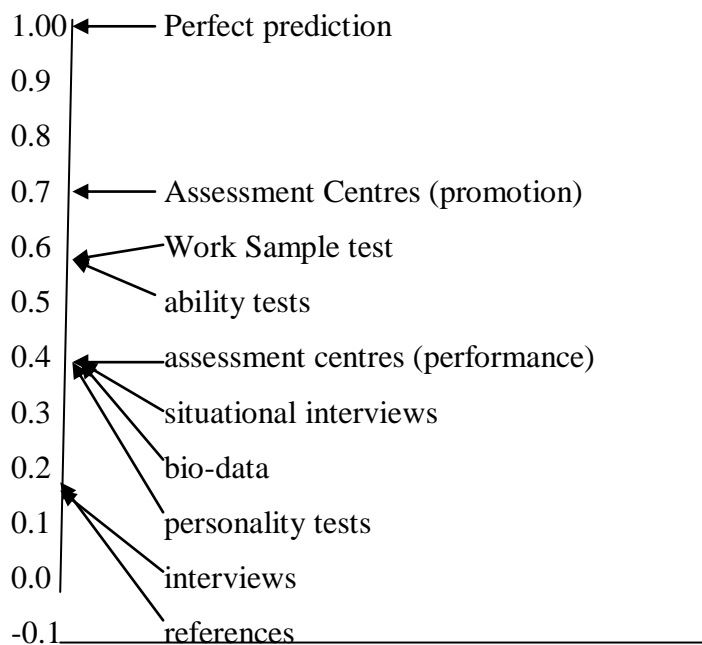
The original illustration also includes astrology, graphology and chance prediction, all of which score zero on reliability! It is also perhaps a sobering thought that the vast majority of headteachers are appointed following interview and references (both of which have a score of 1.5 in terms of their reliability), with perhaps, but not always, the inclusion of a limited range of work-related exercises such as lesson observation or data analysis.

As a serious comparison, data on the individuals in the first 18 cohorts of the East Riding Leadership Development Centres, which are closest in nature to the category Smith describes as "Assessment centres (promotion)," and which provide the sample population for this research, show that 63% of those attending have since progressed in

their careers. This data is analysed in greater depth below, but would perhaps support the view that a 0.7 reliability rating is not entirely inappropriate.

Woodruffe (2000) provides a useful history of the use of assessment centres and their development over time. Assessment Centres owe their origins to the War Office Selection Boards (WOSB) first used for the selection of officers in 1942, and seen as a more effective way of identifying suitable leadership material. He explains how this example was followed by the wider Civil Service particularly the British Civil Service Selection board (CSSB), and public sector, using the idea of "extended interviews" with a focus on group activity, and how, by the mid-1950s, the private sector had begun to use the model, particularly in the USA. This view is borne out by Joiner (1989), and Robertson et al (2002, p.126), who describe how first the American Office of Strategic Services (OSS)[xiii] "developed procedures derived from WOSB" and then, cite a selection process used by the American Telephone and Telegraph (AT&T) company, as, first, derived from the CSSB model, but also as having "a special place in the development of assessment centres, partly because of the systematic follow-up work that was done to assess the predictive validity of the assessments made." They go on to say: "The validity evidence for the AT&T procedures was favourable and attracted the attention of assessment specialists in other organizations, who then developed assessment centres, modelled on the AT&T approach, for use in their own organizations." Joiner shows how this study, spread over eight years, showed that "eighty-five per cent of the individuals who achieved the middle management level had been correctly identified by the assessment process." (p.171). West-Burnham and O'Sullivan (1996) support the view that this process was more immediately influential in the USA, and in doing so, reinforce the view expressed in Chapter 1 of this thesis about the manner in which leadership development in English schools (up to the point at which they wrote their analysis), had tended to be more of an experiential haphazard occurrence, rather than a planned, developmental approach: "...in the UK there has not been the same tradition of training for managers, either in the business/commercial world or in education, the emphasis being on learning through experience on the shop floor." (p.11)

The notion of the "development centre" grows out of the assessment centre. Woodruffe (2000, op.cit.) shows how the "development centre" differs from its predecessor the

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[xiii] Joiner (p. 171) describes how the OSS assessed 5391 persons between 1943 and 1945

assessment centre by removing the notion of failure, and making the participant much more part of the process. The opportunity to self assess against the competency framework, discussion with assessors and the use of reflective logs all form part of the East Riding development centre model, and therefore show this important trait. As Woodruffe puts it (p.44), "participants and observers collaborating to identify the participants' strengths and development needs." This leads to the important distinction between assessment centres and development centres which is echoed in the founding principles of the East Riding model: an emphasis on the motivating effect of being "developed" as against the demotivating effect of pure assessment.

Arnold (1997) identified a number of reasons why organisations would choose to use development centres (p.60):

1. Feedback [to the individual] to assess detailed information on their work behaviour
2. Encourage assessees to consider how to develop competencies they currently lack
3. Encourage discussions between assessees and their line-managers about the assessee's future development and the production of a development plan
4. Review the overall pool of competencies available to the organisation
5. Enable high-level HR or other managers to consider the future assignments and training of assessees in the light of the competency profiles
6. Identify high potential staff who might be eligible for future fast-track development.

Both 4 and 5 are clearly less practicable when the development centre deals with individuals from different organisations or departments, but feasible in a group situation, with assessees drawn from the same school or organisation. The ER has developed a bespoke leadership development model used in exactly this way within single schools or a group of schools working collaboratively. One example of where this worked well was in a secondary school where fifteen middle leaders undertook the programme. They each received a 360 degree assessment against the ER Competency Framework and a Myers-Briggs Personality Type Indicator[xiv] report, from which they assessed their three major strengths and areas for development. They then identified a project to undertake in order to address their personal development needs, and, following training provided by the LA team on change management issues,

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[xiv] The MBTI, which is a well-respected and much researched psychometric testing instrument, and its place in the ER Leadership Development Programme is discussed more fully below in the section "Critical examination of instruments"

implemented their change projects. These projects will deliver significant and important change for the school whilst securing the development of the individual.

Apart from the obvious succession-planning which the development centre model encourages, and which is suggested in Arnold's list, there are other ways in which the development centre concept and the school-based diagnostic process with both aspiring and established school leaders might be used. Attendance at the East Riding Leadership Development Centre has therefore been used by schools and by the Local Authority in the following additional ways, which do not feature in Arnold's list:

1. To address issues in schools in the OFSTED categories of special measures or notice to improve, or a school perceived by the Local Authority to be a cause of concern where leadership and management have been identified as a key issue for improvement

2. To address the competency of individuals in leadership positions who have been subject to capability procedures

3. To support individuals who have sought unsuccessfully to achieve promotion over a protracted period of time

4. To enable existing school leaders to take stock of themselves and consider their future

5. To support newly-appointed heads, co-heads and deputy heads at the beginning of their appointment.

6. To assist headteachers in the establishment of effective leadership teams in their schools. This frequently involves the use of the wider programme of activities.

Woodruffe (op.cit.) identified key activities found in assessment centres initially, which can be seen also in the development centres derived from the assessment centre model (p.3). The following lists compare Woodruffe's key features with the development centre model used in the East Riding.

Table 3.1: Development Centre Activities and their manifestation in the East Riding

Activities might include:	how shown in the East Riding model:
• Simulations	Case-study; presentation; timetabling exercise
• One or more interviews	Competency-based interview; reflective interview
• Psychological tests	Myers-Briggs, mental attitude test
• Self assessment	360° appraisal, reflective log, reflective interview
• Peer assessment	360° appraisal, feedback following presentation

He also identified key features:

Table 3.2: Key Features of Development Centres and their manifestation in the East Riding

Features:	how shown in East Riding model:
Trained assessors	All assessors have been Centre delegates and shadow an experienced assessor before undertaking the role fully
A ratio of 1:2 or better	Delegates and assessors are paired: each centre can accommodate a maximum of 8 delegates with 8 assessors; each pair of assessors takes overall responsibility for one pair of delegates, giving a ratio of 1:1 overall
Delegates seen by more than one assessor	All delegates are assessed by a minimum of six assessors over the two days ("spare" assessors allows for the avoidance of certain delegates, for instance if an assessor has personal knowledge of the delegate, thus maintaining impartiality)
Use a combination of methods	Each competency is assessed more than once in different activities over two days
Information brought together	feedback is given competency by competency, addressing both operational and interpersonal behaviours.

Woodruffe also makes significant comments about the differences between assessment and development centres in their organisation and management, suggesting that there are "fewer hard and fast rules about development centres" (p.45):

Table 3.3: Issues in development centre usage and how they are addressed in the East Riding:

Issue	how addressed in ER centres:
Need for openness	The competency framework is shared in advance at a pre-centre meeting; the structure is explained, and delegates warned about the long interview
Less need for fairness	as "unfamiliar situations can indicate area for development." Because the ER LDC deals with both established and potential leaders, this is frequently the case, and points to a clear action plan.
Delegates can role-play	they give each other feedback in the presentation; work as a team in the group exercise. This is not possible in a competitive assessment situation
Assessors adopt a coaching style	This happens frequently where assessors form a relationship with the delegate over the two days and often act as mentor or coach subsequently to that delegate; advice is often given informally as part of the interview process, for instance, and the nature of the feedback is clearly intended as a coaching opportunity.

There is an important element of self-awareness built into the development centre approach. The centrality of self-awareness to such an approach can be illustrated using the example of the British Financial Ombudsman's Office. The Financial Ombudsman's Office is a national government organisation set up to receive requests from members of the public to investigate and determine a course of action where there is dispute over a matter of finance. As such, it must keep abreast of the ever-changing world of legislation, and therefore was faced with a crisis of staff turnover as a result of both the frequent changes to legislation and individual workloads. It therefore set about retaining its employees through a process of career alignment using the self-awareness of

individuals and their readiness for a career move to guide the organisation as to which employees were ready to develop, seeking a new challenge, and therefore in danger of leaving the organisation. A presentation by this organisation at the national Public Sector People Management Conference in London (Harding and Stansfield 2007) was a major catalyst for stimulating the development of a similar approach to succession planning in East Riding schools. Woodruffe suggests, in line with the survey of schools carried out by Sheffield Hallam University (2009) for the Regional Development Organisation "Yorkshire Forward," that (p.46), Development Centres have the benefit of retaining employees, partly because they empower people not just to carry out development, but also to have a realistic self-view. "A well-designed development centre might reduce the frustration people feel from failing to advance by promotion." As we shall see below, the impact of the LDC on those people whose careers have not since advanced is as important as the impact on those who have used the LDC as a springboard to the next stages of their career. There is evidence, as we shall see in the responses of individuals to their experiences in the East Riding Leadership Development Programme, to suggest that this has been the case in the East Riding.

In addition Schmidt et al. (1986 pp. 1-29) showed that there can be a change in self perception from the pre- Centre self to the post- Centre self. This is a key factor in the role of the development centre; ideally the delegates should leave with a clear perception of themselves, with a clear identification of their areas for development, particularly if they are seeking to progress in their career, or at the very least an affirmation of their attributes and, particularly through the 360° appraisal, an understanding of the views of their colleagues. Research among the participants in the ER LDC will seek to determine the extent of this.

In spite of the claims to accuracy made by Smith, and quoted by Woodruffe and Thorne (see above), Eraut (op .cit. p.174), sounds a note of caution:

> Another important by-product of the generic competency approach has been the growth of management-assessment centres. These are independent organizations which use a range of off-the-job techniques such as tests and simulations to assess the competence of managers and predict their future potential. They are widely used but by no means universally accepted.

Although he does not elucidate on the extent of this lack of acceptance, and clearly the East Riding Centres are not "independent," he alludes to three sources of difficulty:

1. the methodology used in some of the original McBer work to derive the competencies
2. an assumption that there is a single type of "good" manager
3. whether competencies are learnt, inherited or both

Woodruffe himself suggests (p.60) that there is "not a great deal of evidence on the development value of the Centre itself." Or that what evidence there is is "somewhat equivocal." This should not surprise us, however, if we accept the statement by Jirasinghe and Lyons (op cit. p.108) that "competency-based assessment for management development is essentially about the diagnostic process." The individual then has to do something with the learning from the Centre. In order to overcome the kind of difficulty that Eraut describes, the East Riding Leadership Development Centre programme is augmented by a series of additional and optional experiences, including taught seminars as well as on the job opportunities and mentoring which complement the diagnostic process of the development centre and offer the individual the possibility to tailor the overall experience to their personal needs. The LDC itself is delivered using a variety of tools, not all of which are competency-based (Myers-Briggs, Mental attitude test), and these give a rounder picture of the delegate than may otherwise be possible.

The content of this section deals with the generic idea of assessment and development centres which are characterised by their use of a variety of job-based activities to determine the actual and potential competency of individuals. The models described in the literature quoted above, as well as the original iteration of the development centre concept in the East Riding were not used with schools. Indeed there are few examples of the use of the competency-based model in the educational context as the next part of this chapter will show.

West-Burnham and O'Sullivan (1996) do identify three competency-based models which were, at some time applied to the training and development, as well as the assessment, of headteachers. The first of these is the Hay McBer model of twenty competencies identified across a range of jobs. These competencies, form the basis of

the work of the Teacher Training Agency leading up to the Leadership Programme for Serving Heads. These competencies are reproduced below:

Table 3.4: The Hay McBer competency clusters reproduced from West-Burnham and O'Sullivan (1996) p. 11

Achievement and Action	**Helping and human service**
Achievement orientation	Interpersonal understanding
Concern for order	Customer service orientation
Information seeking	
Initiative	
Managerial	**Cognitive**
Developing others	Analytical thinking
Directiveness	Conceptual thinking
Teamwork and co-operation	Technical/professional expertise
Team leadership	
Impact and influence	**Personal effectiveness**
Influence	Self-control
Organisational awareness	Self-confidence
Relationship building	Flexibility
	Organisational commitment

The reader will perceive a resonance of these competencies in the East Riding Framwork set out later in this chapter.

A second competency based approach was created by School Management South, a consortium of 14 LEAs and 3600 schools, which led to the framework illustrated below. In the context of the development of leaders, the emphasis on the management aspect of the role may be seen as leading to a narrow interpretation of what it takes to be a good headteacher.

Table 2.5: School Management South Competence Framework (reproduced from West-Burnham and O'Sullivan (1996, p.12)
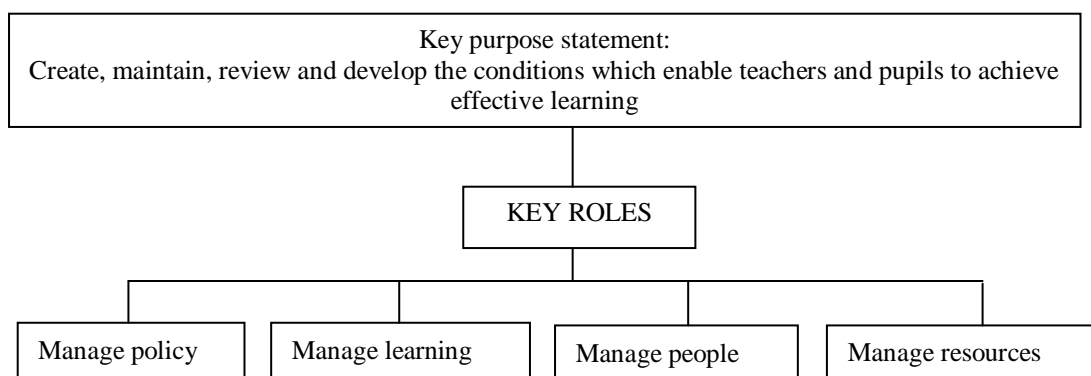
West-Burnham and O'Sullivan go on to describe how the McBer clusters were further developed initially by the National Association of Secondary Principals (USA) to provide a "set of generic competencies for use in assessment centres to provide information for the selection of candidates for principalship" (op. cit p.12), and then further adapted for use in the United Kingdom by the National Educational Assessment Centre (NEAC), based in Oxord. This involved the Secondary Heads Association in the UK with government support, and Oxford Polytechnic (now Oxford Brookes University). This framework is reproduced below:

Table 3.6: The NEAC Competency framework (reproduced from West-Burnham and O'Sullivan (1996) p.13:

ADMINISTRATIVE
1. Problem analysis
2. Judgement
3. Organisational ability
4. Decisiveness

INTERPERSONAL
5. Leadership
6. Sensitivity
7. Stress tolerance

COMMUNICATIVE
8. Oral communication
9. Written communication

PERSONAL BREADTH
10. Range of interest
11. Personal motivation
12. Educational values

It has proved difficult to identify the effectiveness of these or other, models, especially in the context of the impact that they may have had on those who were assessed against them. There are references to these and other forms of assessment and development centres in a range of writing, referred to above. However, this literature seems to focus on the mechanics of such processes, and not on the impact on the individual. It is therefore, equally difficult to assess whether or not these frameworks and processes produced more, in terms of numbers, or better, in terms of quality, headteachers. The assessment centre approach, in the view of West-Burnham and O'Sullivan did lead to the production by the Teacher Training Agency of the series of National Standards, first consulted on in November 1996. (TTA 1996a, 1996b). A National Professional Qualification for Subject Leaders, the NPQH and training for serving headteachers were part of this consultation. The relationship between competency and professional standards has already been explored above, and, therefore, how far the standards subsequently developed by the Teacher Training Agency reflected the notion of the competency frameworks illustrated above is questionable, and we will see below that, for instance, there are areas of competency contained within the East Riding Framework which are not found in the National Standards for Headship. A change of government also came about in 1997 with the election of the New Labour administration under Tony Blair, and this may also have changed the landscape in terms of a national view. The National Professional Qualification for Subject Leaders was never implemented, although the National Professonal Qualification for Headship (NPQH) was introduced, as was a Leadership Programme for Serving Heads (LPSH).

The latter deserves some exploration in the context of competency-based leadership development, as it does, in some ways come close to this model. Four Heads from the East Riding, three primary one secondary, who took part in this programme, when asked their opinion, all spoke of it positively, and Male, (2000) reinforces this view on one level: (p.6): "The LPSH has received enthusiastic praise from participants on the programme who generally seem very satisifed with a process that provides them with a rigorous self evaluation supplemented by high quality training in pleasant surroundings." The self-evaluation was provided through a 360° appraisal conducted against the characteristics of effective heads derived from interviews with 65 headteachers deemed, by the TTA, and as a result of Ofsted inspections, to be "highly effective headteachers." This led to the identification also of the individual's preferred

management style, and climate. A series of residential events with the same cohort of Heads followed. The characteristics of effective Heads were as follows:

Table 3.7: Characteristics of highly effective headteachers (TTA 1998) reproduced from Male (2000 p.6)

Personal Values and Passionate Conviction • Respect for others • Challenge and support • Personal conviction	Creating the Vision • Strategic thinking • Drive for improvement
Planning for Delivery, Monitoring, Evaluating and Improving Performance • Analytical thinking • Initiative • Tranformational leadership • Teamworking • Understanding others • Developing potential	Building Commitment and Support • Impact and influence • Being and holding people accountable
	Gathering Information and Gaining understanding • Social awareness • Scanning the environment

Male describes how these elements, combined with individual characteristics, leadership styles and the context for school improvement combine in the LPSH construct to lead to effective leadership (p.6). These elements were represented diagrammatically by the TTA as follows, in a manner redolent of Boyatzis (1982, see above Fig 2.2).

Fig 3.4: Model of Leadership Effectiveness (TTA 1998) adapted from Male (2000 p.7)

Individual characteristics
(characteristics questionnaire)

Leadership styles

Leadership Effectivenes

Job requirements
(Models of excellence)

Context for School
Improvement
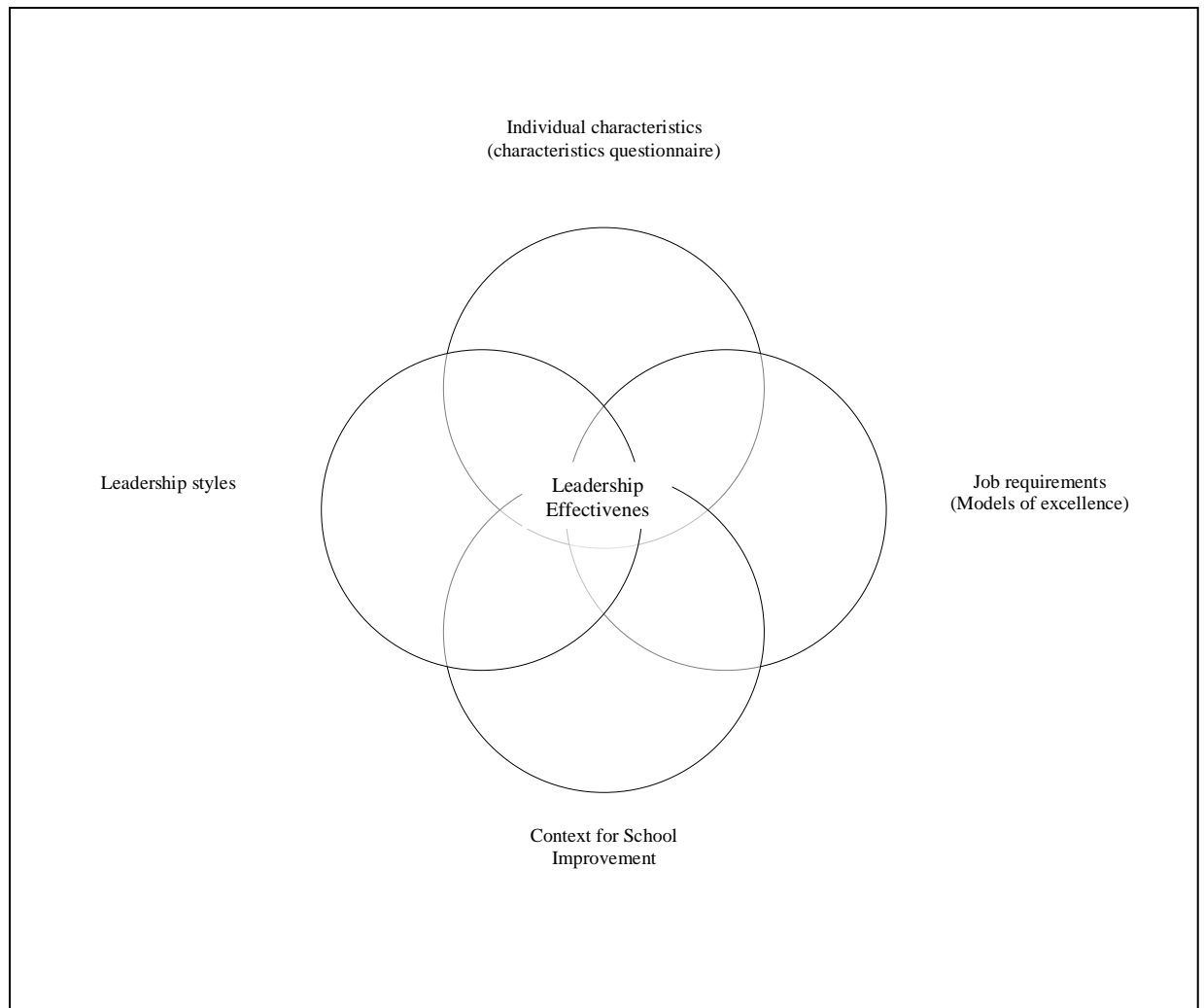
Whilst this might arguably be seen as the closest development model to the competency-based approach, and certainly arises from the same root, i.e McClelland and Boyatzis, Male, who, as stated earlier, had been a representative of the LAs of Greater London to the Schools Management Task Force, and therefore a first-hand witness of the developments taking place in the lead-up to the introduction of LPSH, is, in his article, less than accommodating in his appraisal of this process. In spite of the favourable response of participants, he is of the view that the model of effectiveness put forward by the TTA reflects more the political standpoint of central government than the actual nature of headship, and points out on page 7, the prevailing climate of "raising standards" as a key driver in the evolution of this model. He also suggests that the TTA regard certain of the six leadership styles as preferable to others, and that these reflect a more autocratic (Coercive, authoritative, pace-setting) than collegiate (affiliative, democratic, coaching) style. In some ways this should not surprise us, and in

some ways matches the criticism made by Eraut and quoted earlier in this chapter. We have already seen that the NCSL (who took over the TTA mantle for Headteacher development in 2000), have continued to promote a preferred leadership model which places low emphasis on affiliation (Fig 2.1, above), which would be a key factor in a collegiate model. In her riposte to Male, Crawford (2000) emphasises that the LPSH includes McClelland's work on the motivation drive, (power, affiliation and achievement), and it is important for Heads to situate themselves relative to this. She believes that the LPSH model is more flexible in its interpretation of the effectiveness of heads than the view Male takes, but cannot disagree that the flagship programme, and the one which led, at that stage to Headship itself, the NPQH, was far less flexible and does offer a given view of what headship should look like. Perhaps the notion that those on LPSH have already achieved headship status allowed for a little more latitude in the thinking. Whatever the relative merits of these arguments, the extent to which there is merit in regarding one given balance in the motivational factors as more desirable than another, or one model of leadership as more effective than another, is an area which I personally cannot find agreement with and would suggest that it is for the individual to accommodate their natural motivation within the context which they work, and use this, balanced with their competencies to adapt to the situation. This is an underpinning element in the work in the East Riding, which finds its expression in the context-free nature of the ER LDC.

The reality may be seen to lie in the fact that the LPSH model was part-way between the notion of competencies and the professional standards which were finally to hold sway at national level; it is a hybrid mixture of actions, personal qualities and competencies. Four of the five characteristics of highly effective headteachers are operational in nature: (Planning for delivery, monitoring, evaluating and improving performance; creating the vision; building commitment and support, and gathering information and gaining understanding). Only "personal values and passionate conviction" can be seen as a quality, and this is not a competency. The six headings of the professional standards as they finally emerged in 2003 (visioning the future, leading learning and teaching, managing the organisation, developing self and working with others, securing accountability and strengthening community), can be seen as related to the characteristics of effective headteachers, but by the time of their emergence, the pendulum had swung entirely towards the professional standards rather than the competency-based approach at national level.

It cannot be said, therefore, that the emergence of a standards-based approach to training and development of school leaders is truly the result of a competency-driven approach. As we have seen their origins and purpose differ. That the competency-based approach has been largely marginalised by first the TTA and subsequently by the National College in developing their assessment and development tools is perhaps redolent of a view expressed to me privately by a high ranking member of NCSL in a personal interview, but whom I cannot identify, that competencies can be reductionist, and turn into a simple tick-list. This view is reiterated by West-Burnham and O'Sullivan (1996, p.187). "what is not needed ... is a list of mechanistic, instrumental and reductionist competencies..."

This statement may be an unintentional confusion between the professional standards for Headship (which were nascent at that time) and the idea of competencies as described above, but whether that be the case or not, I intend to demonstrate that, in the manner in which the process is conducted in the East Riding, at least, there has been a tangible impact on participants, and the process, far from being reductionist, allows significant personal growth and insight.

Further issues relative to the inception of the East Riding Leadership Development Centres

The title "Leadership Development Centre"

It is of interest that when the Council created its original model, the title of the East Riding's Development Centre was a "Management Development Centre" (MDC). This was partly because the Council (as we shall see below), wished to develop its "Managers." The Council is arranged in strict hierarchical terms, and uses terminology quite rigidly; Heads of Direcorates (Such as "Children Family and Adult Services" (CFAS), are termed "Directors;" they in turn manage "Heads of Service," (e.g. the "Head of Improvement and Learning" (ILS), within CFAS), and within each service there are "Managers" (such as the Workforce Reform Strategy Manager," which was my role in the ILS). There is an annual "Managers Conference." Also, in order to be invited to attend one of the Council's Management Development Centres, an individual must already occupy a role with the title of "manager." It is not expected that aspiring managers should attend. As such, there are few, if any, development opportunities for those aspiring to promotion within the Council.

Furthermore, "Manager" as a title does not wholly represent the multi-faceted idea of the role which has become apparent in the development of the Council's Competency Framework, the evolution of which is described in the next section. This takes a much more holistic view of the individual, and implies leadership as well as managerial qualities. It is certainly the case with managers in schools, whether at middle or senior level, that they are required to lead as well as manage, and, therefore, when adapting the MDC model for use with schools, partly to reflect the change of context, from the Council to the school, and therefore to distinguish the Council's MDC from the Schools' model, but also to reflect the changing face of school leadership, the name "Leadership Development Centre" was chosen. This corresponds to the changes in school leadership development as identified by Simkins (2013 above), but also the significant difference from the Council's model shown by the fact that not all the delegates who attend the Schools' LDC are already "managers." The purpose of the schools' LDC is to assist individuals in their quest to become managers whether at senior or middle level, and the range of delegates in terms of age and career stage is testimony to this.

Towards a definition of Leadership and Management

"Leadership and Management" are frequently confused and treated as a single entity. This is true in the OFSTED inspection Framework, where a single judgement is accorded to this complex element of the School. Leadership and management roles and responsibilities are, frequently, invested in the same individual. Whether it be the Headteacher of a small primary school or a secondary head of department, these roles combine what Alimo-Metcalfe and Alban-Metcalfe (2002) describe as follows:

> Management can be thought of as an essentially static 'closed-ended' activity of dealing with day-to-day events, and maintaining the *status quo,* whilst leadership is essentially dynamic and 'open-ended' – challenging the current practice and dealing creatively with the way in which an organisation can utilize its potential to move forward and deal successfully with the future

They present their argument in tabular form as below:

Table 3.8: Comparison of leadership and management (reproduced from Alimo-Metcalfe and Alban-Metcalfe (2002), p.317 (adapted by them from Kotter 1990)

Activity	Leadership	Management
Agenda creation	*Establishing direction:* Developing future vision. Articulating the vision in a way to inspire others	*Planning-budgeting* Developing detailed strategic plans. Allocating resources
Human resource development for achievement	*Aligning people:* Enthusing others to join in achieving the vision. Creating teams that understand and are engaged in developing the vision and the means to achieve it	*Organizing/staffing:* Developing planning and staffing structures, aims and objectives. Providing policies and procedures for guidance, and monitoring systems.
Execution	*Motivating/inspiring:* Energizing staff to overcome barriers to change by inspiring, maintaining positive expectations, valuing and developing	*Controlling/problem-solving:* Detailed monitoring of results. Identifing deviations, organizing corrections.
Outcomes	*Tends to produce:* Change, often dramatic. Potential for effective change	*Tends to produce:* Order/predictability, efficiency. Results expected by stakeholders.

Elsewhere in the same chapter, they expand the definition using the terms "transformational" for leadership activity, and "transactional" for management activity. In making this distinction, they use the terms as coined by Bass (1985), whereby "an essential distinguishing feature of leaders is their ability to transform followers 'to perform beyond expectations'." They go on to say (p.311):

> However, transformational leadership is not seen as being sufficient for effective organizations. Rather, for an organisation to be successful, transformational leadership must be accompanied by effective management - or 'transactional leadership' as it is now commonly labelled.

 This distinction becomes important in the response of delegates to the activities of the LDC, and is discussed in greater depth in chapter 6.

In recent times, a consortium of organisations in the Yorkshire and Humber region all involved in leadership development collaborated to create the "Centre for Leadersip Development Across the Region" (CLEAR). Partner organisations included the Local Authorities of the former Humberside (ER, Hull, North and North East Lincolnshire), the Universities of Hull, Leeds Metropolitan and York St. John, local training schools (now defunct as a concept), the NCSL and commercial organisations such as Blue Sky Swift and the Urban Leadership Programme. This group evolved its own definition of the stages of leadership and defined the concept of leadership and management for their own purposes. This definition was published on the ER Leadership Programme's VLE (http://erldp.eriding.net) as follows:

'Leadership at all levels of the organisation is being able to make judgements about the balance of internal and external challenges and being able to develop and lead confident people, who can flexibly respond to such challenges.'

Area 1: Leading Self and Learners (e.g. Mainscale teacher, specialist support staff e.g. data-managers, exams officers)

Area 2: Leading Others (e.g. middle leader; subject coordinator, business manager)

Area 3: Leading Leaders (e.g. Senior Leadership Team member, Deputy Head, School Business Manager)

Area 4: Leading Systems (e.g. Advanced School Business Manager)

Area 5: Leading an Organisation (e.g. Headteacher)

Area 6: Leading Multi-complex or Multi-Organisations (E.g. Executive Headteacher)

Whilst recognising therefore, that leadership and management represent different conceptual activities, this thesis will continue to use the terms jointly in the context of the competency framework and its necessity to encompass the full range of leadership and management activity that an individual needs to undertake in the course of their job.

Section 3: The introduction of competency-based leadership development in the East Riding of Yorkshire

The need for an East Riding Competency Framework

In 2002, East Riding of Yorkshire Council, under the guidance of the then Chief Executive Darryl Stephenson, published its declared intent to become a "top ten per cent" performing authority. It evolved a strategy to achieve this called "Striding Ahead." This in turn contained a number of strands, one of which was "Organisational Development" and this has persisted as a designated team within the Council's structure.

The motivation for creating this formalised approach to organisational development was a perception that within professional organisations promotion into managerial positions was often promulgated on the abilities of the person to do their existing job well. This job, whether social worker, town planner or accountant involved the mastery of technical and professional knowledge, understanding and competence related to their field, but not necessarily the skills and abilities to manage other people. Eraut (op.cit p.167) describes this as the "Peter Principle." "The 'Peter principle' stated that people were generally competent, but then got promoted until they reached the level at which they became incompetent"

The perceived result was that the quality of leadership and management could be improved if potential and existing managers were given opportunities to develop this aspect of the role. The Council also took the view that effective leadership and management was the key to overall improvement, but that to achieve this, it was necessary to grow individuals within the organisation. I have been able to hold discussions with two of the leading persons involved in the creation of the Framework, one, a senior Human Resources Officer from the Council with a background in training and development, and one from Hull University, a lecturer in occupational psychology. These conversations were held early in the data collection process for this enquiry, were conducted informally and notes taken by the researcher. The interviewees both provided documentation to support the views they expressed, including, in the latter case, lecture material.

Both affirm that the personal vision on the part of the Chief Executive is regarded as the main driver behind the development of the model, and leads to a particular emphasis within the chosen competencies which underpins the East Riding model. This feature is the competence described in the first framework as "Managing Performance", but now explicitly called "Maximising Potential and Managing Performance." In other Frameworks studied, some element of this competency is featured, but it does not usually feature as a competency in its own right.

Support for the idea of developing your own staff into leadership positions has emerged also in the field of education. OFSTED (2009) argues that a key feature in the improvement of the schools contributing to that study has been the drive to improve the quality of staff from within caused by difficulties in recruitment. A study commissioned by the Regional Development Agency "Yorkshire Forward" (Sheffield Hallam University 2009) into recruitment and retention of school staff in Yorkshire and the Humber equally found that where staff feel valued and their development needs are met, they are more likely to wish to remain in the school. The argument applies equally at Local Authority level: where it can be seen that the LA is willing to support the development of staff within its schools, offering them opportunities to advance their career as appropriate. One delegate from the ER Leadership Development Programme who is a member of the sample population, and who has since moved on to a deputy headship, reported in her evaluation that because the LA was willing to invest in her, she decided to seek her promotion within the East Riding, which had not been her intention.

The East Riding Competency Framework: genesis

Having taken the decision to introduce an East Riding Competency Framework, Council Officers worked with experts in the field of Occupational Psychology in the University of Hull. Earle (2009), one of those who worked on the project, recognises three phases in the development of a competency framework leading to its use for assessment and recruitment purposes:

1) Job analysis;

2) Mapping competencies against the analysis;

3) Developing assessment tools.

This matches exactly the sequence described by Eraut, above. The East Riding model also sits in the "personal qualities" approach, or Eraut's "generic competencies." This derives from the need to obtain a Framework which allows the assessment and development of managers from across the Council, bearing in mind that the Council is the largest and most diverse employer in the East Riding.

The preparation which went into the East Riding Framework took several strands, which can be seen as the "job analysis" phase of the process:

1. Desk-top work consisting of converting the language used in the "Striding Ahead" documents into behaviours

2. Obtaining existing competency frameworks from other public and private sector organisations for comparative purposes

3. Commissioning a group of MBA (Masters in Business Administration) students to undertake a consultation exercise to determine the features of "good" managers.[xv]

4. Dedicating time at the 2002 Managers' Conference to an exercise in establishing a perception among managers as to what constituted effective management.

5. Creating a sub-group within Striding Ahead to deal with Manager development. This group received and analysed the outcomes from the above research.

[xv] Those undertaking the MBA in the Council are usually already managers themselves, and as part of the degree, undertake a "consultancy" project commissioned by a sponsor.

A matrix was devised with the outcomes from each of the above sources tabulated for comparative purposes. The role of the University was to sift out duplication, and create a model which was "observable" in practice, and could therefore be assessed. Resulting from this was an initial Framework consisting of nine competencies, and these were used in further collaboration with the Occupational Psychology Unit at the University of Hull to translate into a Leadership Development Centre. The first of these included the Chief Executive as a delegate, and other Senior Leaders in the Council were assessed against the Framework, with ensuing strengths and areas for development defined.

Revision of the Framework

The initial Framework of 9 competencies was published and brought into service in 2003. In 2006, however, a paper was produced by the Directors of Corporate Policy and Strategy and Corporate Resources for the Corporate Management Team which described how the Framework needed to evolve in order to adapt to changing need (Shores et al. 2006). The writers say:

> Many other organisations are now developing competency frameworks for all staff. It is considered 'leading edge' to use them across the employment spectrum for recruitment, appraisal and training and development. In addition the effective use of competency frameworks can provide a structured and visible approach to succession planning. (para. 1.2)

The views expressed above are supported by Hogg, (2008) who comments on the responses of 398 organisations who replied to a CIPD survey about their use of competencies and competency frameworks. 60 per cent of these respondents had a competency framework in place, and 48 per cent of the remainder intended to introduce one (p.2). She comments that of those proceeding without a framework, the majority were in the private sector, employing less than 250 workers. She therefore concludes that "with the exception of a proportion of small private sector firms, competencies seem to be an accepted feature of a modern organisation." Enquiries reveal competency frameworks in use in other local authorities, and even voluntary sector organisations.

Feedback had been accumulated from the evaluations of participants at the early leadership development centres, and this "highlighted a need for differentiation between

managers at different levels and a need to strengthen the competencies in relation to change management and emotional intelligence" (Shores et al., 2006 para. 1.7).

In addition to identifying the new competencies to fit the changing context, they were divided into three tiers appropriate to the different levels of management: (para 2.2). Table 1 shows these modifications.

> Level 1* competencies would be for all staff. Level 2** competencies would be for those staff managing people or resources and level 3*** competencies would be for senior management (suggest SMT and above). (my asterisks)

The rationale behind the modifications is described in the following bullet points from the report (Para 2.3, my symbols):

- 3 incremental levels assisting succession planning
- the former change, customer focus and working collaboratively competencies have been divided to reflect strategic and operational issues
- there is 1 new competency to reflect change of use (recruitment/performance management induction). This competency is technical and professional development;†
- 1 new competency to strengthen emotional intelligence‡
- 1 new competency to focus on the partnership agenda††
- other competencies changed to reflect new challenges, eg performance culture, Gershon[xvi] etc.‡‡

These changes are shown in Table 3.9

[xvi] Gershon is the name of the government official responsible for introducing a series of performance measures into local government designed to bring about economic efficiencies

Table 3.9: A comparison between the original and revised East Riding competency frameworks.

Original Framework (2003)	Revised Framework (2006)
Customer Focus	Customer Focus*
Managing Performance	Maximising potential and managing performance**‡‡
Planning, organisation and project management	Operational planning**
Driving change	Change management**
Analysing	Problem-solving *
Focus on efficiencies	Driving efficiencies and effectiveness***‡‡
Working collaboratively	Collaborative working***
communication	Communication *
Inspirational Leadership	Motivating others to excel**
	Focus on the Future***
	Personal effectiveness*‡
	Community Leadership***††
	Team-working*
	Professional and Technical competency*†

The final Framework is as follows:

Table 3.10: The East Riding Competency Framework

	Level 1	Level 2	Level 3
Leadership			•Community Leadership •Driving Efficiencies •Focus on Future •Maximising Partnerships
Management		•Managing Change •Maximising Potential •Motivating Others •Operational Planning	•Managing Change •Maximising Potential •Motivating Others •Operational Planning
Core	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development

This has led to the Framework being used in Employee Development Reviews (EDR), the Council's Performance Management process, as well as the two-day Leadership Development Centres. At these Centres, managers from several different parts of the Council are brought together to be assessed against the Competency Framework. Managers at all levels have been required to go through this experience. Significant in this process is that the background, training and areas of expertise of these managers are all significantly different. They are all, however, able to derive meaningful outcomes from the Centre which places emphasis not on the professional and technical elements of their work, but on the perceived generic aspects of leadership and management which the competencies represent.

So far, competencies have been described using their overarching title. We have seen from McClelland's work, however, that there is an observable link between competencies and the behaviours of the individual. What does it mean, for example to be a good communicator? How might the opposite end of the spectrum of behaviours be shown?

Each competency is therefore broken down into a series of statements, and each statement is accompanied by a number of positive and negative descriptors which show what the behaviour of the individual would look like if that competency was, or was not being demonstrated. These descriptors are extensively used, for instance, to assist work colleagues when they are asked to complete a 360 degree appraisal of a colleague using the competency framework, as they are reproduced on the 360 degree response sheet.

The Whole of the ER Competency Framework can be found at Annex 2; the "Communication" competency is reproduced here by way of example.

Table 3.11 The Communication competency from the East Riding Framework

Communication – Using Interpersonal Skills to relate confidently with others to understand and be understood

	Positive	Negative
Listens actively	• Listens to others • Shows they are listening • Allows others to have their say • Builds rapport	• Listens but fails to act/respond • Does not listen • Takes over, does all the talking
Questions and Summarises	• Uses a range of questions to gather information, check understanding and clarify points • Summarises understanding of pertinent points • Encourages listeners to ask questions or clarify understanding	• Does not seek questions and debates • Responds negatively to questions • Questions are unclear • Uses rapid fire questions without giving anyone chance to answer
Shares information	• Speaks up at meetings • Shares information early • Regularly communicates with others, in and outside the team	• Gossips • Waits to be asked for information • Does not share information • Shares only when has to • Keeps people in the dark
Delivers information clearly	• Is consistent (including verbal and non verbal communication) • Presents difficult ideas and information/problems in a way that promotes understanding • Uses plain English • Uses brand guidelines	• Is vague or purely subjective • Fails to fully explain complex issues • Presents mixed messages • Over complicates things • Is not aware of brand guidelines
Alters approach to suit the situation	• Communicates sensitive information with tact and diplomacy • Picks up on issues relevant to the other party • Understands individual differences • Uses a wide range of media and communication aids	• Does not tailor approach to suit audience – has only one style • Does not relate to issues relevant to the other party • Believes everyone is like them • Believes everyone should be like them

It is important to reflect here that the Framework has evolved as the perceived demands on managers have evolved. The revised set of competencies described above are those currently in use in both the Council's Centres and the East Riding Leadership Development Centres for Schools. The process by which this usage was brought about is described below.

Professional and Technical Competency

This competency requires brief discussion in its own right. West-Burnham and O'Sullivan (1996 pp. 11-13) consider the competencies identified by Hay McBer (see above), showing how "80-90 per cent of the distinguishing characteristics of superior performance in the jobs studied" are covered by the twenty competencies McBer identified. "The remaining 5 per cent is made up by a competency which differs for different jobs." This competency can be referred to as "Professional and Technical competency."

As described above, participants in the East Riding Council's Management Development Centres come from a variety of backgrounds and jobs within the Council. By definition, their range of professional and technical competency is vast. Whilst it may appear less so for a school-based workforce, this is not necessarily the case, as schools employ a range of staff beyond teachers, and these Centres can accommodate those staff members also. For the purposes of the East Riding Schools' Leadership Development Programme, therefore, "Professional and Technical Competency" is defined as those skills, abilities and areas of knowledge encompassed within the Professional Standards for Teachers (November 2007), or the Occupational Standards for Learning-related Support Staff. (Revised 2008). Senior School Administrators participating in the programme should possess the Certificate or Diploma in School Business Management. These describe what the person should know do or understand in order to fulfil their role as a teacher or member of support staff. These include subject knowledge, teaching and assessment methodologies and their application, behaviour management etc. It would be inappropriate to attempt to assess them in the Leadership Programme, as they are covered by processes such as Performance Management, which is statutory for teachers, or Employee Development Reviews, which are becoming

increasingly popular for use with support staff. By September 2012, both teachers and support staff will have access to a renamed performance management process to be known as "Appraisal." As we have seen, Professional Standards provide a key number of observable outcomes for the individual, which are underpinned by the person's competencies.

The above does not preclude completely the inclusion of this competency in the overall assessment of the individual, even if it does not provide a key focus for the assessors during the Development Centre. Indeed, Jirasinghe and Lyons (1996 p.41-42) describe this as "the Place of Knowledge and Understanding in Competence Assessment." They show how "a consideration of knowledge and understanding is seen as *essential* in the development of standards" (their italics). The elements of the competency are clearly identified in the East Riding Competency Framework (see Annex 2). As part of the LDC process, workplace colleagues are asked to rate the individual on each element of the professional and technical competency as part of their 360 degree appraisal, and this is fed back to the the delegates through the report at the Centre. Equally, one element of this competency includes the use of ICT, and this is commented on following those tasks at the Centre which involve using ICT as an option, such as the presentation.

Section 4: The development of the Council's Competency Framework for use in Schools

The process of adaptation of the Council's Leadership Development model to schools

The original motivation of the Council in creating the Competency Framework, i.e. to secure a cohort of leaders and managers who possessed the appropriate skills and abilities to lead and manage alongside their professional and technical expertise, is no less applicable to school leadership and management.

Riches and Morgan (1989), compiled a collection of papers in support of the idea that the leadership and management of schools, should be seen as seen as a sub-set of Human Resource Management in general. Hallinger and Snidvongs (2008) examine how curricular trends in the development of business leaders may have impact in the context of school leadership, especially in the current context whereby budget constraints and falling rolls in many instances mean that schools need to be led and managed much more efficiently and effectively than hitherto. Although headteachers frequently employ trained business managers, or can seek access to one, through programmes such as the National College's School Business Director Programme (piloted in East Riding), the headteacher must still understand the implications of financial decision-making.

They identify a number of what they term "management competencies" (p.18):

- Business intelligence/knowledge management
- Customer relationship management
- Strategic management
- Performance management
- Change management
- Project management

Whilst recognising that schools are not businesses, they suggest how the above competencies, all of which can be found clearly in the East Riding Competency Framework, have relevance to what they term "the school paradigm."

Eurydice (2007) compared levels of school autonomy in fields of decision-making in 30 European countries. This study demonstrated that schools in England and Wales have a greater level of autonomy than in almost any other European Country, exercising total autonomy in most fields, compared to significant centralisation in many other countries. This autonomy is a direct result of the move to "Local Management of Schools" (LMS), piloted in some parts of the country, including in East Riding, in 1986, and fully implemented in 1988, which effectively moved the decision-making process about such things as the allocation of budgets and appointment of staff from the Local Authority to the School. This in turn requires the headteacher to support and advise the governing body, most of whom are lay-members, about key matters of school management, often totally divorced from learning and teaching. In the smallest of schools, it is unlikely that the headteacher will have another person to whom any of these tasks can be delegated, and therefore the need for competence beyond the technical and professional expertise expected of an education professional comes into play.

The decision to move towards a proactive solution to leadership development needs to be seen in the context of the issues explored in the opening chapters of this thesis. i.e.: key changes to School Teachers' Pay and Conditions (STPCD) between 2003 and 2007, and economic difficulties arising from low funding and exacerbated by falling school rolls, leading to difficulties in the recruitment of headteachers in East Riding. This issue had become so serious as to lead to a Council Overview and Scrutiny Committee requiring a report on the matter (Lunn 2007).

To tackle the issue of leadership of our schools, in early 2007, the authority staged a Value Management Workshop, to determine the most appropriate way to achieve succession planning. This needed to address both the availability of future generations of headteachers, and also the readiness of current leaders to undertake management in the schools which would exist in future years when more schools have begun to federate or collaborate, and extended services are fully in place. The paragraph below is adapted from a paper I prepared for the Council in 2007 (Stork 2007).

The delegates at the workshop were asked to consider the issues of sustainable leadership. The workshop identified five priority objectives which would address the issues of attracting and developing future leaders. Strategies were then identified and ranked according to their level of impact. The workshop concluded that in order to meet

the challenge presented by recruiting and retaining headteachers in future, a comprehensive "succession planning" process was required, and that this should include a form of assessment centre. Since the East Riding has operated such a process for its own managers for some years, it was agreed to develop a model by adapting the existing centre (MDC) to school use.

Two considerations supported this decision: first, a ready-made solution which could be implemented in a short time-scale was at hand; second: the ER MDC had been designed following a rigorous process to design the competency-based content, and made use of materials evolved over time and involving a number of commercially available items such as the Myers-Briggs personality test. Other items such as the numerical and verbal reasoning tests use comparisons with the broad range of local government managers in arriving at the assessment of the individual, and this all added to the confidence of the task-group in the decision. The integrity of the package was a key element in its credibility.

In addition to Myers-Briggs, there are other psychometric testing instruments available, which are procured ready-made, and both Tomlinson and Thorne (opera cit) explore these. Chief among them are Fundamental Interpersonal Relations Orientation - Behaviour or "FIRO-B." As the name implies, this focuses on one principle aspect of the individual, their interrelationships with others. As such, it presents a less versatile picture than Myers. A second commercially-available analysis is "Team Management Profile." Like Myers-Briggs, this is based on the work of Jung, but presents its analysis in the form of a team profile. This is not appropriate for use with individual delegates, and the ER LDP is essentially about the development of individuals. Myers-Briggs also publishes a tool for using its analyses with a wider team, should that prove necessary.

Jirasinghe and Lyons (1996), in order to carry out their work into the job analysis of headteachers, undertook thir own "Occupational Personality Questionnaire" (OPQ). This was designed for them by a commercial organisation, which suggests that the potential to create such a tool from scratch is possible. They do, however, state clearly (p.54) that: "the definition and approach to personality adopted is dependent on the particular theory espoused." For the East Riding to have embarked upon the creation of a whole new tool would have been both economically and practicably unfeasible; the

pragmatic solution was therefore to use a prepared model, and the one with the greatest currency and most flexible application was seen to be Myers-Briggs.

The appropriateness of the competencies to the roles of those to be assessed is a significant factor in their use, and there was no immediate precedent for using a competency model in the development of school leaders and managers. It was not without significant testing and analysis, therefore, that the Local Authority chose to make use of the East Riding Competency Framework in the development of its school-based leaders. Credibility also had to be secured with schools, particularly when, as has been shown, the prevailing form of performance assessment is via National Professional Standards. The assessment of the suitability of the East Riding Competency Framework for use in schools took three phases:

1. the Adviser responsible for Leadership Development (myself) attended a Council MDC to shadow assessors and gain a better understanding of the process. This showed the use of the Centre with managers from diverse backgrounds.

2. a focus group of eight serving or recently retired headteachers alongside Officers from the School Improvement Service and Manager and Member Development Team (who are responsible for the Council's Leadership Programme) met to consider the wording of the Framework in the context of Schools. The group were in agreement with the range of competencies, and minor adjustment in the vocabulary (e.g. "Customer" became "Stakeholder," references to "the Council" became "the School") were all that were deemed necessary to make the Framework understandable to School-based leaders.

3. A pilot Centre was staged which allowed the eight volunteer serving and retired headteachers to experience the Centre and evaluate its effectiveness. This took place in November 2007, in what has become known as "Cohort 0." Evaluations were overwhelmingly positive and demonstrated that the competencies in the Framework were appropriate to school leaders. These Heads have subsequently become assessors.

It is essential to realise that the competencies do not focus on the individual's knowledge and understanding of specifically educational principles, but on their skills

as a leader and manager, skills which are transferable outside the context of a school, as demonstrated in referring to Professional and Technical competence (above, p.86).

A significant positive factor in the way in which the ER Competency Framework complements other leadership programmes is this focus on people management skills and behaviours. The individual through, for instance, the competency-based interview at the Centre or the presentation exercise is able to utilise their knowledge and experience from their day-to-day work, but the focus of the assessment is never their knowledge of education per se.

The need for a "context-free" structure

Two further motivations led to the decision to maintain the Council Framework intact, and to adopt the Management Development Centre model as it had been conceived by the Council. First, it is as difficult to create a context suitable for all schools as it is for Council managers. Schools are extremely diverse in nature. Indeed Male (2006) suggests that this diversity renders almost any generic model of leadership development defunct. The East Riding's schools present a variety of types and models, from rural primary schools of under 100 pupils to single phase schools, to federations and large secondary schools of up to 2000 pupils. Maintaining a neutral context allows the Centres to focus on the leadership and management skills of the individual and not to be dependent on their knowledge of a particular kind of school or phase of education. It has thus been possible to invite primary and secondary staff simultaneously, and to bring together staff at different levels within their schools (headteachers to middle leaders) and differing amounts of experience. This mixing of delegates has created its own dynamic within the cohorts, and has proved beneficial in itself.

The second determining factor in maintaining a neutral context was the desire to expand the target group of the programme to reflect Workforce Reform and the growing influence of the wider workforce. This is part of the LA's approach to transforming school leadership, and involves the support and development of both learning-related and non learning-related support staff in leadership and management positions. The LA supports the development of both higher level teaching assistants (HLTA), and school business managers (SBM) as colleagues who can offer significant strategic support to headteachers, and who in turn frequently line-manage other colleagues. Only the use of generic activities could allow these groups of colleagues to be brought together, and in

all the cohorts assessed since autumn 2008, places have been offered to colleagues from this wider workforce.

Content of the East Riding Schools' Leadership Development Centres

Leadership Development Centres constitute the heart of the Leadership Development Programme, although they are by no means all of it. A seminar programme exists whereby competencies are explored in turn and translated into operational outcomes in schools, using input from experienced headteachers. Since September 2009, a similar programme has been introduced for serving heads.

From the point of view of the East Riding Centres, it must be pointed out that they are seen as developmental and not as judgemental. This is crucial, as the follow-up activities around the competencies perceived as areas for development are key to the success of the programme. Delegates' promotion prospects are not being assessed although their strengths and areas for development might be measured. This leads to two questions that the delegates might ask of themselves:

1. In order to develop, what must I do differently? Am I going about things the right way, and have I learned anything about my behaviours which allows me to reconsider my current ways of working?

Or

2. In order to develop, what different things do I need to do? Does the role I currently undertake offer me the full range of opportunities to gain the learning experiences I need to develop the behaviours which are currently areas for development?

The fact that many of them have used their experience of the Centre to provide a springboard to their future development is not without significance, however, in assessing the value of the Centres to the East Riding and its succession planning programme.

Centres are held at the rate of five per academic year, (except in the first year of operation, during which the trial cohort, cohort 0, of eight Heateachers and three further cohorts were assessed), and each caters for up to 8 delegates. As previously stated, the

East Riding of Yorkshire Council has been using Leaderhip Development Centres as a key part of its manager development programme since 2003, and several hundred managers have now passed through the process.

Each Centre comprised:

- A 360 degree assessment against the competencies (completed on-line). 10-15 responses are sought per delegate from a range of colleagues, including the delegates themselves.

- A Myers-Briggs personality profile (completed on-line), and fed back as a separate item, complementing the competency-based elements of the programme

- A two-day assessment programme, including a variety of management exercises, assessing each of the competencies at least twice and sometimes three times. Each delegate is assigned two principal assessors, one a "core assessor" and one a "manager assessor." The manager assessor is always someone with experience of the role of the delegate.

- A report, against each of the sub-sections of the Framework, and incorporating the Myers- Briggs information, delivered in a one-to-one feedback session to the delegate at the end of day 2, and including suggested follow-up activities.

- Immediate impact evaluation

- Follow-up contact after one month and six months, using Guskey's (2002) evaluative framework (this element of the process was discontinued).

Officially launched at the Leadership Conference in November 2007, the LDC has undertaken up to 5 cohorts per academic year, and has included delegates at all levels of experience from primary and secondary education, central services, school business managers, HLTAs, and delegates from the Hull and ER PCT. Cohort 0 was the group of serving and retired headteachers who went through the Centre in order to evaluate the content of the Centre as to its appropriateness for schools' use, and to accredit their future activity as assessors. Over 50% of delegates have progressed in their careers, and as the analysis of impact data will show, the impact of the programme is tangible.

Most recently, in May 2012, a LDC was commissioned by N. Lincolnshire Council for a group of aspiring leaders. The National College for School Leadership (NCSL), provided funding for 20 delegates from the Pre-NPQH cohort in 2011-12, and colleagues from ER and N.Lincs. have attended the LDC as a result. It has become an

expectation that all acting Heads and co-heads, for example are offered the opportunity to attend.

Critical review of instruments

Myers-Briggs Personality Type Indicator (MBTI)

One of the key components of the Leadership Development Centre, and regarded as vital to the self-knowledge and personal as well as professional development of the individual is the Myers-Briggs personality Type Indicator (MBTI).

The process is delivered through a national franchise, and only those trained and accredited by the franchised organisation are allowed to manage the process; even using a locally-based consultant, all the analysis and production of the reports for delegates is carried out remotely by the franchised organisation. The role of the consultant becomes, therefore, to assist the delegate in the interpretation of the outcomes and this is done through 1:1 feedback as far as is possible.

There are good reasons to assume the value of the contribution Myers-Briggs makes to the overall effectiveness of the LDC process. The web-site of the franchise-holder in the UK references several thousand works of research undertaken into the Myers-Briggs process. Based on the work of Jung (1923), delegates undertake a questionnaire of approximately 88 questions which are designed to create an interpretation of their basic, innate, personality. In theory, this is what governs the behaviours of the individual, and determines preferred leadership styles, learning styles, modes of communication and working environment. ER purchases an extensive report for each delegate which offers this analysis. Each individual is assessed as being one of sixteen types; the sixteen types are generated using four pairs of extremes, known as "dichotomies" as illustrated below:

Table 3.12: Myers-Briggs dichotomies

Where you focus your attention	Extraversion **E**	Preference for drawing energy from the outside world of people, activities and things	Introversion **I**	Preference for drawing energy from one's inner world of ideas, emotions and impressions
The way you take in information	Sensing **S**	Preference for taking in information through the five senses and noticing what is actual	iNtuition **N**	Preference for taking in information through a "sixth sense" and noticing what might be
The way you make decisions	Thinking **T**	Preference for organising and structuring information to decide in a logical, objective way	Feeling **F**	Preference for organising and structuring information to decide in a personal, value-based way
How you deal with the outer world	Judging **J**	Preference for living a planned and organised life	Perceiving **P**	Preference for living a spontaneous and flexible life

(adapted from the Myers-Briggs Type Indicator Interpretive Report for Organisations prepared for David Stork, April 23rd 2012, p.2)

One letter from each pair forms the personality profile: e.g. the researcher is INTJ. The report sums up the chief characteristics of each personality type. This is ethically confidential to the individual, and there is a strict rule that only the assessors and the delegate can share the outcome, which is the reason for using my own, and not one from a random delegate, as the example here. The personality report is summarised on page 3 of the personal report and mine is reproduced below:

INTJ Snapshot

INTJs are independent, individualistic, single-minded and determined individuals who trust their vision of possibilities regardless of universal scepticism. They enjoy working by themselves on projects that are complex. Although the descriptors below generally describe INTJs, some may not fit you exactly due to individual differences within each type

Analytical	Global	Private
Autonomous	Independent	Systems-minded
Determined	Organised	Theoretical
Firm	Original	Visionary

There is no right or wrong interpretation, as this indicates the individual's preferred style; A "Clarity of Reported Preferences" (page 2 of the report), shows how far down each spectrum of the dichotomy each individual is. In the report for David Stork, "I" is "very clear;" "N" is "clear;" "T" is on the margin between "slight" and "moderate;" "J" is "clear," but less clear than Intuition.

Neither is it the case that it is the preferred style that will always be used by that individual, but it can explain why the individual feels more or less comfortable in certain situations. For instance, an idividual who shows "Extraversion" might go into a meeting and prefer to take ideas from all those present; an individual who exhibits "Introversion" will almost certainly have prepared in advance, and is likely to turn up with something to discuss. A person with "P" is potentially likely to be less organised than one with "J;" this does not mean that they are disorganised, but probably need to have developed strategies to help them be better at time management. This is an important element, as part of the process of feedback to the individual includes asking how they perceive themselves. In my own case, I am in clear agreement with the INJ parts of the assessment, which are clear, but would have erred more towards F (value-based judgements) as opposed to T. The nature of my work as adviser/inspector requires very objective, evidence-based judgements, and this perhaps explains to me why I have sometimes hesitated over certain judgements. Feedback from the many delegates who have undertaken the MBTI analysis in the East Riding programme, whether as part of the LDC or in a bespoke programme, testify as to just how "scarily" accurate it can be, and, if they disagree with some part of the assessment, it is likley that their life partner will be able to see the truth of it!

There is serious justification for the use of MBTI, however. Tomlinson (2004), Chapter 2 explores the various forms of psychometric test available, as does Thorne (2011). Tomlinson says that MBTI is "recommended as a basis for self-understanding for personal and professional development." In this respect, he picks up on the breadth of understanding that MBTI brings, and how this might be applied in a variety of situations. For instance, realising how one can be personally, makes one aware of the range of other personalities in the organisation, and leads to a better understanding of their needs. Again, a key part of the feedback process to the individual is to explore how their preferred style might impact on others in their team or organisation, and how it might make them feel about the behaviours of others who present the opposite

dichotomy. In the same way as teachers are enouraged to cater for the different learning syles of their pupils through varying their delivery style, so a leader or manager, recognising the variations in their team, can modify their behaviour accordingly. This issue is picked up through the outcomes of the interviews with delegates.

At the LDC, each of the sixteen Myers types has been used to generate a template, including key elements of each type plotted into the competency statements. As the two days progress, the assessments arising from each of the activities are built into the template, so a comprehensive picture of the delegate is composed. The delegate leaves the Centre at the end of day 2 with four items: their complete report, with identified strengths and areas for development, and comments against every competency statement; their personal MBTI report, their 360° appraisal report, and their completed reflective log.

There is an element of the LDC which is allied in some respects to the psychometric dimension, and was created as a bespoke element of the original Council MDC. This is the **mental attitude test**, and, like MBTI, requires the completion of a short questionnaire. Again, the outcomes of this are translated into statements included in the final report. The questionnaire was designed and created by members of the University of Hull Occupational Psychology Department. The responses are scored, and the scores interpreted according to the following table (reproduced from the template reports used in the Centre). The numbers in the text refer to the competency to which the comment is attached. Competency 5 is "personal effectiveness" and the outcome of 5.1 is therefore entered into the subsection 1 (self knowledge) of this competency. Please refer to Annex 2 for the full Framework and related competency statements.

5.1 Self Knowledge (ability confidence)
Your responses from the mental attitude questionnaire indicate that you see yourself as

1-3 not being aware of own strengths , worrying about your ability, tending to feel you are not very capable. This may not be a reflection of your true ability but representing a lack of self belief

4-5 not being comfortable with own strengths, occasionally worrying about your ability. This may not be a reflection of your true ability but representing some lack of self belief

6-7 reasonably self assured and aware of your own abilities, you will typically approach difficult tasks

8-10 confident in own abilities and aware of your own strengths. You may attempt tasks which may be considered too difficult by individuals with similar abilities but less confidence

5.2 Self management (challenge)
In the mental attitude questionnaire you indicated that

1-3 When facing problems and difficult circumstances you may see your self as threatened and likely to avoid challenging situations for fear of failure and hence may not take opportunities for personal development.

4-5 When facing problems and difficult circumstances you may see your self as nervous and may avoid some challenging situations as you see a risk of failure and hence may miss opportunities for personal development.

6-7 When facing problems and difficult circumstances you may see your self as a little nervous and threatened. When opportunities for development present themselves you are likely to accept the challenge and even enjoy it, although the potential for failure may concern you.

8-10 you see yourself as tending to be in control of your emotions, calm under pressure and others are unlikely to be aware if you are nervous. You see challenge as an opportunity for development and are not threatened by changes in routine,

5.4 Assertiveness (int confidence)
Your responses to the mental attitude questionnaire suggest that you may see yourself as

1.3 lacking in interpersonal confidence which would prevent you from speaking your mind, and means that you can often back down in arguments

4-5 comfortable in groups and in control of familiar situations in these familiar situations will contribute your views but not in all situations

6-7 in control of most situations and will mostly, but not always speak your mind and contribute your views in groups.

8-10 in control of your own life and believe that you are responsible for your own destiny and influential in your environment. You will speak your mind and feel sufficiently confident to argue with others when you feel you are in the right.

5,5 Has drive and energy (commitment)
Again your responses to the mental attitude questionnaire indicated that

1.3 because of your low level of confidence you are unlikely to volunteer for unfamiliar or demanding tasks as you do not feel that they will succeed. Challenging situations and unexpected events may prevent you from completing tasks you may be low in commitment and may easily be distracted by alternative goals or what you see as threats to your security.

4-5 you have an average level of commitment to the familiar and routine tasks you undertake, although you may sometimes become distracted by alternative goals and will mostly complete the tasks in hand.

6-7 you have an average level of commitment to most tasks you undertake, and will usually achieve your goals although you could become distracted when facing difficult circumstances

8-10 you are committed to the task in hand and being tenacious and resolute you are likely to complete what you start. You are rarely distracted by alternative goals and will tend to focus on your primary task. When problems and difficult circumstances arise you will not give in and typically view such events as challenges and opportunities rather than threats to your security.

360° appraisal.

Busker, writing in the preface to Tomlinson (2004) argues strongly for the inclusion of 360° feedback in development programmes. Tomlinson himself suggests that 360° feedback "provides a comprehensive indication of how successful an individual is in the totality of her or his relationships at work" (p.33). He goes on to suggest (pp.33-34) that "This builds on the argument that subordinates, or those led and managed, and peers have more to contribute to an analysis of the performance of an individual than has been previously recognised."

Indeed, all the programmes created by the NCSL include a form of "three-sixty" as part of the introductory section of the course. These generally ask for up to five respondents, however, which has always appeared to the ER organisers as low, and not necessarily fully representative in order to deliver the "comprehensive indication" which Tomlinson expects.

The ER model seeks responses from the following categories of staff:
- Self: a vital component and the starting point for comparison
- Manager: again a vital component showing the manager's perceptions of the delegate; for a Headteacher the Chair of Governors can provide this assessment.
- Direct Reports: this could be any staff member whose work is determined by the delegate; it does not necessarily need to be a formal line management relationship, as in schools, for instance, a teacher and teaching assistant would not necessarily have such a formal relationship. It will include any colleague for whom the delegate acts as an appraiser.
- Immediate Peers: those at the same level as the delegate within the organisation
- Corporate colleagues: others working in the organisation or school, but not necessarily in the same department or team as the delegate; for a teacher, this could include administrative staff, for instance.
- External Partners: those with whom the delegate might come into contact but who work in different organisations. In a school, this can imply the various LA

support teams, for instance, such as the Improvement and Learning Service, Educational Psychologists or Careers Service.

This has the potential to offer several points of comparison. On average, delegates obtain 9 responses, with a record number of 23! The higher the number, the more comprehensive the outcome. The delegate is "scored" on a scale of 0-6 (where 0 means no evidence or no opinion, and 6 means a strength), against each of the individual competency statements. There are fifty statements in total. In addition, each respondent is invited to write three things they value about the person, and three things they would change, known as "literals." Even the things that colleagues would change about a delegate tend to be supportive in nature, with comments such as "works too hard" frequently found. The scores, along with the literal statements are used by assessors to compile a summary statement on the first page of the final report, which starts with the sentence "Themes from your 360 suggest..." This, along with a Myers-Briggs summary and the identified strengths and areas for development, make up the front page of the report.

In their 360, delegates tend to score themselves lower, in general, than their colleagues do, sometimes by a very wide margin. This is not a finding that I was expecting, and it is one which merits some further discussion. In the interviews with delegates, and the corroborative questionnaire, delegates were asked to discuss their levels of confidence before and after the LDC experience. The 360 is undertaken before the LDC, and its findings used in the process. I have therefore considered these outcomes as part of a consideration of the pre-centre confidence of the delegates and a full analysis is presented in chapter 5, below.

The outcome of each analysis is reported to the delegate in tabular form and the "literal" comments are included verbatim. The literal comments are also taken by the assessors prior to the Centre, and ascribed to a competency statement. This is very powerful evidence, as often clear themes emerge from a compilation of the literals from each respondent, mapped onto the competencies and supported by the Myers-Briggs analysis.

The 2-day Centre

Within the two days of the Centre, each delegate follows a mosaic of activities; during the course of the two days, nine competencies at management level are assessed. Each competency is assessed more than once, using different tools which are discussed below. Only Professional and Technical competency is not formally assessed, although this is commented upon by respondents as part of the 360° appraisal, and there are elements of the Centre, such as whether or not the delegate makes use of technology, which are commented upon in the final report.

Measures of validity

Before examining the individual components of the Centre, it is useful to reflect on a possible manner in which their validity might be considered. Robertson, Bartram and Callinan (2002) state: "the extent to which a measurement procedure gives appropriate information about the quality under investigation is referred to as the 'validity' of the measure." They then describe four different measures of validity, as follows (reproduced from Robertson et al., op. cit., fig. 5.5 p.117):

> **Face validity:** the extent to which a measuring procedure seems 'at face value' to assess the qualities in question. This is to do with the acceptability of the test and is not a form of statistical validity.
> **Content validity:** the extent to which the items or procedures in a measuring instrument sample the domain of interest.
> **Construct validity:** the extent to which the measure gives accurate information about the psychological construct that it is designed to measure.
> **Criterion-related validity:** the extent to which the measure produces scores related on a measure of some relevant criterion. In the case of personnel selection, the relevant criteria are usually indicators of job success, such as supervisors' ratings of job performance.

The elements of the LDC can be considered in the light of these measures, although there has not been any recognisable statistical calculation applied to the scores achieved by delegates at the Centres, and, as these are only used for reference and then discarded, there can be no retrospective application of such calculations. However, there is evidence to support certain statements based on the thinking outlined by Robertson et al. (2002)

Immediate Impact Evaluation

Immediate impact evaluation is taken at the end of each cohort. This, as can be seen in the analysis of data (chapter 5), has been overwhelmingly positive, suggesting that not only are the centres pitched at the right level, and contain appropriate activities, but that delegates will act upon what they have learned about themselves. Above all, the Centres have been shown through delegate feedback to be an affirmative experience. They boost confidence, not only because of what the delegates learn about themselves, but also because the LA has made a significant investment in them, which is tantamount to saying that their future career is being supported. These outcomes suggest a high level of "face validity" for the activities of the LDC. Had the activities not had face validity, the extent to which delegates perceive both their usefulness and their relevance would potentially have been quite different, as is their likely confidence in the accuracy of the judgements made about them, and their willingness to act on what they learn. The delegates also rate the relevance of the materials highly, which also suggests a high level of "content validity." We have already explored the idea of using materials, such as in the Case Study exercise, which are outside the immediate context of the world of education, and how this might suggest that content validity could be a problem. In so far, however, as the tests are designed to measure leadership potential and not education-related potential, the level of content validity is greater. The evidence supporting these statements will be shown in greater detail in the analysis of the research data in chapter 5 of this thesis. "Criterion-related validity," if the criterion used is career progression, would also seem to be relatively high, and the instruments give a global outcome for the individual which has their confidence (again this will be demonstrated in greater detail in chapter 5), and leads to career progression in the majority of cases.

The one area of some concern might be "construct validity," and, in exploring the relative validity of assessment centres, (not development centres such as the the LDC), Robertson et al (2002) raise this as an issue. They suggest that the internal measures of similar competencies through different activities for the same delegate and in the same assessment centre can lead to different scores from activity to activity. These variations "cast doubt on the construct validity of assessment centre scores, and mean that, although there is confidence about the *criterion-related* (their italics) validity of the overall assessment rating from assessment centres, the source of this validity (i.e. what

exactly it is that assessment centres measure) is uncertain." (p.128). They suggest that in the case of assessment centres, where a job is the outcome, high levels of both construct validity and criterion-related validity are of extreme importance. However, we have also seen (p.66, above), that assessment centres can be shown to be less reliable than development centres and therefore the extent to which the reservations Robertson et al. (2002) express in terms of construct validity can be justifiably applied to development centres is not clear. As we shall see below, there is one exercise in the East Riding LDC which can lead to such variance, which is the case study. This issue will be explored further in discussing this exercise.

At the LDC, each competency is assessed more than once, and usually by different assessors (each delegate is seen by at least six assessors in the course of the two days). The activities in which the competencies are assessed are shown in Table 3.13 below:

Table 3.13: The competencies and the activities at the LDC which are used to measure them:

	Customer Focus	Comm-unication	Problem Solving			Team Working	Personal Effect	Max Pot and Mang Perf	Op Planning	Managing Change	Motivating Others
Case Study	Yes	Yes	Yes			Yes	Yes	Yes	Yes	Yes	
Presentation		Yes					Yes	Yes		Yes	Yes
Group Exercise		Yes	Yes			Yes	Yes		Yes		Yes
Ability Test/s			NR	VR	GO				See also numerical reasoning 8.5		
Planning							Yes		Yes		
Interview	Yes	Yes					Yes	Yes		Yes	Yes

Interviews

Each delegate is interviewed twice at the Centre. Interviews are conducted by the two assigned assessors and each delegate is interviewed individually. This is the only activity at the Centre that the delegates are told of in advance so that they can, if they so wish, prepare for it.

The first interview is long - one hour and forty minutes - and described as a "competency-based interview." This mode of interviewing differs from selection interviewing as it does not pose the usual type of question. In selection interviews, (and I am forming this view based on my participation in many Headteacher and senior leadership interviews during a seventeen year period as a Local Authority Adviser), these tend to be hypothetical: "Tell me how you *would...*" with the potential outcome that the applicant might produce an answer, which, dare it be said, may come straight from the appropriate section of the most recent training programme, and not be the result either of the applicant's experiences or a reflection of their own abilities. This type of question does not prove the applicant's ability to do what they say they would. For lay members of a governing body to decide the extent to which they truly reveal the candidate's ability is a genuine challenge, and this is perhaps one reason why interviews show such a low correlation with prediction of success as shown in Smith's table. (see above, p.71). Competency-based interviewing turns this around, and instead asks the delegate, who is not in a competitive situation, how they *did* something at some stage in their career or in a different type of activity. Experiences from different careers, or even in the world outside their place of work, such as voluntary work, are relevant here, as the delegate is being asked to show their leadership competencies, not how they would deliver the latest national strategy. These interviews focus on key competencies, such as personal effectiveness, managing change, customer focus, maximising potential and motivating others. Speaking as an assessor, the competency-based interview is frequently the most revealing part of the two days; it takes place on day 1, and offers the assessors and delegates the first opportunity also to meet and learn more about each other. The forming of a positive relationship at this stage is important, as the delegate must have confidence in the judgements of the assessors, and sometimes the learning from the Centre, which is perforce of a highly personalised nature, can be

overwhelming; tears sometimes arise from a sense of realisation of self-worth probably more often than the reverse.

The second interview is shorter, a maximum of 45 minutes, and takes place at the start of day 2. It offers the delegate the opportunity to reflect on their learning from day 1, and to reflect on what they have learnt from their Myers-Briggs assessment. They are invited to comment on how accurate they felt it to be, as well as to think about any of the activities on day 1 which they found challenging. The assessors use the opportunity to fill in any gaps thay may feel were not covered in the competency-based interview, or to give the delegate the opportunity to add something they may have forgotten. This is the point at which assessor and delegate begin to work more closely together, beginning to work towards the mutual understanding and participatory approach supported by Woodruffe (2000, see above), as they will start to understand the strengths and areas for development that are beginning to emerge. Indeed when I conduct this interview, I ask the delegate what they think will emerge from the two days as their strengths and areas for development. It is also important at that stage to ask where the delegates see themselves in terms of their career progression, as this can help to identify the most important areas for development in order to assist that progression. If someone's next steps might be into senior leadership, for instance, "operational planning" which includes insights into budgets, might prove an important area for development, as might the "organisational awareness" element of "professional and technical development."

Simulations and exercises

As seen in earlier sections examining the contents of development centres, job-related activities and simulations form a key part, as they are designed to help assessors to see how effective the individual will be in doing the job that they are preparing for. As Arnold (1997 p.45) puts it:

> People can develop these competencies at the centre in exercises that simulate the job itself. On the face of it, there is, therefore, a maximum likelihood that what is learnt at the centre will be transferred back to the work environment.

The East Riding Council MDC model is already a little removed from this concept, as the activities needed to allow for the inclusion of managers from a variety of

departments within the Council, whose common factor was leadership and management, not a particular job. This was further complicated when the Centres were adapted for use with schools, as no Council employee accessing the MDC had previously worked in an organisation removed from the Council. The diversity of school contexts would also have created complications in creating appropriate activities. The activities therefore focus on the simulation of actions associated with leadership, not with *school* leadership, but since the interviews allow the delegates to introduce expeiences from their school life, and since the presentation topic is about a change management project which can clearly be set in a school context, the small number of activities which are completely unrelated to schools are not seen in feedback from delegates to be an issue.

Chief among these non-educational elements is the **case study**. This is a long (1hr. And 40 mins.), written activity dealing with a situation in a fictional Council department. The duration of the case-study matches the competency-based interview and allows four delegates to be interviewed simultaneously by their pair of assessors whilst the remaining four delegates are doing the case-study. This is then reversed. The aim is to use a variety of evidence sources in order to arrive at a series of recommendations. These are marked by members of the back-up team (not the assessors) according to a pre-determined mark scheme. Delegates rarely comment on the inappropriateness of the material, as the focus on leadership is emphasised to them from the outset, and they seem to accept the task at face-value. Evidence from the initial impact evaluations (set out in full in Chapter 4), shows a very high percentage who rate the relevance of the materials highly.

There is, however, a wide variability in the success of the delegates in this activity. Since the actual scores of individual delegates are never kept or revealed, statistical evidence is not possible to provide, but my experience as an assessor, coupled with that of colleagues with whom I have worked, suggests that delegates who do well in some parts of the programme, particularly the interpersonal parts, such as the competency-based interview, can do badly on this exercise, scoring lower on competencies for which they obtain higher scores in other activities. This may be for a variety of reasons, one of which is the issue of construct validity, as mentioned earlier. Robertson et al. (op cit p.128), recognise, in suggesting potential issues of construct validity in assessment centres, that "Of course, the correlation [between assessments of the same competency

in different activities] would not be perfect, since each specific exercise will have some influence on how each candidate performs." A number of the activities (see below) require the delegate to employ a wider range of competencies than the task may superficially suggest; as well as understanding the leadership aspects of the task, the manner in which it is approached requires the ability to synthesise responses using evidence and to problem-solve. Whilst superficially, therefore, the case-study addresses such competencies as customer focus, team-working and maximising potential through the content of the task, it also requires the delegate to demonstrate problem-solving and personal effectiveness (in organising and sifting evidence, preparing and managing time to write up the task), through the manner in which the task is carried out. If the delegate is less strong in these areas, the other competencies may appear weaker also.

The **presentation** and the **group exercise** offer delegates opportunities to demonstrate their speaking and team-working skills. Both lend themselves, without being specifically educationally based, to the use of educational contexts, and delegates therefore tend not to find them challenging from that point of view.

The group exercise, which involves event-planning, is the first activity on day 1. This is useful in getting delegates to work together and begins to forge a team-spirit in the cohort. This is often reflected in continuing relationships, sometimes long after the centre is over. Delegates work in this exercise in groups of four, which has proved an optimum number. The ER Team was asked to provide assessors in a group activity for the development centre for Assistant Directors of Children's Services in 2012, (a programme organised by NCSL on a regional basis), and here groups of seven or eight were used. In these numbers, it proved easy for some individuals not to participate or to be completely overcome by the personality of a group member. The actual amount of contribution possible, even where a delegate was proactive, was seriously reduced because of the length of the activity, which was, like the ER LDC, forty minutes in length. In a group of four this is less likely to happen, and delegates are sufficiently exposed to be able to contribute effectively. Suffice to say that when the Assistant Directors' Programme was repeated, the organisers reduced the group size to four.

The presentation invites the delegates to address a change management project. As such, it requires a structure (communicated in advance to the delegates), which deals with the aspects of the change management process (identifying opportunities,

addressing the need, identifying barriers, addressing these and seeking support). Delegates frequently find the content easy to determine, as they often either have a change project in mind or have implemented one, and therefore it becomes possible to focus on their methods, and their style of communication. As with other activities, therefore, this one addresses the actual content of the presentation as well as the wider competencies associated with delivering a presentation successfully. This has significance in the preparation of the delegate for future promotion, as most senior leadership interviews include a similar, 10-minute presentation to the panel of governors. Feedback is presented to the delegate afterwards by their partner delegate. This is not role-play, and the manner of delivering feedback is an important element of the "maximising potential" competency. As line managers, this will form a key part of their work in school. This is also an example of how peer assessment is used in the LDC process. Both the presentation and the feedback sessions are observed by assessors, and their comments are built into the final report. In this way, if the delegate-to-delegate feedback is inappropriate or shies away from criticism, it can be corrected through the report mechanism; also, the report of the delegate giving that inappropriate feedback would include that observation.

Both the group exercise and the presentation are assessed by the assessor team, but different assessors from the assigned pair. In this way, each delegate is seen by six different assessors. This is important so as to avoid the obvious pit-fall of an assessor forming a particular view of the delegate which colours the outcome; the contribution of a range of assessors plus the marking of other activities by the administrative team make this less likely; equally, it helps to address the concern expressed by Woodruffe (op.cit., p. 42) of the need to assess people accurately: "accuracy is necessary to give feedback that is factual, and that will steer them towards the right priorities for development." Later (p. 236) he talks of "the potential pit-fall of marking participants on their overall effectiveness in the exercise rather than their competencies." The East Riding template model, which steers the assessors towards completing their comments not only under the headings of the relevant competencies, but also under each of the sub-statements within a competency, guards significantly against this occurring.

Other activities

The Centre features a series of shorter, sometimes commercially produced activities which test a range of thought processes. These include verbal and numerical reasoning, which feed into the communication and problem-solving competencies, the test of productive thinking, which is about generating creative options, and a planning exercise which involves time-tabling. All these activites are marked by the administrative team and fed into the report alongside the comments from the assessors. Reports are produced using information technology, as they are stored in a password-protected network location and can be called up by assessors or administrators for completion as required. In this way, they are completed by the end of the second day and given to the delegate. No other hard copy is retained, and the report becomes the property of the delegate to use as they see fit.

A note on assessors

It has been mentioned and will be discussed in greater length in Chapters 4 and 5, that much depends on the quality of the assessors. Their professional knowledge, usually the result of experience in school leadership, is vital. When this process was being set up, there was consultation with professional associations, who were represented on the Sustainability Task Group. They had only one concern: they required that the assessors should be peers; i.e. school senior managers. The construct of the Council model was to have a "Core" and a "Manager" assessor. The core assessor was a member of the Council Central Training Unit, the Manager assessor a peer manager of the delegate, though not necessarily from the same section of the Council. The ER Schools' LDC has sought to replicate this and every pair of assessors includes at least one serving or retired school leader, sometimes working alongside a LA Officer.

A critical review of the National Standards for Headship, compared with the East Riding Competency Framework.

In establishing a leadership development programme for schools, it is important that the credibility of the programme is rooted in an established professional framework which participants know and understand. One benchmark for school leadership is provided by the National Standards for Headship, published by the Department for Education in October 2004, and sometimes known as "Circular 83" after its reference number. These set out the description of what a competent Headteacher should be able to do, and provide a basis by which governing bodies draw up the person specification and job description when appointing a new Headteacher. They also provide the basis as we have seen for selection of applicants to participate in the National Professional Qualification for Headship. Any programme which did not equip participants for such a progression would be failing in its duty, as there is an expectation that the programmes provided by the NCSL provide the backbone for leadership development nationally; in appointing a candidate, governors look for attendance at given programmes, and the national ones are accredited. It is likely that the East Riding programme will become accredited in time, and now that there is no national requirement to hold NPQH at the point of appointment to Headship, there is still justification for the development of the local programme, as the government still expect that NPQH will be the qualification of choice for headteachers, and the East Riding programme remains a valid and demonstrably useful preparation for this (see chapter 5).

The first stage in the review was therefore to establish the relationship between the National Standards for Headship and the Competency Framework in use in East Riding. This process enables a comparison in coverage between the two documents. The National Standards present the "Know, do and understand" of the role of headship, as defined by central government. The Standards themselves are presented under knowledge, understanding, professional qualities and actions. It is logical, using the above definition, to see the competency framework as equipping the Headteacher to undertake the actions in the Standards which, if carried out, demonstrate the knowledge and understanding in the remainder of the document.

Analysis of the Standards (Annex 1) demonstrates that whilst each of the "actions" in the National Standards can be mapped against a competency, or often more than one,

there are competencies which the Standards do not encompass. The following table lists those elements of the ER competency framework not covered in the National Standards.

Table 3.14: ER Competencies not related to actions in the Headteacher Standards.

Global Heading	Area of competency
Communication (appears in knowledge and Professional qualities in "Shaping the Future" but not in explicit terms, as defined in the competencies)	Listens actively
	Questions and summarises
	Alters approach to suit the situation
Problem solving	Challenges assumptions
Personal effectiveness	Assertiveness
	Has drive and energy
Managing Change (Knowledge of the "impact of change" appears in "developing Self and working with others" and knowledge of "Project Management for planning and implementing change" appears in "Managing the organisation")	Actively seeks opportunities for change
	Identifies barriers to change
	Identifies and seeks appropriate support for changes
	Encourages innovation in others
Motivating others to excel	Influences rather than commands
Driving efficiencies and effectiveness	Reviews need for and aim of current processes
Focus on the future	Drives changes

This table suggests that there is a theme to the "missing" standards, which are mostly qualities to do with personality and communication, and therefore interpersonal skills. However, a significant element is the almost total omission from the actions within the National Standards of any of the competencies related to the *management* of change.

Workforce Reform in recent years has taught us a great deal about this element, and we know that managing change, as opposed to coping with it, is a key issue in maintaining an appropriate work-life balance. The TDA's National Remodelling Team (NRT) issued in 2003 a selection of tools to manage change in the form of a PowerPoint presentation, and supported this by a workshop on the key factors in managing change. They identify three key elements to the process of change as follows:

- The political
- The rational
- The emotional

Political factors, which include, for example, national policy or changes to the inspection system are the fundamental drivers of change, and can thus be easily explained even if not approved of; the rational application of these policy changes through reasoned argument (the rationale for change) can therefore be extrapolated from these external drivers, and presented as a strategic view of the way ahead. The emotional factor - the response of the people who will ultimately need to apply the change, or even enact it, is much more difficult to rationalise or predict. It will range from those who embrace the change wholeheartedly and see change as a positive development not as a barrier, to those who will adopt the "over my dead body" approach. The ER Competency Framework includes these extremes in the positive and negative behaviours described in the "Managing Change" competency.

Part of the solution in managing these individuals lies in the manner in which the change is presented to the workorce. The TDA model emphasises the need for there to be:
- A compelling reason for the change
- A clear vision of the end product of that change
- A clear route plan for how to bring the change about.

Whilst these factors may help with the political and rational elements of the process, and may win over some members of staff, the management of the attitudes of those whose scepticism or opposition to the change requires the application of interpersonal competencies such as team working and communication, (especially changing the approach to suit the situation), as well as the delicate task of managing the performance

of those who are reluctant; this includes surfacing conflict and taking appropriate action as required, especially if non-compliance should be part of the issue. All these characteristics are to be found in the wider Competency Framework.

Furthermore, an analysis of the six areas of the National Standards against the levels of competency included in the ER Framework also allows us to establish that many of the actions contained in the standards are classified by competencies in the "core" and "management" range. Annex 1 shows this analysis colour-coded by competency level (Core, management, leadership, as referred to in the ER Framework). As an example, the Standard "securing accountability" shows virtually no leadership level competencies; all are core or management level. This supports the notion that the competency framework can be applied to leadership at all levels, and allows middle leaders to be appropriately developed towards Senior Leadership and Headship. It may equally suggest that the role of Headship in the Standards is orientated towards actions which could be seen as more operational than strategic, supporting the definition of professional standards quoted from Hogg (2008), earlier, who describes professional standards as "operational outcomes."

The competency with most "mentions" in the comparison document is "Maximising potential and managing performance." Elements of this competency appear in four of the six standards, indicating its centrality to the role of Headship. Indications from the Leadership Centres, however, suggest that this competency is the most frequently identified area for development. Work which I carried out in the East Riding on the nature of outstanding schools (Stork 2008), equally suggests that there is a key connection between not only the quality of leadership, but the nature of that leadership, and the concept of successful delegation and distribution. In the ER Framework, this area falls clearly into the area of "Maximising potential" (the final sub-statement of this competency is "delegates interesting and stretching work"), and the extent therefore to which this competency is seen as applicable to staff as well as pupils is a potential key issue.

Hallinger and Snidvongs (op.cit., p.23), regard delegation as a key factor in leadership development, using the example of project management. The centrality of the maximising potential competency to the ER LDC process merits the inclusion of their comment:

Project management also provides a more systematic method of identifying and developing the leadership skills of people who are not in formal leadership roles. It is clear today that schools must develop the leadership capacities of more that just the school head and deputies. In project management, leadership roles within the project are clearly defined as well as the accountabilities and the decision-making authority of the individuals. This project management is inherently geared towards the expansion of leadership roles and the distribution of responsibility for achieving project outcomes.

Leadership Development and OFSTED

In discussing the relevance of the leadership programme to the Professional Standards, it is also necessary to take account of the inspection framework under which the aspiring heads must ultimately work. This Framework is revised on a regular basis, and a further iteration was published in September 2012. The leadership and management of the school at all levels, including the Senior Leadership, middle leaders and governors, and in particular the extent to which the leadership has the capacity to drive improvement and to secure the future changes needed to bring that improvement about have become essential features of a successful inspection outcome. As well as mapping the competencies against the National Standards for Headship, therefore, it has been necessary to demonstrate how they relate to elements within the new OFSTED framework. Table 4 below shows how this can be demonstrated, using the titles of the seminar programme which is delivered in support of the Leadership Centre and allows the delegate to translate the competencies into actual experiences:

Table 3.15: competencies, professional standards and their relationship to OFSTED inspection criteria:

Seminar	Competency	Related professional standard	Related area of the 2012 Inspection Framework
1	Personal effectiveness	All	All
1a	Time Management		
2	Managing change	All	How effectively leadership and management at all levels promote improved teaching, and enable all pupils to overcome specific barriers to learning
3	Maximising potential and managing performance	Developing self and working with others	Improve the school and develop its capacity for sustained improvement by developing high quality teaching, leadership capacity and high professional standards among all staff; ensure that all staff benefit from appropriate professional development and that performance is rigorously managed
3a	Introduction to coaching techniques		
4	Team working and motivating others to excel	Leading learning and teaching	The extent to which leaders and managers have created a positive ethos in the school; Demonstrate high expectations of all pupils and teachers
5	Communication	All	All
5a	Applying for a job in senior leadership		
6	Driving efficiencies and effectiveness	Securing accountability	The impact of all leaders, including those responsible for governance, evaluating how efficiently and effectively the school is managed
7	Stakeholder focus and Community leadership	Strengthening community	Engage parents in supporting pupils' achievements, behaviour and safety, and their spiritual, moral and social development
7a	Assertiveness	All	All
8	Maximising partnerships	All	How, by working in partnership with other schools and organisations, the overall effectiveness of the school may be enhanced
9	Problem-solving and operational planning	Managing the organisation	Accurately evaluate the school's strengths and weaknesses and use their findings to promote improvement
10	Focus on the future	Shaping the future	Demonstrate an ambitious vision for the school

Conclusion

In this chapter I set out to demonstrate that the Competency Framework which is used by ERYC in the development of its leaders and managers was derived using a methodology in line with the standard evolution of such frameworks. The methods used by the Council – job analysis followed by the identification of associated competencies which were then incorporated into a model of assessment – fits into this process. It then demonstrates that the Council's Framework is derived from the thinking of McClelland and Boyatzis, and is commensurate with the "generic competency" approach. Testing among headteachers and evaluations from school-based staff who have been assessed through the Leadership Development Centres show that the competencies in the East Riding Framework can be applied to a school context, and as such offer a tool for the development of both existing and future leaders in schools, at all levels of the organisation. The Professional Standards which provide the key to the functions of the roles of school leaders are complemented by the competency framework, and the focus on the individual as a leader or manager, as opposed to a teacher or school business manager is the key to developing the confidence, and as a result, the effectiveness of these individuals. The outcome for many delegates, which has been the successful passage to the next tier of their career provides evidence of this, and if the underlying motivation of the Council in creating the Framework is fulfilled, they will undertake that role better prepared to be leaders and managers rather than good teachers who find themselves promoted beyond their level of competency.

Tomlinson (2004) begins to look at the wider person - beyond the professional standards. As Busker writes in the preface to Tomlinson's book "he discusses how important it is that leaders of educational organizations know themselves in order to be successful." (p.viii). On p.2, Tomlinson begins by saying how professional growth and development requires a "willing acceptance of the self." This applies both in the carrying out of an existing role and the beginning of a new one, what Tomlinson calls "self management in a new job." "How can the self-awareness generated through self-knowledge (and acceptance of findings of the diagnostic), help to overcome this period of transition into the new role?"

A key part of the development centre approach is to secure this self-awareness and change in self-perception which allows the delegate to transfer their knowledge into

whatever role they might be undertaking currently or into the future. " 'Changes in self awareness' [Tomlinson's quotation marks] has not been a major focus of teacher development." And he goes on to say: "the focus has been on learning new technical skills - how to implement the numeracy hour, how to teach the new GCSE syllabus." This could be seen as the ultimate criticism of the professional standards approach.

In his conclusion to chapter 1 of his book, Tomlinson includes an important series of what he describes as key statements about self-development which he has adapted from Hopson and Scally circa 1984. He does not give the precise reference. However, on p.10 he "refines" their statements as follows, and this thinking is key to the approach taken in the East Riding competency-based leadership programme.

1. Each person is a unique individual worthy of respect.
2. Individuals are responsible for their own actions and behaviour
3. Individuals are responsible for their feelings and emotions and their responses to the behaviour of others
4. New situations, however unwelcome, contain opportunities for new learning and growth.
5. Mistakes are learning experiences, and are seen as outcomes rather than failures
6. The seeds of our own growth are within us. Only we ourselves can activate our potential for creativity and growth.
7. We can all do more than we are currently doing to become more than we currently are.
8. Awareness brings responsibility, and responsibility creates the opportunity for choice.
9. Our own fear is the major limiter to our growth.
10. Growth and development never end. Self empowerment is not an end to be achieved, but a constant process of becoming.

To further reinforce this view, Steve Munby (2012), in his final public speech before stepping down as Chief Executive of the National College, gave an emotional personal view on leadership and leadership development, which, whilst not neglecting the need for clear understanding of the educational issues ("context" and "professional skills" as he put it), emphasised the wider, interpersonal competencies of leadership, and, above all, self-awareness. "leaders need to be comfortable in their own skin," and "wear the

mantle of leadership with humility and with confidence." He spoke of the extremes from those who lack confidence and are overwhelmed by the responsibility, to those who think "it brings a crown" and become overbearing. The ideas here marry well with many aspects of the ER Competency Framework. Elements such as "Stakeholder focus," "Team working" and "Motivating others to excel" are all based on effective intrerpersonal skills, where the kind of behaviours referred to by Munby can be found.

His talk became a manifesto for training and development, and stressed the need:

- To develop staff whilst challenging performance (the essence of the "maximising potential and managing performance" competency in the East Riding Framework); a failure to hold people to account can frequently end in failure
- To give staff wider opportunities to lead and to develop through this leadership. As National programmes become less accessible the school must provide these opportunities; the Head is the gatekeeper; the school must use the learning that the individual acquires through their professional development
- Staff should receive regular feedback from a mentor
- Staff should be given
    - exposure to outstanding practice
    - access to research
    - time to reflect and discuss

Bolam et al (1993, pp 30 et seq) list their findings about the nature of effective leaders in terms of their personal qualities and managerial qualities. Many of their statements might be elements of the ER competencies, as they represent a much less operational and greater level of interpersonal interpretation of the role, than, for example, the National Standards for Headship. Even in the section on "managerial qualities," many of the statements might be seen more as personal traits than pure "management." In many ways, when, as we will see in chapter 5, delegates from the East Riding competency-based development programme compare their experiences of it with national programmes such as NPQH, this is the fundamental difference.

Some of the characteristics identified by Bolam et al., with their corresponding element from the ER Competency Framework in italics, are listed below:

Personal qualities:

- Modelling professionalism, eg, behaving with integrity *(team working)*, displaying consistency *(personal effectiveness, stakeholder focus)*, being open and honest with colleagues *(communication, team-working, maximising potential and managing performance)*, displaying firmness but fairness in their dealings with staff *(maximising potential and managing performance)*, hard-working, committed *(Personal effectiveness, stakeholder focus)*, putting concern for students well-being before personal advancement *(stakeholder focus)*.

- Being well-organised and well-prepared *(personal effectiveness)*

- Being personable, approachable and accessible *(team-working)*

- Displaying enthusiasm and optimisim *(motivating others to excel)*

- Having a positive outlook and striving to act in a constructive manner, rather than being negative and overly critical *(maximising potential and managing performance)*

- Manifesting confidence and calmness *(personal effectiveness)*

- Not standing on ceremony or taking advantage of their position; being prepared to help out or take their turn as necessary *(team working, motivating others to excel)*.

Management qualities are too numerous to list in full here, but, alongside such elements as strategic planning and securing the vision for the school, include elements which should, whilst being operational in nature show the importance of key interpersonal characteristics. The following serve as representative examples, with the corresponding East Riding competencies once again listed in italics (p.30):

- Displaying a consultative style of management with the aim of building consensus and at the same time empowering others *(motivating others to excel, operational planning)* Typically, determining overall direction and strategy, following wide consultation *(managing change),*and then handing over to staff to implement what has been agreed. Effectively delegating resposibilty to other people, though following through and requiring accountability. *(maximising potential and managing performance, specifically "delegates interesting and stretching work").*

- Being able to convey to colleagues that they have their concerns and well-being at heart, and behaving in such a way as to demonstrate this e.g. facilitating their

development as professionals *(maximising potential and managing performance, team-working, motivating others to excel).*

If one returns to the characterisitcs of effective schools as published by the SMTF in the same report (Bolam et al 1993, p.2, set out above), it is possible equally to map alongside each element the competencies which relate to it;

- Strong, purposive leadership by headteachers: *visioning the future; motivating others to excel; personal effectiveness*

- Broad agreement and consistency between headteachers and teachers on school goals, values, mission and policy: *stakeholder focus; communication; team-working, motivating others to excel; managing change*

- headteachers and their deputies working as cohesive management teams: *team-working; driving efficiencies and effectiveness; problem-solving; operational planning*

- Involvement of teachers in decisions about school goals, values and mission: *communication; team-working; managing change; motivating others to excel*

- A collaborative professional sub-culture: *team-working; maximising potential and managing performance; motivating others to excel; maximising partnerships*

- Norms of continuous improvement for staff and students: *stakeholder focus; maximising potential and managing performance*

- A leadership strategy which promotes the maintenance and development of these and related features of the school's culture: *stakeholder focus; communication; community leadership; maximising partnerships*

- An enhanced capacity to implement the national reforms: *managing change; driving efficiencies and effectiveness*

In many ways, therefore, it can be argued that the SMTF presaged the coming Headteacher standards, and present a model of leadership which is redolent of the Hay McBer model evolving from the work of Boyatzis and McClelland, *without actually referring to competencies*. That the National College uses the work of Hay McBer is

further evidenced in the LLE training example quoted earlier, and Hay McBer thinking, especially about management styles, was the backbone of one of the College's flagship programmes, the Leadership Programme for Serving Heads (LPSH), which was discussed earlier in this chapter.

As we have already seen, however, the Standards as published in 2003 present a picture which is, if anything, lacking in interpersonal elements, compared to the SMTF model, and certainly to the passionate description of leadership conveyed by Munby. It seems from all the evidence that the College has hitherto shunned the notion of competencies in favour of a more operational description of the role of the Headteacher. In some ways this suggests a pragmatic solution. Governing bodies do, as we have seen, use the Standards to create job descriptions and person specifications, and if we speculate that this might have been one of the intentions of the National College in designing the Standards, it has been successful. It leads to a series of expectations that can be tested out in the selection process. It might also be argued that there is a perception of competencies that they can be reductionist, or produce a checklist to tick off, and this may lie behind the College's long-term reluctance to describe the role of headteacher in terms of competency rather than in terms of operational outcomes. What is clear, however, that whilst a headteacher who performs in the manner described in the Standards will be seen to be doing the job competently, this will not necessarily show that they are doing the job successfully in terms of their ability to lead and manage staff.

All this implies an approach on behalf of the headteacher which recognises the need to develop the potential of staff, and this chimes in perfectly with the underpinning philosophy of the East Riding model of leadership development: if the leaders in the organisation are improved, the organisation itself improves. Ofsted (2009), in analysing the features of outstanding schools identified features which had allowed these schools to excel, one of which was a "grow your own mentality." However, if the personal attributes of the headteacher are important in the successful delivery of this key dimension of leadership, as Jirasinghe and Lyons put it, (op cit p.50), "Little or no empirical research has been conducted into the personality dimensions underpinning the discharge of the Head's duties." Later in the same book (p119), talking about the use of competencies in general, they say that these are "techniques widely adopted in non-edicational settings, but hitherto not systematically adopted within education."

The researcher has equally been unable to find studies from the educational world (or beyond for that matter), which approach the effectiveness of this approach from the point of view of the delegate; there are suggestions in some of the literature of potential impact, for instance Arnold (1997, op.cit. p.60) suggests that "if development centres are used partly to select better performers for special attention, ironically those with more development needs are unlikely to receive help in addressing them." Jirasinghe and Lyons, (op. cit., p.114), speculate on the impact on the individual, but do not support this speculation with empirical findings. The effectiveness of any approach or design of a programme must be measurable in terms of the impact it can have on participants; without this measure, there is no validity for the approach. It has been an essential part of the delivery of this leadership programme in the East Riding, because of the significant amount of resource, both financial and human invested in it, to demonstrate its validity in this way. The research carried out has a further potential use, however, when comparing this approach to other types of leadership development, especially that offered nationally, which is seen as the standard and appropriate route for aspiring school leaders, and assessing whether the different emphasis placed on the competencies of the individual, as opposed to the fulfilment of the professional standards, makes a difference.

This examination of the literature poses three questions of the researcher: the first arises from the absence of any such discussion in the literature as we have seen immediately above, and concerns the difference that the programme undertaken by the delegate makes to them at a personal, and subsequently at a career level.

The second arises from the exploration of the history of leadership development as it has been practised over time, and in its current form; if there is a belief at national level that the operational outcomes of the National Standards for Headship provide the best preparation for headship, and therefore that the programmes developed and delivered through the NCSL are the best means of delivering this preparation, what place does the competency-based programme have in this paradigm, and what value can it be seen to add? Does it indeed have currency at least with the participants in the programme, and, if they either have already experienced national programmes, or will go on to do so subsequently, does particpation in the competency-based programme truly complement the national programme experience?

The third question arises from points made clearly in the literature both by Male (2006) and by West-Burnham and O'Sullivan (1996), and in some ways echoed by the NCSL in the choices it has made for the programmes that it has designed. This is the suggestion that generic forms of leadership development cannot be effective as too much of the Headteacher role is determined by the context of the school. Boyatzis (1982) seems to suggest that this is indeed a factor in determining how the individual responds in the workplace, but one of three factors, and key additional elements are the competencies of the individual. Feedback from delegates taken informally during the early life of the programme seemed to support Boyatzis' view. It therefore became important to question the assumptions about generic leadership development, and to attempt to determine through formal research the extent to which the learning from the East Riding competency-based leadership programme did provide experiences which were transferable between schools and into new posts which were often going to be at a higher level of responsibility in the organisation.

The fundamental questions that this research will therefore seek to answer are:

1. **What is the impact of a competency-based leadership development programme on the individual participant and their subsequent career progression?**

2. **How effectively does the process prepare them for leadership? How does this approach differ from or complement other forms of training which might be available?**

3. **Does the use of generic competencies overcome the issue of context, by raising self-awareness and giving the confidence to progress in any context?**

Chapter 4: Methodology

Chapter 4: Methodology

Section 1: Introduction

The East Riding Leadership Development Programme is a multi-faceted model. As we have seen, the elements of the Programme provided by the LA are designed to complement those provided nationally, especially those offered by The National College for School Leadership (NCSL). In the initial stages, and during the period covered by this research, the Programme was funded by the National College for School Leadership as part of the local solutions policy, and was therefore evaluated termly by an assigned NCSL Consultant, in order to ascertain whether the grant was being properly used. In his comments on the autumn term 2008 evaluation, the Consultant, a former Director of Children's Services in a neighbouring LA, wrote:

> East Riding is one of a small number of authorities in Yorkshire and Humberside that have provided powerful exemplars of good practice in succession planning. Much of the work pre-dated the national initiative, but the authority has used the additional funding to maintain and develop the programme of leadership development centres and on line support materials. East Riding has also been at the forefront of work on new forms of school leadership including federations and has exceptionally well developed arrangements for ensuring that there is clarity about the links between HT succession planning (NCSL), distributed leadership (NCSL and TDA), commissioning of school places (LA) and Governing Body support work (LA).

The routes into the programme exemplify the wide reach of the programme, described by the same consultant from the National College of School Leadership (e-mail November 2nd 2008) as follows:

> …this really does represent best practice in succession planning. I am not aware of anybody else doing things so systematically, or on such a scale, or, indeed, despite our agonising about the schools that are 'hard to reach', with such widespread involvement.

The purpose of this research, as set out in the research questions at the end of chapter 3, is to explore the impact of competency-based leadership development as an approach to the preparation of school leaders, and these comments would suggest that the scale of the project, is such as to represent a volume of data in sufficient depth to provide representative findings of impact in answer to the research questions.

In educational terms, impact has come to be understood as a quantifiable entity driven by the accountability process; the relative success of schools is measured by the number of pupils who achieve given levels of attainment in national tests, and these results are published for public scrutiny. The success of a teacher is measured by the number of pupils for whom they are individually responsible who reach, or more importantly, exceed the required levels of progress whilst in their care, or by the number of their lessons judged under observation to be of a certain standard, usually no less than good. These measures can all be set against strict criteria. The Office for Standards in Education (OFSTED) sets clear criteria by which to judge a lesson to be good, and the Secretary of State determines the proportion of pupils in the school required to make a certain amount of progress; in Key Stage 2 for instance, pupils are expected to make two national curriculum levels of progress over their four years in the key stage as a minimum. If less than 83 per cent of pupils achieve this measure in English, for instance, the school is said to be "below floor" and could find itself subject to close scrutiny, usually triggering early intevention by OFSTED inspectors.

An idealistic struggle between Her Majesty's Inspectorate (HMI), and central government took place in the lead-up to the Education Act of 1988 and the introduction of the National Curriculum. HMI (1985) put forward a curriculum model based on "Areas of Learning and Experience" (and subsequently published a series of pamphlets under the collective heading of "Curriculum Matters," dealing with each subject area separately). Central Government, however, favoured a curriculum created using learning objectives which could give measurable outcomes verified through paper and pencil testing. The government view prevailed, and this led to the shunning of the HMI model, some of whose traits, such as aesthetic or spiritual development were difficult to measure in quantifiable terms.

My purpose in setting out the issues above is to show that, in the English Education system, since the inception of the National Curriculum in the late 1980s, schools and those who work in them have been subject to an accountability structure which is based on what is measurable, and measurable in very simplistic ways. The impact of a leadership development programme could be measured in a similar way. An obvious answer would be to count the number of delegates on the programme who have gone on to Headship; that is perfectly possible and yields a positive result, as we shall see below. The National College have certainly published figures annually telling the Local

Authority how many delegates have particpated in NPQH, and how many have been successful; similarly, how many have participated in pre-NPQH and subsequently gone on to undertake the NPQH itself. Equally evident is the number of people who, without progressing to headship, have still moved on in their career, and that too is measurable, and demonstrable by tracking their career progress over a period of time. This study has done that, looking at the first eight cohorts of the programme over the two years of their immediate participation, and up to three yeas after that. Again, results are positive, and will provide part of the answer as to impact.

An important part of impact, however, is not represented simply by the positive outcomes for programme participants, or by the number of heads it has produced. There will have been those whose experience has led them to take a different course, and maybe decide in the end not to aspire to leadership. That could be a positive decision and interpreted as a helpful outcome for those individuals. There are also those who had, at the time of participation, only just taken on new roles. Progress for them would not be noticeable in terms of their career progression, therefore, and not a reliable measure of impact, as the impact could have been on the manner in which they conducted themselves in the new role. This is equally true for those who did aspire to promotion, but for whom it has not happened. Should this be seen as a failure of the programme, or rather is it not worth exploring how the experience of the programme has influenced their way of working, and if it has in any way changed their way of doing things?

From a Local Authority point of view, it has been necessary to report the success of the programme in terms of career progression and the number of senior management positions filled by the delegates from this programme. It was, after all, created to bring such change about, and secure a new generation of leaders in schools. It should not be claimed, however, that the programme is wholly responsible for this success (although, as we shall see, the impact on some individuals was life-changing), as these aspiring leaders might well have been proactively seeking promotion before participation, and their subsequent learning contributed to, rather than brought about the career change. What is important is what did the experience bring to the individual delegate in terms of their work, particularly their work as leader or manager; how did they use their learning, and how did they deal with any changes of post or job-description that they have

experienced. We can summarise this in the two key questions that the Leadership Programme asks of the delegates after they have experienced the LDC:

"In order to progress:

- **Do you need to do things differently?** (this is usually for someone who is early in their post or not thinking of progress)

or

- **Do you need to do different things?"** (Which might give someone at an early stage in their career the opportunities to develop competencies that they currently lack).

It has therefore been a challenge to myself, steeped in the LA ways of working and the world of educational accountability through measurable outcomes, to adapt to a model of impact measure which was rooted in the individual, and sought to go beneath the statistics and find out how the person was changed for better or for worse, by the experience.

This has also been a personal journey for me; although I did not create the LDC model, but adapted the model which already existed in the Council, I was responsible for transferring that model into the schools' arena, and overseeing its implementation. In a key way, therefore, this has also impacted on the methodology I have needed to adopt, as this personal involvement in the success of the project could easily be seen as influencing my approach and desire to prove that "I was right." There has been a need, therefore, to include clear statistical evidence which provides an unambiguous and unbiased set of data. Interaction with delegates has also required specific attention in order to reduce the potential for bias, both because of my relationship with the project, and my relationship with the delegates. This is explored in greater depth in the body of the chapter, but, essentially, LA Advisers/Inspectors play a key role in making judgements both about individuals and the schools in which they work, and avoiding the intrusion of their knowledge of my ulterior role into the perceptions of the delegates was a key element in establishing the datasets that would be required in order to arrive at an appropriate set of conclusions to the research questions.

In methodological terms this raises the question debated by Hellawell (2010) around the relative merits (and pitfalls) of "Insider/outsider" researchers. He lists characteristics of researchers which define them as insiders:

- Research is taking place into an organisation where the researcher is an employee
- The researcher is known to the people, therefore increasing the potential response rate
- The insider has a knowledge base [of the organisation and context of the participants]
- The researcher has experience of the role being researched
- The researcher has ethnic similarity (or not) to the interviewees.

If we accept this definition, all these characteristics apply to me, placing me firmly in the role of insider researcher:

- I was, at the time of the research an employee of East Riding Council, whose leadership development model this research explores; school-based staff who work in LA maintained schools are the employees of the Council also.
- I worked as Adviser to several of the schools employing delegates; if they were not personally known to me in advance of the Centres in which they participated, they became known to me as a result of that process, and were therefore known to me before I interviewed them as part of this research.
- I possessed, as an Adviser, large amounts of data about the schools and the contexts in which each of the delegates worked.
- Before becoming an Adviser, I worked in schools for twenty years, and gained sixteen years experience as a middle and senior leader carrying out tasks similar to those who came as delegates to the LDC.
- My ethnic origins match the overwhelming majority of the delegates.

The "insider researcher" has some clear advantages: a knowledge of the cultural environment of the area to be researched, a shared vocabulary with the subjects of that research, and potentially even a personal (or at the very least professional) knowledge of them. Hellawell's lecture suggested that this is both an advantage and a disadvantage, and he introduces the term "reflexivity" which he defines as "an understanding of yourself and where you stand." The motivation for this research transcends the simple

evaluation of a programme of leadership development. The introductory chapters of the thesis have set out a series of events and circumstances which have placed increasing pressure on teachers, affected their perceptions of the job of school leadership and regulated their access to promotion. Many years of working on workforce reform, which was originally designed to set teachers free from overwork and allow them to focus on the reason for being there – teaching – has led to a desire on my part to secure these benefits for individuals and support those seeking to progress. This thesis may prove that this model of working can be effective in developing the person beyond the teacher and leader, but only if the analysis is carried out in the most rigorous way possible, where my relationship to the project does not colour the outcome.

In order, therefore, to explore the impact upon the individual of the experiences offered through the East Riding Leadership Development Programme, and most specifically the competency-based elements, quantitative methods alone will not suffice. There is a significant amount of quantitative data on the nature of participants, their personalities and strengths and areas for development. Many of these data are used below to gauge the quality of the sample being used, and they provide interesting starting points for impact, for instance through initial reaction questionnaires filled in at the end of the LDC process. They do not, however, allow a clear understanding of long term impact, or changes to professional practice or self-confidence arising from the self-awareness generated (or not) by the process.

Quantitative methods therefore have a place in the study, but need to be supplemented by data which is not necessarily quantifiable but refers to feelings; this requires "qualitative" methods in order to gain the fullest picture of the impact on individuals. Plowright (2011) rejects the "traditional dichotomy" between 'quantitative methods' and 'qualitative methods,' talking instead of "the practice of mixed methods." (p.2) He coins the concept of "**Fra**meworks for an **I**ntegrated **M**ethodology or "FraIM."

Plowright's FraIM consists of breaking the research into two phases (p.6):
- The pre-empirical stage (research area, topic, questions): in this research, these are dealt with in the first three chapters of the thesis, above.
- The empirical stage: design, data collection, data analysis, answer questions: the current and following chapter deal with design and data collection; chapter 6 will analyse that data and answer the questions.

The concept of the FraIM does not presuppose a philosophical viewpoint on the nature of research. Plowright explains (p.7):

> Unlike most approaches to research, the FraIM does not dictate that you hold a particular philosophical position prior to beginning the research. It encourages a more responsive, flexible and open-minded attitude, based on answering one or more research questions finding a solution to a problem or addressing an important issue.

He goes on to explain, however, how the FraIM is not linear, but how it will contain different branches, some of which may be occurring simultaneously; this was true of this research, where background issues and context evolved during the lifetime of the research, with data emerging throughout the work.

I shall use Plowright's extended FraIM (p.9) to show how this thesis corresponds to the mixed methods model:

Research question:	context: Professional; organisational; policy; national; theoretical (chapters 1-3)
Cases:	Sampling strategy; data source management (Chapter 4)
Methods:	observation; artefact analysis; asking questions (Chapter 4)
Data:	numerical; narrative (Chapter 5)
Data analysis:	mathematical; narrative (Chapter 5)
Evidence	leading to
Claims	(Chapter 6)
Conclusion	(Chapter 7)

The most reliable means of gaining the non-quantifiable information is from the delegates themselves. It may have been possible to obtain a significant amount of this via questionnaire; this would provide information which is helpful in interpreting feelings, and indeed has done so, as a questionnaire forms an essential part of the process as we shall see below. However, a questionnaire cannot perforce have the nuances which one-to-one conversations can elicit. It was therefore felt necessary to interview participating individuals, to seek these personal reactions and nuances. Neither can these interviews be seen as a mere collection of further statistical data. The

opinions elicited will of necessity not be those which can readily measured in numerical terms – there is no clear means of measuring confidence or self-awareness.

Interviews themselves take two forms: Structured and semi-structured. Again, structured interviews perform the role of the questionnaire; every interview is identical, with the same questions asked in the same sequence. For the purposes of achieving an understanding of personal reaction and depth of feeling, this is of no advantage over the questionnaire. Semi-structured interviews allow flexibility within a planned outline, and the opportunity to explore those nuances of the views of the interviewee as may arise in the course of the conversation.

Miller and Glassner (1997 p.100) state:

> "Those of us who choose to understand and document others' understanding choose qualitative interviewing because it provides us with a means for exploring the points of view of our research subjects, while granting these points of view the culturally honoured status of reality."

They find agreement with Charmaz (1995)

> "We start with the experiencing person, and try to share his or her subjective view. Our task is objective in the sense that we try to describe it with depth and detail. In doing so, we try to represent the person's view fairly, and try to portray it as consistent with his or her meanings."

The chosen methodology will therefore be mixed: a series of semi-structured or qualitative interviews, which, in order to overcome potential pitfalls, especially bias, will be supported by a clear statistical analysis of the study cohort, and data sought from other sources such as a questionnaire, as laid out in the next sections.

This methodology also has the advantage of providing the opportunity for "triangulation" of the data as a means not only of validation of the outcomes from, for example, the semi-structured interviews, but also to counter the issues of the "insider researcher." Olsen (2004) explains:

> In social science triangulation is defined as the mixing of data or methods so that diverse standpoints cast light upon a topic. The mixing of data types known as triangulation is often thought to help in validating the claims that might arise from an initial pilot study. The mixing of methodologies, e.g. mixing the use of survey data with interviews, is a more profound form of triangulation.

The next section of this chapter explores in greater detail the necessity for this form of triangulation, and the means by which it will be achieved.

Section 2: Semi-structured interviews

Overview of the concept

Bryman (2008 pp. 435-471) makes a key point in distinguishing between formal or "structured" interviews, and the semi-structured interview which will form the heart of this research. In his view, structured interviews have a place in quantitative research to "maximise the reliability and validity of measurement of key concepts," whereas in qualitative research, "there is an emphasis on greater generality in the formulation of initial research ideas, and on interviewee's own perspectives." The latter point is critical for this research project, as it will focus on the impact on the individual, and this cannot, as has been shown, be measured in a quantitative way. It is undesirable for the interview to be closely structured, and there is a place for allowing the interviewee latitude to explore personal responses, or even introduce other thoughts beyond that which the interviewer may have preconceived. In these interviews, I identified a number of key themes to be raised with the interviewee (derived from two pilot interviews with delegates from Cohort 1), and both the original schedule for the pilot interviews and the subsequent interview schedule have been assembled and reproduced below, but there can be no set script leading to responses which can be necessarily quantified.

Features of qualitative or semi-structured interviews:

Semi-structured interviews are characterised as follows: (adapted from Bryman, 2001 p.314)

- The interviewer will construct a "guide" or series of pre-planned questions to initiate response;
- Interviewees can respond to these in the way which suits them best
- This may in turn lead to different questions being asked, not included in the original guide
- Major questions will occur in all the interviews, and be asked in a similar way;
- The interview situation is flexible
- The emphasis is on how the interviewee "frames and understands issues and events"

This research does have a clear focus, as described above, which therefore reinforces the notion of the semi-structured interview with certain identified themes and questions. A completely unstructured discussion, whilst potentially useful in creating the interview guide in the first place, does not lend itself either to the research questions identified.

Outcomes of the interviews have subsequently been analysed, using coding techniques. This involved analysing the outcomes of the interviews and relating data items to one another and to key themes of the research. In general terms, as the analysis evolves, it may suggest other issues which need to be explored, leading to a revision of the interview guide or even to revisiting earlier interviewees to explore their thoughts in this domain. In the event, these interviews did bring up one particular issue, described in chapter 5, which had not featured in the original schedule. Data from other sources, which pre-existed the interviews, as well as specific comments from interviewees, provided sufficient material to deal with this issue, without recourse to further interviews.

A critique of this methodology

The semi-structured interview can, by its very nature, create a number of problems in both obtaining useful information, and in the interpretation of that information. Holstein and Gubrium (in Silverman, (Ed), op.cit p.113), suggest: "The interview conversation is […] framed as a potential source of bias, error, misunderstanding or misdirection, a persistent set of problems to be controlled." The issues which might provoke such difficulties are explored below.

i. **Accuracy:** Miller and Glassner (1993 op.cit) pick up the issue of accuracy arising from the "numerous levels of representation" which occur between the conduct of the interview and its ultimate interpretation by the researcher. Given that the very linguistic process can cause error to occur (accuracy in hearing and semantics), it is essential to secure an accurate representation of the interview from which to work. There are four stages in the interview process which can assist in overcoming these issues:

a. The number of interviewers: multiple interviewers can offer different interpretations of the questions, or, given the nature of semi-structured interviews, allow the conversation to progress in a different direction. (Consider the criticism of the work of Ribbins et al (1997) in the interviews with headteachers and Principals referred to in chapter 2). The integrity of the outcomes can in this case be compromised. In the case of Ribbins' work, the factual nature of the answers, relating to their career progression, did not require moderation, and was therefore of lesser significance; where interpretation of feelings is involved, achieving consistency of interpretation is better achieved through a single interviewer. From a practical point of view also, there was neither the time nor the money available to the researcher to train and employ research assistants to carry out the interviews to the level of consistency that this would have required. In the case of this research project, therefore, for both reasons of theoretical underpinning and pragmatic logistics, all interviews were conducted by me.

b. The interviews were recorded, with the permission of the interviewee. This allows the interview to be revisited by the interviewer to check for accurate hearing or quote actual words where appropriate. The interviewer's note-taking skills cease to be the only record of the interaction. All the interviewees gave their consent for recording, and transcription.

c. Following the interview, the transcript was written up and returned to the interviewee to be checked for accuracy. Hellawell (2010) disputes the merits of this action. He presents arguments from different writers (Hellawell 2001, Drever 1995, Bassey 1999, Murray and Holmes 1997), in support of, and opposition to, returning the transcript to the interviewee. In a quotation from his personal communication (2001) he says:

> [...] rather than commenting on the accuracy of the summary, they are liable to want to expand or explain their answers, thereby introducing their own subjective bias into the interview record.

I perceived, however, that the opportunity to revisit the transcript on the part of the interviewee was key to establishing their approval of what they had said, and in some way also allowed them to reflect on what they said in the context of the interviewer/interviewee relationship, which as we have seen is central to the integrity of this research. That a misunderstanding or misinterpretation on the part of the interviewer should be allowed to stand uncorrected would appear to be as great a source of concern as any reinterpretation by the interviewee could be. After all, if the interviewer is seeking to establish the true feelings of the interviewee, it is better to give them every opportunity to express this in the fullest way possible. In the event, only two interviewees (delegate 39 and delegate 57[xvii]) sought to modify their words *post facto*. They were able to do this when they received the transcript, and one (delegate 39), was at pains to explain that she did so not because she wanted to change the tenet of her comment, but because she felt that the manner in which she had originally expressed herself did not make her views immediately clear enough, and, therefore, open to misinterpretation. Delegate 57 took the opportunity to address the linguistic inaccuracies and grammatical lapses which arise from the spoken language, turning the transcript into more acceptable English without affecting the meaning. All the others responded formally by e-mail to the researcher that they were comfortable with the transcript as it stood. One (Delegate 26), even took the opportunity to say that having re-read what he said, he wanted to reiterate how strongly he had felt and that his transcript was a true reflection of his views. An important adjunct to this point is that, in order to maintain accuracy and confidentiality, the transcripts were taken by the interviewer, as the content of some responses, especially references made to colleagues in a school, proved too sensitive to allow them to fall into the public domain. Interviewees spoke openly about their experiences, and sometimes about their relationships in school, especially with Heads.

[xvii] All interviewees are referred to by their number taken from the list of 57 delegates who form the sample population for this research. These numbers are consistent throughout the thesis, and a key can be found in chapter 5.

If any item was unclear or required further clarification, a follow-up opportunity could be sought to glean necessary additional information. In the event this did not prove necessary, as all the interviewees (except the one mentioned above) were comfortable with their interviews and felt that they had expressed themselves adequately. Each one responded by e-mail to give their approval. I have also been able to undertake the analysis of their responses adequately, having felt that I obtained the information that I needed at the interview itself.

ii. **The status or position of the interviewer and how the interviewee responds to this:** Miller and Glassner again (p.101): "The issue of how interviewees respond to us based on who we are in their lives … is a practical concern as well as an epistemological or theoretical one." As set out in the first part of this chapter, this is a critical aspect of this research, linked to my status as "insider researcher" and has been referred to before as of concern in securing research findings which have credibility and integrity. In this case, my position as researcher/interviewer is linked to my position at the time of the interviews as Local Authority Adviser and Project leader; I had occasion during the lifetime of this project to write professional references for participants in the programme or to advise a governing body in interviewing them for Headship. This could have, in theory, affected their response to my questioning, and led them to wish to tell me what they supposed I might have wanted to hear. The fact that they spoke with openness and frankness about their experiences and their relationships both in and out of school may of itself be evidence of the fact that their relationship with me as interviewer was not inhibited by my position or my role in the project, and, on the contrary, because they knew me in other contexts, were trusting enough not to modify their behaviours.

In theoretical terms, avoidance of this potential pitfall is more difficult, and there is no obvious means of preventing a subject from not telling the truth, or for that truth to have been distorted by time. Some assurance may be gained from the fact that I was present at all the Leadership Centres in which the interviewed delegates participated, acting as the assessor to a number of them, and had received feedback from some of them in a different way at different times already. It is possible to cross-reference comments on initial impact with what

was recorded at the time, or in subsequent feedback. (Initial impact forms were completed by 56 of the 57 delegates). Equally, the fact of having a shared experience may act to resolve further issues of interpretation, as both interviewer and interviewee will have a shared vocabulary and register. This is one of the clear advantages of the "insider researcher" pointed out by Hellawell. There is, however, a need to rely to some extent at least on the professionalism and honesty of the interviewee.

In order to secure the integrity and credibility of this research, it has been felt of major significance to minimise the potential impact of this factor. As the sole investigator, and being so closely related to the project, it is an undeniable potential pitfall which could undermine the reliability of the evidence obtained from the interviews. In order to avoid this, therefore, the following additional precautions were taken:

a. As we have already seen, the complete transcript of the interview, not just notes, was returned to the interviewee for ratification and comment;

b. Corroboration of the views of the interviewees was sought from different sources; these were:

i. An anonymous follow-up questionnaire to all those members of cohorts 1-18 who were not interviewed; this questionnaire was devised by the researcher, but distributed and processed, including preparation of the final data report, by the Research and Information section of East Riding Council. As such, although it was completed anonymously, the researcher was not, therefore, at any stage able to identify the sources of individual responses, and thus it was felt that this would encourage honesty as far as was possible. This questionnaire elicited 30 responses. The Local Authority agreed that this could be used both for this research and in order to compile an evaluation report for the Head of School Improvement, which could have disguised the underlying purpose. Ethics demanded, however, that respondents were made aware of the ultimate purpose of the questionnaire for use in this thesis, and it therefore had to go out under a covering letter from myself (reproduced with the transcript of the questionnaire, below). As such, they knew that I would be aware of their

answers, but it was hoped that the anonymity would allow them to express themselves without inhibition. There is no way of gauging the extent to which this was successful.

    ii. Consideration of other forms of evaluation evidence such as those returned after six months by some delegates in the early stages of the project (before this research was initiated, but included with their permission)

    iii. Consideration of the findings of a small scale research project into Council-based leadership development carried out by a group of Council Managers as part of their MBA studies.

iii. **Slanting the content in a given way by the researcher (or distortion on the part of the interviewee):** Under the guise of a semi-structured interview, it is possible for the interviewer to ask leading questions, or focus on those parts of the argument closest to his interests, ignoring other aspects of the issues either by accident or design, thereby leading to a conclusion which may sit more comfortably with his original hypothesis. There are fundamental ways of avoiding this.

    a. First, as advocated by Miller and Glassner (op.cit), using terminology quoted from Harding (1987) is that "researchers should air their 'concrete specific desires and interests.'" In the case of this study, this meant clearly stating the research questions in the letter written to prospective interviewees.

    b. The second is to consider different aspects of the possible response in the creation of the interview structure, to act as a prompt sheet to ensure all aspects of the theme are appropriately covered. To facilitate this, pilot interviews with two members of the programme who have negotiated the entire route from middle or senior leadership before embarking on the NPQH and subsequently progressing to substantive headship were used to formulate the interview structure.

    c. As an additional precaution, as a rule, interviewees should be offered the opportunity to add any further comments or to expand the discussion into areas they see as relevant but not raised by the researcher. By these means, the interviewee ought to be placed in a position of greater control

over the material they wish to share. As Holstein and Gubrium state (op.cit. p.113), "both parties are necessarily and ineluctably *active*." (their italics). They also express the view (p.116), that the use of open questions offers the interviewee the opportunity to offer more expansive answers and thus reduce the possibility for bias. In the end, the different lengths of the interviews were testimony to this outcome. They ranged in time from around twenty minutes to well over an hour, showing how different interviewees felt the need to express themselves at different length. The last question in every interview was an open one which asked the interviewee if they had anything to add to what they had said, or any further points of their own to make. Five delegates took the opportunity to make points that they had not made in the body of the interview; the remainder either declined to make further points or used the opportunity to record their thanks for the opportunity to participate.

There is a clear theme in the above, which suggests that any form of interview, as stated at the start, is open to distortion and misinterpretation on both sides. Holstein and Gubrium (op.cit. p.117), acknowledge this, but in so far as they regard the interviewee as an active participant in the discussion, and not a passive container of facts, they conclude:

> Construed as active, the subject behind the respondent not only holds facts and details of experience, but, in the very process of offering them up for response, constructively adds to, takes away from and transforms the facts and details. The respondent can hardly 'spoil' what he or she is, in effect, subjectively creating.

This statement goes some way to answering Hellawell's issue of how offering the opportunity to the interviewee to modify the transcript in some way devalues it. Holstein and Gubrium would seem to encourage the enrichment of the findings by any means possible.

iv. **Interviewees' concerns over what may become of the interview:** This problem is in some ways linked to the issue of the interviewer's status, in so far as the interviewee may have concerns over how their thoughts and personal views might be interpreted or used in some way outside the context of the

research by the researcher in the future. This must be an issue for insider researchers, and in my case, for the reasons given above. In some contexts, this issue might be exacerbated by the nature of certain research topics, such as those involving sensitive social issues or vulnerable groups. In the case of this research, however, the individuals covered by the scope of this research were all mature adults over the age of 18. They did not belong to vulnerable groups themselves, and the questions did not impinge on their interactions with other vulnerable young people. They did, however, impinge on their relationships with other colleagues, especially their managers and, where appropriate, their subordinates, and whilst there was a reasonable possibility that interviewees would be guarded in what they said about, for example, their headteacher, if they thought there was a chance that the transcript might fall into the wrong hands, in reality, this did not prove to be the case. They were able to control what they chose to share with the interviewer, and were, through the letter of invitation, invited to accept or decline the interview. As such, all interviewees were aware of the purpose of the process, and gave their consent to the interview. They were assured of anonymity at all stages of the process, and the fact that the transcript has also remained confidential to interviewer and interviewee as a result of the interviewer making the transcript, has reinforced this assurance; the anonymity of others mentioned in the course of the interviews can therefore be preserved.

Establishing the interview schedule protocols and further instruments.

The two pilot interviews played a key part in determining the shape and direction of the subsequent interviews with the random sample. There was a need to identify individuals for the pilot interviews who were able to speak about each of the key areas referred to in the research questions set out above (p.137). The two individuals approached for this purpose were therefore delegates from cohort 1, who had not been in headship at that stage of their career, but who had since gone on to experience not only the full range of opportunities offered by the ER Leadership Development Programme, but also undertaken NPQH and gone on to become substantive Headteachers. Their experiences therefore allowed all the aspects of all three research questions to be explored. Whilst these initial interviews remained largely unstructured, the following areas of interest to the researcher, derived from the themes explored in the research questions, originally suggested themselves. The questions are laid out below in the format used by the researcher in the interview. It can be seen that they are much broader and general in scope than the final schedule, and reflect the exploratory nature of this stage of the process prior to the refinement of the issues in preparation for the final semi-structured interviews.

Original schedule prepared for the two pilot interviews

(July 2010)

Section 1: questions related to research question 1: the impact of the LDC on the individual, their self-perception and their practice:

a) Pre-centre: How did you view your personal career position before signing up for the Leadership Programme? – What caused you to sign up?

b) Describe your experience of the Centre

c) Have you referred to your report since? How have you used it?

d) What impact did the report have on you at the time?

e) In the initial impact evaluation, there is reference to using the information gained. Have you done so? (and in what way?)

f) What impact has the attendance at the Centre had on your practice? What aspects of your work have benefited from this learning?

Section 2: Questions related to research question 2: the comparison between the learning of the LDC and the other available programmes

g) You have since gone on to NPQH. Did your experience at the Centre prepare you for this? (If so, how?)

h) Can you distinguish between what you gained from the LDC experience and the NPQH programme?

i) Did you feel better prepared for your next steps into Headship as a result of your participation in the LDC?

Section 3: questions related to research question 3: the transferability of learning from the LDC into a new position.

j) You are now in a leadership role. Do you use your self-knowledge in your new role?

k) Do you feel prepared for the role?

l) Has what you learnt about yourself influenced the way you approach Headship?

m) Could the programme have been configured differently so that you were better prepared for your new role?

The interviews undertaken in the pilot were transcribed by the researcher, returned to the interviewees for approval, and then analysed for key issues. This analysis suggested a number of themes common across both interviews, and which appeared to suggest suitable areas for which to seek greater corroboration. As a result of this analysis, a schedule was prepared for the semi-structured interviews with the randomly selected delegates. (to be found below). This schedule needed to be tailored to allow for the fact that some of the interviewees had had quite different experiences from the two pilot interviewees, and therefore to allow for flexibility in the response. For instance, any school business managers interviewed would need to compare their learning with their own form of national training; where delegates had not progressed in their careers, emphasis needed to be placed more on the impact of the LDC on their practice rather than on the transferability of the learning into new contexts. A number of the questions therefore offer the opportunity to branch out in a different direction according to the needs of the interviewee, as can be seen from the schedule.

Final schedule for 12 semi-structured interviews:

(Summer term 2011)

A competency-based approach to School Leadership Development in the East Riding of Yorkshire, bearing in mind the research questions identified above, i.e.:

- What is the impact of a competency-based leadership development programme on the individual participant and their subsequent career progression?
- How effectively does the process prepare them for leadership?
- Does the use of generic competencies overcome the issue of context, by raising self-awareness and giving the confidence to progress in any context?

Schedule for semi-structured interviews

Name of interviewee: _____Role/School

_____

Date: _____

1. Position of the individual prior to the Centre
    a. Reasons for joining the programme
    b. View of self
    c. Career situation/prospect
2. Response to the LDC
    a. Ethos
    b. Focus on self
    c. Elements of the Centre:
        i. Management activities
        ii. Competency-based interview
        iii. 360 appraisal
        iv. Myers-Briggs personality indicators
        v. Improvements?
3. Impact of the Centre (feelings)
    a. Impact of the key areas identified
    b. Degree of confidence in the outcomes identified (any surprises?)

    c. View of self following the Centre – changes from pre-Centre – Career situation/prospects

4. Impact of the Centre: (behaviours) All delegates respond positively to evaluation question "I will use what I have learnt," therefore:

    a. Usefulness of elements of the report (level of detail inc. action-planning section)

    b. Short-term immediate impact:

        i. Did you do things differently?

        ii. Did you do different things?

    c. Longer-term;

        i. Do you do things differently?

        ii. Do you do different things?

5. Transferability of learning:

    a. For those progressing in their career:

        i. Opportunities to apply learning in context current at time of the Centre

        ii. Using the outcomes as preparation for the next career stage

        iii. Using the outcomes/behavioural learning in a new context

        iv. Extent of preparedness/confidence for new role

    b. For those not having progressed:

        i. Opportunities to apply learning in context

        ii. The context as a factor in using the outcomes: support received/inhibitors

6. Impact on the leadership style of the individual (where appropriate)

    a. Implantation of the "Max Pot" culture.

7. Relationship between the ER LDP and other programmes as appropriate to interviewee (NPQH, CSBM/DSBM, LftM, Leadership Pathways)

    a. Comparison of styles of programme design

    b. Comparative impact on the individual

8. Wider programme content

    a. Seminar programme

    b. Secondments and placements (if appropriate)

    c. Suggest improvements

9. If you had to pay for this, what would make it value for money for you?

10. Any other issues not covered or points to make

Further corroboration for their views was sought, as explained above, by means of an anonymous questionnaire distributed to other delegates from cohorts 1-18. The questions were closely related to those asked in the interviews in order to secure this corroborative relationship with the interviews. One additional area, (Question 11), inviting a comment on the possibility of follow-up activities, was added as a new question following the outcomes of the interviews. The questionnaire also presented an important opportunity to gather evidence of impact for the purpose of reporting to the Council on the effectiveness of the project. The covering letter, included in the transcript reproduced below, shows the dual purpose of the survey. As a result of this duality, it was possible for the survey to be managed on line and the data processed by the East Riding of Yorkshire Council Research and Information Team, meaning that it was handled in total anonymity. Whilst, therefore, it is possible to analyse the results on an individual basis, there is no means of identifying the author, unless they have included personal information in any literal comments.

The questionnaire was circulated to the remaining delegates for whom there was an existing contact. There had been 130 delegates in cohorts 1-18. Of these, it was possible to distribute 109 questionnaires by e-mail. As with the interview process, it was necessary to eliminate certain delegates from the questionnaire. Those who had already been interviewed, those who were on long-term absence, (e.g. maternity leave), three delegates who worked for the Hull and East Riding Primary Care Trust (PCT), which was being restructured, and any who had either retired, left the LA or been made redundant following restructuring within the Council, were excluded from the follow-up questionnaire (21 in total). 30 replies, or 27.5 per cent of the number distributed, were received. This data was sought for corroborative purposes only, and not for reasons which required it to be statistically robust, and this level of response was therefore felt to be statistically acceptable. This view was confirmed by the homogeneous nature of the responses, which were not only consistent between themselves, but also proved consistent with the responses given by interviewees. When added to the interviewees, this amounts to 44 or 34.4 per cent of delegates who were able to make comments.

In addition to the interviews and questionnaire, the initial impact evaluations completed by delegates on day 2 of the Leadership Centre were also analysed to provide supportive data. In the next section, these responses are used to inform the data

sampling, and to demonstrate the homogeneity of the sample cohort when compared with the wider group of delegates. In the following chapter, however, this data will be used to draw conclusions about the effectiveness of some elements of the Centre itself. It is illuminating to see how initial reactions are carried through into subsequent responses both in the interviews and in the corroborative questionnaires.

Initial analysis of the responses in the two pilot interviews led to the design of the schedule for the semi-structured interviews; these in turn offered responses which were initially grouped under the headings of the questions for codification, bringing about identification of the themes which are analysed in the following chapter. However, ideas also emerged from these interviews which were not originally envisaged and which are included in the analysis for the light they throw on the relationship between this process and the wider issues of leadership development and succession planning in schools. These included the access to follow-up activity either in the form of in-house support or through training and development activity, as well as the usefulness of the wider programme of activities and the issue of value for money. The follow-up questionnaire was distributed in the following format:

Evaluation of the East Riding Leadership Development Programme (ERLDP)

Dear Leadership Development Programme participant,

With the changes to the nature of leadership development nationally, and the cessation of the mandatory status of NPQH, it is important to re-evaluate the provision for leadership development within the East Riding. Central to the East Riding Leadership Development Programme is the 2-day Leadership Development Centre (LDC), in which you have participated as a delegate. The aim of this questionnaire, which should require no more than 15-20 minutes of your time to complete, is to evaluate the impact of the LDC on you as an individual, as well as to seek your views on the effectiveness of the process, and where appropriate, of the wider opportunities in which you may have engaged, such as the seminar programme or secondment opportunities.

Over the lifetime of the ERLDP, I have also been carrying out research and as part of this I have interviewed a number of former delegates. The responses to this questionnaire will help to clarify the views expressed in those interviews, and will therefore contribute to my research. However, the questionnaire will be entirely anonymous, and all the data will be received and processed within the East Riding Council's Research and Information Team. There will be no means of identifying the respondents, and I will be provided only with summary data for analysis.

I hope you will be able to help us to develop our programmes further to help future generations of school leaders in the East Riding. Please click on this hyperlink to access the questionnaire. The site will remain open until April 16th 2012.

I look forward to reading the responses, and thank you all in advance both for your support of this process over time, and for completing the questionnaire.

Regards

David Stork, Area Improvement Adviser.

1. About your circumstances: Do you work in:
   a. Primary education ☐
   b. Secondary education ☐
   c. Other (e.g. Central service) ☐

   If other please state:

2. Did you join the ERLDP
   a. Through self-nomination ☐
   b. Following nomination by your headteacher ☐
   c. Other route (e.g. by invitation) ☐

   If other please state:

3. Prior to the LDC were you:
   a. Definitely not seeking career advancement ☐
   b. Not sure what to do next ☐
   c. Proactively seeking career advancement ☐

4. At the LDC: did you find the emphasis on you as a person:
   a. Helpful ☐
   b. Neither helpful nor unhelpful ☐
   c. Unhelpful ☐

5. Were you:
   a. Very confident in the areas identified for you as strengths/areas for development ☐
   b. Confident in the areas identified for you as strengths/areas for development ☐
   c. Not very confident in the areas identified for you as strengths/areas for development ☐

6. Following the LDC, how did you feel about your career prospects
   a. More confident ☐
   b. Equally confident ☐
   c. Less confident ☐

7. Have you changed your job/role since the Centre?
   a. Yes ☐
   b. No ☐

8. If yes, please say how your role has changed:

9. If you have changed job/roles, has the learning from the LDC
   a. Helped you in the new job /role ☐
   b. Made no difference ☐
   c. Been unhelpful to you in the new job role ☐

10. If you have not changed job/roles, has the learning from the LDC
    a. Helped you in carrying out your current role ☐
    b. Made no difference ☐
    c. Been unhelpful in carrying out your current role ☐

11. In terms of your areas for development, have you
    a. Been able to undertake opportunities to address these developments ☐
    b. Been unable to address these developments ☐
    c. Been prevented from addressing these developments ☐

> Please explain:

12. Have you undertaken any of the following programmes:
    a. Leading from the Middle ☐
    b. Middle Leader Development Programme ☐
    c. Leadership Pathways ☐
    d. Pre-NPQH ☐
    e. NPQH ☐
    f. Post-NPQH ☐
    g. CSBM ☐
    h. DSBM ☐
    i. ADSBM ☐
    j. Other ☐
    k. None of these ☐

> If other please state:

13. How would you describe the relationship between the learning on these programmes and the LDC
    a. Similar ☐
    b. Complementary ☐
    c. Different ☐

14. Have you participated in any of the following
    a. The ERLDP seminar programme ☐
    b. An "internment" organised by NCSL ☐
    c. A secondment organised by the LA ☐
    d. None of these ☐

15. Did you find this experience:
    a. Not useful ☐
    b. Useful ☐
    c. Very useful ☐

16. The cost of the LDC is £350 per person (LA Schools). If you/your school had to pay for the LDC, would you consider it good value for money?
    a. Yes ☐
    b. No ☐

17. Are there any other issues not covered or points that you wish to make?

Type your comments here:

Thank you for completing the survey.

Section 3: Sampling processes

(1): arriving at a population sample; establishing the validity of the sample.

The process of leadership development is on-going. The LA undertakes five Leadership Development Centres in each academic year, with a target total of 40 participants, although for a variety of reasons, the target number has not historically been met, and some Centres have run with less than the eight delegates they can accommodate. The on-going nature of the process, nonetheless, suggests that, for research purposes, there is a potentially ever-growing bank of data available.

Impact measurement, however, requires time, allowing the delegates to progress in their careers. More recent delegates have not had this time, and it is therefore necessary to establish an appropriate time-frame which both gives a sample of meaningful size, and offers sufficient distance for the individual to have been able to make progress. Time also offers an opportunity to establish the extent to which the Centre has an impact on the individual which is more or less long-lived. For these reasons, the research has been based on the delegates who undertook the Leadership Centre in cohorts 1-8, or from March 2008 to May 2009. However, in order to provide a control sample data has been collected up to the end of academic year 2010-11, i.e. from participants in the first 18 cohorts of the LDC. This group was assessed between Spring 2008 and Summer 2011

During the initial period, the eight cohorts which provide the principal focus of the research broke down as follows:

Table 4.1: Cohort numbers, March 2008 – May 2009:

Cohort	Number of delegates
1	8
2	8
3	6
4	7
5	8
6	8
7	5
8	7

An exploration of competency-based leadership development and its application in education

In Year 1, a pilot cohort of serving and retired headteachers had undertaken the LDC to verify its appropriateness for use with school-based staff. This cohort (referred to as Cohort 0) is not included in the research, as their purpose was not to progress their career, but to become assessors on the programme for future cohorts. In fact, only one of these headteachers is still active, the remainder having retired. The Centre was also conducted differently, with evaluation undertaken following each element, which allowed the LA to form a view as to the appropriateness of the Centres for school leadership development.

Three cohorts took place in academic year 2007-8, and five in 2008-9. The first three cohorts were designed for succession planning purposes, expressly to meet issues of recruitment of primary headteachers or secondary progression for middle leaders. For this reason, cohorts 1-3 were composed entirely of teachers: cohort 1 primary, cohort 2 secondary, and cohort 3 mixed primary and secondary. In 2008-9, the composition of the cohorts changed, as the decision was made to expand the range of delegates to include support staff and centrally employed staff. This means that although the sample is still skewed towards school-based teachers, it also contains school administrators, HLTAs and a small number of centrally employed staff with qualified teacher status (QTS). The proportions of these staff in the sample population reflects closely the proportion in the overall population of those who have undertaken the Leadership Centre experience from its inception to the end of the period of research (June 2011, see Table 4.3, below), although as time goes by, and more non-QTS staff become delegates, this proportion could alter.

The gender mix of the sample population is a reflection of the proportion of male and female members of the school workforce. In 2007, at the time of the pilot LDC (Cohort 0), the overall schools' workforce in the East Riding showed approximately 72 per cent of the teacher population to be female (Source: GTC).

Table 4.2: Proportions of the workforce by gender (ER/National, 2007 GTC) (nearest whole number)

LA Name	No. Male.	Male per cent.	No. Female.	Female per cent.	TOTAL.
East Riding of Yorkshire	795	28	2033	72	2828
NATIONAL	114696	26	329147	74	443843
MEAN OF GROUP	787	28	2037	72	2823
Sample group	14	25	43	75	57

The administrative workforce is 100 per cent female in the primary sector. (Source: ER Human Resources). The proportion of females in the primary sector is 85 per cent; the Secondary figure shows a higher proportion of males but the workforce is predominantly female. (65 per cent). The gender balance in the sample population reflects closely the balance in the overall workforce population (see table 4.2, above).

Staff are invited onto the programme from, as we have seen, a variety of categories. The sample population, compared to the overall number of delegates, breaks down as follows:

Table 4.3: Staff breakdown by category:

Role	Headteachers		Primary staff		Secondary Staff		Other staff (support staff, centrally employed)	
	No.	%	No.	%	No.	%	No.	%
All (130)	5	3.85	74	56.92	17	13.08	34	26.15
Sample (57)	1	1.75	30	52.63	11	19.30	15	26.32

Routes onto the Leadership programme have varied even during the course of the first two years. Initially self-selecting through signing up to an on-line questionnaire, the pathways onto the Leadership programme, and therefore to being a delegate at a Centre have expanded. The sample population has emerged from a variety of routes, therefore, and this may well have impacted on their ability or desire to progress (These routes remain constant for all delegates, and therefore the sample population represents routes which could apply to all delegates, and is therefore in this respect consistent):

Table 4.4: routes to the Leadership Development Centre (Sample population):

• **Self-identification through on-line questionnaire***
• **Nomination from School in Special Measures as part of LA Action Plan**
• **Recent appointment to a new role**
• **Recommendation from own Headteacher/Service Manager**
• **Seeking route back in to School**
• **Preparation for future role change (esp. School Business Managers)**
• **Nomination by LA officer**
• **Desire to become Assessor**

*this route was discontinued at the end of Year 1, so there are a disproportionate number of these delegates in cohorts 1-3.

In order further to assess the extent to which the sample chosen is representative of the delegate population as a whole, I have chosen three areas of comparison: initial impact response, personality profiles as indicated by Myers-Briggs and the outcomes of the LDC in terms of identified strengths and areas for development.

Initial impact response: i.e. have the delegates in the sample responded to the centre in a way which is typical of the overall responses? Chart 4.1, below, shows how their answers to the questions on the initial impact questionnaire compare.

Chart 4.1 Analysis of initial impact responses: Cohorts 1-8 (57) and all delegates (130)
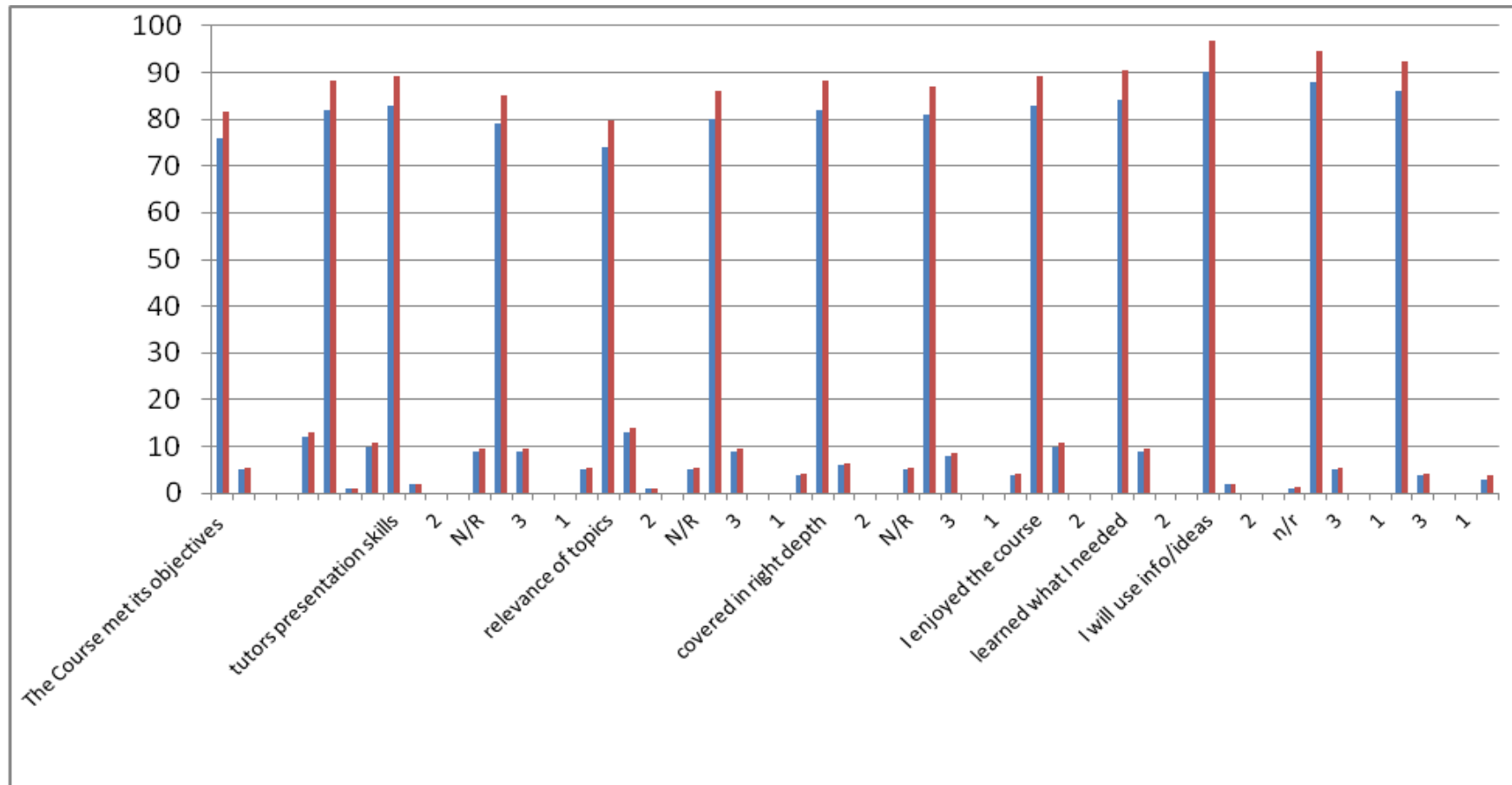
The profile of the answers indicates that their pattern of response is in line with those of all delegates, and therefore the sample does not consist of individuals who have responded either more or less positively to the experience.

Myers-Briggs Personality type indicators: as has been demonstrated above (Chapter 3), the LDC uses Myers-Briggs Type Indicators (MBTI) as a key element in increasing the individual's self-awareness, and when this is combined with the competencies identified as strengths or areas for development, provides the delegate with a comprehensive amount of information. Almost all of the sixteen personality types have been identified among the delegates, and whilst there is no apparent correlation between personality type and role, the indicators can suggest how the cohorts are representative of the complete delegate body.

Whilst the correlation between the two groups in the different overall personality types (Chart 4.2a) is less evident than for the impact analysis, the shape of this graph shows an almost identical pattern: that is to say the most and least prevalent types are represented in similar, if not exact, proportions in the two populations. In addition, the distribution of the individual sub-types (E or I, S or N, T or F, J or P, Chart 4.2b), shows a close relationship, and would tend to confirm that the personality of the sample group does not differ extensively from that of the overall LA group.

Chart 4.2a: Distribution of Myers-Briggs personality characteristics:

Myers-Briggs profiles compared (percentages)
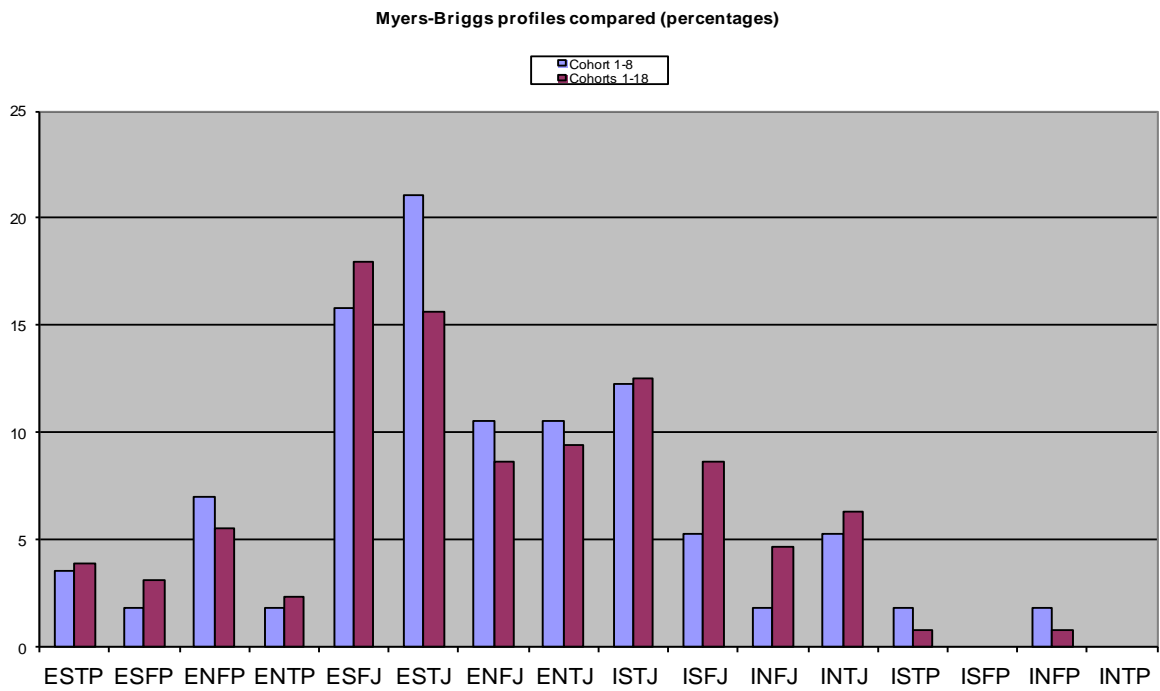
Chart 4.2b: Myers-Briggs personality type indicators compared
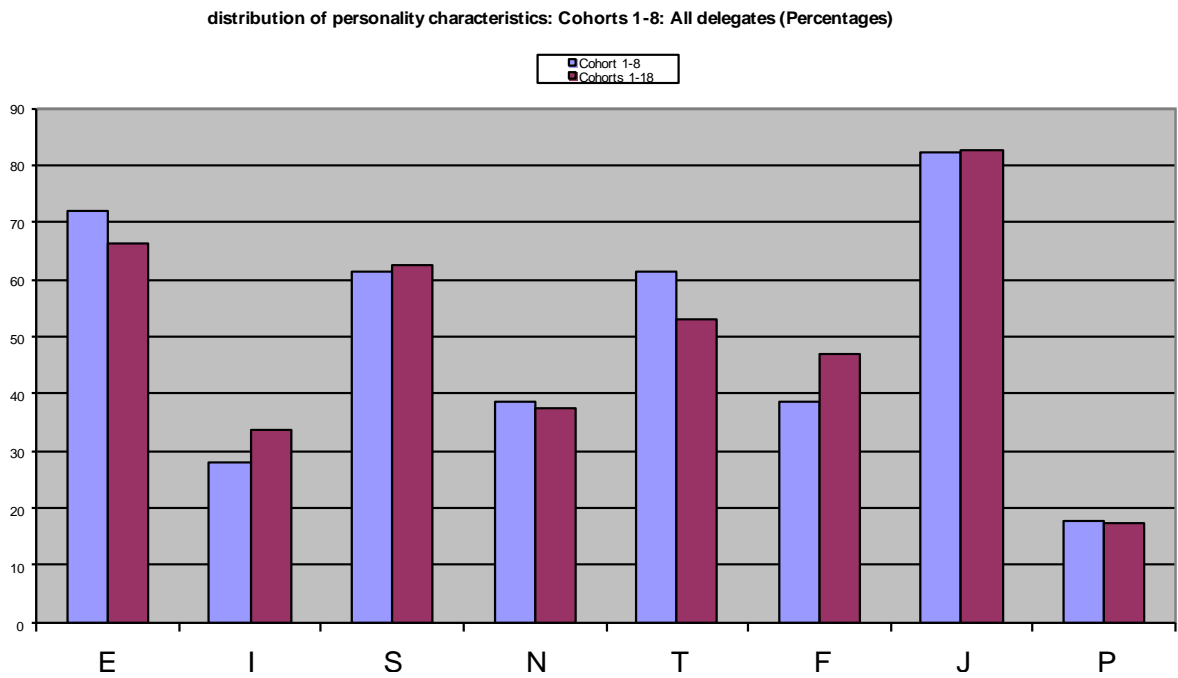
distribution of personality characteristics: Cohorts 1-8: All delegates (Percentages)

Outcomes: the third area of comparison looks at the strengths and areas for development of the sample cohort compared to all LDC delegates. These are summarised in Chart 4.3, below.

Again, the shape of the graph shows a remarkable similarity between the strengths and areas for development of the sample group when compared to the entire group of delegates.

From these three areas of comparison, therefore, it can be concluded that the sample group whilst restricted by time, nonetheless represents a profile which is similar to the overall group of delegates who have experienced the Centre since its inception and up to July 2011. It is likely, therefore, that judgements made in respect of this sample group may be extrapolated as appropriate to the overall population

Chart 4.3: Strengths and Areas for development identified for sample cohort (2007-9) and all LDC delegates (2007-11)

Strengths and areas for development compared (percentages): Sample cohort :All delegates

Legend: Strengths 2007-9 | Strengths 2007-11 | Development 2007-9 | Development 2007-11
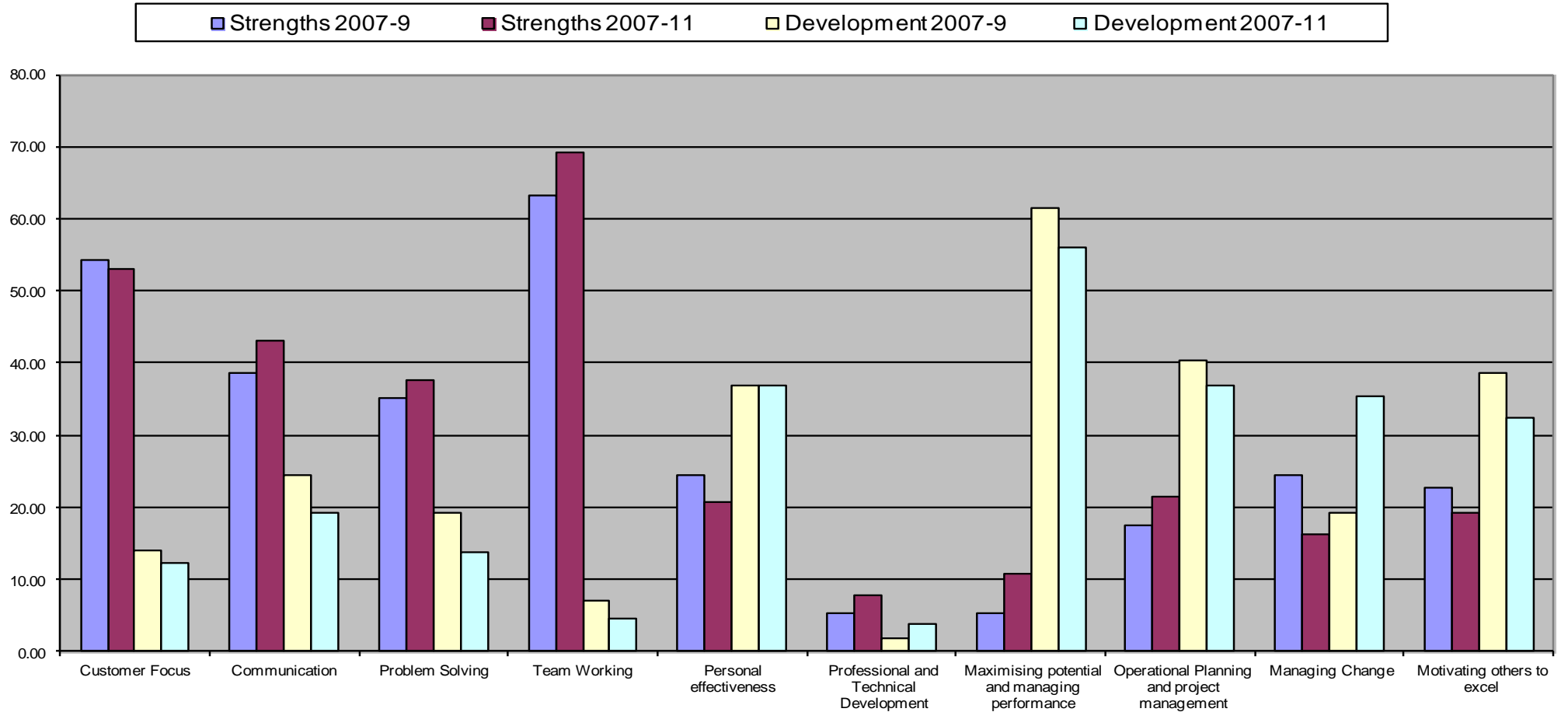
Sampling processes (2): selecting the individuals for interview

Criteria are necessary for the establishment of the list of interviewees. If the sample population chosen for the study reflects the profile of all those who have passed through the Centres, the sample chosen for interview will need to be equally representative. A key question is the number of interviewees to be selected, and why. This research will use what Bryman (2008, p.415) describes as "purposive sampling." "[the] sample is identified in a strategic way so that the sample is relevant to the question being posed."

Strauss, working with Corbin and Glazer in different works, has expounded the notion of "grounded theory," which is described by Charmaz (op.cit., quoted in Bryman 2008 pg.415), as concerned with the refinement of ideas, rather than boosting sample size. This leads to a sampling technique which is known as "theoretical sampling" and builds on the purposive sampling described above based on the notion of making comparisons "[…] whose purpose is to go to places, people or events that will maximise opportunities to discover variations among concepts, and to densify categories in terms of their properties and dimensions." (Strauss and Corbin 1998, quoted in Bryman op.cit) An additional element of this theory is the concept of evidence saturation, which suggests that a sample size is appropriate when evidence begins to be duplicated or replicated. This may in some senses apply to the LDC cohorts being studied, as, as can be seen from the data presented above, subsequent cohorts have continued to show similar characteristics and outcomes in each of the areas of comparison.

For the purposes of this research, an initial number of approximately 20 per cent of the sample population was targeted to be interviewed. The sample population provides three main types of individual, where impact can be assessed differently: those whose status has changed since they attended the centre; those whose status has remained the same, and those whose status has been affected by other circumstances which preclude, at least temporarily, their progressing further. The total number of delegates involved in the study population is 57. The nature of the career opportunities for these people suggests, however, that the numbers of delegates who progress or not will not remain static; for instance, a number of the business managers who have undertaken the LDC have done so with a view to progressing to Advanced School Business Manager (ASBM) roles. The Local Authority rolled this initiative out from September 2010, at which point four of the seven delegates from this population had the opportunity to

move into that role. As time has gone on, increasing numbers of delegates have progressed. For that reason, it has been desirable to place an end date on the period before which progress is undertaken, or else the relative number of interviewees in each category will potentially fluctuate and invalidate the proportions pre-determined. The date when the random selection of interviewees was undertaken was fixed at summer term 2010. The known situations of the delegates were as follows:

Table 4.5: Numbers and percentage of study population who have changed status:

	Number:	per cent
Change of status	**32**	**56.1**
Still in same role	**24**	**42.1**
Other (retired)	**1**	**1.8**

"Change of status" includes all those who have progressed on a permanent or temporary basis into Senior Leadership or a role/phase of training which shows enhancement of their current position. For some, these changes have been multiple, and therefore table 4.6 below shows the final point achieved by the individual by summer 2012, when all data collection was closed. Those who had not progressed at the time of identification of the interviewees had not progressed further at the time of closure of the data sample.

Table 4.6: Current status of those (32) who have progressed in their career following the Centre

Appointment to	No
• **Headship**	**13**
• **Acting Headship**	**1**
• **Associate Head**	**1**
• **NPQH ("Trainee Head" status)**	**2**
• **Completion of NPQH ("Head in Waiting")**	**1**
• **Deputy Head**	**2**
• **Assistant Head**	**1**
• **Acting senior leadership roles**	**2**
• **Teaching and Learning Responsibility (TLR) allowance**	**2**
• **Advanced School Business Manager (ASBM):**	**3**
• **Specialist Leader in Education (SLE):**	**1**
• **LA Consultant**	**3**

Those who have not progressed in their career have not done so for a variety of reasons. Some were not at a point where progression was an end goal in their participation. In total, 11 have circumstances which made progression temporarily undesired, difficult or unlikely:

Table 4.7: List of reasons for non-progression where progression was at least temporarily precluded (11 individuals):

Reason:	No
• **Retirement from the profession since the Centre***	1
• **Ill health/maternity leave***	3
• **Stepping down from current role**	1
• **Recently appointed at time of Centre**	4
• **Undertaking the Centre to train to be an assessor***	2

This implies that:

• **Continuing in role without change of circumstances**	13

The nature of these circumstances made several of these individuals unavailable or inappropriate to interview. The decision was made, therefore, to eliminate these individuals from the interview process, although not from overall calculations. These individuals, six in number, are marked in table 4.7 above, with an asterisk. All delegates were asked for their permission before including them in the sample. All agreed to their data being included, but one delegate declined to be interviewed. Two individuals from cohort 1[xviii], who in previous feedback have ascribed their progression in some way to the experience of the LDC, were interviewed in two pilot interviews, in order to assist in the formulation of the basic themes of the semi-structured interviews to be undertaken with other delegates. This makes a total of nine delegates who could not be included in the population to be interviewed.

This reduced the population from which to select those to interview to 48. It is desirable through interviews to seek the views both of those who have progressed and those who

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[xviii] both have since gone on to complete the NPQH and, in both cases, moved to a substantive Headship, one having, previously to her substantive role, undertaken a series of acting Headships at the request of both her own governing body and the LA. Both were, in accordance with the ethics of this process, made aware of how the process will be carried out, and the information used (see appendix), and both formally agreed to be interviewed.

have not. The proportion of interviewees in each category should reflect the numbers of individuals, which suggests the following pattern:

Table 4.8: determination of the proportion of interviewees in each category:

Total number of delegates:	**57**				
Of which interviewing was not possible/appropriate	**9**				
Leaving as possible interviewees:					
Of which status change is possible/desired	**48**				
Of these:					
Number progressing into new posts/status	**30**	63per cent	or	**8**	interviewees
Number still in original role	**18**	38per cent	or	**5**	interviewees

It was therefore proposed to interview 8 people who have progressed, and 5 who have not. In the event, selection of interviewees was undertaken by:

a) separating the list of eligible delegates into lists of those who had progressed and those who had not;

b) randomly sorting the data using alphabetical listing by school name. This jumbled the members of each cohort;

c) selecting every fourth name on each list.

This produced 13 names, eight of whom had progressed and five who had not. All 13 were invited to interview, with the offer that it could be carried out either on their school premises or off-site, as they preferred. Three chose off-site interviews, all the remainder chose to be interviewed at their school. In the event, one of the five who had not progressed could not be interviewed through constraints of time and availability, leaving twelve interviews. This individual had, however, provided significant feedback at a meeting six months after the relevant Centre, and this evidence contributes to the section of chapter 5 devoted to this element of feedback. Whilst two of the interviewees have progressed further in their careers since the interviews, (the table of destinations above includes their current status), none of those who had not progressed at the time have subsequently gone on to do so. One interviewee has since retired. A table showing the profiles of the interviewees is to be found in Chapter 5, where their responses are analysed.

Ethical considerations:

In line with the regulations of the University of Hull, at the point of selecting individuals for interview, a submission was made to the ethics committee of the Faculty of Education seeking permission to proceed with the research. Permission was formally granted and the documentation relating to this is reproduced at Appendix 2, below.

In addition, every precaution has been taken at each stage to preserve the security and anonymity of the data collected about and from the sample population. No personal data such as addresses was collected or required by the research. Electronic copies of the original recordings of the interviews, transcripts of these and quantitative data are stored on a separate hard drive from the computer on which the thesis was produced. No member of the public or any other person involved in the LDC project has been given access to the recordings or interview transcripts all of which remain identifiable only to the delegate and the interviewer.

All hard copies of items such as Myers-Briggs reports, 360-degree appraisals and LDC outcome reports are the property of the delegate. All hard-copy records of LDC outcomes, such as delegate scores, assessors' observation notes and assessor copies of reports are destroyed by shredding immediately after the LDC is concluded. Electronic copies of delegate reports are stored encrypted with the knowledge and permission of the delegate in case a further copy might be needed.

In order further to protect the anonymity of the participants, this thesis will be held back from publication for a period of five years, unless permission of the author is sought to access it.

Chapter 5: Results of the field-work

Chapter 5: Results of the field-work

Section 1: Sources for the Findings

As described in Chapter 4 (p.146) this research has been carried out by seeking data from a variety of sources and in a variety of styles, both quanitative and qualitiative, in order to secure triangulation of the findings, and to validate the outcomes whilst countering the potential for bias arising from the status of the researcher as an "insider." The findings which are explored in the following chapter are therefore based on outcomes from the following range of sources:

- Initial impact evaluation questionnaires carried out at each LDC on day 2. This includes every delegate except one who did not complete the questionnaire on the day. The delegates are invited to complete the evaluation form, which is a standard East Riding of Yorkshire Council course evaluation, after they have completed all the activities, and whilst they are waiting for their feedback. For that reason, it does not deal with their feelings about the findings, which led to these being explored as part of the interview process and follow-up questionnaire.

- In the first year of operation, delegates were invited to a meeting after six months. Four delegates from the first two cohorts responded to these invitations, two who later went on to take up a headship and were the pilot interviewees for the semi-structured interviews, one who had recently been appointed to a post of Assistant Head, a post she still holds, and one who later went on to become a deputy Head and obtain NPQH. Some delegates also provided feedback in writing at this stage to show how they had responded to the outcomes. The responses from the delegates who contributed, in the early stages, have, with their permission, been included below.

- 2 semi-structured pilot interviews with targeted delegates, and 12 further semi-structured interviews with delegates chosen at random from within the sample population of cohorts 1-8 attending the Leadership Development Centre

- An on-line survey created using a software package (known as "SNAP") employed by the Council's Research and Information Team was sent out to all those in

cohorts 1-18 (the comparative population), who were not interviewed, using the same questions as the interviews, and designed to support triangulation and act as corroborative evidence to the other findings.

- A group of four Council Managers who were studying for a Masters degree in Business Administration (MBA), were required to undertake a consultancy project as part of their study. These projects are commissioned by other Council managers and are usually a genuine problem which needs to be addressed. For instance, as described earlier, a similar group was commissioned by the Council to undertake early analysis of managers' competencies in the lead-up to the creation of the Competency Framework. Accordingly this group was commissioned by me on behalf of the Directorate of Children Family and Adult Services to explore the possibility of cross-directorate leadership development in children's services, and as part of this, they examined the Schools' Leadership Development Programme. Their research was on a very small scale, but they were able to make comments which have been taken on board in the current planning of the programme, especially the wider programme. The interviewees contacted by this group were not necessarily part of the sample population, and their identities were not revealed to me; these findings are not therefore affected by any relationship with me.

- During the spring term of 2013, as part of monitoring visits carried out by LA officers in one primary and one secondary school where teachers had participated in a school-based version of the Leadership Development Programme, fifteen teachers were interviewed to ascertain the impact of that programme in those schools. Similar questions were used to those in both the semi-structured interviews and the on-line questionnaire, and the interviews were conducted either by the researcher or by a colleague involved in the administration of the programme. These interviews shed some light on the wider aspects of the programme, and have, with the permission of the headteachers of those schools, been included where relevant. This data was not considered at the time of creating the original research model, as the opportunity to gather it arose as a result of the school's engagement with the programme and their subsequent need to ensure that it was effective in meeting their needs.

Section 2: presentation of the data

Initial impact evaluations:

Initial impact questionnaires are completed by each delegate on the second day of the LDC immediately before they receive their feedback. They are not anonymous, although delegates are not required to put their name on the form. In the event, all forms are named. As a result of this, it is possible to match initial impact evaluations to subsequent feedback through one of the other instruments used, except with the anonymous corroborative questionnaire. The total number of initial impact evaluation forms received from delegates in cohorts 1-18 is 129 (from 130 delegates; one delegate in cohort 1 did not complete the questionnaire, but subsequently provided feedback after six months, and was a pilot interviewee). Cohorts 1-3 (2007-8) featured a number of "no responses" especially to the early items in the evaluation, and a lower number of delegates was involved in this year, as only three Centres took place. As a result, percentage scores, which include a "no response" score, are lower than in other years, where the number of "no response" scores is significantly less.

An analysis of all the scores from 129 delegates over the initial four years, i.e. the period during which the sample population attended the LDC, shows that there is a very high level of positive responses. In answering all the questions, where 4 is the highest score and 1 the lowest, shows that the vast majority score each element at the highest available levels of 4 or 3. One delegate alone scored the relevance of the materials at 2. No other delegate in any cohort has scored any item less than 3, and there has never been a single score of 1.

The graph in chart 5.1 shows the percentage of delegates annually who have scored the elements of the course 4, which is the most positive score. These show that the ratings given under each of the headings over the four-year period have received a progressively more positive set of evaluations: (Chart 5.1)

Annual cohort responses compared (percentages scoring 4)

■ 2007 - 8   ■ 2008-9   ■ 2009-10   ■ 2010-11

course met objectives · you met pre-requisites · tutors' skills · quality of materials · relevance · right level · covered in the right depth · facilities/equipment · enjoyed · learnt what needed · will use · will improve my effectiveness · overall rating
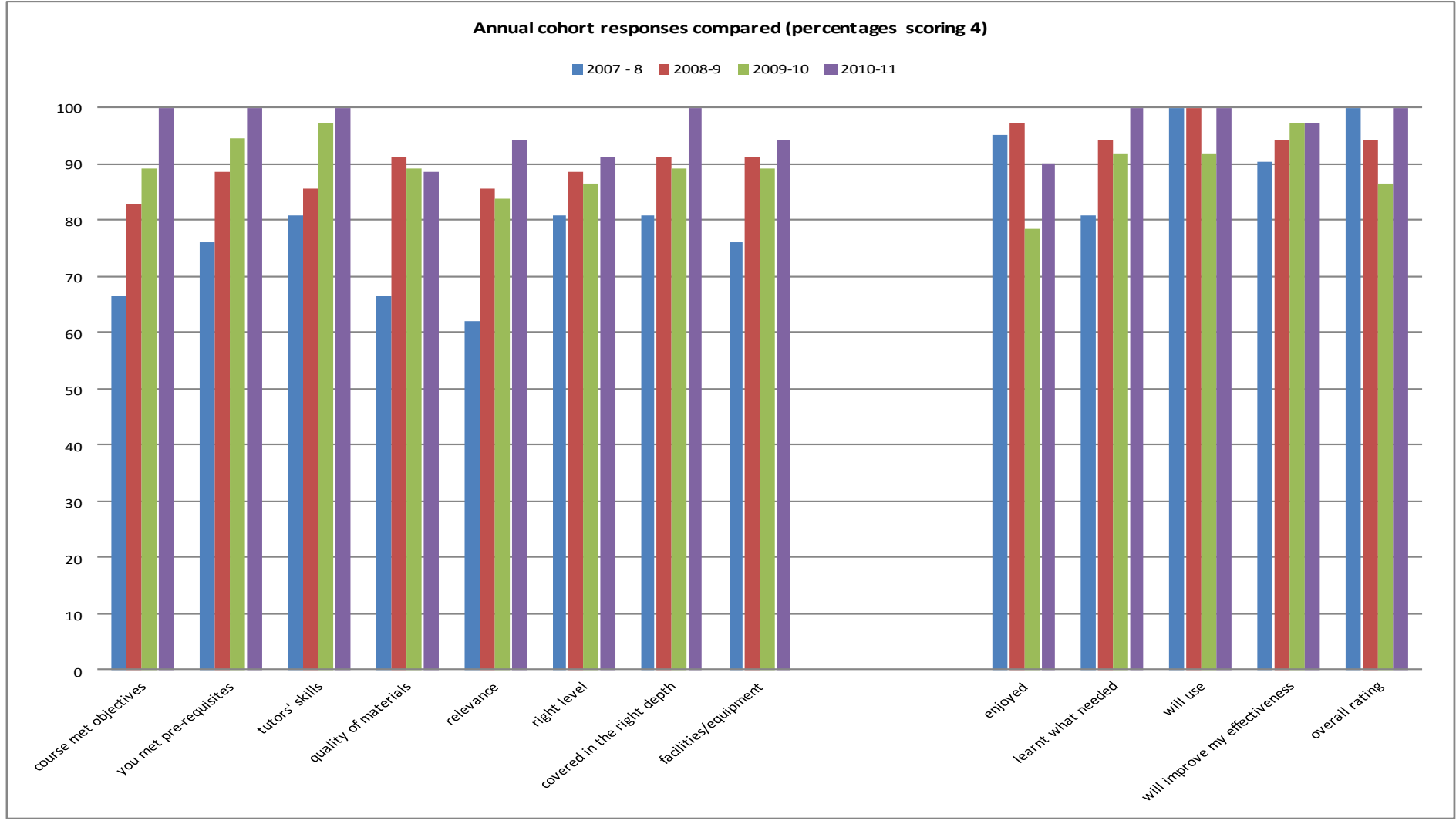
Chart 5.1: Summary of initial impact evaluations 2007-2011 by year: percentage of delegates giving the highest score

The graph above divides into two sections: the first refers to the Centre itself, and its delivery; the second to the response of the delegate.

Items covered are:

- The extent to which the course met is objectives: this section has an average percentage of scores at the highest level of 85 per cent;
- The extent to which delegates feel that they meet the pre-requisites of the course: the average evaluation of this aspect over all four years shows that 90 per cent of delegates rated this at the highest level, indicating a very high level of comfort with their attendance by the end of the two-day experience.
- The presentation skills of the tutors: on average, 91 per cent of delegates gave this item the highest rating possible over the four years.
- The quality of the materials used: on average, 84 per cent of delegates rated this at the highest level
- The relevance of those materials: over the four years, on average 81 per cent of delegates rated relevance at the highest level.
- The extent to which the materials are pitched at the right level: over the four years, on average, 87 per cent of delegates found this to be the case
- The extent to which the materials deal with issues in the right depth: on average, over the four years, 90 per cent of delegates found this to be the case.
- The quality of facilities and equipment: 88 per cent of delegates over the four years gave the facilities the highest rating.
- The extent to which delegates enjoyed the course: 90 per cent of delegates on average over the four years found the course enjoyable.

Whilst there is a general feel-good factor about most of these elements which suggests that delegates have a positive experience (they are comfortable with the environment and form good relationships with the assessor team), the actual impact of the learning on the delegates at that time is also key to their feelings about the immediate value of the experience. The last four questions are important in this respect and show that delegates leave the centre on the whole with a positive feeling about how their learning will impact on their effectiveness:

- The extent to which they learnt what they needed: 92 per cent of delegates on average gave this the highest rating;

- The extent to which they expect to use what they have learnt: 98 per cent on average over the four years stated that they would use what they had learnt. In three of the four years, 100 per cent of delegates stated that they would use the learning. Of all the scores, this is overall the highest, and possibly the most significant in terms of the usefulness of the experience.

- The extent to which they believe it will improve their effectiveness: 95 per cent of delegates on average over the four years thought that their effectiveness would be improved by what they had learnt.

- The overall rating of the Centre. On average, over the four years, 95 per cent of delegates rated the overall effectiveness of the Leadership Centre at the highest level. (the remaining delegates show 1.8 per cent scored this element as 3, and the remainder did not enter a score. There were no scores of 1 or 2.

In addition to scoring the aspects described above, delegates are invited to add comments as to their positive or negative views of the process. Literal comments taken from these initial impact measures also show some extremely positive feelings. Indicative examples such as the following are found:

> Over the last few days the course has pushed my boundaries; given me time for evaluation; meet some great colleagues; time for thinking and reflecting; made me feel both comfortable and uncomfortable, and an action plan for the future.
>
> Thank you

> Very supportive, positive, thorough

> An enlightening course that gave an opportunity for personal reflection that was very useful to my personal development. I enjoyed it much more than I thought I would and the tests and tasks were challenging yet interesting!

> Excellent but tiring. A valuable personal insight. A great opportunity for self-reflection.

> The best and most useful course I have been on. Great to meet and discuss with a range of people from various settings (assessors and delegates)

> I was apprehensive about the two days before I started but I have found it very interesting and informative. I will use the feedback constructively to develop my way of working with my team and school.

> I feel I have learned a lot about myself and it has definitely made me think about my future development needs. This has been a very supportive two days although I was worried at the start. Thanks to you all.

> Excellent evaluation of what I want out of my career progression. It made me think where I am going in the future.

The initial impact evaluation is by far the most complete set of responses, as it contains evaluations from every delegate except one. This delegate was subsequently interviewed as one of the two pilot interviews, so her responses could be known, and her views are included in the presentation of the outcomes from the interviews. The majority of areas evaluated show year-on-year improvement, starting from a high base-line.

ii Feedback analysis: reactions six months on

Further evidence was gathered in the early stages of the project from those colleagues who had had time to implement the outcomes in their places of work. It was the Council's original practice to invite cohorts to a follow-up meeting six months after their participation. In the Council, this was feasible as it could be made part of the requirements of the programme. With schools this proved more difficult, as release time for teachers is more difficult to secure. To allow for this, a model of requesting written feedback rather than attendance at a face-to-face meeting was adopted. However, neither model proved effective as the number of returns was quite small, and the practice was discontinued.

A number of written responses to these requests for feedback six months on were received, however, from members of the sample cohorts, and the feedback received at this stage, in summary, provides an oveview of the impact on those individuals who replied, and gives an insight into longer-term impact and can be seen as a precursor to the complete set of data provided through the more in-depth semi-structured interviews and questionnaire.

The questions asked of delegates were as follows:

1. How have you addressed your development needs?

2. What changes have occurred as a result of this?

3. What was the impact of these changes from the point of view of self, team, school, organisation?

4. How have you maximised your strengths?

5. What changes have occurred as a result?

6. What was the impact of these changes from the point of view of self, team, directorate, organisation?

7. How would you rate the success of these changes on a scale of 1 to 10. (1 being least 10 being most)?

Selected outcomes for LDC delegates who responded after six months are listed below: (source: LDC Evaluation prepared for East Riding Corporate Management Team by D.Stork)

- One delegate was placed two days per week in a Senior Leadership (SLT) role in a challenging school to support the Headteacher

- One was offered an acting Headship;

- One was actively seeking a job-swap; she reported significant professional development as a result of her participation in the programme. Her personal practice had changed, and she had been fully supported by her Headteacher in undertaking developmental activity in the school.

- Two had been appointed as Acting Heads by that time, and were receiving LA support in applying for NPQH

- One was given a professional interview and was considering career options, had undertaken a NCSL internship, and was actively seeking SLT posts. She reported less support from her existing head in pursuing her ambitions, and although the LA has offered her opportunities she has not been able to accept them. She was subsequently successful in obtaining a place on the then new NPQH programme, and acknowledged the support of the LDC in achieving this.

- One was applying for substantive headships and working with an LA mentor, but illness ended immediate expectations to progress. (This

delegate was the one whom ill-health subsequently precluded from further progression, and who was excluded from the interview process as a result).

- One was appointed Deputy Head
- One was acting as a mentor/coach to other prospective middle leaders on the NCSL "Leading from the Middle" programme

In their evaluation responses, Delegates placed emphasis on the personal nature of the feedback and the extent to which confidence is boosted as a result of participation. This supported the view that the LDC fills important gaps between the National College for School Leadership programmes (Leading from the Middle and Leadership Pathways) and career progression. The NCSL programmes were seen to give a theoretical and operational view, whereas the LDC gives a personal perspective on the skills needed. One current acting headteacher from cohort 1 spoke very positively about the contribution of the LDC in boosting her confidence before taking over the role.

2 members of Cohort 2 were selected to be interviewed by Local Authority Advisers about their leadership role as part of a progress and support visit to their school. These delegates had been nominated as part of the school's LA support programme. This visit corresponded roughly in time to the six-month feedback opportunity, when delegates would have been invited to face-to-face meetings, and therefore the Advisers took the opportunity to put to them the points usually raised at those meetings. Both reported significant changes in their approach and regarded the Centre experience as positive. They had been able to use the areas for development to identify parts of their role that they could modify and develop. This raises the question of follow-up activity, and the extent to which this ought to be formalised. Feedback from these early cohort members seems to suggest that the modification of their behaviours, coupled with some enhanced opportunities offered by their own headteacher can suffice to make the difference. There is a time when the individual will need to decide "Do I need to do different things?" or "Do I need to do what I now do differently?" The significance of headteacher support for individuals engaged with this programme, however, cannot be sufficiently emphasised, and will be explored more fully later.

iii. Interviews and Questionnaires:

For initial research purposes, delegates from Cohorts 1-8 were chosen for interview, based on the proportions of those progressing and those not progressing at the time when the sample was selected. The reasoning behind this calculation and the validity of the sample chosen are explored in chapter 4, above. As a result, apart from two pilot interviewees, 13 were originally chosen, representing approximately 25 per cent of those who were appropriate to interview. The proportion of those progressing their careers to those who did not in those cohorts was 8:5. Interviews took place in the summer term of 2011. Of the original 13, it proved impossible to schedule one interview, so 12 interviews were held. As previously explained, the 13th interviewee had previously attended a six-month feedback meeting, and her views expressed on that occasion have therefore contributed to the evidence related in the previous section.

The interviewees, referred to in the text below, were as follows:

Table 5.1: Interviewees' profile data

Code	Cohort	Gender	Sector	Teacher/Support Staff/Centrally employed	Role at time of Centre	Current role
Pilot interviewees						
3	1	F	Primary	T	Year Team leader	Substantive head
6	1	F	Primary	T	Assistant Head	Substantive head
Final semi-structured interviewees						
15	2	F	Secondary	T	Assistant Head	Acting deputy
20	3	F	Primary	T	TLR holder	Substantive head
23	4	F	Primary	S	School Business Manager	Advanced Business Manager
26	4	M	Secondary	T	TLR holder	Still in same role
28	4	M	Primary	T	AST	Deputy Head
39	6	F	Primary	T	Deputy Head	LA Consultant
40	6	F	Primary	T	Assistant Head	Head in waiting
47	7	F	Primary	S	School Business Manager	Still in same role
51	8	F	Primary	T	Co-Head	Substantive head
53	8	F	Primary	T	Class Teacher	Substantive head
54	8	F	Primary	S	School Business Manager	Still in same role
57	8	F	Cross-phase	C	Assistant Head	Still in same role

Characteristics of the interviewees, in terms of their personalities and competencies are as follows:

Table 5.2: Interviewees characteristics: MBTI profiles and competencies

		Competencies: S = Strength; D = Development Need								
Code	MBTI	SF	C	PS	TW	PE	MP	OP	MC	MO
Pilot interviewees										
3	ENFJ				S	D	S	D	S	
6	ESFJ		S			S	D	D		S
Field Study interviewees										
15	ENFJ	S	S	D	S		D	D	S	S
20	ESFJ		D	S			D	D	S	S
23	ESTJ			S	S	D	D	S		D
26	ESTJ	D		S	S	S	D			
28	ENTP	D	S	S		D		S		
39	ENTJ	S	D	S		D				D
40	ESFJ	S	S		S		D		D	D
47	ESTJ	S		D	D	S		D		
51	INTJ	S	S	D		S				D
53	ENTJ	S	D	D			S		S	D
54	ESTP	D			S	S		S		
57	ESFJ	S	S	D	S		D	D		

Key to competencies:

SF = Stakeholder focus

C = Communication

PS = Problem solving

TW = Team Working

PE = Personal Effectiveness

MP = Maximising Potential and Managing Performance

OP = Operational Planning

MC = Managing Change

MO = Motivating others to excel

Professional and Technical Development is not assessed at the Centre.

In total, of the 130 delegates who have participated in the Centre, 14 were therefore interviewed. As discussed in Chapter 4, above, it was deemed necessary to seek corroboration of their views, since as the Interviewer, I was the Lead Officer on the Leadership Development Programme, and also an officer of the LA who might interview them on a future occasion for a job opportunity. This realisation might have skewed their responses towards saying what they thought I might want to hear. In order to corroborate their views, therefore, a questionnaire, replicating the areas covered in the semi-structured interviews, was compiled and distributed via personal e-mail adresses. The participants received a covering letter explaining the purpose of the questionnaire, and it was used to serve the dual purpose of carrying out an evaluation of the imapct of the programme on behalf of the Council as well as providing data for this research. The findings were reported to the Senior Management Team of the Improvement and Learning Service. Because of this dual purpose, it was possible to use the Council's SNAP (the commercial name of the software) software programme, and the responses were received and processed by a member of the Council's Research and Information Team before being passed in summary form to the researcher. This preserved the anonymity of the respondents, and therefore obviated the concern created by the role of the researcher as Programme Leader.

Chart 5.2 shows the global results from the follow-up questionnaire.

Chart 5.2: Composite results from the follow-up questionnaire (percentage responses; 1 response = 3.3per cent)

Composite chart showing results from the follow-up questionnaire (n=30)
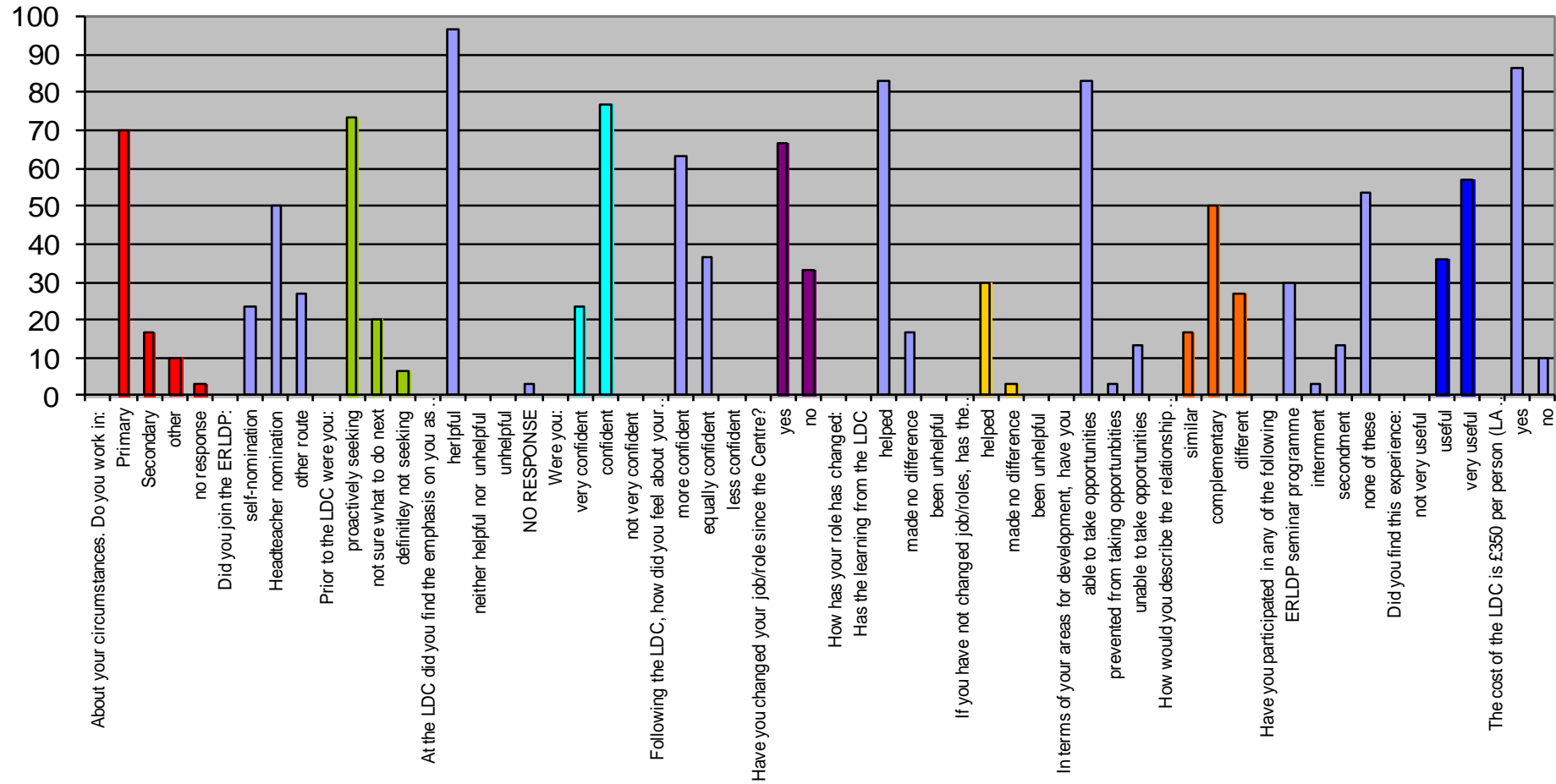
General comments on the data:

The proportion of participants from the Primary sector is high when it can be considered that in any given LA, the numbers of pupils in primary and secondary schools will be split roughly 50:50, and therefore the numbers of staff employed in those sectors ought to reflect this. Indeed if anything, there are likely to be more staff in secondary schools than primary schools, because class sizes, in key stage 4 and post-16 are generally smaller. These numbers are rather a reflection of the focus of the Leadership Development Programme on the primary sector; the Leadership Development Programme was largely set up to tackle a shortage of applicants for headships in the East Riding at primary level, and it has contributed significantly to improving the through-put of potential primary headteachers. On-going participation rates among primary staff, both teaching and support staff, are higher than secondary.

The data in general seems to reflect the initial impact analysis; these delegates took part in the Leadership Centres and wider programme over the same four-year period, and their responses suggest overwhelmingly that they not only found it helpful at the time, (which is the clear message from the initial impact evaluations), but also found the learning beneficial in undertaking their role where it has not changed, and also in carrying out any role that they have subsequently gone on to undertake. In this respect it adds to the feedback from the initial impact evaluations and takes it forward to begin to help us to understand longer-term impact.

The proportion of those who have changed roles among this population (67 per cent), reflects very closely the overall progression rates of the targeted sample (cohorts 1-8) and the overall sample (cohorts 1-18). The data from the questionnaire also suggests that there is some lasting impact of the Centre where the delegate has moved on in their career. No respondent has suggested that the experience was unhelpful in any context. These issues are explored in greater detail in the next section, where the data is examined in conjunction with the outcomes from the semi-structured interviews.

Areas of focus covered in the semi-structured interviews:

This section explores in detail, and with specific reference to the interview transcripts, the areas of focus contained within the interview schedule (which can be found in chapter 4)

Delegates' routes onto the programme

As demonstrated in the pre-empirical phase of the thesis, the diagnostic phase of the Leadership Development Programme has been used by the Local Authority as well as schools for a number of purposes in order to benefit the organisation as well as individuals. By far the majority of delegates to the programme joined for their personal advancement in the first instance, but, among the 57 delegates who form the sample population, five members of the Schools Music Service (the whole of the Senior Leadership Team), who participated were nominated by the Head of Service with a view to developing the Service as much as developing the individuals. Three secondary delegates were nominated by the Headteacher because the school was in Special Measures, and this was a strategy adopted to address some of the leadership and management issues that were identified. (A number of other leaders from the school took part in an in-house bespoke programme using the competency framework, so around 18 middle and senior leaders took part in total). The School Business Managers were all invited by the LA as they had been identified as suitably qualified to be Advanced School Business Managers, and the LA wished to ensure that they had the competencies required to show leadership beyond their own schools. A similar reasoning led to the inclusion of two Higher Level Teaching Assistants who were operating as coaches and mentors to other HLTA across the LA. It is accurate to say that none of the delegates who fall into these groups self-nominated; they may not have had the opportunity to undertake the programme without their service or the LA intervening and seeing this as integral to the successful fulfilment of their role, especially where that role extended beyond their own school. This is evidenced most clearly by Delegate 54, one of the prospective ASBM, who said: "I don't quite know why I ended up on the programme; I suppose somebody somewhere decided to invite me."

Of the twelve interviewees, three had self-nominated, five were nominated by their Headteacher, and four joined the programme by invitation, usually from a Local

Authority Officer. The questionnaire population shows similar proportions: 21 per cent self-nomination; 50 per cent nominated by their Headteacher and 27 per cent by other routes. The various routes onto the programme reflect an evolution from the manner in which the project was first initiated. An on-line registration system was set up which invited initially teachers, to enrol; this means that there was a high proportion of self-nomination among the early participants. The figures also show the influence the Headteacher can have over the opportunities for development available to colleagues.

Delegates 23 and 39, both nominated by their respective headteachers, said:

> Delegate 23:
> I am in a very fortunate position that I have a Headteacher who believes in the value of business managers. And through personal development through [the Headteacher] and through her support, advice and knowledge, that's how I got into the LDC and I will be honest, if it had been another Headteacher, I am not so sure I would have been as fortunate.

> Delegate 39:
> I had been appointed Deputy Head of a newly-amalgamated school, and after one term a new Headteacher was appointed to the school, and she was very keen on encouraging people to do further development to help them with their careers, and also keen to look at the school as a whole in terms of how it could best be moved forward. She encouraged me to look at options and put forward this two-day course as part of a wider programme of staff development, including promoting others to middle management positions.

This latter example is a very good one showing a Headteacher embodying the whole concept of the "maximising potential" competency. It became, however, very clear that the route to the LDC did depend on whether headteachers made the information available to colleagues. One interviewee (delegate 51), who subsequently went on to NPQH and Headship, said:

> I sat next to [a LA Officer] at a course… and she said "Have you been on David's course?" I said "What course?" and then I went on it…

Delegate 20 commented:

> There was me and two colleagues [sic] from [school name] who tried to come together [to the seminar programme] as a group. [names]; we were interested in trying to move our careers on and again it was pretty much self-initiated; it wasn't passed on to us.

In the event, all three colleagues eventually took part in the LDC; one gave feedback after six months and was a pilot interviewee. She emphasised in her evidence how much of a personal journey it had been, and the limited extent to which she had been afforded opportunities by the Headteacher.

The route to the course can have impact on the individual from the point of view of their self-esteem. One interviewee (delegate 40), said:

> … I did ultimately know that I wanted to be a deputy head, and then I wanted to be a head, that was what I had in mind. I wasn't quite sure how I was going to get there, so having that kind of interest as well in me, saying "come and do this," boosted my confidence: I must have something there that I can build on.

The data from the questionnaires also shows that there were a high proportion of the respondents (72 per cent), who were proactively seeking career advancement when they undertook the Centre. There is a potential correlation between the self-nominees in the early stages and the proportion of delegates proactively seeking career development, but the summary nature of the data as presented to the researcher and the anonymity of it, means that this correlation cannot be established. Some inference might be drawn from the interview data however. For instance, one self-nominee, delegate 53, said:

> I was quite, for the want of a better word, driven. I was very enthusiastic to get on; I wanted to develop as a leader; I looked for opportunities; they weren't necessarily given to me. I found them, and I developed them, and succeeded in bringing them to fruition successfully, so not only was I showing myself I could do these things, but I was showing other people who didn't necessarily provide those opportunities for me that actually this was someone who does know how to get things done

Delegate's position pre- and post-Centre with regard to their career prospects, and the emotional impact of the Centre on the delegate

An area of significant impact on the individual must be whether or not the self-perception of the delegate changes as a result of their participation, and whether this has any impact on their confidence and their feelings about their career prospects. In terms of the research questions, it is not possible to assess impact of the Centre on the delegate and their career progression without taking this aspect into consideration, as the emotional impact will often affect the way in which the individual allows their career to progress subsequently. Arguably, this may even be the most important aspect of the outcomes: how the individual delegate feels about themselves as a result of participation in the Centre may well inform the way they choose to take the whole of their future career.

As has been previously described, the Centre focuses very much on the individual, and utilises a number of personalised assessment techniques which include both a 360 degree appraisal and a Myers-Briggs personality type indicator questionnaire. Delegates also undergo a lengthy (1 hour and 40 minutes) interview with two assessors which explores their effectiveness against the competencies. This is very close personal scrutiny, and can be challenging, yet not one response, in either the interviews or the corroborative questionnaire, stated that this was unhelpful. In the course of the interview, a number of delegates spoke of how the Centre had been a turning point leading to a decision to move forward.

Of the interviewees, eleven of the twelve said that their self-perception had changed as a result of their participation in the Centre. This usually manifested itself by increased self-confidence or belief. The affirmative nature of the 360 assessments combined with the insights provided by the Myers-Briggs analysis, were both important factors in this. This in turn can have impact on the effectiveness with which they undertake their role. As Delegate 23 put it:

> I made me feel that I am more valuable, definitely …. I am still the SBM of the federation which is where I was before. I do believe I have got more confidence, more self-belief, which means I contribute more in a more positive way to the leadership team. I was on the SLT to start with, but in a very new, very naïve role, quietly listening in the corner. Now I truly believe I have got something to contribute; I do go looking for

> solutions…. I will think things out whereas in the past I would think "I'm not a teacher, who do I think I am?"

Another commented:

> Immediately I felt different about the prospects of my moving, and I felt that I was definitely on the right road to developing further as a leader.

Only one interviewee (delegate 47) felt that her self-perception did not change:

> No and I am not sure I thought it would. I was a little confused, later on perhaps, why my head had put me on it, when nothing has changed eventually.

The possible reasons for this response are discussed in the following chapter.

The influence of the LDC over self-perception is further evidenced by the findings related to confidence levels considered before and after the LDC. In chapter 3, in the "critical discussion of instruments," it was noted that in their self assessment undertaken as part of the 360 degree appraisal, delegates frequently scored themselves lower than the overall average score for any given competency.

It has been possible to retrieve electronically forty 360 degree reports from the 57 individual delegates who took part in cohorts 1-8 and which form the core sample population for this research. The remaining seventeen reports, comprising the whole of cohorts 2 and 3 and one from cohort 8, are lost or corrupt and unable to be analysed. Of the 40, one delegate did not complete a "self" questionnaire, (which may of itself indicate a certain view of self, but this cannot be verified), leaving 39 useable reports. A comparison can be made between the "self" score and the overall average score for each of the ten competencies. This gives a total of 390 scores.

Rarely (only 4 times from the possible number of 390 scores) does the person's own self evaluation exactly match that of the colleagues reporting. From these 390 possible scores, 277 "self" scores, or 71 per cent, are lower than the overall average score from all the other respondents. 19 delegates score themselves lower in every single competency (including 7 of the 8 delegates in cohort 6); only 3 delegates score themselves higher than the overall average in every competency; 3 score themselves higher in nine of the ten competencies. This would indicate that delegates overall have a view of themselves which is less positive than their colleagues do; indeed, when

delegates receive their reports, their tendency, in spite of advice to the contrary, is to turn to the section about "three things I would change about this person!" It also suggests that their overall scores come out lower than they might because of this apparent underselling of themselves; the overall average used in this comparison includes the "self" score; if this were higher, at least on a par with the other scores, the overall average would automatically be boosted.

The frequency with which the number of below average self scores is found increases as the cohorts progress, and this may be a reflection of the nature of the earlier cohorts, where the majority of self scores were higher than the overall average. The first cohort, for example, were all aspirant heads, and seven of the eight have gone on to experience Headship, six in a substantive capacity. (the seventh has been acting head, and the eighth was prevented from seeking promotion by chronic ill-health which set in subsequently, but at the time this person was also proactively seeking headship). The second cohort, exclusively secondary, was composed of six senior and two middle leaders. All were experienced managers, and one of these has gone on to associate headship. There was also an increased proportion of male delegates (five out of sixteen), in the first two cohorts, compared to later cohorts, and this, as we shall go on to explore in the following chapter, may also be a factor.

Of the competencies themselves, the levels of scoring are very consistent. There is no apparent difference, for instance between competencies deemed "core" or common to all leaders, and "management" which is the level to which these delegates would be expected to be aspiring. Among all those in the early stages of the project who completed the on-line registration form, which included a self-appraisal against the competencies, there was a clear hieracrchy of responses which showed less confidence at the management level of competency; this is not shown in the LDC cohorts.

The numbers of delegates scoring themselves lower than the overall average are as follows:

Table 5.3: frequency of "self" scores which are below the overall average by competency:

Competency	Number of occasions where the delegate's "self" score is lower than the average overall for that competency
Stakeholder focus	28
Communication	27
Problem-solving	29
Team-working	23
Personal effectiveness	29
Professional and Technical	24
Maximising potential and managing performance	29
Operational planning and project mnagement	30
Managing change	30
Motivating others to excel	27

Whilst differences are marginal, there is a tendency for the areas of greatest confidence to be expressed around team-working and professional and technical competency. Generally speaking, in the 360 process as a whole, these are the strongest scores for all delegates, with Team working as a clear "winner" in almost every case. Delegates in assessing themselves seem to have a similar greater confidence in their abilities here than anywhere else.

No respondent to the questionnaire suggested that their confidence levels diminished following the Centre, which reinforces the view that the Centre is conducted in a way which is affirming and developmental, and a number (63.3 per cent), felt themselves more confident. The remainder were equally confident. This confidence was a crucial and recurring theme in the interviews, suggesting that this is an important element of the outcomes, particularly where succession planning is concerned, showing that interviewees who were previously unsure of their direction felt more able to put themselves forward for promoted posts following their participation in the Centre.

A significant number of the thirty respondents to the questionnaire (67 per cent) have progressed in their careers since the Centre. Overall, the number of progressing delegates (taking into account the complete sample cohort of 130 delegates), is lower than that, at approximately 53 per cent, but time is a factor here, with a greater number of earlier delegates having moved on. Answers to the question about whether the LDC

has helped them in either their existing post or in their new one show levels of response indicating that the learning is applicable in any context. Again, this is an important finding, corroborated by the interviews, which underlines the importance of dealing with aspiring leaders in this way.

Delegates' reaction to the elements of the Centre

Interviewed delegates used a variety of words to describe their response to the Centre, and the feelings it engendered. Common reactions were that the Centre was "challenging" "intensive," "exhausting," or "draining." One said she felt as though she had been "turned inside out." Others felt "nervous" or "apprehensive" at the outset, but it turned out, as one described it, to be not what she expected. She had expected a course on Health and Safety and budgets, not something about herself as a leader, and this took her by surprise. Once underway, however, whilst there were "some uncomfortable situations," reactions were positive: "it gave me quite a buzz" "I loved every minute of it." Enjoyment came up in the majority of interviews, along with comments on the supportiveness of the assessors, the professionalism and organisation of the event, and the friendly atmosphere which prevailed among all involved.

As the initial impact evaluations show, the overall reaction of the delegates to the elements of the LDC is that they are largely relevant and pitched at the right level. Delegate 28 summed this up as follows:

> I thought there was a relevance and usefulness to all of them; … I thought it touched on many areas that were relevant to schools, and I don't think I came away from the course thinking "That was pointless, why did we do that?" … All of the tests were looking at the many different areas of what it takes to be that rounded teacher, that leader of others as well. So no, it was all very relevant; I don't think there was anything on it here I thought "this is pointless."

Drilling down to specific reactions to these elements reveals some interesting findings

Not every delegate could remember every element of the Centre that they had attended. Although some had taken part up to two years earlier, and their recollections had faded in certain aspects, they remained very sharp where elements had had greater impact on them. Singled out were the 360 appraisal and the Myers-Briggs Type Indicator. Of those delegates who mentioned MBTI, nine were positive about it; agreed with the findings

and felt that they either gained a greater understanding of themselves, and occasionally others as a result, or, where they felt that they had learnt nothing new, it affirmed their view of themselves. One commented that it was "extraordinary but incredibly accurate." One interviewee, Delegate 51, who is now a Head, commented on the value of Myers not only in terms of her self-perception, but also in how it allows an individual to appreciate the opposite set of dichotomies to their own, and therefore learn to both tolerate and manage the differences that these imply:

> I think it gave me a better understanding through the Myers-Briggs of how people tick and it was OK to be like that. And I started thinking about the other members of staff, about why I look at things differently from them, and how I can use that in school to improve things in school. It didn't matter how we were different, but how we could use that, people's skills and different ways of looking at things, can be better in different situations.

Two interviewees, Delegates 39 and 53, had issues with the Myers-Briggs. One, Delegate 39, felt that she had received a report which contradicted her 360; i.e. her underlying type was at odds with people's perceptions of her. This delegate really did not recognise herself, however, which is rare.

The other delegate (Delegate 53), who felt that she did not get the most from the Myers-Briggs, was not at odds with the findings – she accepted those fully - but more with her school. This has much wider implications for the value of the LDC experience, which will be explored in the following chapter.

> I can't say I found that terribly useful,....because once I brought that booklet back home, apart from the fact that I had it, nobody else had it, no one else has looked at it, nobody asked to see it.

During the spring term of 2013, interviews were carried out with ten teachers to review a bespoke leadership development programme carried out in a secondary school. These interviews were scheduled as part of a Local Authority monitoring visit to the school, and were conducted by me, as project leader, and a colleague who acts as Myers-Briggs Consultant and assists in the management of the programme. Initial interviews were carried out jointly to ensure moderation, and later interviews carried out separately. Findings from all the interviews, both those carried out jointly and those carried out separately were uniform, suggesting that the interviewer did not influence the outcomes.

Notes were taken at the time, and the findings used to compile a report for the school on the issues arising, especially the impact of the programme both on the individual participants, and on their practice. It emerged that the school had not proactively followed up the findings with the participants, and any changes they had made were self-directed. As a result of this, the school was not gaining as much as it could from the willingness of these teachers to develop themselves, or from its investment in the diagnostic process.

Returning to the research sample population, in commenting on the 360 degree appraisal, five of the twelve delegates were wholly positive about it, but two in particular expressed discomfort, one at the potential outcome of such an exercise, and the other that she had found certain comments "difficult to take." This delegate commented:

> … in a way I put myself down on some of the elements, because I think you are a bit harsher on yourself. I think that what some of my Direct Reports and some of the people who talked about me I found that difficult to take…. But I did take it on board.

Some activities were commented on differently by different types of staff; the three School Business Managers interviewed all found the presentation challenging as it was not something that they were generally expected to do in their normal working lives. This challenge was not always viewed negatively, however, as Delegate 23 commented:

> I thought it was very good, being put on the spot, having to do a PowerPoint presentation […]. Because they are things we are asked to do, and it is actually a Headteacher or someone like that, because they have been a teacher there is that part of performing in front of a class.

One experienced secondary middle manager (Delegate 26) was challenged by the case-study, again because it took him into an area of leadership that did not form part of his usual working experience.

Another exercise which can arouse different feelings is the group exercise which takes place at the beginning of the LDC process, following a short ice-breaker exercise. In some ways, this is useful, because it helps the delegates to settle into each others' company, and gives the assessors the opportunity to have a first sight of the delegates very early in the process. This can be difficult for some delegates however, especially

introverts, (Myers-Briggs "I"), who can find group activity when unprepared quite challenging. Delegate 51 who is a Myers-Briggs introvert, found herself in a potential conflict situation with another delegate during the group exercise. She commented on the fact that she had just met the other person, so "wasn't willing to have an argument with them." She was also struck by the unreality of the situation, so was less willing to behave in a way that would have come across as more assertive. As she said "it wasn't real." This led to her coming out of that session less successfully, but the assessors were able to tease this out with her and she accepted the learning that came from it.

The outcomes of the Centre, and the delegates' response to these.

a. Outcomes: delegates' strengths and areas for development

The participants in the Centre are offered a report which identifies their strengths and areas for development. Assessors select which to highlight, and will select those which are likely to be of the greatest value to the delegate. In the report template, the assessor can choose a range of comments to show the degree of strength of that competency for that delegate. These are represented in the template as follows, using "stakeholder focus" as an example:

> This competency was identified, as a relative/major strength/development need. It was assessed through the competency based interview and the case study.

Competencies are therefore described at three levels: relative strength, strength or major strength. (similarly for development needs). A relative development need may, for instance, be one which might be useful for the delegate to work on, but is not of paramount importance at this stage of their career. In general, only those described as a "major strength" or "major development need" will find their way into the key strengths highlighted for the delegate and therefore contributing to the data in the chart below (Chart 5.3).

Assessors often also include a comment (it is my own practice to do so), at the end of the above statement to show the delegate their highest- and lowest-scoring competencies in the 360 degree appraisal. It is not unusual for the emerging major

strengths or development needs to correlate with the 360 scores. It has been possible to examine all 57 reports from the delegates in the sample population (cohort 1-8). In these reports, it is not possible to positively identify a correlation between the 360 and the final outcome in twenty instances (because there is no indication in the report of what were the highest-scoring competencies); in the remaining 37 reports, 33 show a direct correlation between the highest and lowest scores in the 360 and the final identified strengths and areas for development identified at the Centre. In only four instances is there clear evidence that there is a potential discrepancy between the 360 scores and the performance of the delegate in the LDC. In two of the four cases, the judgements are not contadictory, as the assessors identify relative strengths/areas for development based on the 360 scores, whilst highlighting other areas of greater significance to the delegate. The apparent consistency of the views of 360 degree respondents and assessors, where this can be demonstrated, is a reinforcement of the validity of the judgements, and becomes a factor in determining the extent to which the delegates feel confident in the feedback they receive at the end of the Centre.

Outcomes in terms of strengths and areas for development for all delegates in cohorts 1-18 are shown in Chart 5.3:

Chart 5.3: Comparison of strengths and areas for development, all delegates cohorts 1-18 (percentages of delegates showing these)

Comparison Strengths:Areas for Development (All delegates, cohorts 1-18)
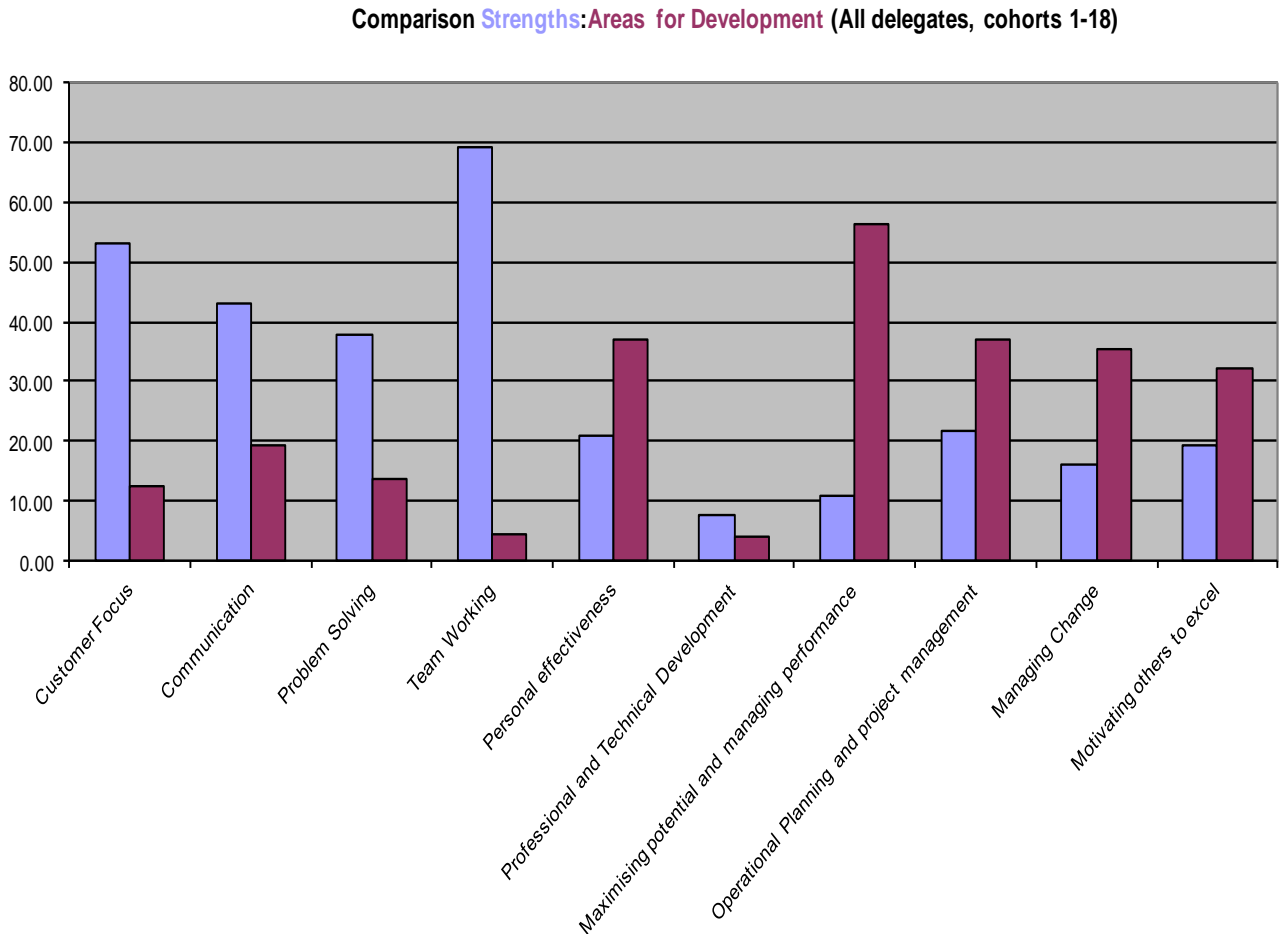
For the delegates in the first 18 cohorts, there was a distinct pattern in those areas identified, both as strengths and areas for development.

1. Strengths are more pronounced in the first 5 competencies, which are those described in the Framework as "core." This is not surprising as the delegates are mostly aspiring school leaders, and therefore more likely to be operating at a middle leader level. As a result, the higher level competencies (7-10), are less developed, often because the structure of East Riding primary schools, as described in chapter 1, from where the majority of delegates are drawn, does not lend itself to positions of responsibility. Opportunities to line manage others are limited, and in many of our smallest schools, non-existent, as only the headteacher will occupy a position of accountability.

2. When 360 scores are analysed, (using overall scores for delegates and ignoring the "self" factor discussed earlier in this chapter), the same pattern emerges, which shows the majority of school-based staff to have highly developed team-working and customer focus skills. A number of schools have undertaken a bespoke version of the leadership programme, involving 360 and Myers-Briggs, and this pattern emerges even within those teams. If one chooses to separate the competencies into interpersonal and operational aspects of leadership, a comparison between the two types of competency shows that the operational competencies emerge as development needs more often than interpersonal ones.

This knowledge has informed the organisation of the seminar programme, where operational issues are prioritised; specifically to allow the delegates to understand how the behaviours defined in the competency framework can be translated into operational outcomes.

Chart 5.4 shows how on average, operational competencies can be seen as areas for development, whilst interpersonal competencies are more often strengths:

Chart 5.4: Strengths/Areas for development (from chart 5.3) shown as operational competencies compared to interpersonal competencies

Operational vs interpersonal competencies
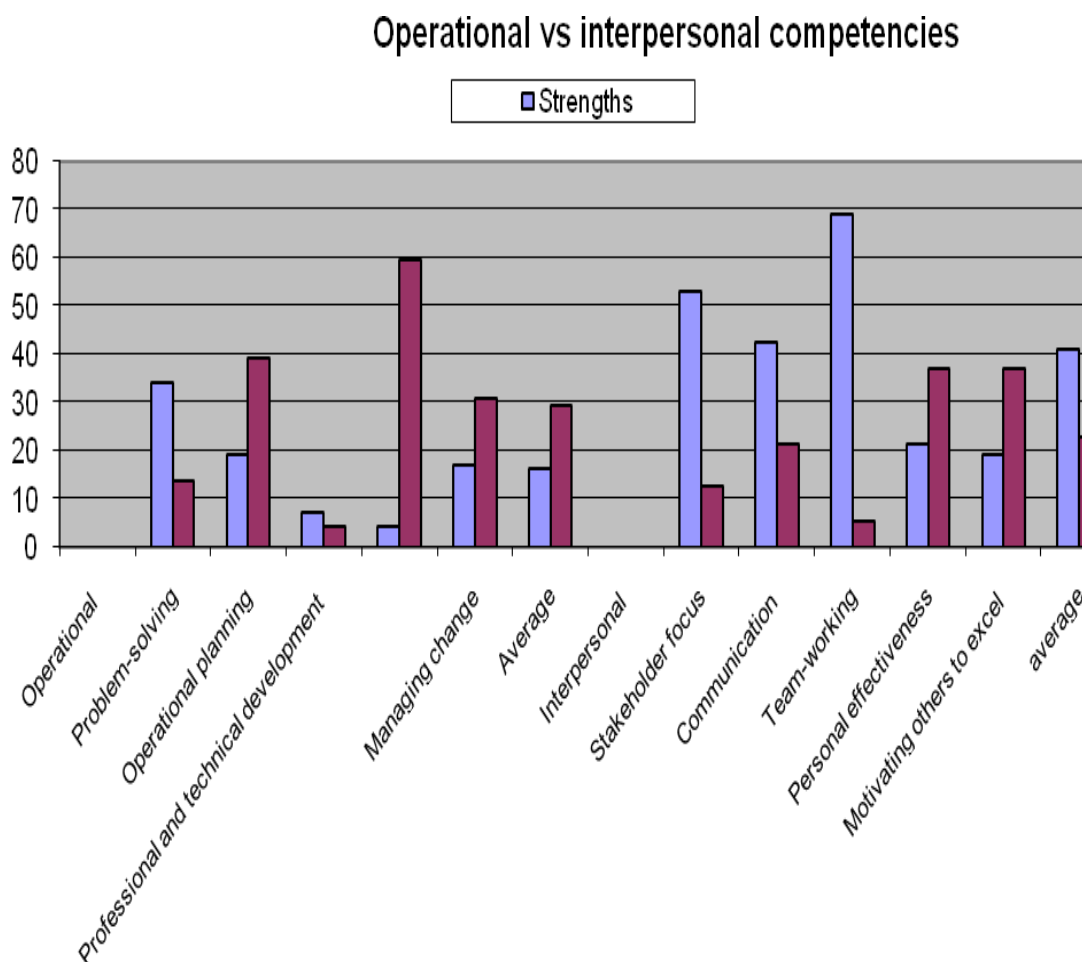
3. Personal effectiveness, where highlighted, is more frequently an area for development than a strength. As this competency covers a range of elements, there can be several reasons for its inclusion. There are two main directions which can lead to the inclusion of this competency as an area for development:

   a. Time management and personal organisation: this is a significant area of concern for many teachers who find work-life balance a major issue; it suggests that the intended outcome of the National Agreement on Workload of 2003 is yet to bestow benefits for many of the teachers who have attended the Centre.

   b. Assertiveness: significant numbers of delegates find it difficult to assert themselves, and frequently undersell themselves (see the analysis of 360 degree assessment outcomes above and in chapter 6); this may be an issue in terms of succession planning as they do not put themselves forward for

headship as they appear daunted by it. The outcome from the LDC which suggests that in a significant number of cases, (63 per cent of respondents to the questionnaire as well as several interviewees), confidence was boosted by attendance, becomes a major factor.

4. Maximising potential and managing performance emerges as the singular most frequent area for development. This issue is discussed in greater depth in the next chapter.

5. Professional and Technical development appears to be neither a specific strength nor a great area for development; this may be most easily explained because it is not formally assessed at the LDC, for reasons explained above, and therefore assessors do not frequently consider it for inclusion among the key strengths or areas for development. Where it does show up is most often among the literal comments made by colleagues in the 360 degree appraisal. It is not a "leadership" competency per se, although the leader who possesses technical and professional proficiency may well command respect from their professional peers for that reason. Occasionally, however, a delegate may show a limited range of strengths, or be, at that stage of their career, exhibiting qualities which are more akin to those of a competent class teacher than those of a school leader. In these instances, the assessors may choose to reflect this by showing professional and technical competency as a key strength. There are occasions, however, when it is used to highlight the need for a teacher who may have spent the majority of their career in a single key stage to expand their knowledge of other key stages in order to maximise their opportunities for promotion. As Professional and Technical competency includes reference to "relevant skills and experience" this is a wholly appropriate area for development in these instances.

b. Delegates' responses to the outcomes

In the course of interviews, the value of the written report when compared to the verbal feedback received from the assessors emerged as a point for discussion. Three interviewees were negative about the report. Delegate 23, speaking of the feedback said:

> I thought it was very valuable, when you have the feedback immediately after... there is some feedback there, and from your peers whatever; I thought it was excellent. Really do think it was valuable. The only thing that was slightly less, and I am still not saying it was worthless, but probably not as valuable, was the actual document at the end.

Delegate 20, an IT specialist, in describing the document as "robotic," understood the template principle, and realised that in order to turn the document around in such a short space of time, there had to be pre-prepared elements that assessors used as a menu. This is the case, although assessors use the template as a framework, and will frequently completely alter statements to suit the individual, so that the final report is more personalised than might at first be thought.

Generally, however, all delegates interviewed valued the feedback and expressed confidence in it. In their responses to the corroborative questionnaire, 23.3 per cent of respondents described themselves as "very confident" in the outcomes of the Centre, with the remaining 76.6 per cent describing themselves as "confident." No respondent expressed a lack of confidence in the outcomes as offered by the assessors.

Comments about the quality of the feedback include the following:

Delegate 39: "when I looked at the areas that it said "for development" [...] I felt that they were very me if I was honest."

Delegate 54: "Yes I think I did have confidence in the feedback. [...] the written reports were excellent."

Delegate 26: "[...] the assessors' feedback was very good - and very honest in terms that they didn't effuse [sic] and say 'you are brilliant...' they were genuinely constructive in what they said.

Delegate 51 commented "I felt quite elated that what I did in school was seen as a strength." This fact ultimately proved important in her overall reaction to the outcomes, and how she then chose to move into the next steps of her career.

We discussed in part 2 of this section how delegates' self-confidence levels were boosted by attendance at the LDC; we have now seen that they have confidence in the feedback they received. This confidence is only of value, however, if it is carried forward into actions on the part of the delegate. I will now explore the impact of the outcomes of the LDC diagnostic phase in terms of the delegate's practices.

Impact of the learning from the Centre on the delegate's practice

We have seen in the initial impact evaluation that 100 per cent of delegates in three of the four years covered by the research reported that they would act on the learning from the LDC. Respondents in the early stages of the programme, who completed a feedback pro-forma showed how they had addressed their development needs in particular. In the corroborative questionnaire, delegates were asked if they had changed post or not; 20 respondents or 67 per cent had done so. They were then asked if the LDC outcomes had helped in carrying out their role, whether changed or not. 83 per cent claimed that the LDC learning had helped in the execution of their role; the remainder felt that it had made no difference. Of those who had changed roles, fifteen of the 20, or 75 per cent of those taking up new roles felt that the learning from the LDC had helped them in carrying out the new role. This is an important finding in the context of the overall value of the programme, which we will discuss in the following chapter.

Interviewees had in every case taken on board the feedback from the LDC and had in some way acted upon it. Every interviewee made a comment or could describe some element of their practice that they had changed as a result of what they had learnt from the LDC.

Equally, they drew reassurance from the areas identified as strengths. Delegate 51, for instance, felt that "a lot of it was affirmation." However, she had previously stated: "I think it certainly gave me the confidence to think what I do every day is good enough to apply for NPQH and move in that direction." The depth of this impact will be discussed in the next chapter.

Comparison where appropriate of the learning from the Centre with other leadership development programmes undertaken by delegates

The LDC was set up to complement the leadership programmes managed by the National College for School Leadership, and as such sought from the outset not to duplicate the learning style of these programmes, which focus to a large extent on operational matters. This aim seems to have been achieved, with a general feeling

expressed by interviewees and supported by 50 per cent of the respondents to the questionnaire that the learning from the LDC is complementary to that of the NCSL programmes. Those undertaking different programmes such as those designed for School Business Managers find the LDC more different. Those delegates who undertook the National Professional Qualification for Headship after attending the LDC reported in interview that the style of learning from the LDC was of greater value, in so far as it dealt more with the interpersonal aspects of leadership which cannot be taught or learned the way that operational matters can. This fact should be taken in association with the nature of the outcomes from the LDC, in terms of identified strengths and areas for development, as discussed earlier in this chapter.

The fact that the LDC focuses on the self, and the individual's qualities as a leader is therefore seen as important by the contributing delegates. In the corroborative questionnaire, every respondent found the focus on self helpful. One questionnaire respondent commented:

> The LDC allows participants to focus on themselves and their own learning and management style. In my experience in education and industry this process is both unique and valuable.

And another comments:

> The LDC at South Hunsley is the best CPD opportunity I have been involved. A thoroughly enjoyable, well run, professional learning experience. Absolutely excellent. I'd recommend it for anyone, regardless of their position, role or aspirations.

This model did lead to this comment in contrast, however:

> I found the experience very useful as it enabled me to venture outside my comfort zone. I found some of the "tests" threatening as I do not like this form of assessment and would have valued the chance to demonstrate my understanding and skills in other ways than those on the course as I know I did not perform to my true potential in these assessment means.

Wider Programme

There is some variability in the extent to which delegates were able or chose to take part in the wider opportunities offered to delegates. Of those who responded to the follow-up questionnaire, 53.3 per cent had not participated in any of the wider programe opportunities. 30 per cent of respondents had attended seminars, and 13.3 per cent had been seconded by the LA into leadership positions. These are usually in schools causing concern. Thirteen delegates from the sample population (cohorts 1-8) have benefitted from secondment opportunities or the opportunity to undertake acting roles. These constitute career progression, and have in seven cases resulted in the person achieving a substantive appointment, sometimes, but not always, in the role which they undertook in an acting capacity. One respondent (3.3 per cent) had undertaken a NCSL Internship. Two Advanced Skills Teachers from the sample population (cohorts 1-8) had done so. Of the 46.6 per cent of the respondents to the follow-up questionnaire who had taken wider programme opportunities, 50 per cent reported that the programme had been "very useful" with 43 per cent describing it as "fairly useful." No respondents replied that it had been of no use, and there were two "no responses." (6.6 per cent).

During the course of the interviews, delegates drew comparisons between learning from the LDC, including the wider programme, and the National College programmes. For this reason a specific question was asked in the corroborative questionnaire about the nature of the learning. If the manner in which the East Riding programme was conceived, with the intention of not replacing the NCSL programmes, but running alongside them, a majority of comments should show that the learning is different but complementary. 50 per cent of respondents to the questionnaire described the learning as complementary, with 26.6 per cent describing it as different. The remainder answered that it was "similar."

There is a need to unpick how delegates defined the nature of the term they selected; for instance, some might have seen "complementary" as "different." The responses from interviewees make this distinction clearer, and show how the differences between the programmes lead to a view that they are complementary overall.

Among the interviewees, two had done the revised NPQH, and both had applied after having experienced the LDC. The view of both was that the two days of the actual LDC

were very similar in structure and format to the two-day assessment centre used as part of the selection process for NPQH. Delegate 51 commented:

> The NPQH was very, very similar; the two days were very similar, and I was so pleased I had done the two days [at the LDC], because there was more at stake; it was higher level, win or lose.

Delegate 40 was equally sure of how the LDC had prepared her for the NPQH:

> I did not feel as nervous, because people said that the interview was very similar to the LDC, and I thought 'I have done that, I have been through that, so this can't be half as bad,' and it does give you a kind of confidence.

Two secondary delegates had undertaken the original NPQH, and they recognised the differences on the learning from the two programmes. Delegate 15 commented that the learning was:

> Complementary I would say. I enjoyed the whole process of NPQH [...], I did not know if it was going to be more of the same. It wasn't more of the same; it was a different approach, and even if you had experience of NPQH. [...] I think when I reflected on the NPQH experience and this experience, pulling that together and giving myself time helped me move on.

Delegate 26 focused more on the content of the programmes:

> I think that the NPQH is completely education-specific and yours was more about me as an individual, me as a person and what I am like, and therefore what I can develop and what I can change, as opposed to 'this is what needs to be done in education, how would you do it?' [...] I think they both have a value to be honest; yes, complementary."

Delegate 53 and Delegate 20 had both undertaken other NCSL programmes, Leading from the Middle and / or Leadership Pathways. Their experiences were summed up by Delegate 20 who commented:

> I think you learn more about yourself through your [sic] programme, and I think it gives you an idea of what you need to do to become a leader, and the kind of personal traits that you need to adapt, develop, whereas Leadership Pathways, Leading from the Middle there was a lot of working just with the colleague in your school, or driving an initiative forward. It was a lot more practical, whereas the Development Centre was about you and learning the skills. I felt they were quite different. And I really like they fed into each other. Because some people said 'oh I wouldn't do Leadership

Pathways because I have been on this, 'but I think the two worked really well to do them both.

Three interviewees were School Business Managers who were preparing themselves to undertake the Advanced School Business Manager (ASBM) role, which was conceived as part of the East Riding's approach to sustainable school leadership. As such, they already had high level qualifications in school business management, as this role demands at least the NCSL Diploma in School Business Management as a minimum requirement. Delegate 23, who also holds a degree in school business management, summed up the relationship between the programmes as follows:

I don't think there is any comparison. I think they complement each other. But I think what I learnt from the LDC was all about personal development. I did get some of that from the degree, but the CSBM [Certificate in School Business Management] is basically about doing the job, a role. [...] the DSBM is more about strategic planning, projects within a school, so there may be some personal working, but not as much as there could be; it does not actually give the strategies for how you do that.

She went on to compare with the degree:

I personally don't think it teaches you anything like the LDC. I got a very different knowledge from that. I think they complement each other, and to be a good ASBM you need them all.

There is also a recognition that the complementary nature of the learning extends to the wider programme. This is perhaps where the two programmes most interact. Delegate 53 commented: "One thing I have clearly noticed is having done Leading from the Middle and Leadership Pathways, when I then go to your seminars, I am always noticing the big connection between the two." There was one note of caution, from delegate 26, a secondary middle leader, who commented: "[...] there was a predominance of primary people there, and the situation they are in, and the situation I was in, wasn't really too similar, so really they were of more limited use." However, there is a need for this overlap between the programmes, as we will discuss in the next chapter.

The delegate's view of the value for money of the Centre.

This question was asked of delegates for two reasons: partly to gauge their view of the value that it represented to them, but also as a means of gauging a possible response from schools to the necessity to begin to charge for attendance at the programme in the year following that in which the interviews took place. As has been demonstrated, changes to government funding for Local Authorities meant that there was no longer a subsidy available for these programmes.

Among respondents to the follow-up questionnaire, 86.7 per cent of respondents felt that the programme represented good value for money. 10 per cent did not. One of those who thought it would not be considered value for money took the opportunity to clarify her reasons:

> To clarify my answer to the last question I do feel that for me it would be good value and worth the outlay but in a school where governors scrutinise spending I am not sure they would approve spending at this level on one member of staff.

Among interviewees, 11 of the 12 thought that the programme represented good value for money. Delegate 51, who by the time of the interview had been appointed a substantive Head, and was therefore highly conscious of the budgetary issues, commented: "whether they wanted to go on to be head or not, I think it is a really useful exercise for a member of staff who's maybe been teaching a little while, taking on some responsibility. It can only add value to your school."

Whilst supporting the value for money argument, Delegate 47 sounded a note of caution, derived from her experiences back in school following the LDC: "Yes it is worth paying for. You would use what you learnt in your place of work, and there would not be any point doing it if you were not going to be allowed to do that."

One delegate (delegate 53), questioned whether I meant that the individual would have to pay. I told her that this was something we had discussed with headteachers in negotiating the cost for the LDC, and indeed, one delegate (not in the sample population) has since undertaken the programme at her own expense. Delegate 53, who

explained how she had needed to pursue development opportunities at a personal level, because she felt unsupported by her head, had a positive reaction to the idea of the individual paying, again based on her personal experience:

> I think that is very good, because there are people out there who would love opportunities to do this, but perhaps they are just not in the right context, and rather than close the door on them entirely, that's giving them the opportunity to say 'well I am going to do it anyway, I am that interested.'

Delegate 23, who had been supported fully by her Headteacher, corroborated this view when she said:

> Personally I think it is good value for money. What would concern me about it is the fact, and again I don't know how you get around this, that it is down to one person whether another person goes through. And sometimes potential is missed, [...] but I do sometimes feel [...] that it is down to the Headteacher I have got, and I don't know if that would necessarily have happened with other headteachers.

Delegate 26, the only one to answer this question negatively, was not of the view that the LDC did not represent a worthwhile experience, but felt rather that Heads would prioritise budgets differently, and make decisions about individuals accordingly:

> Because I don't think the money will be there next year! [...] in the longer term it really fundamentally depends on the management; what they perceive as being important. Again, we have quite an insular view here about development. This is a phrase that has been used to me: 'I'll develop people if it suits me to develop them' is a phrase that has been used to me.

Role of the Headteacher and the place of follow-up activities:

The answers to the last question raise many issues about the way headteachers (and also governing bodies) view the development of their colleagues, the price they are prepared to pay for that development, and whether or not it fits in with their overall plans. This element did not form part of the original schedule for either the pilot interviews or the subsequent semi-structured interviews; however, over the course of the interviews, it has emerged as significant, and the questions in the corroborative questionnaire around the extent to which delegates have been able to undertake further development following the diagnostic process were included in response to opinions which emerged from the interview process.

As was seen in discussions from the interviews around the route on to the Leadership Development programme, a key element which has emerged is the role of the Headteacher of the person joining the programme. Six of the twelve interviewees mentioned the extent to which their Headteacher had been supportive in encouraging them to attend the LDC. The same proportion (50 per cent) of those responding to the follow-up questionnaire reported "Headteacher nomination" as their joining route. This leaves the remaining 50 per cent who joined through invitation, or as a result of some other factor, such as the school being subject to Local Authority scrutiny, and this diagnostic being used by the LA in its supportive role to improve management quality.

The role of the Headteacher is not only significant in determining whether or not a delegate gets the chance to take part in the programme. After the diagnostic process has taken place, there is the need for the individual to have opportunities to capitalise on the learning they have gained, and this can be of equal benefit to the school. The Centre invites delegates to consider their ways forward, and sometimes, especially where the aspiring leader is a middle manager, these areas are required not because they are necessarily a weakness, but because they are areas of which the delegate has had little or no experience. Evidence for this statement emerges most frequently from the Development Centre interview on day 1 of the LDC. This is especially true of "Maximising potential and managing performance" which is a key element of leadership, but often overlooked. To improve, therefore, we return to the key questions which delegates need to ask of themselves:

"Do I need to do what I am now doing differently?" or

"Do I need to do different things?"

The extent to which it is possible to do different things rests entirely within the gift of the Headteacher. In their responses to the follow-up questionnaire 23.1 per cent of respondents were unable (15.4 per cent), or prevented (7.7 per cent), from taking things forward. The questionnaire asked for a literal explanation of their answer, and the following reasons (reported verbatim), emerged from those who chose to comment:

- Difficult in getting consistent support from HT but good support from LA and colleagues
- Changes to the School Leadership Structure
- no time
- Opportunities not available in my current role.
- Lack of funding
- Due to restructuring I have not had as much opportunity to address the areas for development

One interviewee, Delegate 26, expressed, in his view, clear reasons for his own lack of progress which emanate from the context of the school and his relationship with the Headteacher. He made it clear that if he had not progressed in his career, he felt it entirely the fault of the Headteacher who had formed a view of his behaviours which could or would not change, and that even though he had modified his own behaviours in the light of what he had learnt at the LDC, this made no difference to the perception of the Head.

One interviewee, Delegate 47, when asked if she had been able to become involved at a senior level, commented:

> I think it all depends on your particular Head or leadership team; how much responsibility they are happy to give you. It varies from school to school. Some have it all; some are happy to give you so much and some nothing at all, and I think I am in the middle there, so although perhaps I am capable of doing it, my Head would rather do it herself which is fine.

Delegate 47 had other issues with her participation, which showed a clear lack of any pre-Centre discussion between herself and her Head as to why she was coming to the Centre. There is also evidence from her report in a clear difference of perception

between herself and her Headteacher, and the assessor alludes to this specifically: "In your 360 report there are some discrepancies between your own analysis and that of your manager." This is an individual who has not progressed, and perhaps one who at the time seemed to gain least from the experience. When requesting the place on the programme for this individual, the Head, who also acts as an assessor on the programme, and who therefore knows its features and what it can do intimately, described how she had identified a combination of lack of personal drive and ambition on the part of this delegate, and wanted to use the LDC to kick-start a developmental process for her; once back at school it does not appear that the degree of management needed, both from the individual herself as well as from the Headteacher, was present. The Head may have assumed that the diagnosis was all that was needed to achieve her aims. It is clear from the delegate's interview comments that she and the Head were not coming from shared ground:

> I think at the time I had learnt a lot. And but [sic] felt a little frustrated knowing that when I went back to my work, I wouldn't perhaps have the opportunity to put what I had learnt into place [...] I was a little confused, later on perhaps, why my head had put me on it, when nothing has changed eventually.

Another interviewee, delegate 53, who originally self-nominated because of her perception that her Headteacher was not supportive went on to say:

> But then I didn't get the chance to do anything with it in the context that I was in, because, […] I wasn't, or what I was doing wasn't, seen as a priority. It was very nice to have done it, and very usful, and I am still drawing upon it, and developing, but it was not important in the context I was in.

She goes on to give the following advice:

> So perhaps I suppose if your other people who are doing this, [sic] maybe there should be more of a commitment there from the senior management to say that if this person is going to do this, then …. we will seriously take on board what's been said, and then help this person develop further as a leader. [...] So I think if a person does self-nominate, and they are prepared to pay their money to go on something like that, then I think they need the assurance that afterwards they are going to get the support from the Senior Management Team that they need. And that that is going to be transparent. It's not going to be done in-house, but it's going to be a commitment basically from the school to develop this person.

Seven respondents to the questionnaire also took the opportunity to highlight ways in which they had been able to respond to their development needs and address them. Their literal comments are quoted below:

- Through alternative CPD

- Funding for a Music Service Leadership course has been provided by my department.

- as part of the job description you address developmental needs

- More confidence taken on SBM role with more impact

- Have had the opportunity to take on school developments which have helped address areas through the [incomplete]

- Due to my role as head I have had quite a few opportunities to develop areas and through my NPQH course

- My new role has allowed me to employ skills learnt through LDC and NCSL courses

Noteworthy among these comments is the one from a Headteacher, as well as the extent to which on-the-job learning (redolent of the early forms of leadership development described in Ribbins' (1997) research and reported in Chapter 2 above), remains seen as important.

Delegate 54, a School Business Manager, described her ability to undertake what was needed in a supportive environment as follows:

> [...] I have been very lucky that I have worked with some great headteachers, who have always been very supportive, very enthusiastic. Right from starting as a part-time member of staff, so I have been very lucky in that respect. Had it been the other way round it would be very difficult, I guess because of the environment we are in, we are dependent on the Headteacher of the school being supportive and seeing that role, and wanting to make use of the skills that I have as a business manager in the wider school.

Chapter 6: the post-empirical phase: answers to the research questions

Chapter 6: the post-empirical phase: answers to the research questions

In this chapter I will discuss how the evidence provided through the findings described in the previous chapter allows answers to these questions to be formulated.

The original research questions were as follows:

1. **What is the impact of a competency-based leadership development programme on the individual participant and their subsequent career progression?**

2. **How effectively does the process prepare them for leadership? How does this approach differ from or complement other forms of training which might be available?**

3. **Does the use of generic competencies overcome the issue of context, by raising self-awareness and giving the confidence to progress in any context?**

Research question 1: What is the impact of a competency-based leadership development programme on the individual participant and their subsequent career progression?

Evidence from the analysis of immediate impact evaluations contributes extensively to the answer to this question:

- *The extent to which the course met its objectives:* this measure relates to the overall validity of the programme in the eyes of the delegates, (or "face validity" a concept discussed in greater depth earlier on p.114), and suggests that participants left the LDC with a view that they got from it what they were hoping for. Whilst assessors and course managers are always gratified that the evaluations point to a high level of delegate saisfaction, this gratification is not the only positive outcome of this measure; delegates who feel that the two days were spent in achieving an outcome which they regard as having achieved its objectives will benefit more from the experience, and equally the fact that previous delegates speak positively of it has led

to others coming forward to take part. Three delegates from the first cohort, who have now gone on to substantive headship, have, on the basis of their experiences, nominated colleagues from their present schools to take part. Other headteachers, who had not themselves been delegates, have nominated additional teachers or support staff on the strength of the positive experience of initial delegates from their schools.

- *The extent to which delegates feel that they meet the pre-requisites of the course*: this measure is important in that delegates should feel comfortable in being on the programme; whilst (as was seen in the interviews), some may feel less sure of themselves before their attendance, the average evaluation of this aspect over all four years indicates a very high level of satisfaction with their attendance by the end of the two-day experience. These first two elements are to be seen together as important in establishing the credibility of the LDC in the eyes of the delegates.

- *The presentation skills of the tutors:* the LDC is a labour-intensive operation; there are eight tutors (4 x 2) for the eight delegates (4 x 2), plus a team of two administrators and the Myers-Briggs consultant; much of its effectiveness is based on the interaction between the tutors and the delegates, whilst the administrative team manage the many activities in a sensitive way which engages the delegates. This aspect is important in determining the extent to which the relationships they form with the tutors are positive, and therefore contribute to the effectiveness of the two days. The original insistence of the professional associations that assessors should be educational professionals is also part of this issue. At least one of every pair of assessors (originally known as the "manager assessor") is a serving or retired senior manager. Delegates and assessors introduce themselves on the first morning, with a brief pen-portrait; this knowledge and experience is therefore understood by all from the start of the process.

- *The quality of the materials used; the relevance of those materials; the extent to which the materials are pitched at the right level; the extent to which the materials deal with issues in the right depth*: it has been argued throughout in favour of the need for a context-free structure; taking these four measures together, the fact that delegates rate the materials as largely relevant and appropriate in terms of depth and challenge is supportive of this argument; there has been little evidence to suggest

that they find the non-educational nature of the activities inappropriate or inaccessible. In the pre-meeting, approximately three weeks before the Centre takes place, this factor is explained to the delegates, and the reasons, i.e. that the focus is on their leadership potential and not on their teaching abilities, laid out. In this respect, delegates arrive expecting not to find educational materials, so being prepared for it may diminish the surprise, and lead to greater acceptance. These measures also add to the extent of the overall face validity of the LDC

- *The quality of facilities and equipment:* In East Riding, the LDC has had two venues. The first, and the one where almost all of the Centres attended by the sample population took place, was a school which was designated a "Leadership Partner School." This was a status linked to its role as a "training school" and bestowed by the DfE. As part of its role, it was required to participate in outreach work, and chose to be supportive of the LDC by providing the venue, technical and administrative support. The building used was modern and offered comfortable rooms for the various activites, as well as undisturbed private locations for interviews and feedback. The availability of such a venue is key to the accommodation of the programme, as at one stage of the process, six rooms are in use simultaneously. (4 interviews, the case study for four delegates and the administration/assessor base). Good quality IT provision is also a requirement in order to allow access electronically to the delegates' reports from a single networked location. The school set up a secure location on its own network to allow this to happen. The programme has since moved to a purpose-built Council-owned venue, which was created as a headquarters for the Schools' Music Service. This building offers small practice rooms which are ideal for the LDC concept, as well as access to Council IT systems.

- *The extent to which delegates enjoyed the course:* The combination of the relationships with the assessors and administrators, a sense of camaraderie formed among the delegates and the quality of the venue are key aspects of what could be a stressful experience coming out for many delegates as an enjoyable one.

Whilst being comfortable with the environment and forming good relationships with the assessor team are important, the actual impact of the learning, and ultimately how long that impact lasts are important factors, and in this respect the last four elements in the

impact analysis show that delegates leave the centre on the whole with a positive feeling about how their learning will impact on their effectiveness.

- *The extent to which they learnt what they needed; the extent to which they expect to use what they have learnt; the extent to which they believe it will improve their effectiveness; the overall rating of the Centre*: are all important measures of the face validity of the LDC, in so far as they show a perception on the part of the delegate that they are leaving with something which may be of value to them.

This evidence leads to the following conclusions:

- Tutors (or assessors) skills rate very highly. This is a significant area as the assessors form a relationship with their delegates on a one-to-one basis over the two days, and it is vital that the delegates have confidence in the outcomes they are offered. The importance of this relationship in a Leadership Development Centre is discussed in Chapter 2. The annual improvement in scores here also emanates from the fact that there is a core of experienced assessors who have, in many cases, worked on the Centre since its inception, and almost all the assessors were themselves at some stage a delegate, and therefore have a shared experience with the delegates.

- The final sections, which ask about the impact in terms of the job, and whether the delegate will make use of the learning in future all show a highly positive set of outcomes: delegates leave the Centre on a high in terms of their personal feelings both about the effectiveness of the two days as well as how it may influence their future working. As we have seen, in three of the four years, all the delegates said that they would use what they had learnt, and over 90 per cent of delegates thought that the course would improve their effectiveness. There may well be, however, a lapse of time between the completion of the LDC and the possibility for the delegate to act upon their experience, depending, as we have seen, on the circumstances of the delegate back in school, and the way in which the school chooses to respond to the delegate's attendance. These two areas in particular were therefore followed up in the interviews and questionnaires as a key area, specifically to determine how long-lasting this initial impact might be.

- The relevance of the materials is a key area of interest, as those used here are the ones designed for use with Council Managers without adaptation. The likelihood of the materials being useful in the context of schools was hypothesised based on the disparate nature of Counicil managers accessing the Council's Development Centres, coming as they do from diverse professional and technical backgrounds. The fact that delegates largely from schools rate their relevance so highly justifies the view that the Centre deals with the generic skills of leadership, and as such the context and contents of the materials is of no major relevance. Equally this "context free" approach has allowed the Centre to take in delegates from a variety of backgrounds, sizes and type of school, central services, and external organisations. This would not have been possible if the materials had been limited in context to an educational setting and justifies the view that the focus on leadership transcends the Centre, and that the delegates' confidence in what it says about them remains justified.

- Similar in rating to relevance is the depth to which competencies are explored. The Centre deals in the main with aspiring school leaders, although it has also assessed serving heads. It therefore focuses on the "management" section of the ER Competency Framework, and the activities of the Centre do not, as a result, focus on the four "leadership" competencies in the Framework. Elements of these can be identified in other competencies, however, for instance "Team working" reflects elements of "maximising partnerships" and "operational planning" picks up the budget element of "Driving efficiencies and effectiveness." There is a feeling, however, that it would be inevitable that the upper level competencies would become areas for development as the majority of delegates have had no prior experience of these in their current role. In this respect, the schools' LDC differs significantly from the Council's model from which it is derived. To attend the Council Centre, it is necessary already to be a manager; the Schools' LDC will take aspiring leaders at any stage in their career.

Further evidence to answer this question is derived from the evidence provided by the interviews and the questionnaire:

A clear emerging theme of this research is the impact of the LDC process on the confidence of the delegate, and therefore their self-perception in terms of their career

prospects. As was shown in the previous chapter, delegates in the majority have a worse self-perception than that held of them by their colleagues. As well as the changing nature of the sample population in terms of current status and career stage – earlier cohorts, as we have seen, were farther on in their progress towards headship and therefore their self-esteem may well have been higher than that of subsequent cohorts, where the career stage of the delegates has been less advanced, and featured more aspiring managers. The proportion of male delegates in the early cohorts was also higher, and gender may of itself be a factor in the extent to which delegates value their own abilities.

Because the data has been stored anonymously, it is not possible to match a particular set of responses to a particular individual. However, it has already been demonstrated that the sample population reflects the gender balance of the East Riding school workforce, and this is overwhelmingly female; the sample population is therefore, overwhelmingly female. Research into pupils' attitudes to modern languages I carried out in in East Riding, for which 10 per cent of the school population in Year 8 and Year 10 (663 pupils in total) were surveyed, discovered that in response to a question about their confidence in their abilities in learning a modern foreign language, not only did confidence diminish as pupils got older, but the pupils who lacked confidence to the greatest extent were able girls (Stork, 1998 published in 2001).

The interesting factor in this research was that not only did it encompass a large local pupil sample, but its findings echoed those from geographically different parts of the country, as simultaneous research, using similar questions was being carried out by Feltham in West Sussex, and the University of Warwick. Feltham's research was not published, but used alongside the data from ER to form a view; the work from the University of Warwick was published by Barton (2001). This research (p.46), states: "This study [her own] seems to confirm the conclusions of other research that boys display a general tendency to rate their own academic ability highly, while girls display more modesty." My contribution to the same book (Stork 2001), derived from the local attitude research and also from work specifically into the teaching of able pupils, is introduced by the following editorial comment: "David Stork describes and critically analyses a problem common to many local authorities: under-achievement. Although he focuses on the more able pupils, the underlying theme is the challenge of enhancing low self-esteem."(p.61). Those who think they are not very good at something may well

never offer themselves the opportunity to disprove their self-view; this population is, by definition composed of persons who would be classed as able in their education (all, for instance, are graduates, as this is a requirement of qualified teacher status), and therefore one might extrapolate a carry-over of attitudes among school-age learners into adulthood. Cordery (2002, p.339) shows how, in teams of workers, there will be those who emerge as leaders, even where they are not designated as such, "with men tending to emerge as leaders in groups more often than women." Payne (2002, p.388) in the same collection comments:

> The hierarchical aspect of bureaucracy is certainly compatible with assertiveness. In principle the bureaucratic structure should not particularly favour men or women, though in Western societies it has a strong tendency to favour men.

Assertiveness is a feature of the "personal effectiveness" competency, and has a sub-characteristic of "is confident." Payne's comment links assertiveness to gender, and would confirm a hypothesis which suggests that the delegates to the LDC, being in the majority female, and, in the majority, not yet in established senior leadership positions, are yet to find their way in this hierarchical aspect of bureaucracy, and the LDC provides a potentially first and unique opportunity to the delegate to acquire the assurance of their own abilities and to recognise their personal potential before moving to the next level. Remember the description of an effective leader made by Bolam et al (1993, p.23), quoted earlier: "the image of the effective headteacher is of someone who, in conjunction with senior colleagues, provides a clear sense of direction, but otherwise is not afraid to delegate certain management responsibilities, and yet is prepared to assert his or her leadership as circumstances warrant."

The evidence provided through the various sources used in this research strongly indicates that the leadership centre experience, combined with the 360 degree assessment and the Myers-Briggs personality indicator, brings about an increased confience, and a heightened self-awareness leading frequently to career advancement, in direct contradiction to the levels of confidence displayed by delegates before the experience of the LDC. In this respect, therefore, it can be claimed that this approach impacts positively on the career progression of delegates.

Research question 2: How effectively does the process prepare them for leadership? How does this approach differ from or complement other forms of training which might be available?

As has been shown there is general consensus among delegates as to the validity of the activities of the Centre, and the message conveyed to the delegate by the outcomes. Where delegates cope badly with an activity, they are frequently philosophical about it during the reflective interview. This interview takes place at the beginning of day two, and specifically invites this form of reflection from the delegate. One Headteacher, a member of cohort 0, the pilot cohort, who did not enjoy the planning exercise, said "Now I know why I employ a timetabler!" Whilst this may have been said in a humorous tone, the underlying message is important: the delegate can learn from what goes not so well as much as from what goes well. Similarly, issues arise from the nature of certain elements which are more or less suited to the personality of the individual. The group exercise is a case in point, as was seen from the point of view of a delegate who would naturally be uncomfortable in this context. The delegates have not received their MBTI outcome by the time they participate in the group exercise, but have done so before the reflective interview which therefore offers the opportunity to link the day one experiences to the Myers outcome. The result can be enlightening, as it was for that delegate.

It therefore follows on from the above that a major area of focus for the reflective interview on day 2 is the Myers-Briggs personality test outcome. It is an important area for the assessors to gauge the extent of self-awareness of the delegate, and this can often be perceived through the extent to which they agree or not with what Myers tells them about themselves. In the vast majority of cases delegates recognise themselves easily; those who felt certain elements were unjust find that their life partner can see in them what they could not! In the previous chapter, however, there was the case of one delegate who disagreed most vehemently with what the profile suggested. In reality, this mis-match in perceptions need not be an issue. Type is just that – innate and underlying, and whilst there are many people who work according to their type, and are conscious of what that type may be, it is perfectly feasible that an individual might develop strategies to cope with their underlying tendencies in the workplace, which mask those tendencies even to themselves, to the point that they are not conscious of them.

It was also shown in the previous chapter how the recollections of the delegates of certain elements of the Centre such as the simulation and exercises were less acute than those of the 360 degree appraisal and the MBTI outcome. It is perhaps because these are the most personal of the elements and involve an external appraisal of their leadership capacity or style. These two elements feed most strongly also into the report, as the MBTI type determines the report template to be used, and the 360 degree "literal" comments are pasted into the body of the report under the relevant competencies. The importance of these two elements and the impact on the individual also justifies in many ways the use of these two elements to define the diagnostic phase of the "bespoke" programmes, carried out with groups of usually middle managers in schools and described earlier. Significant personal impact can be obtained through the use of these two elements alone.

As was shown in the analysis of data in the previous chapter delegates' strengths lie most frequently in the interpersonal competencies, and their areas for development more with the operational side. The separation of the competencies in this way also correseponds with the separation into "transformational" and "transactional" elements of leadership and management as described by Alimo-Metcalfe and Alban-Metcalfe (2002) and discussed earlier, and reinforces the gender-based argument, as can be seen below.

Some operational competencies, most particularly "maximising potential and managing performance" hide under what is potentially an interpersonal relationship, for instance between appraiser and appraisee, line manager and direct report, a relationship which can lead to conflict, and the need to address underperformance. This of all the competencies can be the most difficult to gain experience of, especially in small schools where line management opportunities are limited. However, it is a key competency in improving the standards of the school. The original concept of the competency framework as envisaged by the Council was to improve the quality of the organisation by developing its managers; maximising potential and managing performance is therefore more than a competency; it is a way of working which provides an end in itself. This is an area where headteachers can be helpful in allowing a greater amount of distributed leadership to give others the opportunity wherever possible to develop as leaders and managers. This issue is discussed at greater length below.

Where delegates score highly on interpersonal competencies, this may prove an area for concern especially where the delegate has a high affiliation drive. Part of the approach to the interview process both on day 1 and in the reflective interview on day 2 is to try and tease out the extent to which the potential pitfalls arising from difficulties with such elements as giving feedback in cases of underperformance, or surfacing conflict may prove a hurdle for the delegate in a management role. If these areas are also coupled with lack of assertiveness, the potential problem is compounded.

There is, however, a factor here which cannot be overlooked and which relates to the same phenomenon explored above, that of gender and leadership. Once again cognisance must be taken of the fact that the sample population of this study is overwhelmingly female. Alimo-Metcalfe and Alban-Metcalfe (2002) state: "Prior to the 1970s and equal opportunities legislation in the USA and the United Kingdom, there was little interest in the question of whether gender differences occur in the area of this chapter ['Leadership']." They point out that gender differences which have been identified in literature "were relatively minor, though they suggested that women were more likely to be participative and democratic in decision-making [...] and more team orientated." Their research suggests a situation whereby they see "women in general identifying transformational components, and men in general identifying transactional ones." (p.319). If their view is accepted it is likely that the outcomes for a preponderantly female cohort will tend to show that their areas for development will be at the transactional end of the spectrum; at least, in addition to the notion of career stage expectations, assessors should be aware of this possibility.

From the point of view of the assessors, the management of the areas for development is a key concern. Findings in chart 5.3 above show how the least developed competencies on the whole are those in the "management" tier, consistent with the stage of development of the delegates involved. Assessors use the reflective interview at the start of day 2 as a means of gauging the stage of the career development of the delegate, and their own awareness of their strengths and areas for development. When these interviews are conducted participants are asked:

"What do you expect us to identify as your strengths?" (and concomitantly) "Your areas for development?"

And

"What do you intend to do next?" / "How will you use what you are learning?"

This can help steer the assessors towards picking up the key competencies for development relevant to the career stage of the delegate. For instance, if a delegate does not yet lead a team, it is likely that they have never been an appraiser; the opportunity to maximise potential and manage performance is therefore something they will not have had the opportunity to develop; it may be a crucial need if they are to progress to the next tier of management, and therefore worth making a "key area for development." Development areas identified should be useful and meaningful to the delegate, and areas which they can realistically expect to be able to have the opportunity to take forward once back in school.

Chapter 5 presented views about the extent to which delegates from the LDC have been able to build on their experiences, and thereby turn the diagnostic stage of the LDC into genuine improvements in their practice. It shows that the support of the headteacher back in school, as well as the provision of opportunities specifically offered to allow the development of competencies identified as not yet mature are a necessary element if progression is to ensue. The finding from questions comparing the learning from the LDC and the NCSL programmes which shows them to be largely complementary to one another is important here. It has also been shown that in order to be complementary, the programmes have to be different; a situation where one is a local clone of a national programme is unsatisfactory, not least because the national programmes carry recognition which the delegate may find useful when applying for promoted posts in another part of the country, where the East Riding programme may have less currency. There are instances, however, where the local programme does need to overlap with the national one if the LA is to secure opportunities for all its employees to be able to benefit from their participation on the development process.

As well as coaching the aspiring leader in their own school, a requirement of the NCSL programmes is that the teacher or School Business Manager (for the principle applies equally to the teachers' programmes as to the support staff programmes), carry out a change management project in their own school, which they must lead. This project provides the opportunity to obtain experience in operational planning, project management, delegation, where appropriate, and managing change. It may also lead to the need to motivate others to support the change being suggested. A diagnostic process cannot subsist in isolation, and in order for the maximum benefit of that diagnosis to be

felt, the support of a wider programme of experiences is essential. At the most basic level, participation in a NCSL programme provides that complementary experience, but there are more ways of achieving this experience other than the NCSL models. These are the local opportunities which need to be present to allow the delegate to undertake the work even where they are prevented through access or funding, from undertaking the national programmes. The local programme, even where paid for, is less costly than the national ones, and this is a major factor or some schools. These opportunities are set out in the following section.

In his address to headteachers at the East Riding Leadership Conference in 2007 at which the Leadership Development Programme was officially launched, Male described the types of learning experience that any developing school leader ought to experience. These were as follows:

- Shadowing
- Apprenticeship
  - learning an art or trade through practical experience under skilled workers
- Internship
  - a participant who is receiving practical training in circumstances or an environment that is different from their normal working arrangements
- Coaching
  - teaching someone how to do something 'correctly'
- Mentoring
  - an interactive relationship which will allows learners to examine issues and challenges in the search for possible solutions
- Peer Networking
  - establishing and sustaining contact with colleagues in similar or related positions

To secure the potential for personal professional development for all LDC delegates, complement the LDC and afford a wider CPD opportunity, in line with the necessity described in the previous section, the LA has offered a selection of such wider opportunities. This was an issue also picked up by the MBA students in their consultation report. Not all of the interviewees or the respondents to the questionnaire

had been able to profit from this programme, but where they had been able to do so found it mostly very useful. The programme has several elements:

- A series of twelve twilight seminars each devoted to an aspect of leadership characterised by the competency framework. Most of the seminars feature an input from a Local Leader in Education. The purpose of these seminars is to link the competency framework to the operational aspects of school leadership.

- Opportunities for secondments or placements are made available to ERLDP participants in the first instance. These placements have tended to be in schools causing concern or OFSTED categories, where there has been a need to increase or improve leadership capacity. These have proved very helpful, and have often resulted in substantive appointments being made, or giving the opportunity to increase experiences with a view to gaining the areas for development that the individual might need.

- Internships: for a brief period of time, the NCSL organised internships specifically for Advanced Skills Teachers. A number of ER ASTs were able to participate in these (two of whom are in the sample population). A similar outcome has been achieved recently between a deputy and an assistant head who swapped their jobs for two weeks. This proved beneficial both to the individuals and to their schools.

- Mentoring: assessors have frequently taken on the role of mentor to delegates, and this is an offer systematically made to delegates at each Centre. This process has included coaching in interview techniques as well as support in preparation for NPQH or during an acting headship.

Delegate 20 had undertaken none of the NCSL programmes; as an Advanced Skills Teacher (AST), he had been advised that the role he was undertaking would provide him with all he needed in respect of leadership development. He did however, attend a number of seminars (as well as the LDC itself), and described the programme as "thought-provoking." He had undertaken an internship organised through NCSL specifically for ASTs, which broadened his perspective on leadership and management still further.

His case underlines the need for a complementary programme of activities. The LA programme complements the NCSL programmes certainly; all the comments from the interviewed delegates support this view. There are, however, still those who for

whatever reason cannot or will not access the national programmes. Local or in-house provision must fill this need, therefore, and the provision of a range of activities, as provided by the wider programme of the LDC, which assists the delegate in translating the learning from the LDC into operational applications, is an essential part of the package.

In summary, the LDC process alone, the diagnostic phase, may have impact on the individual and on their practice; this may prove transferable into a new role, as we shall see below, but a holistic preparation for leadership will also include complementary activities, and these may come from either a local or a national source.

Research question 3: Does the use of generic competencies overcome the issue of context, by raising self-awareness and giving the confidence to progress in any context?

Whilst having the confidence to take that next step up the hieracrchy is an important element, what also appears significant, is the apparent transferability of the outcomes of the LDC to new job situations. Let us remind ourselves at this point of the statement made by Tomlinson (2004) (set out above, p.130): he shows how professional growth and development requires a "willing acceptance of the self." This applies both in the carrying out of an existing role and the beginning of a new one, what Tomlinson calls "self management in a new job." "How can the self-awareness generated through self-knowledge (and acceptance of findings of the diagnostic), help to overcome this period of transition into the new role?"

It has been demonstrated previously that the "context-free" nature of the materials of the LDC does not hamper the delegates in undertaking the tasks; neither does the fact that the focus of the LDC is not on education, but on leadership, cause them any obvious inconvenience, nor detract from their belief in the effectiveness of the outcomes of the programme. Whilst not on the same scale as the Council's programmes in terms of the variety of professionals involved, the schools' LDC has successfully embraced school-based staff, both classroom-based and office-based, and colleagues from other Childrens' Services organisations such as the Primary Care Trust. Logic would therefore suggest that if the development programme is applicable to a range of managers in a range of contexts, the learning should be equally applicable.

Although interviewees, particularly those going into headship, were often of the view that Headship is not easy to prepare for, all expressed the view that the kind of learning which emerges from the LDC impacts on the manner in which they conduct themselves, especially when dealing with other members of staff, and as such is transferable.

Findings from the corroborative questionnaire and from the interviews all show that, in the majority of cases where delegates have changed role (67 per cent of the questionnaire respondents) learning from the LDC has been useful in undertaking that role, in 75 per cent of the cases. This is an important finding in so far as, as shown above, there can be a belief held with conviction among experts in the field, that the

context of the school drives the style of leadership required of the individual, and therefore that generic leadership competencies are of little value as a developmental tool. This belief complies with the reductionist view of competencies as previously expressed by West-Burnham and O'Sullivan (1996), among others, including the senior NCSL official.

Male (2006, p.65) states:

> Attempting to apply a universal, generic set of behaviours to formal school leadership denies the specific nature of the school to which the headteacher has been appointed. Effective headteachers exhibit a range of leadership, management and administrative skills that are appropriate to the circumstance to which they are either appointed or they themselves have created subsequently.

These findings would suggest a different interpretation, however. One which tends more towards the view that, because of the nature of competencies which are by definition generic, the somewhat contradictory statement made by West-Burnham and O'Sullivan which suggests that 80 per cent of leadership skills are transferable, is not only true, but may be taken even further towards a hypothesis which suggests that leadership is about a balance of competencies; different contexts will not require, necessarily, the development of new competencies, but will demand that the manager alters the extent to which certain competencies are important to cope with the demands of the context in which they are working.

Neither is it entirely appropriate, as Male attempts to do, to define competencies (which he generally refers to as competences) as purely "personal qualities," implying that the professional standards deal with the operational. The East Riding Framework does, as we have seen, cater for the development of both the operational and the interpersonal; the transformational and the transactional, suggesting a much more holistic view of the individual and their behaviours than that depicted in much of the literature.

In this respect, the East Riding process links back to the work of Boyatzis and McClelland, most specifically Boyatzis (1982) and the tripartite model of effective management (Fig 3.2 above). In this model, the context is a contributory factor, of equal importance to the expectations of the role (professional standards) and the specific competencies of the individual. The implication of Boyatzis' work is that the

competencies of the individual transfer into the new context, and that their relative importance to the individual will be driven by the context. In this way, generic competency development is of significance in ensuring that the individual has an appropriate armoury of competencies ready to adapt into whatever situation might need to be confronted.

West-Burnham (2011), working on behalf of the National College, produced a think-piece entitled "Building sustainable school improvement through systems leadership and collaboration." In this piece, he begins by offering a definition of systems leadership, essentially where a single headteacher is deployed in the support or leadership of another school, known as an "Executive Headteacher." The early part of this thesis explored how systems leadership has played an important role in developing the educational landscape in the East Riding, and how the Leadership Development Programme has fed into this.

On page 19 of his paper, West-Burnham lists eight skills identified by the National College as essential to the role of executive head, which they identified following a survey of executive heads:

1. Operating at a more strategic level
2. Getting the balance between standardization and respecting difference
3. Being even-handed between schools
4. Staying focused on performance
5. Developing and practising interpersonal skills
6. Working closely with governors
7. Communicating effectively
8. Developing personal resilience.

The underlying competencies required to fulfil these additional skills are not difficult to define: operational planning, team working, communication, maximising potential and managing performance, personal effectiveness - all are clearly represented in the competency framework which underpins the East Riding programme; only the balance of those competencies will shift.

West-Burnham then produces (p.20) a table which he describes as "a wider taxonomy of the requirements for successful leadership at systems level." (table 6.1)

Table 6.1 West-Burnham's taxonomy of the requirements for successful leadership at systems level (his italics):

Qualities	Behaviours	Knowledge
Moral confidence	*Consensus building*	School improvement
Trust	Risk taking	*Awareness of context*
Integrity/consistency	Networking	Closing the gap
Courage	Team building	Policy initiatives
Entrepreneurship	*Negotiation*	Leading change
Imagination/creativity	Conflict management	Teaching and learning
Empathy/EI	Listening	HR strategies
Sensitivity	Analytical thinking	*Systems thinking*
Optimism/resilience	Problem solving	*Consultancy skills*
Diplomacy/sensitivity	*Building coalitions*	Political insights
Inclusivity	Effective communication	
Challenge		
Strategic thinking		
Humility		

West-Burham explains the taxonomy as follows (p.19):

> In the table [...] most of the qualities, behaviour and knowledge listed are common to all leaders, irresepective of role or context. What is distinctive about system leaders, is their ability to sustain high levels of

performance across different contexts and to be highly sensistive to the political, social and interpersonal issues that will almost certainly arise in the sensistive areas of school improvement and performance. It might be therefore that the areas that are *highlighted* (his italics) in the table require particular attention. It does seem reasonable to argue that in the context of systems leadership it is the personal qualities that will make the difference.

The reader will perceive, in considering the list of items in West-Burham's table, that, once again, there is obvious resonance with the competency framework. If the qualities, behaviours and knowledge listed in his table are grouped together, (take for instance: moral confidence, sensitivity, optimism/resilience, humility, and they clearly add up to "personal effectiveness;" trust, empathy, diplomacy, inclusivity, team building etc., which add up to "team working."). One might wish to take issue with the specific, italicised areas which he considers to be of greatest importance (the executive head who led the first federation in East Riding would certainly have had "effective communication" as one of her most important elements); but none the less West-Burnham's conclusion that "personal qualities make the difference," in apparent contradiction of the view he and O'Sullivan expressed in 1996, quoted earlier, seems to justify an approach which develops leaders on the basis not of strategy, not of context, but of key competencies which will allow them to move into more challenging or exacting environments and roles with all the confidence in themselves that they require to be able to make that new role work.

This recent iteration of West-Burnham's thinking, added to the outcomes of my research in terms of the impact on the individual of the focus on competencies and the extent to which their actions are moulded by the knowledge that the LDC process gives them might suggest even more strongly that such a complementary approach is essential in developing effective leaders. The East Riding programme has never sought to deny the importance of strategy, and of developing in leaders an understanding of the operational outcomes required of them in post by the national standards. It has never sought to duplicate the processes and the training provided by the National College. However, my findings seem to suggest that the lasting impact which gives an understanding of how to behave in different contexts, provides confidence to lead and gives an understanding of what lies beneath strategy in term of the interpersonal attitudes required to take staff with you, should now be seen as a *sine qua non* of leadership development.

Chapter 7: Conclusions and implications

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By definition, this approach to professional development is about the individual. They learn about themselves, and will hopefully use that learning for the benefit of their coleagues and in their future career. Headteachers are obliged, through formal inspection, to show how the development of their staff links to the development of the school. The personal ambitions of staff members who wish to advance in their careers does not necessarily feature in this demand, and therefore personal professional development, unless there is a specific requirement to "develop middle leaders" for instance, may not be on offer.

Recognising future talent and therefore identifying potential delegates is also more difficult. Because of the changing nature of Local Authority work, where there is an increasing emphasis on working with headteachers to bring about school improvement, it is becoming increasingly difficult for external partners, such as the School's Improvement Partner, to become aware of talented staff who may benefit from development, so the extent to which headteachers are prepared to put colleagues forward is becoming increasingly important. As the talent-spotting role shifts to the Teaching School Alliance, this will become even more difficult. The headteacher therefore acts as the gatekeeper, and unless the school offers, for example through performance management, the opportunity for personal professional development of this kind, it may be difficult for some teachers to pursue it. Under new appraisal regulations to be introduced in September, there is no obligation on a school to offer personal objectives, although the East Riding model policy encourages the practice.

The 2007 Performance Management Regulations for teachers first raised the issue of personal professional objectives. (Support staff were not included in these regulations until 2012, and then only as an option). This element was enshrined in the regulations for performance management in 2007, and therefore found itself included in policy, but it was not explicitly included in the 2012 revision, when the process became known as "appraisal" once again. In 2012, also, OFSTED introduced for the first time scrutiny of teachers' appraisal objectives and linked these to the quality of teaching judgement; as of 2013, with the introduction of performance-related pay, this judgement will go still

further and a direct line of sight will be sought between not only the school development plan and the teachers' objectives, but also the level of pay that individual teachers receive relative to their classroom performance. This has potential implications for the retention of the personal objective unless this can be justified in the context of the school's overarching needs. If the personal objective is lost, the potential for staff to be put forward for leadership training, particularly if this is as the result of personal ambition rather than because the school has a need, may well be reduced. This would lead us full circle to a situation where, as a result of all the issues set out in the second chapter of this thesis, leadership development became a priority. A local solution was found at that time thanks to nationally available funding. Such a solution may not be available in the future, and we saw in the commentary on the role of headteachers, how funding has come to play a role already.

In chapter 6, I describe the extent of professional development that an effective leadership development programme would warrant. This reflects appropriately the views expressed by the School ManagementTask Force under Bolam (2003), which desired a situation where there was a balance between school-based and out of school development opportunities. At the time when the cohorts which make up this sample population undertook their training, it was all, including both the diagnostic phase and the follow-up elements (described as the "wider programme," above) provided at no cost to the school. An altruistic approach from the Headteacher prepared to allow the colleague the opportunity to develop was all that was required. This latitude was ended by the Coalition government in 2010 with the ending of all funding streams to Local Authorities.

Headteachers must now, in general, pay for the programme. There may be instances where the delegate would be offered a place at the Local Authority's expense, but this would only be where the individual's development was included as part of an LA support plan for a school causing concern. In all other circumstances, it is down to the headteacher to determine, and the need to make a financial commitment will undoubtedly see a desire from heads to get what they perceive to be value for money. This might be interpreted as a change in the delegate's behaviours once back in school, and potentially their effectiveness in the leadership role; it requires a deal of altruism on the part of a headteacher to recognise the wider impact on the individual and be prepared to allow them the opportunity when in fact they may be preparing that

individual for a move to a different school. It is interesting in this regard to consider the reactions around value for money of those interviewees who have gone into headship, and how they regard the development of their staff, even those not going on to headship, to be significant in increasing the capacity of the school, which is indeed the fundamental underlying principle of the whole programme.

The response of the delegate who felt that her headteacher was indifferent to the outcomes of the LDC raises key issues in the role of the Headteacher overall but also in connection with how the LDC is followed up in the school in order to gain maximum advantage from it.

The outcomes of the LDC are confidential to the delegate, and this is impressed upon the delegates at the end of the LDC. No hard copy of their reports is retained and the documents they leave with are the only extant hard-copy versions. Electronic copies have been retained (with the delegates' permission) for my use in this research, and also to provide new copies for delegates who have requested them. It is part of the ethics of the Myers-Briggs process that the delegate's personality type remains confidential to the delegate (and by definition their assessors). Who gets to know the outcomes is therefore up to the delegate to determine; if they want to use the outcomes in their appraisal process, for instance, that is their prerogative. At the conclusion of each LDC, the participant is urged to use the information in a way that will be of benefit to them, and that includes using the areas for development as the basis for formulating appraisal objectives in the next cycle. Where the school is not proactive in engaging with the delegate, therefore, it might be argued that they were engaging with the protocol of the LDC. However, in the specific instance raised by this delegate's situation, she is the same one who commented on the indifference of her school to her progress and the lack of opportunities available to her, so may once again be symptomatic of a situation where the Headteacher does not follow up the delegate's participation in the LDC with any in-house support or interview to ascertain their learning or their future needs.

So critical does this element seem to be, both in the minds of delegates who claim to have derived great benefit from the experience as well as those whose benefits may be seen to have been diminished by their subsequent experience, and adding to this the external pressures provided through budgetary restrictions and the exigencies of the OFSTED inspection process, this area will be the one which will provide the most

significant need when pointing the way forward both for the local programme, and for any future use of this approach in other spheres.

In the light of these issues, therefore, I wish to suggest the following recommendations:

1. When signing a teacher or other staff member up for this programme, both delegates and headteachers should enter into an agreement which undertakes to recognise the following imperatives:

   a. Arising from the follow-up to the learning for the delegate from the LDC activity, it is recommended that delegates should only take part in the Leadership Development Programme with the full cognisance and complicity of the headteacher and/or senior leadership team. The delegate's line manager, where this is not the headteacher, must be made aware of the development

   b. This involvement of the line-manager and senior leadership team should be backed up by a policy decision to include personal professional development objectives in the school's appraisal process. It has been demonstrated above that taking this kind of interest in the development of the delegate has a positive effect on the morale of the delegate, and this is therfore mutually beneficial to both the individual and the organisation. A clear line of sight between the school's development plan and appraisal objectives, as required by the OFSTED inspection process, can be retained without every single objective being so related; some individuality in the appraisal process is necessary to maintain its overall effectiveness.

   c. Once the areas for development of the delegate are known, and particularly if they become part of the individuals' subsequent appraisal objectives, a covenant should be formed with the delegate to ensure that any professional development activity required to support the achievement of those objectives is secured. The school therefore ought to engage with a process that allows the delegate to modify their duties or activities, or at least participate in wider CPD which allows the delegate

to develop in the identified areas. Only when this is present can it be properly expected that the delegate will gain the maximum benefit from the learning at the LDC. If also the tenet of the original East Riding Council programme was to improve the quality of the organisaton via the development of the managers within the organisation, this cannot be achieved if there is no follow-up to the development areas for the delegate.

The competency of the assessors is a key issue in the success of the Leadership Development Centre programme. The assessors must be trusted by the delegates, and this does not only imply that they understand the nature of the competency framework, but also that they have credibility from their background and experience. The vast majority have experienced the Centre as delegates, but this is not enough to be invited back as an assessor; the management group of the programme need to be satisfied that as delegates, they have shown the necessary skills and competencies themselves in order to be able to effectively recognise those in others. This is both through the career skills and experiences that the individual possesses and through their identified strengths and areas for development following the LDC. It is unlikley that someone with areas to develop such as "maximising potential and managing performance" or "Motivating others to excel" would have the necessary skills to assess effectively at that stage of their career. All assessors are or have been, experienced senior managers in schools. The contribution of both serving and recently retired headteachers and school business managers as well as officers of the Improvement and Learning Service, all of whom have held senior leadership positions before undertaking advisory work, is vital in maintaining the credibility of the assessor group; as time goes on, it will be necessary to refresh this group and financial constraints will inevitably lead to utilising more serving heads and officers, which is a cheaper option. It will be necessary to guard against a dilution of this group by making it too large, but serving heads are less flexible than retired personnel, which implies the need to grow a larger group into the future.

Recommendation:

- The pool of potential assessors should be developed to encompass as wide a range as possible of individuals who meet the appropriate criteria for selection. These criteria are set out by the Teaching School and LA working together as:

- o Previous successful participation in the LDC
- o Recognition by the NCSL as a Local Leader in Education or similar category
- o Having participated as an assessor in NCSL programmes such as the NPQH

The future for Competency-based leadership development in the East Riding and beyond.

The end of academic year 2011-12 has seen the completion of 22 cohorts for the East Riding, and in May 2012, a Centre was provided for North Lincolnshire LA. Delegates from the North Lincolnshire pre-NPQH cohort participated in East Riding Cohort 22, funded as were all the East Riding pre-NPQH participants by the National College in a pilot scheme. Sadly, with the ending of funding to the LA by the National College, this pilot did not lead to the hoped-for inclusion of the LDC as a required element of the pre-NPQH programme. Further North Lincolnshire cohorts are planned, however, and colleagues from North Lincolnshire who have been through the LDC as delegates have now become part of the assessor team working across the two LAs. This additional work has proved very successful, and has generated significant income, which will help to maintain the programme into the future, as it needs to be self-sustaining. The necessity to maintain the local programme has been alluded to earlier, but an examination of that issue now is relevant.

The NPQH ceased to be a mandatory qualification in April 2012, and a number of applicants for Headship are now coming forward who were previously ineligible for appointment. Governing Bodies are being urged, however, to include as an essential criterion evidence of CPD towards leadership, and the ER LDP provides such evidence. As the style of this programme remains distinct from other leadership training (the new NPQH modules are yet to be seen), the Improvement and Learning Service believes that the retention of the programme is essential to ensure that those who do not pursue NPQH have some credible evidence to show in their application; participation in the programme also allows the LA the opportunity to identify suitable candidates for secondment opportunities, and will continue to do so.

For many years the National College has not used competencies at all in its programmes, preferring to use Professional Standards. The National Standards for Headship provide the framework used by governing bodies to produce the person specification and job-description of headteachers, and hitherto this has been the only benchmark for leadership. Recently, however, the NPQH has been modified, and since April 2012, has its own competency framework. This new departure for the NCSL is significant in so far as it cements competencies into the model of leadership development nationally, and the ER Framework maps easily onto the National model. This reinforces the view that the ER model will provide essential grounding for future school leaders, and justifies the arguments made earlier in the previous chapter about the place of competencies in the development of school leaders, and therefore the faith placed in this style of assessment by the LA and its schools. In terms of recent literature, however, we still find that

> From an evaluation standpoint, we need measures of leadership expertise to study the efficacy of leadership development programs. The research on *outcomes* of pre‑service preparation, induction, and professional development is virtually non‑existent (Goldring et al 2006)

The Academies Act of 2011 and its potential impact.

In 2011, the Coalition Government under Secretary of State Michael Gove placed on the Statute Book an Act of Parliament which permitted initially schools judged by OFSTED as "good" or "outstanding" to convert from Local Authority control to "academies." As we saw above in Chapter 2, academisation has been seen as a tool to improve the quality of education in a school deemed to be underperforming, but this was a new development which has seen (at the point of writing, late 2013), approximately 50 per cent of secondary schools and some, though a much smaller number, of promary schools convert to academy status. In the East Riding exactly that proportion of conversions has taken place, so the LA represents more or less the state of the nation.

As these schools have no formal links with the LA, and can seek their services and support from any source they choose, this can lead to the fragmentation of LA and the loss of such teams as the Improvement and Learning Service. In some authorities, this has been the case, and there are examples of LA who have recommended that their schools become academies. East Riding has not done this, however, and there are clear

signs that the conversion of the ER schools to academy status has not significantly impacted upon relationships between schools and the authority. These signs include that all but one of the academies uses the LA as the "appropriate body" for managing the induction process of Newly Qualified Teachers, and each academy has the opportunity to buy into the School Improvement service level agreement, and receives an entitlement of a link to the LA through a member of the Advisory Service. Although not all join the service level agreement, none has declined the offer of an annual review of performance, and indeed some have sought advice and support in certain instances. Acadmies have also sent delegates to the LDC, and there have been delegates from academies in North Lincolnshire also who have attended. One academy has invited the LA/Teaching School to provide a bespoke leadership programme (as described in this thesis), for two cohorts over two years.

The position in the East Riding reflects the relationship which existed with schools before the Academies Act and the on-going relationship which persists. It must be recognised that the fragmentation of the infrastructure of Education with increasing numbers of autonomous institutions may well lead to difficulties in the organisation and management of programmes such as this, and this leads to the government's key strategy to deliver effective school improvement and staff development: the teaching school.

The emergence of the Teaching School

It was necessary in the academic year 2011-12 to charge participants other than those funded by the NCSL pre-NPQH programme. This did not reduce demand, and all the cohorts were fully subscribed. Attendance at twilight seminars averaged around 12. From September 2012, following the launch of the government's Teaching School programme throughout England and Wales, the role of spotting and developing school leaders passes to the ER Teaching School Alliance, which has already stated its intention to continue with the existing model as part of its bid to the DfE. The LA will continue to be a strategic partner in the Alliance, and this will have impact in broadening the base from which assessors can be drawn as well as giving structure to the wider support programme. Local Leaders in Education (LLE) are headteachers of a minimum of three years' experience who have led their school through an OFSTED inspection leading to an overall judgement of good or outstanding. The first of 17 of

these Heads were appointed in ER in 2010; they now number 23, and are a key group within the Alliance. They offer input to the seminar programme which will be held in their schools, and offers have been received from these headteachers and others within the Alliance to provide placement opportunities for Leadership Programme participants. A charging model and a new means of recruiting assessors will be put into place to comply with both the funding structure of the teaching school, and the employment regulations of the Council.

It is intended that these plans will secure the future of the Leadership Development Programme, and that its current impact both in terms of the number of individuals who have progressed in their careers following participation as well as the increased confidence and skills it has imparted to the vast majority of its delegates will continue into the future.

Furnham (2013), professor of psychology at University College London, in an article in the "Sunday Times" produced the headline "High-flyers push to the front but don't know how to lead" His opening paragraph states:

> Perhaps the greatest paradox in the literature on leadership is that the usual criteria for the appointment of leaders are entirely inappropriate. The road from supervisor through manager to director can mean that those who are promoted have little aptitude, knowledge or skill to do the job [...] Nearly always people are promoted into supervisory roles because they have demonstrated excellent technical skills, not leadership potential

He reiterates how, in the private sector, at the time he calls "the process of re-engineering madness" many middle leaders were "given the chop" in a way which describes the restructuring process of 2005 in schools, and shows a parallel with the models of leadership evolution set out in this thesis. He describes three stages to the development of effective leaders:

> First, it takes time [...] Start early, select well, fertilise and weed constantly [...] make sure techies have, or can learn, soft skills

> Second people have to want to do the task [...] Senior managers have to deal with uncertainty and ambiguity, capricious colleagues and demanding shareholders. They have to understand (and sometimes care about) others.

> Third, leadership is a contact sport. Natural introverts have to become social extroverts. It is all about having the soft skills of psychological insight, likeability and trusworthiness.

These sentiments sum up the tenets of this thesis; leadership is more than professional standards, more than strategy. And the development of delegates' competencies across the gamut of leadership aspects covered by the East Riding Competency Framework and the development model which has emanated from it will lead to creating leaders who can manage, but who also can inspire and motivate their colleagues to achieve the successes that their pupils deserve. At the time of completion of this thesis, 31 headteachers in East Riding schools had experienced the LDC programme either before their appointment or since taking up post. This number is set to rise as participation in the programme continues.

Appendices

Appendix 1: Written request to two individuals to take part in pilot interviews

Dear [Colleague 1] and [Colleague 2],

I hope you both have had a good Easter break, and that your new roles are both settling down well.

I am sorry to contact you cold, but you may be aware that I have been conducting research into the impact of the Leadership Programme, and I am now reaching the final stages. The study will focus on the members of the first 8 cohorts, who have had time to progress in their career, and make use of the outcomes of the LDC in particular. You represent two people who have gone through the complete process and I wonder if you would be prepared to make an hour or so of your time available to me to carry out an interview with you to discuss the role the LDC may have played in your career progression in the last two years.

The purpose of these two interviews will be to give me some clear guidance as to how I can formulate future interviews (I plan to carry out around 12). I will not in any way name you or your schools, and I will return my notes from the interview to you for you to approve. With your permission, I will record the interview to compensate for my ageing memory, and to ensure that I do not miss anything vital. In the final thesis, this will be my "pilot" phase, as academic scrutiny does not allow me to select the people I interview, but I would not want to lose the opportunity to capture your experiences.

I will be very happy to come out to your schools, at a time to suit you, and the whole thing will be very informal. I have a very relaxed time-frame for this, but if we could manage it this term sometime, it would be helpful.

If you are willing to do this, I would be very grateful if you could let me know.

Appendix 2: Ethics documentation:

A PROFORMA FOR

STAFF AND STUDENTS BEGINNING A RESEARCH PROJECT

I n s t i t u t e f o r L e a r n i n g

Research Proposer(s): ……David Arthur Stork.........................

Programme of Study………M.Phil/Ph.D……………………………………………………….

Research (Working Dissertation/Thesis) Title: A Competency-based approach to School Leadership Development in the East Riding of Yorkshire

Research (brief): ……The Local Authority has introduced a Leadership Development Programme which is based on the competencies identified in the East Riding Council's Competency Framework. The purpose of this research is to explore the genesis of leadership and management competencies and to establish the link between this Framework and School leadership. The research will both seek to validate the use of the Framework in this way, and to establish links between the competencies and the relative effectiveness of schools. Existing research already shows the significance of the quality of leadership in improving the performance of a school; the extent to which this is the result of the competencies demonstrated by individual leaders will be investigated in the course of this research.
……………………………………………………………………………………

Proforma Completion Date: ……3rd October 2008……………………………………………………….....

This proforma should be read in conjunction with the IfL research principles, and the IfL flow chart of ethical considerations. It should be completed by the, researchers. If it raises problems, it should be sent on completion, together with a brief (maximum one page) summary of the problems in the research, or in the module preparation, for approval to the Chair of the IfL Ethics Committee prior to the beginning of any research.

Part A

1.   Does your research/teaching involve animal experimentation?   No.

   If the answer is 'YES' then the research/teaching proposal should be sent direct to the University Ethics Committee to be assessed.

2.   Does your research involve human participants?   Yes

   If the answer is 'NO', there is no need to proceed further with this proforma, and research may proceed now. If the answer is 'YES' please answer all further relevant questions in part B.

Part B

3.   Is the research population under 18 years of age?   NO
   If yes, have you taken the following or similar measures to deal with this issue?
      (i) Informed the participants of the research?   N/A
      (ii) Ensured their understanding?   N/A
      (iii) Gained the non-coerced consent of their parents/guardians?   N/A

4.   Will you obtain written informed consent from the participants?   YES
      If yes, please include a copy of the information letter requesting consent
      If no, what measures will you take to deal with obtaining consent?

All individuals in the overarching sample population will receive a letter informing them of the on-going research, and how data relating to them will be used. A randomly selected sample of this population will be interviewed, using semi-structured interview techniques. These interviews will be recorded with the express consent of the participant.

5.   Has there been any withholding of disclosure of information regarding the research/teaching to the participants?   NO
      If yes, please describe the measures you have taken to deal with this.

6.   Issues for participants. P*lease answer the following and state how you will manage perceived risks:*

      a)   Do any aspects of the study pose a possible risk to participants' physical well-being (e.g. use of substances such as alcohol or extreme situations such as sleep deprivation)?   NO

      b)   Are there any aspects of the study that participants might find humiliating, embarrassing, ego-threatening, in conflict with their values, or be otherwise emotionally upsetting?*   NO

      c)   Are there any aspects of the study that might threaten participants' privacy (e.g. questions of a very personal nature; observation of individuals in situations which are not obviously 'public')?*   NO

      d)   Does the study require access to confidential sources of information (e.g. medical records)?   NO

      e   Could the intended participants for the study be expected to be more than usually emotionally vulnerable (e.g. medical patients, bereaved individuals)?   NO

      f   Will the study take place in a setting other than the University campus or residential buildings?   YES –
      (in the interviewee's school)

      g   Will the intended participants of the study be individuals who are not members of the University community?   YES
      They are all members of staff in East Riding or Hull Schools

      *Note: if the intended participants are of a different social, racial, cultural, age or sex group to the researcher(s) and there is **any** doubt about the possible impact of the planned procedures, then opinion should be sought from members of the relevant group.

7.   Might conducting the study expose the researcher to any risks (e.g. collecting data in potentially dangerous environments)?   NO

8.   Is the research being conducted on a group culturally different from the researcher/student/supervisors?   NO
      If yes, are sensitivities and problems likely to arise?   N/A
      If yes, please *describe how you have addressed/will address them.*

9.   Does the research/teaching conflict with any of the IfL's research principles?
         (please see attached list).   NO
         If yes, describe what action you have taken to address this?

10.   If the research/teaching requires the consent of any organisation,
         have you obtained it?   YES
         East Riding of Yorkshire Council has given permission for the researcher to use internal
         documents and reports which have not been made public where these shed light on the
         issues of the research.
         If no, describe what action you have taken to overcome this problem.

11.   Have you needed to discuss the likelihood of ethical problems with this
         research with an informed colleague?   NO
         *If yes, please name the colleague, and provide the date and results of the
         discussion.*

 If you've now completed the proforma, before sending it in, just check:

     a. Have I included a plain language statement?   ❏

     b. If I needed any organisational consent for this research, have I   ❏

          included evidence of this with the proforma?

     c. If I needed consent from the participants, have I included evidence   ❏
          for the different kinds that were required?

Lack of proof of consent attached to proformas has been the major reason why proformas have
been returned to their authors.

This form must be signed by your supervisor and the IfL Ethics Committee representative for
your area. Once signed, copies of this form, and your proposal must be sent to Mrs Jackie
Lison, Centre for Educational Studies (see flow chart), including where possible examples of
letters describing the purposes and implications of the research, and any Consent Forms (see
appendices).

Name of Student/Researcher ………David A Stork……………..

Signature ……… ……….……… Date ……1st June 2010...............

Name of Supervisor/Colleague ……………………………………………………………………….

Signature ……………………………………… Date ……………………………................

Name of Ethics Committee member ……………………………………………………………………….

Signature ……………………………………… Date

UNIVERSITY OF Hull

Centre for Educational
Studies
T 01482 465988
E : l:son@hull.ac.uk

ETHICAL PROCEDURES FOR RESEARCH AND TEACHING
IN THE
INSTITUTE FOR LEARNING

PERMISSION TO PROCEED WITH RESEARCH: ETHICAL APPROVAL

Reference Number:	09/169
Name:	David Stork
Programme of Study:	MPhil/PhD
Research Area/Title:	A competency-based approach to School Leadership Development in the East Riding of Yorkshire
Image Permission Form	N/A
Name of Supervisor:	Trevor Male
Date Approved by Supervisor:	16 June 2010
Date Approved by Ethics Committee:	18 June 2010

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Ethics letter to all in sample population

County Hall

Beverley

HU17 9BA

October 4th 2010

To all Participants in cohorts 1-8 of the ER Leadership development Centres

Dear Colleague,

As you were made aware on the occasion of your participation in the East Riding Schools' Leadership Development Centre, I have been carrying out formal research on the impact and value of the programme, which will ultimately lead to a thesis in the University of Hull. As part of this I have kept anonymous records of the identified strengths and areas for development of all participants, as well as any career changes you may have made following your participation, where I am aware of it.

This research is now reaching its final stages, and, following consultation with the University of Hull, it has been decided to focus on cohorts 1-8. This is for two reasons:

1. For impact to be measured, the study has to have a longitudinal aspect; cohorts who have been through the Centre more recently have not necessarily had time to make use of the experience of the Centre in their professional life
2. Evidence from subsequent cohorts, in terms of demographics and outcomes shows a pattern which reflects those issues for the first eight cohorts. In other words, subsequent cohorts corroborate the evidence from cohorts 1-8, they do not add to it.

I am therefore now writing to you as a member of cohorts 1-8 to seek your consent in including you in the sample population to be studied. In the course of the research, anonymous statistical data will be used to show trends and outcomes; impact evaluation statements will also be referred to, but at no stage will any individual be identified.

I also intend to carry out interviews with a minimum of twelve participants. These interviews will, with the consent of the interviewee, be recorded, transcribed and returned to the interviewee to check before being used in the research. I cannot at this stage identify those to be interviewed, as these will be randomly selected in due course, but I would be grateful if you would, on receipt of this letter:

1. Contact me to tell me if you DO NOT wish to be included in the sample population
2. Contact me to let me know if you are NOT WILLING to be interviewed.

If I do not hear from you, I will assume that you are willing to be included, and that I may interview you if you are selected. These interviews will be spread through the spring and summer of 2011.
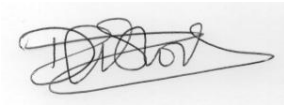
I would also like to hear from you if your position has changed since your participation in the Centre. As well as offering a means of knowing how participants have developed since the Centres, this will be important in contributing to the selection of interviewees.

To assist in your response, should you wish to do so, I am including a proforma, which I would be happy to get back from you. This includes a formal consent section, and can be sent electronically.

I hope you will be able to support this research which has potential significance for the future of leadership development in the East Riding, and I look forward to continuing to work with you.

Yours sincerely,

David Stork, Workforce Reform Strategy Manager.

An exploration of competency-based leadership development and its application in education

Name   **East Riding Leadership Development Programme**   **Participant Feedback Proforma**

I hereby consent to the information included in this proforma to be included in any subsequent thesis. I understand that I will not be identified by name, and that I may choose to withdraw this permission at any date prior to the completion of the research.

I agree/do not agree to being interviewed if randomly selected.

Signed: _____ Date: _____

Current career position / changes since participation in the LDP / future intentions

Please reflect on your identified Strengths and Areas for Development in completing the table below: (boxes will expand if filled in electronically)

Strengths	Action taken • What different things have you done? • What have you done differently?	Impact of the Action	Effectiveness (0-10)
1			
2			
3			
4			
Other comments including any follow-up support requested			

An exploration of competency-based leadership development and its application in education

Areas for Development	Action taken • What different things have you done? • What have you done differently?	Impact of the Action	Effectiveness (0-10)
1			
2			
3			
4			
Other comments including any follow-up support requested			

Annex 1: Comparison between the National Standards for Headship and the East Riding Competency Framework

Annex 1: Comparison between the National Standards for Headship and the East Riding Competency Framework

Colour coding: Core competencies Management competencies Leadership competencies

National Standard: 1. Shaping the Future

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
1.1 Ensures the vision for the school is clearly articulated, shared, understood and acted upon effectively by all	9 Managing change	9.3 Seeks to reduce barriers to change	• Communicates in appropriate ways • Communicates in various ways • Is flexible where possible on points of great value to others • Look for continuous improvement • Identifies opportunities in local, regional and sub regional activity
	10 Motivating others to excel	10.1 Gives clear direction	• Is clear about the way forward; • Shares direction with others
	12 Focus on the future	12.1 Has a vision for the future and inspires others	• Provides others with a clear sense of direction • Shares the vision with all relevant stakeholders
1.2 Works within the school community to translate the vision into agreed objectives and operational plans which will promote and sustain school improvement	12 Focus on the future	12.4 Produces service plans which deliver shared priorities	• Is aware of opportunities to deliver shared priorities
1.3 Demonstrates the vision and values in everyday work and practice	5 Personal effectiveness	5.1 Self-knowledge	• Is aware of the impact of self on others

National Standards	East Riding Competency Framework		
	4 Team working	4.1 Builds relationships	• Takes time to get to know people • Treats others with respect • Says thank you • Can be trusted • Actively seeks support from others • Is a team player
		4.3 Behaves ethically	• Is fair • Shows integrity when dealing with others • Identified and works towards resolution of ethical dilemmas • Displays sensitivity and tolerance to individual and cultural differences, diverse opinions and contributions
	14 Community Leadership	14.3 Has presence	• Is seen as a focal point • Inspires loyalty
		14.5 Promotes a positive image	• presents a consistent and positive message • encourages others to embrace the school's vision and shared priorities • balances the school's goals and aspirations with those of the community and partners
1.4 Motivates and works with others to create a shared culture and positive climate	12 Focus on the future	12.1 Has a vision for the future and inspires others	• shares how the future could be and paints a compelling picture for change
		12.2 Forecasts opportunities for change	• aware of issues at local, regional and national stage to develop strategic opportunities
	10 Motivating others to excel	10.1 Gives clear direction	• Is clear about the way forward; • Shares direction with others

National Standards	East Riding Competency Framework		
		10.2 Enthuses others	• Generates excitement for a course of action • Is passionate about success • Seizes opportunity and takes the initiative to move things along in a positive way • Sells ideas positively to others
		10.3 Makes work fun	• Celebrates successes • Uses humour constructively
1.5 Ensures creativity, innovation and the use of appropriate new technologies to achieve excellence	6 Professional and Technical Development	6.1 Relevant experiences and qualifications to do the job	• Able to use ICT to maximum effect
		6.2 Specialist knowledge	• Is aware of good practice and innovations in own area • Applies good practice effectively
	11 Drives Efficiencies and Effectiveness	11.6 Ensures ICT is used to deliver better services	• Actively strives to identify areas where ICT could improve service delivery • Keeps abreast of new technology to deliver services • Ensures users are adequately trained • Understands and makes maximum use of capability of ICT
1.6 Ensures that strategic planning takes account	1 Stakeholder focus	1.5 Takes action to improve	• Asks stakeholders about services provided • Asks for stakeholder feedback about how they have been dealt with
	3 Problem solving	3.2 Gathers information	• Pulls together information from a variety of sources including customer feedback • Uses information generated by information systems

National Standards	East Riding Competency Framework		
of the diversity, values and experience of the school and community at large	14 Community Leadership	14.1 Understands local communities	• Understands the different political sensitivities between different communities • Understands need ands preferences of communities around place, service requirements, demography and interest • Uses information to understand
	12 Focus on the future	12.3 Uses customer feedback to inform actions	• Uses information gathered from users and staff in shaping services • Has systems in place to capture stakeholder feedback Anticipates, analyses and understands the long-term needs of different stakeholder groups

2 Leading Learning & Teaching

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
2.1 Ensures a consistent and continuous school-wide focus on pupils' achievement, using data and benchmarks to monitor progress in every child's learning	8 Operational planning and project management	8.1 Builds up information with which results can be measured	• Has information systems in place to measure performance • Makes sure information is robust • Uses KPIs (Benchmarks) as measures
2.2 Ensures that learning is at the centre of strategic planning and resource management	• See action 4.2 for planning-based competencies and the link to standards of learning		
2.3 Establishes creative, responsive and effective approaches to learning and teaching	3 Problem solving	3.4 Generates creative options	• Comes up with innovative ideas • Uses problem solving techniques • Generates a number of creative options
	6 Professional and Technical Development	6.1 Relevant experiences and qualifications to do the job	• Able to use ICT to maximum effect
		6.2 Specialist knowledge	• Is aware of good practice and innovations in own area • Applies good practice effectively

National Standards	East Riding Competency Framework		
2.4 Ensures a culture and ethos of challenge and support where all pupils can achieve success and become engaged in their own learning	7 Maximising potential and managing performance	7.4 Takes appropriate action if required	• monitors progress against individual targets takes an interest in why performance standards are not being met • surfaces conflict • acknowledgers feelings and views • redirects energy to shared ground • agrees plans for improvement • addresses problems does not personalise failure.
2.5 Demonstrates and articulates high expectations and sets stretching targets for the whole school community		7.2 Sets performance objectives	• sets competency based goals • sets SMART objectives • ensures clear line of sight between individual and school objectives
2.6 Implements strategies which secure high standards of behaviour and attendance		7.1 Has a coaching style	• Builds up confidence of others • Looks to reinforce learning and knowledge of others • Makes learning explicit at every opportunity • Talks to pupils to understand their aspirations and help them achieve their goals • Ensures feedback to pupils is prompt, meaningful and needs are correctly identified.
2.7 Determines, organises and implements a diverse, flexible curriculum and implements an effective assessment framework	6 Professional and technical development	6.2 Specialist knowledge	• Is aware of current issues in own area of expertise • Responds to change in own areas of

National Standards	East Riding Competency Framework		
			expertise caused by internal or external factors
2.8 Takes a strategic role in the development of new and emerging technologies to enhance and extend the learning experience of pupils	6 Professional and Technical Development	6.1 Relevant experiences and qualifications to do the job	• Able to use ICT to maximum effect
		6.2 Specialist knowledge	• Is aware of good practice and innovations in own area • Applies good practice effectively
	11 Drives Efficiencies and Effectiveness	11.6 Ensures ICT is used to deliver better services	• Actively strives to identify areas where ICT could improve service delivery • Keeps abreast of new technology to deliver services • Ensures users are adequately trained • Understands and makes maximum use of capability of ICT
	3 Problem solving	3.2 Gathers information	• Uses information generated by information systems

National Standards	East Riding Competency Framework		
2.9 Monitors, evaluates and reviews classroom practice and promotes improvement strategies	7 Maximising potential and managing performance	7.1 Has a coaching style	• Builds up confidence of others • Looks to reinforce learning and knowledge of others • Makes learning explicit at every opportunity • Talks to staff to understand their aspirations and help them achieve their goals • Ensures Performance Management is prompt, meaningful and training needs are correctly identified.
2.10 Challenges underperformance at all levels and ensures effective corrective action and follow-up		7.2 Sets performance objectives	• sets competency based goals • sets SMART objectives • ensures clear line of sight between individual and school objectives
		7.4 Takes appropriate action if required	• monitors progress against individual targets • takes an interest in why performance standards are not being met • surfaces conflict • acknowledges feelings and views • agrees plans for improvement • addresses problems, does not personalize failure

3 Developing Self and Working with Others

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
3.1 Treats people fairly, equitably and with dignity and respect to create and maintain a positive school culture	1 Stakeholder focus	1.1 Treats stakeholders with respect	• is friendly • treats stakeholders as individuals • listens • returns communications promptly
		1.2 Gives the stakeholder confidence in what is done or said	• is clear, thorough and accurate • knows what they are talking about • has the answers or knows where to get them • agrees how they can help • checks the stakeholder understands what has been said.
		1.3 Inspires stakeholders' trust	• is open and straightforward • explains when things have gone wrong • explains fully
	4 Team working	4.3 Behaves ethically	• Is fair • Shows integrity when dealing with others • Identifies and works towards resolution of ethical dilemmas • Displays sensitivity and tolerance to individual and cultural differences, diverse opinions and contributions

National Standards	East Riding Competency Framework		
3.2 Builds a collaborative learning culture within the school and actively engages with other schools to build effective learning communities	4 Team working	4.2 Works collaboratively	• Works co-operatively with relevant others to develop and improve services • Ensures others are aware of what is critical to self/team/department • Seeks to understand what is critical to others • Actively consults and encourages participation • Looks for win-win solutions • Builds on the ideas of others
	13 Maximising partnerships	13.1 Identifies opportunities to work in partnership	• Commissions rather than delivers services, bringing in people to deliver services as appropriate • Convenes services – bringing people together to decide which is the best way of delivering services • Integrates services • Seeks opportunities to maximise pooled/aligned funding

National Standards	East Riding Competency Framework		
		13.3 Works in partnership to deliver shared priorities	• Delivers services in a way that reflects stakeholder needs rather organisational boundaries • Breaks down barriers between partners e.g. buildings, technology and culture • Can bring partners and projects together at the right time in the right way • Develops collective plans/outcomes that are meaningful for stakeholders • Fosters joint learning, training and problem –solving • Works flexibly within agreed arrangements • Reports performance variations as an attempt to learn and develop services.
3.3 Develops and maintains effective strategies and procedures for staff induction, professional development and performance review	4 Team working	4.4 Supports others	• Gives practical support and assistance to others • Shows genuine concern for others • Responds to the needs of others and delivers what is possible

National Standards	East Riding Competency Framework		
	7 Maximising potential and managing performance	7.1 Has a coaching style	• Builds up confidence of others in the team • Looks to reinforce learning and knowledge of others • Makes learning explicit at every opportunity • Talks to staff to understand their aspirations and help them to achieve their goals • Ensures performance management/EDRs are prompt, meaningful, and training needs are correctly identified
		7.2 sets performance objectives	• Sets competency-based goals (related to professional standards) • Sets SMART objectives • Ensures clear line of sight between individual and school objectives.
		7.3 gives feedback on performance	• Regularly provides informal and formal feedback • Gives corrective feedback, giving examples and builds relationships by doing so • Gives positive feedback saying exactly what was good

National Standards	East Riding Competency Framework		
3.4 Ensures effective planning, allocation, support and evaluation of work undertaken by teams and individuals, ensuring clear delegation of tasks and devolution of responsibilities	7 Maximising potential and managing performance	7.5 Delegates interesting and stretching work	• understands how delegation can develop potential • gives appropriate levels of support and assistance • understands strengths and weaknesses of staff • allows space and freedoms for others to do things their way
	10 Motivating others to excel	10.5 Empowers others	• builds in autonomy to work of others • encourages an action orientated approach • ensures others are clear about the scope of their remit • looks to expand the decision-making remit of others
3.5 Acknowledges the responsibilities and celebrates the achievements of individuals and teams	10 Motivating others to excel	10.3 Makes work fun	• celebrates successes
		10.4 Understands individual/organizational differences	• motivates on the basis of the needs and motives of others • talks to individuals to understand their motivations • understands differences in working cultures across services and organisations

National Standards	East Riding Competency Framework		
3.6 Develops and maintains a culture of high expectations for self and for others and takes appropriate action when performance is unsatisfactory	5 Personal effectiveness	5.1 Self-knowledge	• is aware of personal preference • is aware of own motivations on job performance • reflects on and enhances own performance • is aware of impact of self on others • is aware of own personal strengths and development needs • learns from experiences
	7 Maximising potential and managing performance	7.4 Takes appropriate action if required	• monitors progress against individual targets takes an interest in why performance standards are not being met • surfaces conflict • acknowledgers feelings and views redirects energy to shared ground • agrees plans for improvement • addresses problems does not personalise failure.
3.7 Regularly reviews own practice, sets personal targets and takes responsibility for own personal development	6 Professional and Technical Development	6.3 Owns own development (see also self-knowledge)	• considers own career development options • discusses options (with line manager) • ensures appropriate training and development identified in Performance Management • keeps a record of own development

National Standards	East Riding Competency Framework		
3.8 Manages own workload and that of others to allow an appropriate work/life balance	5 Personal effectiveness	5.2 Self management	• takes action to modify own behaviour • manages own stress levels • remains objective and stable • accepts constructive criticism • is open to change
		5.3 Is organised	• manages own time effectively • uses resources efficiently • prioritises workload effectively and productively • is able to respond to new demands and circumstances • meets agreed targets
	10 Motivating others to excel	10.4 Understands individual/organizational differences	• motivates on the basis of the needs and motives of others • talks to others to understand their motivations

4 Managing the Organisation

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
4.1 Creates an organizational structure which reflects the school's values, and enables the management systems, structures and processes to work effectively in line with legal requirements	6 Professional and Technical Development	6.4 Organisational awareness	• Is aware of School vision • Knows services offered by the school • Is aware of the functions of the school, and how own role fits • Understands political make-up of school • Understands and follows school policies (i.e. recognises legislative, political or equality issues) • Is aware of how the school is funded, and own role in using resources wisely.
	13 Maximises partnerships	13.4 Ensures reputation of the organisation	• Takes time to get advice to understand then reduce financial legal and stakeholder perception risks (of partnerships) • Plans exit strategies properly

National Standards	East Riding Competency Framework		
4.2 Produces and implements clear, evidence-based improvement plans and policies for the development of the school and its facilities	3 Problem solving	3.1 Identifies problems and understands key issues	• Recognises when a situation needs addressing • Proactively seeks to identify problems • Is able to identify underlying core issues • Recognises trends • Recognises the wider implications of a problem
		3.2 Gathers information	• Pulls together information from a variety of sources including stakeholder feedback • Uses information generated by information systems
		3.4 Generates creative options	• Comes up with innovative ideas • Uses problem-solving techniques • Generates a number of creative options
		3.5 Reaches decisions	• Analyses risks involved with different courses of action based on factual information • Focuses on the most appropriate solution to meet current and future objectives • Is willing to make a final decision
	8 Operational planning and project management	8.1 Builds up information with which results can be measured	• Has information systems in place to measure performance • Makes sure information is robust • Uses KPIs (Benchmarks) as measures

National Standards	East Riding Competency Framework		
		8.2 Agrees time-scales, and targets and priorities	• Jointly sets realistic targets, including time-scales • Builds in performance and quality indicators • Prioritises effectively • Builds in contingencies to deal with the unexpected
		8.3 Monitors progress	• Has systems in place to monitor progress • Ensures monitoring and reviewing processes are thorough and systematic • Monitors and reviews progress with those involved
		8.6 Delivers results	• Consistently delivers tasks to time, cost ands professional standards • Focuses on outcomes • Evaluates and shares lessons learnt.

National Standards	East Riding Competency Framework		
4.3 Ensures that, within an autonomous culture, policies and practices take account of national and local circumstances, policies and initiatives	6 Professional and Technical Development	6.4 Organisational awareness	• Is aware of School vision • Knows services offered by the school • Is aware of the functions of the school, and how own role fits • Understands political make-up of school • Understands and follows school policies (i.e. recognises legislative, political or equality issues) • Is aware of how the school is funded, and own role in using resources wisely.
4.4 Manages the school's financial and human resources effectively and efficiently to achieve the school's educational goals and priorities	8 Operational planning and project management	8.4 Allocates resources effectively	• ensures adequate resources are obtained to ensure delivery of long and short-term objectives • thinks of creative ways of obtaining/using resources • secures external funding • monitors and evaluates resource allocation • makes efficient use of office accommodation, equipment and consumption of materials

National Standards	East Riding Competency Framework		
		8.5 Manages budgets effectively	• formulates comprehensive budgets for the school/project • ensures that self and/or staff work within budget parameters • ensures on-going performance against budget is monitored • takes or recommends corrective action
	11 Drives efficiencies and effectiveness	11.3 Finds ways to move *Gershon* savings to front-line services	• finds savings to meet new/changing stakeholder demands • applies best value approach of consult, compare, challenge and compete
4.5 Recruits, retains and deploys staff appropriately and manages their workload to achieve the vision and goals of the school	11 Drives efficiencies and effectiveness	11.4 Reviews staffing type/number to seek to reduce costs	• takes every opportunity to review vacancies and design of jobs • has highly graded/professional staff only where appropriate • knows what type/level of staff are needed to deliver at lower cost • is flexible with working patterns
	10 Motivating others to excel	10.4 Understands individual/organizational differences	• motivates on the basis of the needs and motives of others • talks to others to understand their motivations
4.6 Implements successful performance management processes with all staff	7 Maximising potential and managing performance	7.2 sets performance objectives	• Sets competency-based goals (related to professional standards) • Sets SMART objectives • Ensures clear line of sight between individual and school objectives.

National Standards	East Riding Competency Framework		
4.7 Manages and organises the school environment efficiently and effectively to ensure that it meets the needs of the curriculum and health and safety regulations	11 Drives efficiencies and effectiveness	11.2 Seeks to simplify/modernise work processes	• Identifies the current processes by involving others in reviewing detail • Removes duplication • Seeks to automate efficient processes • Ensures adequate risk assessment is undertaken
		11.5 Finds sustainable solutions	• Ensures that solutions are environmentally neutral • Minimizes impact on environment • Ensures that solutions can be maintained
	14 Community leadership	14.6 Addresses organisational barriers to social inclusion	• Is constantly mindful of equality and diversity issues in providing services and seeks to avoid unwitting discrimination • Works to achieve equality by questioning how organisational procedures and practices exclude people.

National Standards	East Riding Competency Framework		
4.8 Ensures that the range, quality and use of all available resources is monitored, evaluated and reviewed to improve the quality of education for all pupils and provide value for money	8 Operational planning and project management	8.4 Allocates resources effectively	• ensures adequate resources are obtained to ensure delivery of long and short-term objectives • thinks of creative ways of obtaining/using resources • secures external funding • monitors and evaluates resource allocation • makes efficient use of office accommodation, equipment and consumption of materials
	11 Drives efficiencies and effectiveness	11.3 Finds ways to move *Gershon* savings to front-line services	• finds savings to meet new/changing stakeholder demands • applies best value approach of consult, compare, challenge and compete
4.9 Uses and integrates a range of technologies effectively and efficiently to manage the school	11 Drives Efficiencies and Effectiveness	11.6 Ensures ICT is used to deliver better services	• Actively strives to identify areas where ICT could improve service delivery • Keeps abreast of new technology to deliver services • Ensures users are adequately trained • Understands and makes maximum use of capability of ICT

5. Securing Accountability

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
5.1 Fulfils commitments arising from contractual accountability to the governing body	6 Professional and Technical development	6.4 organisational awareness	• Is aware of School vision • Knows services offered by the school • Is aware of the functions of the school, and how own role fits • Understands political make-up of school • Understands and follows school policies (i.e. recognises legislative, political or equality issues) • Is aware of how the school is funded, and own role in using resources wisely.
5.2 Develops a school ethos which enables everyone to work collaboratively, share knowledge and understanding, celebrate success and accept responsibility for outcomes	4 Team working	4.2 works collaboratively	• Works co-operatively with relevant others to develop and improve services • Ensures others are aware of what is critical to self/team/department • Seeks to understand what is critical to others • Actively consults and encourages participation • Looks for win-win solutions • Builds on the ideas of others

National Standards	East Riding Competency Framework		
	10 motivating others to excel	10.5 empowers others	• builds in autonomy to work of others • encourages an action orientated approach • ensures others are clear about the scope of their remit • looks to expand the decision-making remit of others
5.3 Ensures individual staff accountabilities are clearly defined, understood and agreed and are subject to rigorous review and evaluation	10 motivating others to excel	10.5 empowers others	• builds in autonomy to work of others • encourages an action orientated approach • ensures others are clear about the scope of their remit • looks to expand the decision-making remit of others
	7.Maximising potential and managing performance	7.2 Sets performance objectives	• sets competency based goals • sets SMART objectives • ensures clear line of sight between individual and school objectives
5.4 Works with the governing body (providing information, objective advice and support)to enable it to meet its responsibilities	1 Stakeholder focus	1.2 Gives the stakeholder confidence in what is done / said	• is clear, thorough and accurate • knows what they are talking about • has the answers or knows where to get them • agrees how they can help • checks the stakeholder understands what has been said.
		1.3 Inspires stakeholders' trust	• is open and straightforward • explains when things have gone wrong • explains fully

National Standards	East Riding Competency Framework		
		1.4 Is committed to helping stakeholders	• makes a special effort to help • suggests alternative solutions • keeps stakeholders informed • sees things through • does what they promise
5.5 Develops and presents a coherent, understandable and accurate account of the school's performance to a range of audiences including governors, parents and carers	2 Communication	2.3 shares information	• speaks up at meetings • shares information early • regularly communicates with others, inside and outside the organisation
		2.4 delivers information clearly	• is consistent (using verbal and non-verbal communication) • presents difficult ideas and information/problems in a way that promotes understanding • uses plain English
5.6 Reflects on personal contribution to school achievements and takes account of feedback from others	5 Personal effectiveness	5.1 self knowledge	• is aware of personal preference • is aware of own motivations on job performance • reflects on and enhances own performance • is aware of impact of self on others • is aware of own personal strengths and development needs • learns from experiences

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National Standards	East Riding Competency Framework	
	5.2 self-management	• takes action to modify own behaviour • manages own stress levels • remains objective and stable • accepts constructive criticism • is open to change

6 Strengthening Community

National Standards	East Riding Competency Framework		
Actions	Competencies	Specific aspect	Behaviours
6.1 Builds a school culture and Curriculum which takes account of the richness and diversity of the school's communities	14 Community leadership	14.1 understands local communities	• Understands the different political sensitivities between different communities • Understands needs and preferences of communities around place, service requirements, demography and interest • Uses information to understand
6.2 Creates and promotes positive strategies for challenging racial and other prejudice and dealing with racial harassment	14 community leadership	14.2 Works with the community	• Breaks down barriers between communities • Is honest and does not shy away from delivering tough messages to the community • Finds new ways to represent others • Knows how and when to negotiate with stakeholders to the advantage of the community
		14.6 addresses organisational barriers to social inclusion	• Is constantly mindful of equality and diversity issues in providing services and seeks to avoid unwitting discrimination • Works to achieve equality by questioning how organisational procedures and practices exclude people

National Standards	East Riding Competency Framework		
6.3 Ensures learning experiences for pupils are linked into and integrated with the wider community 6.4 Ensures a range of community-based learning experiences 6.5 Collaborates with other agencies in providing for the academic, spiritual, moral, social, emotional and cultural well-being of pupils and their families	14 community leadership	14.4 builds and uses networks	• Proactively makes effective use of informal and formal networks to support collaboration with others • Fosters powerful and productive working relationships • Shares and seeks information on issues that may benefit others
	13 Maximising partnerships	13.1 Identifies opportunities to work in partnership	• Commissions rather than delivers (some)services, bringing in people to deliver services as appropriate • Convenes services – bringing people together to decide which is the best way of delivering services • Integrates services • Seeks opportunities to maximise pooled/aligned funding
		13.2 Weighs up possible benefits of delivery by partnership	• Finds best strategic partners to deliver shared priorities • Ensures effective management, governance arrangements • Is clear about the benefits and limits of joining up service provision.
6.6 Creates and maintains an effective partnership with parents and carers to support and improve pupils' achievement and personal development	1 Stakeholder focus	1.1 treats stakeholders with respect	• Is friendly • Treats stakeholders as individuals • Listens to stakeholders • Returns letters/phone calls/e-mails promptly

National Standards		East Riding Competency Framework	
		1.3 inspires stakeholders' trust	• is open and straightforward • explains when things have gone wrong • explains fully
		1.4 is committed to helping stakeholders	• makes a special effort to help • suggests alternative solutions • keeps stakeholders informed • sees things through • does what they promise
		1.5 takes action to improve	• asks stakeholders about services provided • asks for customer feedback on how they have been dealt with • tells someone who can act on it to make continuous improvements to services
6.7 Seeks opportunities to invite parents and carers, community figures, businesses or other organisations into the school to enhance and enrich the school and its value to the wider community	14 community leadership	14.2 works with the community	• Breaks down barriers between communities • Is honest and does not shy away from delivering tough messages to the community • Finds new ways to represent others • Knows how and when to negotiate with stakeholders to the advantage of the community

| National Standards	East Riding Competency Framework		
6.8 Contributes to the development of the education system by, for example, sharing effective practice, working in partnership with other schools and promoting innovative initiatives	13 Maximising partnerships	13.3 works in partnership to deliver shared priorities	• Delivers services in a way that reflects stakeholder needs rather than organisational boundaries • Breaks down barriers between partners, e.g. buildings, technology, culture • Can bring partners and projects together at the right time and in the right way • Develops collective plans /outcomes that are meaningful for stakeholders • Fosters joint learning, training and problem-solving • Works flexibly within agreed goals • Rep[orts performance variations as an attempt to learn and develop services.
6.9 Co-operates and works with relevant agencies to protect children	13 Maximising partnerships	13.1 Identifies opportunities to work in partnership	• Commissions rather than delivers (some)services, bringing in people to deliver services as appropriate • Convenes services – bringing people together to decide which is the best way of delivering services • Integrates services • Seeks opportunities to maximise pooled/aligned funding

Annex 2: The East Riding Competency Framework

COMPETENCY
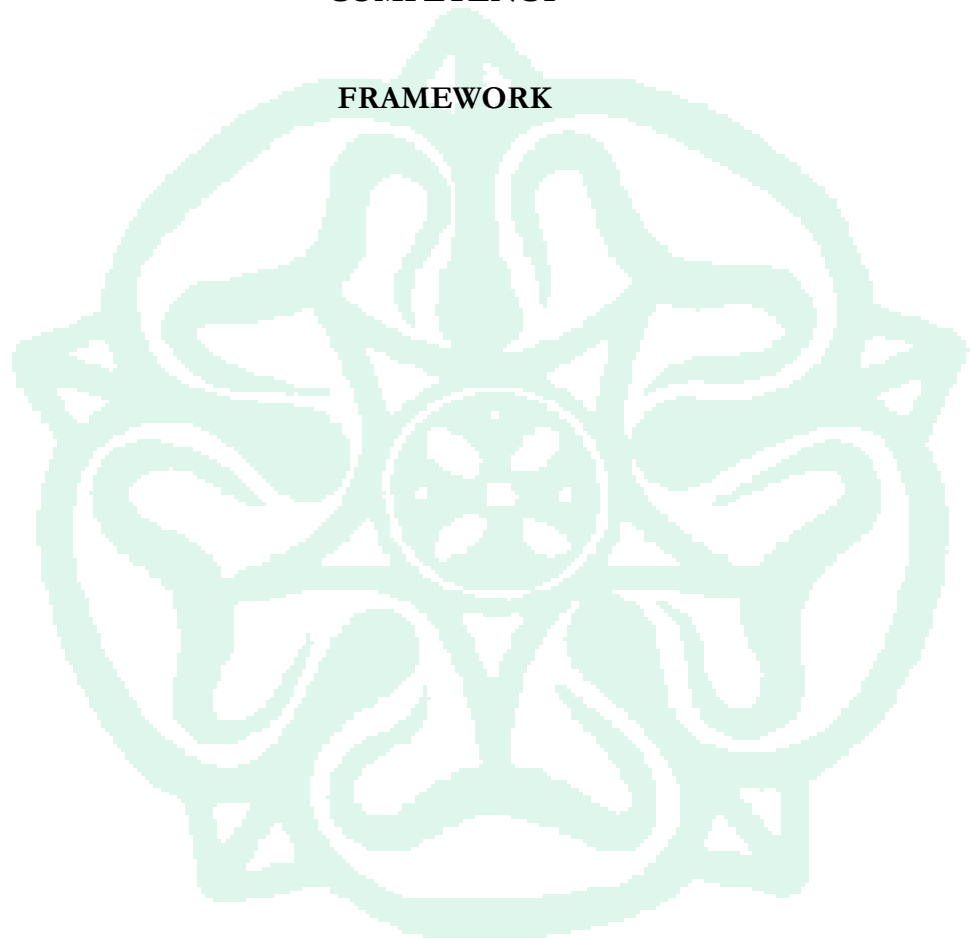
FRAMEWORK

ERYC COMPETENCY FRAMEWORK

The Council's Managers' Competencies were developed and introduced in 2003 as part of the Organisational Development sub programme of Striding Ahead.

A new framework has now been developed **for all employees**, which has 3 incremental levels to assist succession planning and will be used in recruitment and selection, the employee development review process and training and development.

In writing these competencies we have undertaken comprehensive research both internally and externally. The framework has been aligned with our new Striding Ahead agenda, the Transforming Local Government agenda and reflects customer priorities defined by the "In the Customers' Shoes" initiative.

Dave Smith

The competencies are:

	Level 1	Level 2	Level 3
Leadership			•Community Leadership •Driving Efficiencies •Focus on Future •Maximising Partnerships
Management		•Managing Change •Maximising Potential •Motivating Others •Operational Planning	•Managing Change •Maximising Potential •Motivating Others •Operational Planning
Core	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development	•Communication •Customer Focus •Personal Effectiveness •Problem Solving •Team Working •Professional and Technical Development

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CORE COMPETENCIES

The following 6 core competencies are all applicable to all employees:

Customer Focus – Delivering high levels of customer satisfaction and using customer views for continuous improvement

Communication – Using interpersonal skills to relate confidently with others to understand and be understood

Problem Solving – Identifying when a problem needs addressing, thinking clearly and identifying clear, workable and creative solutions

Team Working – Working with others to deliver added benefits to the team and customers

Personal Effectiveness – Understanding and managing yourself to maximum performance

Professional and Technical Development – Develops technical and or professional ability and keeps abreast of development in own area of expertise including specialist knowledge and organisational awareness

Customer focus - Delivering high levels of customer satisfaction and using customer views for continuous improvement

	Positive	Negative
Treats customers with respect	- Is friendly - Treat customers as individuals - Listens to customers - Returns letters/phone calls/emails promptly	- Suggests options without fully listening to what the customer has to say - Treats all customers as parts of a process - Sees customers as interruptions to their job
Gives the customer confidence in what is done/said	- Is clear, thorough and accurate - Knows what they are talking about - Has the answers or know where to get them - Agrees how they can help - Checks the customer understands what has been said	- Does not check quality of information - Does not take ownership or does not know where to direct the customer - Assumes they have answered the customer's query - Treats all customers the same
Inspires customers' trust	- Is open and straightforward - Explains when things have gone wrong - Explains things fully especially when they are not able to help	- Uses jargon - Quotes policy without explaining it
Is committed to helping the customers	- Makes a special effort to help - Suggests alternative solutions - Keeps the customer informed - Sees things through - Does what they promise	- Creates unrealistic expectations - Does not ring back - Does not understand that people have different needs - Does not recognise that equality is about tailoring solutions
Takes action to improve	- Asks the customers about services provided - Asks for customer feedback about how they have been dealt with - Tells someone who can act on it to make continuous improvements to services	- Waits for customers to tell them about the quality of service - Does not support comments with examples

Communication – Using Interpersonal Skills to relate confidently with others to understand and be understood

	Positive	Negative
Listens actively	- Listens to others - Shows they are listening - Allows others to have their say - Builds rapport	- Listens but fails to act/respond - Does not listen - Takes over, does all the talking
Questions and Summarises	- Uses a range of questions to gather information, check understanding and clarify points - Summarises understanding of pertinent points - Encourages listeners to ask questions or clarify understanding	- Does not seek questions and debates - Responds negatively to questions - Questions are unclear - Uses rapid fire questions without giving anyone chance to answer
Shares information	- Speaks up at meetings - Shares information early - Regularly communicates with others, in and outside the team	- Gossips - Waits to be asked for information - Does not share information - Shares only when has to - Keeps people in the dark
Delivers information clearly	- Is consistent (including verbal and non verbal communication) - Presents difficult ideas and information/problems in a way that promotes understanding - Uses plain English - Uses brand guidelines	- Is vague or purely subjective - Fails to fully explain complex issues - Presents mixed messages - Over complicates things - Is not aware of brand guidelines
Alters approach to suit the situation	- Communicates sensitive information with tact and diplomacy - Picks up on issues relevant to the other party - Understands individual differences - Uses a wide range of media and communication aids	- Does not tailor approach to suit audience – has only one style - Does not relate to issues relevant to the other party - Believes everyone is like them - Believes everyone should be like them

Problem Solving – Identifying when a problem needs addressing, thinking clearly and identifying clear, workable and creative solutions

	Positive	Negative
Identifies problems and understands key issues	• Recognises when a situation needs addressing • Proactively seeks to identify problems • Is able to identify the underlying core issues • Recognises trends • Recognises the wider implications of a problem	• Fails to recognise problems • Waits until problems are brought to their attention • Is distracted by the obvious, rather than the fundamental • Does not consider external factors
Gathers information	• Pulls together information from a variety of sources including customer feedback • Uses information generated by information systems	• Is overly reliant on a few sources of information • Does not use or value information generated by management systems • Makes no attempt to share information with others
Challenges Assumptions	• Questions the validity of personal assumptions • Constructively challenges others' assumptions	• Thinks they always know best • Has a closed mind
Generates creative options	• Comes up with innovative ideas • Uses problem solving techniques • Generates a number of creative options	• Stops looking for options once first idea has formed • Imposes solutions • Always does what they've always done • Does not see the value in doing things differently
Reaches decisions	• Analyses risks involved with different courses of action based on factual information • Focuses on the most appropriate solution to meet current and future objectives • Is willing to make a final decision	• Bases decisions on own biases • Makes sweeping decisions in order to give a quick response • Gives knee jerk reactions • Keeps decisions to themselves

Team working – Working with others to deliver added benefits to the team and customers

	Positive	Negative
Builds relationships	• Takes time to get to know people • Treats others with respect • Says thank you • Can be trusted • Actively seeks support from others • Is a team player	• Is insular • Does not share the true position • Blames others • Says what they think people want to hear • Puts people down
Works collaboratively	• Works co-operatively with relevant others to develop and improve services • Ensures others are aware of what is critical to self/team/ department • Seeks to understand what is critical to others • Actively consults and encourages participation • Looks for win win solutions • Builds on the ideas of others	• Only involves their "friends" • Does not see the value in involving others • Believes can do better on their own • Imposes solutions • Does own thing anyway • Does not identify what is critical to others or self • Only focuses on own needs • Belittles the ideas of others
Behaves ethically	• Is fair • Shows integrity when dealing with others • Identifies and works towards resolution of ethical dilemmas • Displays sensitivity and tolerance to individual and cultural differences, diverse opinions and contributions	• Is unfair or inconsistent • Turns a blind eye to unethical/unfair behaviour in others • Ignores or dismisses ethical dilemmas • Displays lack of sensitivity and intolerance to individual and cultural differences
Supports others	• Gives practical support and assistance to others • Shows genuine concern for others • Responds to the needs of others and delivers what is possible	• Does not offer support • Does not recognise that others may be uncomfortable

Personal Effectiveness- Understanding and managing yourself to maximum performance

	Positive	Negative
Self Knowledge	• Is aware of personal preference • Is aware of impact of own motivations on job performance • Reflects on and enhances own performance • Is aware of impact of self on others • Is aware of own personal strengths and development needs • Learns from experiences	• Does not spot how others react to them • Does not care how others feel about the things they do • Thinks that spending time considering own action is time wasted • Will not openly admit mistakes or faults
Self Management	• Takes action to modify own behaviour • Manages own stress levels • Remains objective and stable • Accepts constructive criticism • Is open to change	• Does not recognise what stresses them • Reacts badly to criticism • Is unpredictable • Expects that changes will be for the worst
Is Organised	• Manages own time effectively • Uses resources efficiently • Prioritises workload effectively and productively • Is able to respond to new demands and circumstances • Meets agreed targets	• Misses deadlines • Transfers own pressure to others • Wastes time • Can't find things
Assertiveness	• Has confidence • Demonstrates independence of thought and action • Knows when to say no	• Does not put forward own views • Goes with the crowd • Says yes when means no
Has drive and energy	• Does not give in at the first hurdle • Tries different ways to achieve objective • Is tenacious • Has high personal standards • Creates and seizes opportunities	• Too willing to give up • Is stubborn • Appears not to care

Professional and Technical Development - Develops technical and or professional ability and keeps abreast of development in own area of expertise including specialist knowledge and organisational awareness

	Positive	Negative
Relevant experience and Qualifications to do the job	• Possesses the necessary experience or is actively gaining it in a planned way • Possesses or is studying for qualifications relevant to the job • Able to use IT to maximum effect	• Has no plan in place to gain experience • Feels that they know it all so have nothing further to learn • Has qualifications that aren't relevant to do the job • No plans to study
Specialist Knowledge	• Is aware of good practice and innovations in own area • Applies good practice effectively • Is aware of current issues in own area of expertise • Responds to changes in own area of expertise caused by internal or external factors •	• Out of touch with latest practice • Feels they know best and can't learn from others • Is not prepared to develop
Owns own development	• Considers own career development options • Discusses options with line manager • Ensures appropriate training and development is identified in EDR • Keeps a note of own development	• Is too busy to develop further • Looks to others to tell them how to develop • Does not take an active part in EDRs • Over emphasises development needs • Over emphasises strengths • Over emphasises technical knowledge and does not focus on transferable skills
Organisational Awareness	• Is aware of ERYC vision • Knows services offered by ERYC • Is aware of functions of ERYC and how own role fits • Understands political makeup of ERYC • Understands and follows policies of ERYC • Is aware of how local government is funded and own role in using resources wisely	• Does not understand role of ERYC in local community • Sees self as only working for section or directorate- not organisation as a whole • Is not clear of own objectives • Does not recognise legislative, political or equality issues • Thinks themselves outside the policies • Wastes resources

MANAGEMENT COMPETENCIES

In addition to the 6 core competencies, there are 4 more competencies for those staff with responsibility for the management of others:

Maximising Potential and Managing Performance – Ensuring that others maximise their full potential to deliver the best possible service

Operational Planning and Project Management – Prioritising and managing activities of others so that work is delivered on time and to a high standard and success is measurable

Managing Change – Effectively managing the implementation of changes to working practices, taking others with you and encouraging innovation

Motivating Others to Excel – Gets others to do willingly and well what needs to be done to deliver the best possible service to customers

Maximising potential and managing performance- Ensuring that others maximise their full potential to deliver the best possible service

	Positive	Negative
Has a coaching style	- Builds up confidence of others in the team - Looks to reinforce learning and knowledge of others - Makes learning explicit at every opportunity - Talks to staff to understand their aspirations and help them to achieve their goals - Ensures EDRs are prompt, meaningful, and training needs correctly identified	- Does not believe in the need to develop staff - Does not make development available to all staff - Always says service needs outweigh development needs - Puts up barriers against the development of others - Does not see that personal aspirations and ERYC goals can be compatible
Sets performance objectives	- Sets competency based goals - Sets SMART objectives - Uses the balanced score card to set range of individual performance objectives - Ensures clear line of sight between individual and service objectives	- Does not relate objectives to achieving the service plan - Does not spend time explaining how important individual contribution is to service plan achievement - Sets targets that are only task related
Gives feedback on performance	- Regularly provides informal and formal feedback - Gives corrective feedback, giving examples, and builds relationships by doing so - Gives positive feedback saying exactly what was good	- Personalises negative feedback - Avoids giving difficult feedback - Does not use facts in feedback - Only gives feedback at EDR
Takes appropriate action if required	- Monitors progress against individual targets - Takes an interest in why performance standards are not being met - Surfaces conflict - Acknowledges feelings and views - Redirects energy to shared ground - Agrees plans for improvement - Addresses problems, does not personalise failure	- Simply expects things to get better - Addresses the cause not the symptoms - Does not recognise or reward good performance - Discourages or suppresses conflict - Listens to only one side of an argument - Plays one party off against the other
Delegates interesting and stretching work	- Understands how delegation can develop potential - Gives appropriate levels of support and assistance - Understands strengths and weaknesses of staff - Allows space and freedoms for others to do things their own way	- Will not relinquish control or expertise - Dumps work - Sets others up for a fall - Does not give responsibility with the task - Wants things doing their way

Operational Planning and Project Management – Prioritising and managing activities of others so that work is delivered on time and to a high standard and success is measurable

	Positive	Negative
Builds up information with which results can be measured	• Has information systems in place to measure performance against balanced scorecard • Makes sure information is robust • Uses KPI's as measures	• Focuses on one or two areas only of balanced scorecard • Measures in some areas are superficial • Does not use management information available
Agrees time scales and targets and priorities	• Jointly sets realistic targets – including time scales • Builds in performance and quality indicators • Prioritises effectively • Builds in contingencies to deal with the unexpected	• Does not provide milestones or an end point • Does not recognise the benefits of agreeing targets • Does not prioritise • Is inflexible
Monitors Progress	• Has systems in place to monitor progress • Ensures monitoring and reviewing processes are thorough and systematic • Monitors and reviews progress with those involved	• Thinks things will just happen • Does not monitor or review implementation of plan • Does not take action to ensure plans are implemented
Allocates resources effectively	• Ensures adequate resources are obtained to ensure delivery of long and short term objectives • Thinks of creative ways of obtaining/using resources • Secures external funding • Monitors and evaluates resource allocation • Makes efficient use of office accommodation, equipment and consumptions of materials	• Does not monitor or review resources • Looks at short tem only when allocating resources • Thinks resources are limited to those directly under own control • Does not know where to get funding • Allows external funding to dominate choices
Manages budgets effectively	• Formulates comprehensive budgets for the service/project • Ensures that self and/or staff work within budget parameters • Ensures ongoing performance against budget is monitored • Takes or recommends corrective action	• Produces budget figures but with no regard to achieving strategic objectives • Does not seek to understand or balance the pressures on budgets
Delivers results	• Consistently delivers tasks to time, cost and professional standards • Focuses on outcomes • Evaluates and shares lessons learnt	• Regularly misses deadlines • Does not deliver to standard expected • Focuses on outputs only

Managing Change - Effectively managing the implementation of changes to working practices, taking others with you and encouraging innovation

	Positive	Negative
Actively seeks opportunities for change	• Tries new ways of working • Sees change as an opportunity rather than a threat • Is willing to take risks • Looks for continuous improvement • Identifies opportunities in local, regional and sub regional activity	• Takes a "been there done it" attitude • Actively puts up barriers to and/or withdraws from change • Tends to think change will not affect them • Does not consider the use of ICT to deliver better services
Identifies barriers to change	• Gets to know the views of others • Thinks things through from others' perspectives • Recognises that change is sometimes difficult and gives people space	• Does not anticipate the emotional obstacles to change • Does not recognise that not everyone is comfortable with change
Seeks to reduce barriers to change	• Communicates in appropriate ways • Communicates in various ways • Is flexible where possible on points of great value to others • Engages everyone in changes • Is aware of previous initiatives • Is a strong advocate for change	• Tries to force through change rather than reduce resistance • Does not recognise change fatigue • Fails to see the importance of constant communication in change • Does not sell change as an opportunity
Identifies and seeks appropriate support for changes	• Sells change as an opportunity • Identifies where support is needed, whose support is needed and how to get it • Understand the needs of different stakeholders • Ensures team ownership of change	• Thinks they can deliver change just by telling people to do it • Keeps things secret
Encourages innovation in others	• Collaborates with others to identify fresh approaches • Is receptive to new ideas • Tries things others have suggested	• Always says it can't be done • Blocks ideas • Laughs at or dismisses different ideas • Prefers the traditional to the innovative

Motivating Others to excel – Gets others to do willingly and well what needs to be done to deliver the best possible service to customers

	Positive	Negative
Gives clear direction	• Is clear about the way forward • Shares direction with others	• Gives mixed or no messages on the way forward • Does not understand what is needed to move forward • Keeps bigger picture to themselves
Enthuses others	• Generates excitement for a course of action • Is passionate about success • Seizes opportunity and takes the initiative to move things along in a positive way • Sells ideas positively to others	• Appears too laid back • Lets things drift • Is cynical • Does not show enthusiasm for the way forward
Makes work fun	• Celebrates successes • Uses humour constructively	• Does not recognise success formally or informally • Uses humour to embarrass others
Understands individual/ organisational differences	• Motivates on the basis of the needs and motives of others • Talks to others to understand their motivations • Understand differences in working cultures across services and organisations	• Thinks everyone is motivated in a similar way to self • Does not recognise the need to motivate others • Accepts poor work
Empowers others	• Builds in autonomy to work of others • Encourages an action oriented approach • Ensures others are clear about the scope of their remit • Looks to expand the decision making remit of others	• Makes all decisions • Is inconsistent about scope of others freedoms • Does not allow others freedom to act
Influences rather than commands	• Positively influences the ideas of others through factual persuasion • Gets others to willingly do what needs to be done	• Uses power of their position to command • Imposes own will without discussion

LEADERSHIP COMPETENCIES

For section head and above a further 4 competencies apply in addition to the previous 10:

Drives efficiencies and Effectiveness – Seeks imaginatively to get more from less through improved working processes and systems that offer sustainability

Focus on the Future - Looking for strategic opportunities for an improved future and inspiring others with this vision

Maximising Partnerships – Identifying opportunities and delivering services through effective partnership

Community Leadership - Leads the community in a collaborative manner

Drives efficiencies and effectiveness – Seeks imaginatively to get more from less through improved working processes and systems that offer sustainability

	Positive	Negative
Reviews need for, and aim of current processes	• Questions whether there is a need for the process or the result • Understands what makes processes sound and robust • Delivers business benefits through reviewing processes	• Treats processes, rather than outcomes, as key • Makes changes to a process without fundamentally asking what is the aim of the current process
Seeks to simplify/ modernise work processes	• Identifies the current process by involving others in reviewing detail • Removes duplication • Seeks to automate efficient processes • Ensures adequate risk assessment is undertaken	• Has extensive checking systems which duplicate work. • Does not seek input from others • Does not see the value in involving stakeholders • Tries to automate inefficient/ ineffective processes
Finds ways to move Gershon savings to front line resources	• Finds savings to meet new/changing customer demands • Applies best value approach of consult, compare, challenge and compete	• Sees Gershon as cutting costs rather than a way to redirect expenditure to the front line • Is not aware of what the competition are doing
Reviews staffing type/number to seek to reduce costs	• Takes every opportunity to review vacancies and design of jobs • Has highly graded/ professional staff only where appropriate • Knows what type/level of staff are needed to deliver at lower cost • Is flexible with working patterns	• Believes more staff is always the answer • Believes less staff is always the answer • Has excess costs because service is " over professional" • Does not review type/level of staff
Finds Sustainable solutions	• Ensures that solutions are environmentally neutral • Minimises impact on environment • Ensures that solutions can be maintained	• Ignores impact on environment • Adds pressures that cannot be maintained- on budgets, resources etc
Ensures ICT is used to deliver better services	• Actively strives to identify areas where ICT could improve service delivery • Keeps abreast of new technology to deliver services • Understands and makes maximum use of capability of information technology • Ensures systems/software are compatible • Ensures users are adequately trained	• Is unaware of e-government objectives • Believes IT is simply an add on to working practices • Does not integrate actions with e-government objectives • Is not fully conversant with IT possibilities • Willing to let people stick to traditional methods • Does not specify needs clearly

An exploration of competency-based leadership development and its application in education

Focus on the future - Looking for strategic opportunities for an improved future and inspiring others with this vision

	Positive	Negative
Has a vision for the future and inspires others	• Provides others with a clear sense of direction • Shares the vision with all relevant stakeholders • Shares how the future could be and paints a compelling picture for change	• Does not share the vision or shares only with clique • Is unclear about direction • Sends mixed messages
Forecasts opportunities for change	• Is aware of opportunities and risks to the service • Carries out effective market research and environmental analysis • Aware of issues at local, regional and national stage to develop strategic opportunities • Regularly involves others in scanning environment	• Gets too involved in the detail rather than leaving that to others • Does not recognise and respond to potential public/media interest • Does not engage the organisation in determining priorities • Does not think beyond operational issues to develop long term opportunities •
Uses customer feedback to inform actions	• Uses information gathered from users and frontline staff in shaping services • Has systems in place to capture customer feedback • Challenges current practice and makes changes in response to customer views • Demonstrates an audit trail to ensure that views/consultation is evidenced in actual changes • Anticipates, analyses and understands the long terms needs of different customer groups • Informs customers how feedback has been used	• Has systems in place to collect customer feedback but does not utilise this to make changes • Rationalises away the views of customers • Always thinks it can't be done • Does not recognise that frontline staff are often local citizens and therefore their views are important
Produces service plans which deliver shared priorities	• Is aware of opportunities to deliver shared priorities • Includes others in service planning	• Service plans are insular • Writes service plans in isolation • Service plans do not take into account shared priorities
Drives changes	• Ensures change is managed well • Creates a climate where change is welcomed	• Enforces change rather than encourages management of it • Does not see opportunities

Maximising partnerships – Identifying opportunities and delivering services through effective partnership

	Positive	Negative
Identifies opportunities to work in partnership	• Commissions rather than delivers services, bringing in people to deliver services as appropriate • Convenes Services- bringing people together to decide which is the best way of delivering services (i.e who and how) • Integrates services • Seeks opportunities to maximise pooled/aligned funding	• Thinks partnership working is always the answer • Thinks partnership working is never the answer • Thinks ERYC resources are only way to deliver
Weighs up possible benefits of delivery by partnership	• Finds best strategic partners to deliver shared priorities • Ensures effective management, governance arrangements • Is clear about the benefits and limits of joining up service provision	• Does not recognise the potential negative impact of partnership working on customers • Always uses same supplier
Works in partnership to deliver shared priorities	• Delivers services in a way that reflects customer needs rather than organisational boundaries • Breaks down barriers between partners, eg buildings, technology and culture • Can bring partners and projects together at the right time in the right way • Develops collective plans/outcomes that are meaningful for citizens • Fosters joint learning, training and problem solving • Works flexibly within agreed arrangements • Reports performance variations as an attempt to learn and develop services	• Creates new silos through structures • Creates new barriers through introducing introspective working practices and ways of operating • Does not present a consistent and joined up face to the citizen. • Undermines the accountability of each organisation • Acts as sceptical bystander for national initiatives • Does not acknowledge the real issues of trust and control between partners and suppliers • Uses the detail of the contract to win • Reports problems with service delivery to apportion blame
Ensures reputation of Authority	• Takes time to get advice to understand then reduce financial, legal and customer perception risks of partnerships • Ensures top 10per cent position is maintained • Maintains tight control of costs of projects and partnership monies • Plans exit strategies properly	• Does not take responsibility for understanding the impact of actions • Does not have sufficient financial controls in place • Does not recognise risks

Community Leadership - Leads the community in a collaborative manner

	Positive	Negative
Understands local communities	• Understands the different political sensitivities between different communities • Understands needs and preferences of communities around place, service requirements, demography and interest • Uses information to understand	• Does not share community information with partners • Disregards complex and diverse service needs of groups of customers
Works with the community	• Breaks down barriers between communities • Is honest and does not shy away from delivering tough messages to the community • Finds new ways to represent others • Knows how and when to negotiate with stakeholders to the advantage of the community	• Has fixed views on delivery/consultation • Thinks they know best • Does not inform local people of the possibility of trade offs, increased choice and costs
Has presence	• Has charisma • Is seen as a focal point • Inspires loyalty	• Is often ignored • Is seen as a bystander
Builds and uses networks	• Proactively makes effective use of informal and formal networks to support collaboration with others • Fosters powerful and productive working relationships • Shares and seeks information on issues that may benefit others • Finds the right points of political influence, locally, regionally and nationally	• Does not use or share information to help others • Does not seek information from other people • Does not recognise the importance of proactive networking • Does not appear on the national or regional stage
Promotes a positive image of ERYC	• Presents a consistent and positive message of ERYC and its aims • Encourages others to embrace ERYC vision and shared priorities • Balances ERYC's aspirations and goals with those of the community and partners	• Presents a predominantly negative image of ERYC or its services • Is inconsistent with messages • Enforces ERYC vision above others
Addresses organisational barriers to social inclusion	• Is constantly mindful of equality and diversity issues in providing services, and seeks to avoid unwitting discrimination • Works to achieve equality by questioning how organisational procedures and practices exclude people	• Aims to provide the same service to all • Does not recognise the diversity of customers

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