Top of the class?

Examining the state of leadership
and management in education

Richard Hyde
Niamh O Regan

SMF | Social Market Foundation

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In partnership with

Chartered Management Institute

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CONTENTS

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ABOUT THE AUTHORS

Richard Hyde

Richard joined the SMF in August 2019 as Senior Researcher. Before joining he was a Senior Policy Advisor at FSB (Federation of Small Businesses) with responsibility for a diverse range of small business policy issues, including the small business regulatory environment, data and cyber security, crime and civil justice. Prior to FSB, Richard was a Policy Officer at the Law Society of England and Wales. He has also held policy and research roles at Which? and the Small Business Research Centre (SBRC) at Kingston University.

Richard holds an LLM in Law from the University of London and an MA in Global Political Economy from the University of Hull.

Niamh O Regan

Niamh joined the SMF research team in August 2021. Since joining the SMF Niamh's work has primarily focused on education and skills and Net Zero. She is also interested in migration, security and the UK-EU relationship.

Prior to joining the SMF she worked in higher education and had conducted research on nuclear issues. Niamh holds an MA in Intelligence and International Security from King's College London, and a BA in Politics, International Relations and Irish from University College Dublin.

ABOUT THIS REPORT

This report uses evidence from a range of sources. These include:

- A SMF-convened expert roundtable on leadership and management in education.
- A survey of public sector leaders and managers across the UK. Opinium was commissioned to poll 1,000 leaders and managers in the public sector. Among survey respondents was a sub-sample of 455 leaders and managers in education. It is the answers from these respondents that are presented in this report.[i]

The primary research was supported by broader desk research into the existing stock of literature on the influence of leadership and management on education quality and outcomes. In addition, this report is informed by using both in-depth interviews and desk research which fed into the three case studies of educational institutions in England, where leadership and management has made a notable difference to their performance.

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[i] For more detail on the sample please see Annex Three.

FOREWORD

Educational institutions in the UK have been under strain for many years and the UK continues to lag well behind many comparable countries according to official education rankings. We know that education is strongly linked with economic success, so not only is this impacting our ability to grow our economy and attract investment but it is also limiting our students' future prospects in an increasingly competitive global marketplace.

Despite the body of evidence about the value of strong management and leadership to the quality of educational outcomes, management and leadership has consistently been overlooked in the policy space in favour of curriculum and structural reforms. Facing into a growing recruitment and retention crisis, it is imperative that policymakers improve their management and leadership practices.

The Chartered Management Institute, as the chartered professional body for management and leadership, with thousands of members across the education sector, was enthusiastic to partner with the Social Market Foundation to explore what role good management and leadership can play in improving educational institutions as employers, but more importantly giving our students the opportunity to fulfil their potential.

This isn't to minimise the importance of appropriate resources, skills, technology, structures and policy in meeting the educational needs of the future. Rather our aim is to support these various aspects through improved management and leadership across the sector.

Through desk research, a roundtable and fresh survey data, as well as a series of case studies, this piece of work sought evidence to better understand existing deficits – and the potential – of effective management. The research found that one-in-five leaders and managers in educational institutions view their senior leadership as ineffective at ensuring their organisation is successful and a quarter felt that they were poor at motivating staff. On top of this, recruitment and retention were raised as two key challenges for many leaders in education. Worryingly, only half of leaders and managers thought their organisation was good at attracting talent and only slightly more felt they were successful in retaining it.

In addition to low motivation, recruitment challenges and high turnover, managers revealed that poor organisational cultures and limited funding and budgets were making it even harder to do their jobs as well as they would like to.

In truth, across the UK, leadership and management skills are not taken seriously enough as a driver of improved education. Yet skilled managers can make a critical difference. Examples in this report, including Oldham College, Exeter College, and London Metropolitan University demonstrate how quality management and leadership are making a difference in educational performance.

The education sector will need to focus on the quality of management and leadership in order to lean into the challenges it is facing. We hope this work with the Social Market Foundation motivates the critical reform needed to support leaders, teachers and students to drive up the quality of UK education for students at every age and stage of their learning journey.

By Anthony Painter, Director of Policy and External Affairs, CMI

November 2023

EXECUTIVE SUMMARY

Quality education is central to greater prosperity

- Education is strongly linked with economic success. Higher educational attainment is linked to faster annual GDP and GDP-per-capita growth. Further, it is quality more than time spent in education, which is key to better outcomes.
- Education quality in the UK lags behind that in many other comparable countries. The 2018 Programme for International Student Assessment (PISA) scores rate the UK 14th for reading skills and 18th for maths, well behind the international frontier.

Leadership and management can play a central role in improving education quality in the UK

- Copious studies link the quality of leadership and management in educational institutions with their efficacy and, in-turn, education outcomes. Some suggest that good leadership is the most important ingredient influencing school, further education college and university success.
- Three case studies presented in this report illustrate some of the ways that leaders and leadership practices have been central to the success of high performing further and higher education institutions. More specifically, the Oldham College case study illustrates the leadership and management practices in use in a "good" college looking to continuously improve and go further. The Exeter College example shows how a college reaches "outstanding" and maintains the momentum to keep it there. The London Metropolitan University case demonstrates how a struggling university was turned around in-part through changes in leadership and management practices.

There are a substantial minority of poorly led schools and further education colleges in England

- From 2017-2023, an average of 30% of schools and colleges received a rating of "inadequate" or "require improvement" for their leadership and management, indicating poor leadership and management in a large minority of English schools.
- If the UK wants to reap the ultimate economic benefits that can accrue from higher quality education of its population, it needs to tackle both the underperforming tail of schools and FE colleges and get more operating at an "outstanding" level.
- Numerous measures have been implemented to try and improve leadership and management in education. National Professional Qualifications (NPQ) set the standards for the training of school and college leaders. Experts we spoke to for this report suggested that NPQs so far, had a mixed record; delivering some improvements but falling short in areas like management skills and by not being compulsory are failing to make a difference at the scale needed.

Leaders and managers' perspectives on leadership practices show that in some educational institutions many leaders are not as effective as they could be

- Nearly two-fifths (39%) of survey respondents said leadership quality is one of the three most important factors for success in public sector organisations. Overall, managers largely consider their senior leadership to be effective (70%), but the extent of this varies across seniority levels.
- Workforce motivation and morale was the second most important factor for success, (29% of survey respondents). However, 26% of leaders and managers felt that their senior leadership are poor at motivating staff, for those working in schools the dissatisfaction rose to 30%.

Leaders and managers' perspectives on management practises show that managers are hampered by a range of challenges

- The context in which leaders and managers operate affects their ability to successfully perform their duties. Challenging circumstances constrain their ability to have the maximum positive impact.
- Recruiting and retaining good quality staff is a challenge for many in education. Only 50% of leaders and managers felt that their organisation performed well at attracting talent in 2022, and only 57% believed they performed well at retaining people. Almost 70% of survey respondents reported they faced obstacles to leading and managing as effectively as they would like to and 35% of those cited human resourcing issues as constraints on their leadership efficacy.
- Leadership and management training is common in education organisations, predominantly through short courses. More junior managers, however, tend to miss out, with less access to training opportunities than senior colleagues. A large minority of team leaders (25%) and junior managers (23%) reported they had no training at all in 2022.
- Leaders at all levels say they have considerable autonomy to perform their roles. However, 58% said their managers interfere with problem-solving and 52% said internal rules and policies got in the way of them dealing with problems, painting a picture of constrained autonomy for many leaders and managers in education.
- Just over a quarter (28%) raised poor organisational culture as an inhibition on their ability to lead and almost a quarter (24%) of leaders and managers reported that insufficient resourcing also had similar constraining effects.

The link between good leadership and management and the quality of education is clear and should lead to them becoming central elements in future education policy

- Politicians and policymakers should:
  - Make the quality of leadership and management across the education sector a priority issue.

- Build on the current Teacher Recruitment and Retention Strategy and develop a more comprehensive approach to reducing the numerous barriers to maximising the contribution of leadership and management to the organisational success of schools and colleges.

- Revamp leadership NPQs and mandate them for all those aspiring to be or already in leadership and management roles in state funded education.

- Develop leadership NPQs or equivalents for other parts of the (e.g., higher) education sector.

- Ensure that the reformed NPQ framework is underpinned by a robust regime that upholds the quality and consistency of the training not least by enabling those procuring such training to access the right training from the best providers.

CHAPTER ONE – INTRODUCTION

The centrality of education to greater prosperity in industrialised societies

Education is closely associated with a country's economic success.[1] Education positively influences economic activity in three ways (see Diagram 1). This beneficial link is illustrated by one estimate which suggested that for every $1 spent on education, between $10 and $15 worth of economic value is created.[2]

Diagram 1: The three ways education influences economic growth[3] [ii]

Source: World Economic Forum (2015)

The magnitude of the relationship between higher quality education and economic prosperity

Research has suggested that the most important element in the education and growth relationship is the quality of education, not school enrolment levels or years in education.[4] Illustrations of this can be found in analyses of data from the OECD's PISA [iii] have found a persistent link between education quality, and the long-run prosperity of countries (see Table 1).

[ii] It should be noted that the relationship between education and growth is not a linear one. Evidence suggests the relationship varies depending on local mediating factors. Source: Laura Marquez-Ramos and Estefanía Mourelle, "Education and Economic Growth: An Empirical Analysis of Nonlinearities," *Applied Economic Analysis* 27, no. 79 (2019).

[iii] The PISA data is being used as a proxy for the quality of education provided in a country. Its standardised nature means that it is one of the few tools that can be used to measure comparative quality.

Table 1: Estimates of the aggregate economic benefits of different levels of improvement in education quality (as measured by PISA scores)

Magnitude of educational improvement	Estimate of economic impact
A standard deviation increase in PISA test scores among a country's children.[5]	2 percentage points higher annual GDP-per-capita.
25 point increase in average PISA scoring by the children in a country.[6]	0.43 - 0.5% increase in GDP growth each year.
10% increase in the share of top-performing students i.e. scoring 600 or more in PISA testing.[7]	Increase in the annual GDP growth rate of 0.87%.

Sources: Hanushek, E A and L Woessmann, L. (2010) and (2012), OECD (2010) and Heller-Sahlgren, G and Jordahl, H. (2023)

Improving educational outcomes in the UK

Education quality in the UK lags that in many other comparative countries

The education systems of the UK have lagged behind those of many other countries for a long time. Across all three areas of education that PISA tests, the UK remains far behind the "international frontier".[8] Nevertheless, the UK has made advances between 2006 and 2018:

- The UK moved up the PISA rankings for reading skills, rising from 17th place to 14th.[9]
- At the same time, the UK moved up the maths rankings from 24th to 18th.[10]
- The UK's performance in science has been more lacklustre, with no change in the UK's position.[11]

The economic gains available if education quality in the UK improved

The evidence in Table 1 suggests that if the UK could boost the quality of the education delivered to those in schools to the "international frontier", there is a substantial economic prize to be achieved. Table 2 provides an indication, under two different "improvement scenarios" of how much additional growth the UK could enjoy if the quality of education, as measured using the PISA standards, improved.

Table 2: Estimates of the economic benefits of different levels of improvement in UK education quality

Magnitude of educational improvement	Economic impact in monetary value	Economic impact on annual GDP growth
Increase in the average score to 546 points on PISA scoring.[iv]	£6 billion boost to the size of the economy each year[v] [vi]	0.49% annual GDP uplift.
All school pupils in the UK achieving a minimum of score of 400 points on PISA testing.	£5.4 billion boost to the size of the economy each year.[vii] [viii]	0.44% increase in annual GDP growth.

Source: OECD (2010)

[iv] In the 2018 PISA scoring, UK students scored 504 for reading, 502 for mathematics and 505 for science. Source: T Mostafa and M Schwabe, "Programme for International Student Assessment (PISA) Results from 2018," Country Note, 2018, https://www.oecd.org/pisa/publications/PISA2018_CN_GBR.pdf.

[v] This estimate was discounted for future increases in GDP until 2090, using a discount rate of 3%. Source: OECD, *The High Cost of Low Educational Performance: The Long-Run Economic Impact of Improving PISA Outcomes*, PISA (OECD, 2010), https://doi.org/10.1787/9789264077485-en.

[vi] The amount was converted from $ to £ at the current market exchange rate on the 29th October 2023.

[vii] This estimate was discounted for future increases in GDP until 2090, using a discount rate of 3%. Source: OECD, *The High Cost of Low Educational Performance*.

[viii] The amount was converted from $ to £ at the current market exchange rate on the 29th October 2023.

Leadership and management can play an important role in improving education quality

> *"As the key intermediary between the classroom, the individual school and the education system, effective school leadership is essential to improve the efficiency and equity of schooling. Within each individual school, leadership can contribute to improv[ing] student learning by sharping the conditions and climate in which teaching and learning occur. Beyond the school borders, school leaders can connect and adopt schools to changing external environments. And at the school-systems interface, school leadership provides a bridge between internal improvement…and externally initiated reform"*.
>
> **Pont, B et al (2008) Improving school leadership: Volume 1 – Policy and Practice.**

Structural reform (e.g. "autonomisation" [ix] and expansion of choice), curriculum changes and overhauls of the teaching profession have been the focus of much of the effort to deliver improvements to the UK's education systems in recent decades, especially in England.[12] Less prominent has been ensuring the prevalence and persistence of good quality leadership and management within the different parts of the UK's educational landscape. Yet, these two factors are widely known to have an important bearing on the ultimate quality of the education that is delivered by schools, colleges and universities and ultimately deliver the kinds of material gains described above.[13] Having shown how the UK lags behind other countries in educational outcomes and the kind of economic payoff that can accrue if education is improved the remainder of this report aims to:

- Demonstrate that there is a substantial "tail" of underperforming schools and FE colleges in England and only a small proportion of "outstanding" ones, leaving considerable room for improvement which, if achieved, would be likely to have positive economic consequences.

- Present a picture of the state of leadership and management across primary, secondary, further and higher education institutions across the UK using data from a survey of public sector leaders and managers, which will show that a large minority of those organisations are not utilising best leadership and management practices.

- Illustrate the link between the deployment of good leadership and management practices and improved performance of educational institutions, through:

  - Three case studies, which show how leadership and management can deliver change and improved organisational performance in further and higher education settings.

  - Reference to the existing and growing research literature which repeatedly finds a positive links between the deployment of best leadership and

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[ix] "Autonomisation" is typified, in England, by the emergence of academies and free schools. In recent years most academies have become part of Multi Academy Trusts (MATs). A Multi Academy Trust describes when a group of academies come together and form a trust. This means funding is pooled and shared. MATS have a further layer (or more than one) of leadership above the individual schools in the MAT. Source: Ofsted, "Multi-Academy Trusts: Benefits, Challenges and Functions," 2019, https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/936251/Multi_academy_trusts_benefits_challenges_and_functions.pdf.

management practices over time and across countries and better educational outcomes.

- Set out a series of recommendations for improving the quality and consistency of the leadership and management in the education sector, especially in England.

Box 1: A key focus on further education (FE)

This report looks at leadership and management at all levels of education in the UK. However, two of the three case studies are focused upon further education colleges in England.

In recent years there has been an increase in the prominence of FE in the education policy debate. However, despite its importance, it still has second-class status compared to higher education.[14] The funding squeeze experienced by the FE sector in recent times is indicative of this lack of prioritisation.[15]

FE's importance is reflected in the central role it has in the economy.[16] FE colleges are at the heart of the training and skills infrastructure of the localities, regions and nations of the UK.[17] Further, FE colleges have a particularly vital role in delivering training and education to adults and as a result they are key enablers of labour flexibility.

FE colleges are also notable facilitators of social mobility.[18] About half of school leavers in any given year enrol in FE colleges. The proportion of enrolees from disadvantaged backgrounds is twice as high as it is into educational alternatives such as HE.

By examining the issue of leadership and management in FE colleges, not least through two of the three case studies presented in this report, we aim to add to the small but growing evidence base showing how good quality leadership and management can make a difference to the performance of FE institutions and in-turn, by implication, the quality of the UK's post-16 education and skills infrastructure more broadly and therefore, by implication, to the growth potential of local and regional economies across the UK.

The structure of this report

- **Chapter Two** reports what Ofsted inspection data says about the quality of English schools and FE colleges as providers of education and the efficacy of the leadership and management of those same institutions.
- **Chapter Three** draws on a survey of public sector leaders and managers and sets out more detail on the current state of leadership across the educational sectors of the UK.

- **Chapter Four** examines the prevalence of the utilisation of good management practices within educational institutions in the UK, using evidence from the same survey.
- **Chapter Five** details the obstacles leaders and managers in education face, and which inhibit them from doing their jobs as effectively as they could in different circumstances.
- **Chapter Six** presents recommendations for politicians and policymakers to consider, about how to close the "leadership and management deficit" in parts of the education sector and in-turn improve the performance of primary, secondary and tertiary educational institutions and ultimately, maximise the role that leadership and management can play in driving up educational outcomes.

Interspersed between the chapters are case studies illustrating the link between the quality of the leadership of an educational organisation and the performance of that same entity. The cases studies provide examples of the use of particular leadership approaches and practices widely acknowledged as effective, and demonstrates how successful they can be.

CHAPTER TWO – THE IMPORTANCE OF LEADERSHIP AND MANAGEMENT TO EDUCATIONAL INSTITUTIONS

The link between the quality of leadership and management and better quality education

UK and international evidence illuminates the link between leadership and management quality, the performance of educational organisations and education outcomes

> *"…studies demonstrate a number of important points: (1) school leadership has a statistically measurable impact on education outcomes; (2) the influence of school leaders is indirect; it establishes the conditions for learning; and, (3) there are specific leadership practices that actually contribute to improvement".*
>
> **Pont, B. (2020). A literature review of school leadership policy reforms.**

educational outcomes.[20]

There is now a preponderance of evidence showing that the quality of leadership and management[x] (i.e., having leaders and managers that deploy best leadership and management practices – see Diagram 2) is linked to better organisational performance, whether that be of schools, FE colleges or universities.[19][xi] That organisational performance in turn results in the delivery of higher quality education and improved

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[x] For more on the differences between "leadership" and "management" and "leaders" and "managers", please see Annex One

[xi]. Table 7 (see Annex Four) describes 7 studies which illustrate the existence of this link in a variety of countries at different levels of education.

Diagram 2: Factors associated with effective leadership in educational institutions

Organisational

- Effective independent oversight
- Empowered senior leadership team
- Decentralised decision-making

Operational

- A clear vision and strategy
- Setting of appropriate performance targets and benchmarks linked to the vision and strategy
- Effective performance management and a system of accountability
- Collection and use of data to inform decision-making
- Sufficient and effective recruitment and retention

Relational

- Open communication both vertically and horizontally through the organisation
- High trust levels between leaders and the workforce
- Well networked with relevant external organisations
- United leadership team that can work effectively together
- Leading by example and embodying organisational vision and values

Sources: McNally, et al (2022); David Eddy-Spicer et al. (2017); Ruiz-Valenzuela, et al. (2017); Bush and Glover (2012); and Bush et al. (2012).

Leadership is the most important ingredient in school and college success

The centrality of leadership in particular to the performance by educational institutions is widely recognised.[21] One study found that around half the variation in management quality identified between different educational institutions was due to senior leadership related factors.[22]

It was also repeatedly highlighted at the expert roundtable convened by SMF to discuss the current state of leadership and management in education and inform this report. One contributor summed up the broad consensus succinctly:

> *"Leadership is the single most important thing in education…where you've got the leadership right, and that normally comes in the form of the principal, everything else will follow…".*

> *"The role of the senior leadership team is to create the conditions that enable their teachers to teach in ways that ensure adequate levels of student growth…While there is good evidence for the importance of…'instructional' leadership…there is also empirical support for leadership effects that flow from a focus on the quality of school organisation and management…and from the creation of school cultures in which trust and collective responsibility for students' learning is high".*
>
> **Robinson, V and Gray, E. (2018). What difference does school leadership make to student outcomes?**

Another attendee concurred, adding that:

> *"It is the leaders, setting high expectations and clear directions…developing teachers and so on, that enable improve[d] students' outcomes".*

The performance of schools and FE colleges in England

School performance in England

Department for Education (DfE) data reveals that in the academic year 2022-23 there were around 8.4 million children in (non-independent) schools of various kinds in England, spread across 22,000 institutions.[xii] Official inspection data suggest there are a large number of underperforming schools whose performance needs to be turned around and only a small proportion of "outstanding" ones, indicating considerable scope for the large proportion of schools achieving "good" ratings to pursue continuous improvement and increase the number of "outstanding" institutions. Ofsted for example, show that across the period 2017-18 to 2022-23:

- An average of 38% of schools in England achieved "requires improvement" or "inadequate" ratings in their inspections.
- Fewer than one-in-ten schools inspected by Ofsted typically achieved an "outstanding" rating.

[xii] These estimates are calculated from Department for Education data. Source: Department for Education, "Create Your Own Tables," n.d., https://explore-education-statistics.service.gov.uk/data-tables.

Further education college performance in England

Department for Education data shows that in the academic year 2022-23 there were 673,500 students in further education colleges across England.[23] Ofsted inspection data shows that, over the period 2017-18 to 2021-22 (excluding 2020-21 when no inspections took place), on average:

- Just over a third (35%) of the FE colleges inspected in England, were rated as "requires improvement" or "inadequate", signalling the need for a concerted turnaround effort in the FE sector.
- Less than 10% of FE colleges inspected were rated "outstanding" by Ofsted, highlighting a sizeable opportunity for continuous improvement efforts among the currently "good" rated colleges in order to increase the number of "outstanding" FE institutions.

Ofsted analysis of leadership and management quality in English schools and FE colleges

Comparing leadership and management quality in schools and in FE colleges and overall Ofsted ratings

Ofsted ratings shows there is considerable similarity in the proportion of English schools inspected between 2017-18 and 2022-23 that were rated as "requires improvement" or "inadequate" overall, and the proportion with leadership and management effectiveness also rated as "requires improvement" or "inadequate". Across the academic years 2017-18 to 2022-23, on average, 30% of schools had leadership and management that was underperforming.

"...leadership...can make a substantial difference to the quality of teaching and learning in...schools, and consequently student achievement, by improving the working conditions of...teachers, and the climate and environment of their school...".

Cruickshank, V. (2017). The Influence of School Leadership on Student Outcomes

"Principals are important because they offer one of the most effective means to improve college performance...the recruitment (or the training) of a high-performing principal directly impacts on thousands of students in a college".

Ruiz-Valenzuela, J, et al. (2017). Effectiveness of CEOs in the Public Sector: Evidence from Further Education Institutions

There is also a notable similarity in the average percentage of FE colleges inspected between 2017-18 and 2021-22 rated as "requires improvement" or "inadequate" overall (35%), and the average proportion of FE colleges whose leadership and management effectiveness was also rated "requires improvement" or "inadequate" (30%).

Efforts to improve educational leadership and management in England

Numerous efforts have been made to try and improve leadership and management in education

There have been various attempts to improve leadership quality in education in England. The National College for School Leadership (NCSL) was introduced in 1998, it delivered the National Professional Qualification for Headship (NPQH).[24] The NCSL was succeeded by the National College for Teaching and Leadership (NCTL).[25] The NCTL retained the mission to train current and future educational leaders. However, more recently the college was "dissolved", with most of the functions absorbed by the DfE.[26]

"Waiting until school leadership posts have been secured before training is too late.....[and]..Leadership development for middle managers should become automatic, and part of a whole career framework for leadership development".

Mulford, B. (2003). School leaders: challenging roles and impact on teacher and school effectiveness

The ambition to improve leadership through formal accredited training has continued despite the NCTL being wound up. Standards for such training are now to be found within the National Professional Qualifications (NPQs) system.[27] [xiii]

The route through which better leadership and management can contribute to boosting educational quality across the UK

Diagram 3 illustrates the connection between the UK's educational underperformance and how improvements to leadership and management could deliver more, better performing schools, colleges and universities, ultimately leading to higher levels of educational attainment in aggregate.

Better leadership at all levels in all schools and FE colleges for example, will reduce the number of underperforming educational institutions. It can also boost the performance of those organisations that are performing well but could improve i.e. help push more schools and FE colleges in England for example, to achieve an Ofsted "outstanding" rating.

Ultimately, consistently improved school and college performance can be expected to be reflected in economic growth data (see Tables 1 and 2).

[xiii] There are a number of NPQ frameworks with a leadership focus. Leadership NPQs are designed for teachers and leaders in leadership roles or for those wanting to build-up their leadership skills. There are NPQ frameworks for executive leadership, headship, senior leadership and early-years leadership. NPQs are underpinned by a framework setting out what those who undertake such training should know at the end of a course. Providers design their offerings around these expected outcomes. Source: "National Professional Qualification (NPQ): Headship Framework" (Department for Education, 2020).

Diagram 3: Eliminating the educational institution performance problem

Overall educational underperformance in the UK

Sizeable "tail" of underperforming schools and FE colleges

Small proportion of "outstanding" schools and FE colleges

Positive relationship between the quality of leadership and management in educational institutions and organisational performance

Improving the quality of the leadership and management in the "tail" of underperforming schools and colleges to help make them become "good" institutions

Enhancing further the leadership and management practices in many of the "good" rated schools and colleges to turn them into "outstanding" institutions

Improved organisational (school and FE college) performance

Better quality education, improved educational outcomes and greater economic prosperity

Box 2: The leadership component of the NPQ framework

The NPQ system was highlighted by attendees at SMF's expert roundtable on leadership in education, as contributing to improvements in the delivery of education:

"We followed NPQ programmes…schools sending more leaders to those programmes are doing better…there was significant evidence for both the primary and the secondary sector just by looking at value added outcomes…the more people they send on to NPQ programs, the better outcomes we see".

However, as the same participant noted, despite the emerging positive evidence many do not yet utilise the NPQ system for skills and career development:

"NPQ is different from the current ECF, Early Career Framework, it's…not compulsory".

Others at the roundtable were more critical of NPQ frameworks and suggested that they are less evidence-led than they ought to be:

"I've been part of a number of reviews of NPQs…it was really quite depressing how, although there was an awful lot of talk about evidence, actually, in practice, the evidence that was used was very limited".

The focus of some of the NPQ leadership curriculum in particular was questioned at the roundtable:

"Running a school is interdisciplinary, in a deep way…you're dealing with outside stakeholders the whole time…parents who are struggling…engage with the local economy…you need leaders who are partnership builders…when I compare. the framework [for] professional development for head teachers…I think there's a mismatch".

Another expert contributor noted the absence of some key skills from the current leadership training offer, especially those needed by junior and mid-level leaders in education:

"The stuff that we might call management…the things that are more about financial management, about HR, the more process-y things…nobody really gets out of bed to do those…".

CASE STUDY: LEADERSHIP AND MANAGEMENT IN FURTHER EDUCATION – OLDHAM COLLEGE

Oldham College moved from an Ofsted rating of "requires improvement" in 2017 to "good" in 2018. Vice-principal Alan Benvie who joined the college in mid-2018, spoke to us in late May 2023, about the steps Oldham are continuing to take to fulfil the vision and mission of the college and the impact that it is having.

A plan for improvement

Benvie described how the evolution of the college came in two parts, the first "state of recovery" phase focused on ensuring the college was financially stable. The next phase was to bring the college out of recovery and into improvement. To do this, the college adopted a strategic plan that set out a purpose and vision for the college, complemented with smaller, actionable goals.

> "The strapline was to be the best place to learn, the best place to work".

> "The strategic plan has 10 development projects within it, which are all aligned towards what we're aiming to achieve."

Key to designing the strategic plan was the involvement of college staff. Benvie recounted how the outgoing Principal gave staff the opportunity to communicate their vision for the college, which areas they felt needed the most work and should be prioritised.

> "The five-year strategic plan… has been consulted on across the whole staff and all our levels and structures. Everybody got buy-in to it. That was really important".

Having a strategic plan is something that the college sees as important for the continued success of the college. While the five-year plan that Benvie was first part of is coming to an end, it is not an end to strategic planning for the college. They spoke of how developing the next one will be a key task for the new Principal.

> "We have a new Principal starting in the summer, and I think one of their first tasks will be working with the governors on the refresh of the strategic plan."

Focusing on developing staff

Using the strategic plan as the foundation and guide, the college has focused on staff development to help ensure the attributes of good leadership are spread throughout the college e.g., arranging for Continuing Professional Development (CPD) training tailored to the college's needs. This ensures that while staff meet mandatory CPD requirements, they are simultaneously trained to handle challenges unique to the college. Beyond mandatory training the college has also focused on additional training and guidance, through leveraging external expertise.[xiv]

[xiv] One example given was of bringing in trainers to develop problem-solving skills through role-playing scenarios.

"Early on, it was decided that we would have visiting speakers from education and beyond…challenging thinkers. And just like I suppose we do for learners, we have visiting speakers and run master classes".

The college has created progression pathways within the college, particularly in areas that might normally have limited progression opportunities. As well as creating a strong sense of purpose, establishing a progression route helps staff to see a path to staying in the college, aiding staff retention.

"One of the things that we've introduced over the last few years is to make sure that where our structures are flat, to create opportunities for people to progress."

"The FE world has a huge issue around the recruitment of skilled staff. We have to develop a kind of "grow your own" approach as far as we possibly can."

Ensuring positive student outcomes

The college has made a more conscious effort to forge close relationships with local employers. A regular forum with local employers has meant the college can adapt curriculums to what employers want to focus on and ensure that student learning maps onto routes into skilled employment.

"We basically translated the official IFATE Occupational Maps into local versions. And all our provision, curriculum design, and everything is geared around the routes to skilled employment through these occupational maps".

Students themselves are involved in improving teaching at the college. Student feedback mechanisms help the college to learn what is and isn't working. Such feedback can influence the training that teaching staff then receive.

"We've got very comprehensive means of gathering learner feedback. And occasionally, there might be some CPD required as a spin off from what we've learned from student feedback."

A positive impact on staff and student outcomes

While Ofsted is a helpful marker of how leadership and management is performing it is not the only judge that the college looks to, to assess how well the changes they have made are working.

Changes have coincided with the college becoming a Centre for Excellence in Special Education Needs and Disabilities, a WorldSkills UK Centre of Excellence, and winning a number of national awards including the Beacon Award for Student Support. Designing curricula with local employers in mind has, Benvie argued, had a positive effect on the position of the college in the local area, and on student outcomes with many employers now recruiting from the college directly.

Benvie reported how staff turnover had dropped, and satisfaction increased. The college has received numerous workplace awards including Best Place to Work for a Large Employer, Best Place to Work for Women, and Best Place to Work for Wellbeing.

CHAPTER THREE – THE EFFICACY OF LEADERSHIP IN EDUCATION INSTITUTIONS IN THE UK

Leadership quality is the most important factor for success in education organisations

Reflecting the wider research evidence, the plurality of education leaders and managers that responded to our survey cited good leadership (39%) as key to organisational success. The second and third most frequently selected answers were workforce skills and training (30%) and workforce motivation and morale (29%).

Figure 1: Which three factors are the most important for the success of educational organisations

Source: SMF - Opinium Survey (2023)

Opinions on the ingredients for organisational success vary across seniority levels

Our survey suggested that the most important factors for success vary somewhat across different levels of seniority in educational institutions. For example, junior managers are more likely to see a clear and appropriate strategy (40%) as important, whereas amongst middle managers the most often selected answer was leadership quality (42%).

Figure 2: Top three factors that are important for success of a public sector organisation by managerial level

Leadership quality
- Senior leadership: 41%
- Senior manager: 30%
- Middle management: 42%
- Junior manager: 38%
- Team leader/Supervisor: 41%

Workforce skills/ training
- Senior leadership: 20%
- Senior manager: 26%
- Middle management: 35%
- Junior manager: 26%
- Team leader/Supervisor: 33%

Workforce motivation/ morale
- Senior leadership: 29%
- Senior manager: 21%
- Middle management: 34%
- Junior manager: 33%
- Team leader/Supervisor: 24%

Workplace culture/ relationships
- Senior leadership: 35%
- Senior manager: 29%
- Middle management: 24%
- Junior manager: 17%
- Team leader/Supervisor: 29%

A clear and appropriate strategy
- Senior leadership: 29%
- Senior manager: 24%
- Middle management: 20%
- Junior manager: 40%
- Team leader/Supervisor: 35%

Staffing numbers
- Senior leadership: 6%
- Senior manager: 30%
- Middle management: 28%
- Junior manager: 17%
- Team leader/Supervisor: 22%

Legend: ■ Senior leadership ■ Senior manager ■ Middle management ■ Junior manager ■ Team leader/Supervisor

Source: SMF - Opinium Survey (2023)

Managers tend to think their senior leadership is effective, but the extent of this differs across levels of seniority

On the whole senior leadership is widely regarded as effective but this varies substantially by seniority. For example, junior managers in education are the least likely to see their leaders as effective, with 59% of such respondents agreeing leadership in their organisation was effective. Among senior managers (79%) said their organisation's leadership was effective.

Figure 3: Effectiveness of senior leadership of the organisation at ensuring the organisation succeeds, by managerial level
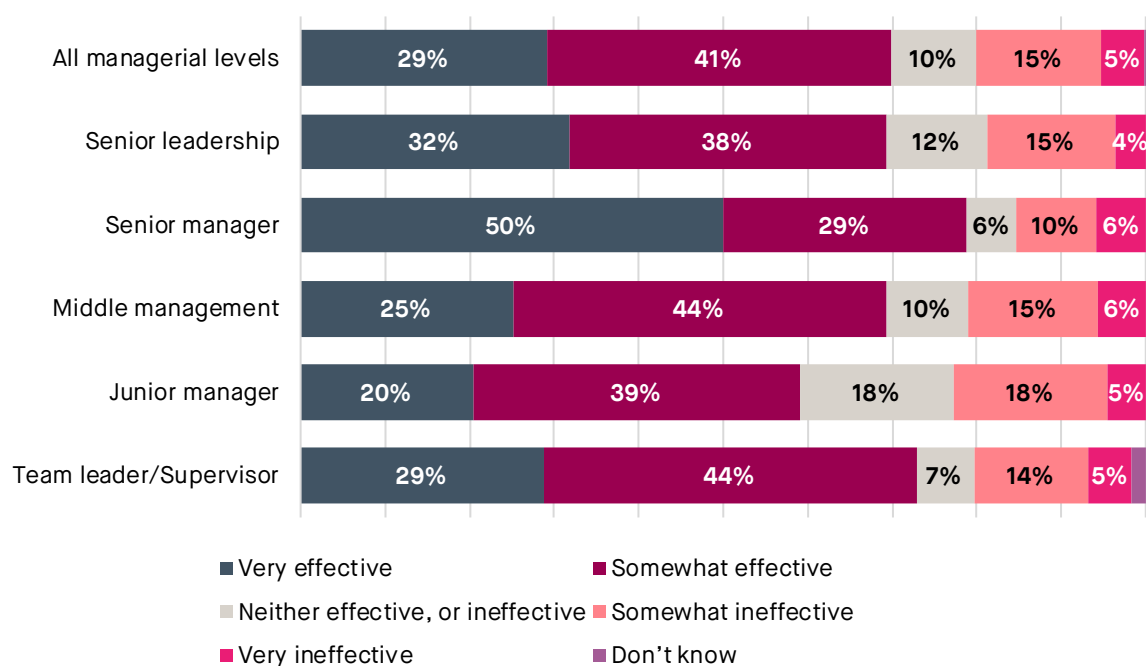
Notably, approximately one in five leaders and managers in education institutions view the senior leadership of that same organisation as ineffective. This indicates that more than 4,400 schools and colleges in England are not led effectively. The data presented in Figure 3 also suggest that just over 6,400 are led very effectively.

Most senior leaders are good at setting clear goals and at communicating them

Having a clear and coherent long-term strategy is a well-established aspect of good leadership. As shown in Figure 4, 79% felt that senior leadership in their organisation performed well in providing clear overall direction with long-term goals. A slightly lower number (72%) felt that strategy was communicated well.

Figure 4: How well the senior leaders of educational institutions performs in key areas of good leadership practice

	Very well	Somewhat well	Poorly	Very poorly	Not at all
Setting a clear overall direction / long term goals for the organisation	37%	42%	13%	5%	
Setting credible short-term goals for the organisation	30%	47%	13%	5%	
Communicating effectively about strategy/ plans	31%	41%	16%	8%	
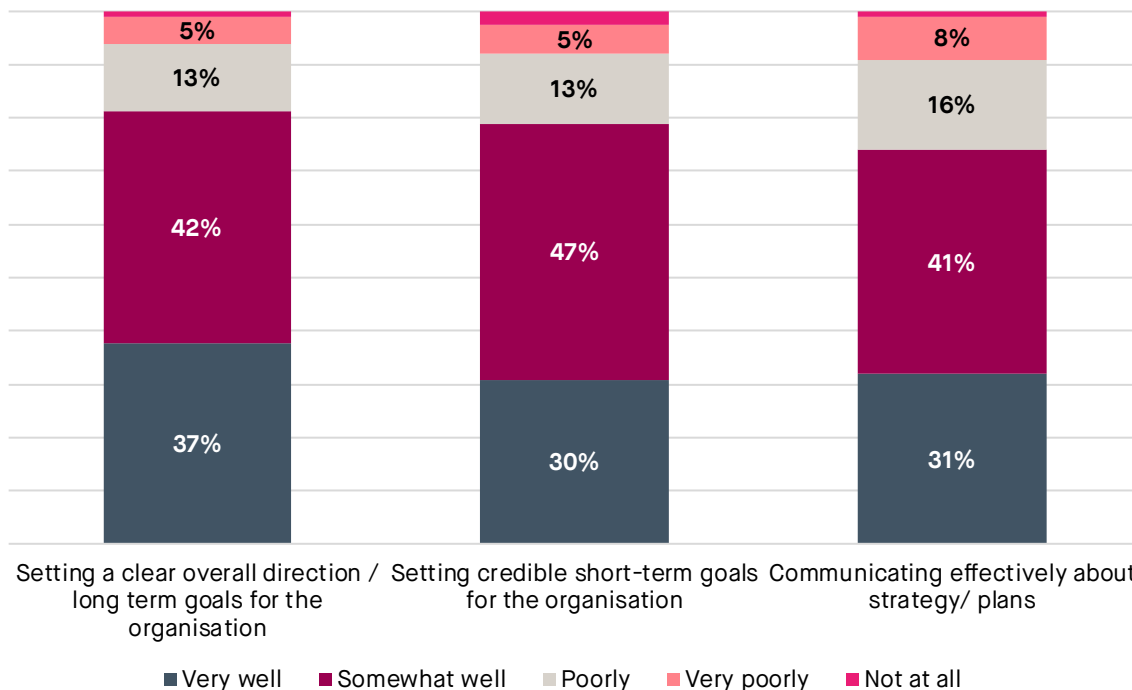
Source: SMF - Opinium Survey (2023)

Morale is an area that education leaders are struggling with

> *"Low teacher morale [is] associated with…more frustration, lack of confidence, resistance to change, excessive absence from work, lack of teaching quality and high turnover, and…backbiting, open hostility, bickering…On the other hand, high morale is associated with improvements in efficiency, quality, cooperation, and productivity among co-workers…Educational processes and systems depend heavily on teachers, and school performance can suffer if teachers are not happy and satisfied…If teacher morale is high, the school environment will be conducive to learning, collaborative, engaging, and productive".*
>
> **Cheema, J R and Asrar-ul-Haq, M. (2017). Effects of staff participation, morale, and shortage on organisational performance: An international survey**

High levels of morale and motivation amongst staff are characteristic of well-led organisations and are contributors to high performing organisations. As many of education leaders and managers surveyed by us recognised, they are key to an effective educational institution; morale and motivation[xv] were the third most commonly cited factors as being important for organisational success (see Figure 1).[28] However, our survey suggests that both morale and motivation are notable areas of weakness in many educational institutions in the UK. In-turn this has

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[xv] One key aspect of the motivation of many of those working in the public sector is "public service motivation", this is linked to a number of positive behaviours such as job performance, organisational commitment, satisfaction and recruitment among other factors. Source: Taha Hameduddin and Trent Engbers, "Leadership and Public Service Motivation: A Systematic Synthesis," *International Public Management Journal* 25, no. 1 (2022): 86–119.

unavoidable negative implications for the delivery of education.

Senior leadership does not perform as effectively on morale as it does in other areas of good leadership practice

When asked about the effectiveness of senior leadership at motivating staff, 68% said senior leadership performed well, with 30% performing poorly, or not at all.

Figure 5: How well or poorly, the senior leadership motivates staff
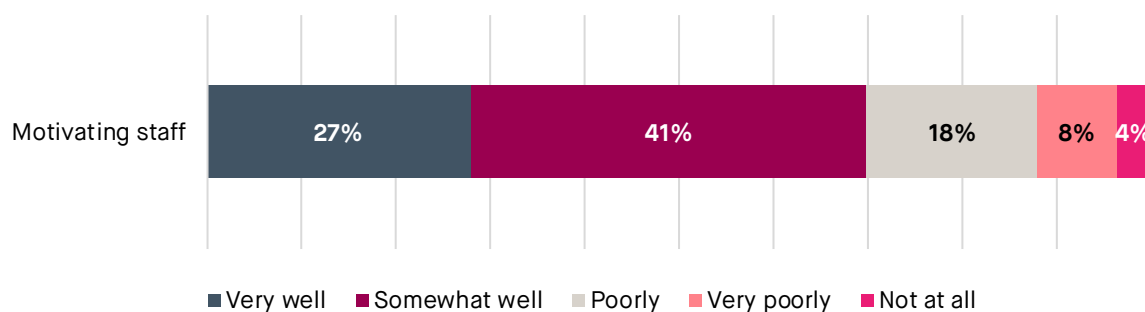
Source: SMF - Opinium Survey (2023)

There are notable differences in how good senior leadership is at motivating staff across different parts of the educational sector. Our survey showed that managers in schools for example, felt their leadership was much more effective at motivating staff than managers in colleges and universities. This may be, in-part at least, a result of different leadership approaches being employed across different institutions. Transformational leadership for example, is closely linked to higher motivation levels in educational settings.[29]

Figure 6: How well or poorly, the senior leadership motivates staff, by education area[xvi]
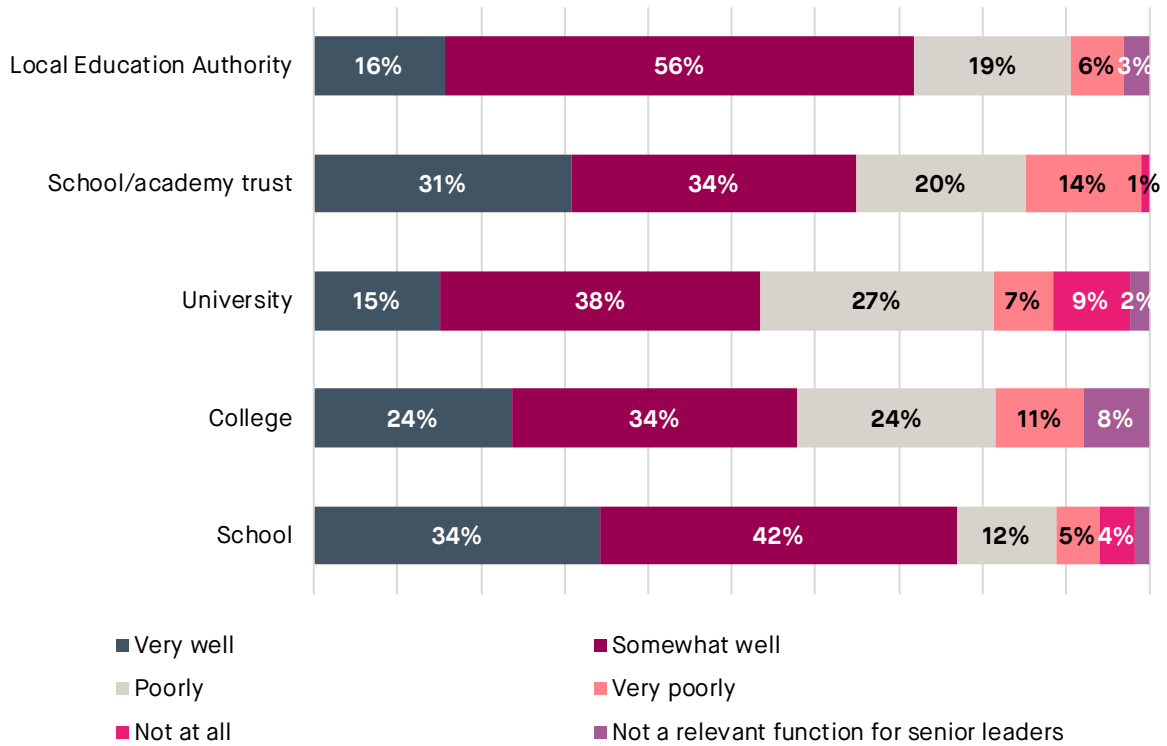
Source: SMF - Opinium Survey (2023)

When asked about their immediate areas of responsibility, only 63% of managers considered the level of morale and motivation to be "good" (see Figure 7). Junior managers were the least positive, with only 45% considering morale and motivation in their team to be "good".

[xvi] School/academy trust indicates those working in a trust at the trust level, i.e. not within the school environment.

Figure 7: Level of morale in immediate areas of responsibility in 2022

	Very good	Good	Neither good, nor poor	Poor	Very poor
All leaders and managers	21%	42%	16%	13%	6%
Senior leadership	26%	41%	18%	12%	2%
Senior manager	41%	43%	8%	4%	4%
Middle management	14%	44%	18%	14%	6%
Junior manager	21%	24%	17%	24%	12%
Team leader/Supervisor	18%	49%	12%	12%	8%
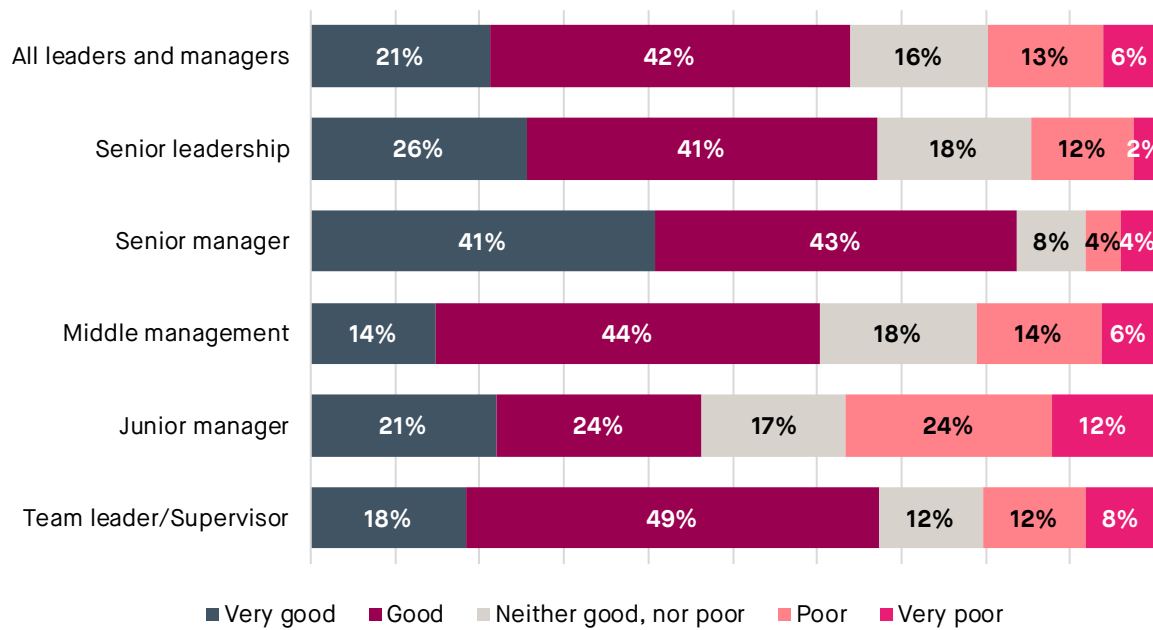
Source: SMF - Opinium Survey (2023)

CASE STUDY: LEADERSHIP AND MANAGEMENT IN HIGHER EDUCATION – LONDON METROPOLITAN UNIVERSITY

London Metropolitan University[xvii] has traditionally been a university with a core focus on widening participation and ensuring that those who have not stereotypically gone to university have the opportunity to do so. London Met Vice Chancellor Professor Lynn Dobbs spoke to us about her role in turning the university around and what plans are in place to ensure recent improvements are maintained in the long term.

A struggling university, turned around

Arriving at London Met, Professor Dobbs recognised that while the university had strengths, leadership and management had not been performing as well as it should have been. University finances were in rough shape, and staff were demoralised.

> *"When I first went around and talked to the staff… it became obvious that there was a culture of fear in the university around job security."*

Good leadership and management played a key role in the turnaround

A strategy for recovery, informed by staff

Finding that staff at the university were passionate but demoralised, Dobbs recognised that to change the fortunes of London Met, it would be necessary to have staff onboard. Discussions with staff when she arrived helped Dobbs to establish what was important to them:

> *"When I first went around and talked to the staff… it became obvious that there was a culture of fear in the university around job security."*

Such engagement helped her design a five-year strategy grounded in what they wanted: a basic investment in the academics of the university. To achieve this the strategy initially focused on ensuring financial sustainability, improving student recruitment, and academic achievement.

> *"Most of what we wrote in the strategy was actually not rocket science. It's a solid academic strategy…. There's no vanity projects in there."*

The strategy came with clear expectations, action plans and timelines for how and when an aim would be achieved. This ensured that completion of each stage would naturally support the success of the next, rather than trying to do everything together.

> *"I made sure that the action plans were measured against disruption and impact…we'll put one in each year, rather than doing them all at once."*

Internal and external targets were set as part of the strategy. These gave both the university objectives to aim towards and tools for the governors of the university to hold the leadership accountable with.

[xvii] Referred to as London Met from here on.

"We set a fairly ambitious set of targets as part of the strategy… Some of the targets are set by government requirements. And some of them were aspirational for the university internally. We're ahead on 18 of them, and two of them I don't know when we're ever going to manage to get there on them. But I think they're important for us to drive our practice."

A cohesive leadership and management structure is key to the strategy's success

Professor Dobbs attributes the successful implementation to a cohesive leadership team. Good relationships within the university helped to embed the new structures. High trust levels at senior management level cascade down to lower management levels. This helped to ensure that commitment to the strategy ran through the organisation, with well-trained, well-informed middle managers.

"They're absolutely critical [internal relationships]. Their relationship with me, their relationship with each other, their relationship with their line reports."

"It's been about developing trust between the different levels in the organisation and respecting and trusting the people that you've put into post to deliver without always interfering. "

The impact of change

Improved enrolment, satisfaction levels and finances

Evidence of Dobbs' impact can be seen in the evolution of London Met's student enrolment numbers (45% growth),[30] student satisfaction levels[xviii] and the university's finances (the deficit has reduced from 2.1% of its total income in 2017/18 to a surplus of 5.9% of total income in 2021/22).[31]

"I think the first year that I took over we had a £15 million deficit. And [now] we've gone into a position of strong surplus ahead of our strategic plan by three years".

[xviii] Student satisfaction scores in the National Student Survey have increased year on year, including through the pandemic, since 2019.

Table 3: Key Financial Indicators, London Metropolitan University 2017/18 - 2021/22

	2017/18	2018/19 [xix]	2019/20	2020/21	2021/22
Surplus/(deficit) as a % of total income	(2.1)%	(5.6)%	(5.0)%	2.9%	5.9%
Net cash inflow from operating activities as a % of total income	(10.7)%	(9.0)%	(7.9)%	15.6%	15.8%

Source: Higher Education Statistics Agency

Further evidence of the impact of the turnaround was seen during COVID-19 pandemic. The leadership and management improvements which had helped London Met become a high trust organisation meant the staff were able to provide teaching to students throughout the pandemic.

> *"We trusted them. I think that's a big part of successful leadership…. we couldn't micromanage teaching them all online. And we knew the staff would do their best for us. And they did. I think if we had tried to micromanage, it wouldn't have worked as well. We trusted them, they trusted us to look after them".*

Continued prioritisation of leadership and management to secure continued success.

Professor Dobbs emphasised the importance of a good pipeline of well-trained leaders and managers to continued organisational success. Noting it is risky to let success rely on an individual. Consequently, Dobbs reported actively working to develop leadership and management skills in people who she sees potential in, and who want a greater managerial role. Dobbs cautioned against pre-selecting people for management positions early on. Such an approach could result in some of the best suited to miss out.

[xix] HESA advises that "some HE providers saw significant cost adjustments in both 2018/19 and 2019/20, relating to the accounting treatment for the value of pension schemes. This appears as a significant additional cost in 2018/19, which caused some providers to report deficits, and an opposite movement in 2019/20, which caused some providers to show unusually large surpluses. This additional cost is an accounting, non-cash, adjustment. It is not a typical annual operating expense/credit for these providers and therefore caution is advised in any interpretation of financial operating performance in 2018/19 and 2019/20."

CHAPTER FOUR – MANAGEMENT PRACTICES IN THE PROVISION OF EDUCATION IN THE UK

Management is central to educational organisation success

Those in what might typically be seen as by those outside the educational system as managerial roles in educational institutions are often referred to as "middle leaders".[32] The quality of middle leadership has been found to be important to the performance of educational institutions.[33] This chapter shows that a substantial minority of educational institutions in the UK are not always utilising good management practices, associated with better performing organisations.

"The available evidence suggests that middle leaders have a direct and positive effect on the quality of teaching and learning…Overall, the research literature highlights that middle leaders play a pivotal role in securing better learning outcomes for students, resulting from their direct and positive influence on teachers' classroom practice…Other than at the teacher level, most variation in school performance occurs at the subject, key-stage, or department level…In short, a significant part of the within-school variation can be found at the middle tier implying that this is a critical layer for support and development".

Harris, A and Jones, M. (2017). Middle leaders matter: reflections, recognition, and renaissance

Recruiting and retaining good quality staff is a challenge for many in education

Recruiting and retaining good leaders and staff is an essential prerequisite for an organisation to be high performing, whether they are in need of turning around or continuous improvement. However, recruitment in education, particularly at primary and secondary levels, has been a long-running challenge. It has now reached a crisis point.[34] The problem extends across all levels in educational institutions. Leadership recruitment issues were noted by several of our roundtable attendees:

> *"The critical thing is getting the right people coming into the profession and the right leaders, and there is a dearth now. And I think anyone who's recruiting experiences that".*

Many managers see their institution as performing poorly on recruitment

Amongst the survey respondents, issues of staff recruitment and retention stand out. As Figure 8 shows, only 50% of leaders and managers felt that their organisation performed well at attracting talent in 2022, and 57% felt they performed well at retaining talent. A little over a fifth actively felt that their organisation performed poorly in these areas.

Figure 8: How good or poor was the organisation at the following in 2022?
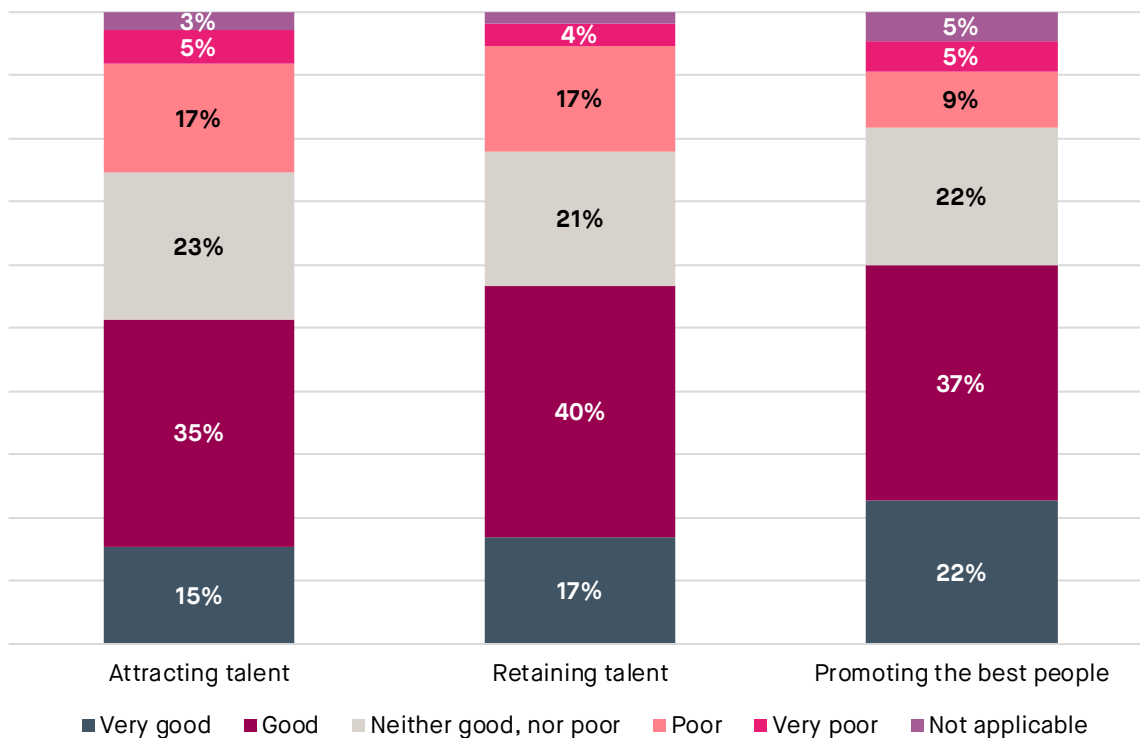
Source: SMF - Opinium Survey (2023)

Poor recruitment and retention are a symptom of poor management, often as a result of its impact on morale and motivation, both of which are closely associated with job performance. At the same time, as Chapter Five shows, recruitment and retention can negatively affect the ability of leaders and managers to lead and manage effectively. Some organisation can, therefore, get stuck in a damaging equilibrium that is difficult to escape from.

Promotion practices may undermine retention and restrict the pipeline of future leaders

Less than 60% of leaders and managers in education felt that their organisation performed well at promoting the right people (Figure 8). When asked about the basis on which promotions are made in their organisation, only 19% were able to say promotion was based solely upon performance and ability (see Figure 9).

Figure 9: Factors influencing promotion in education institutions.
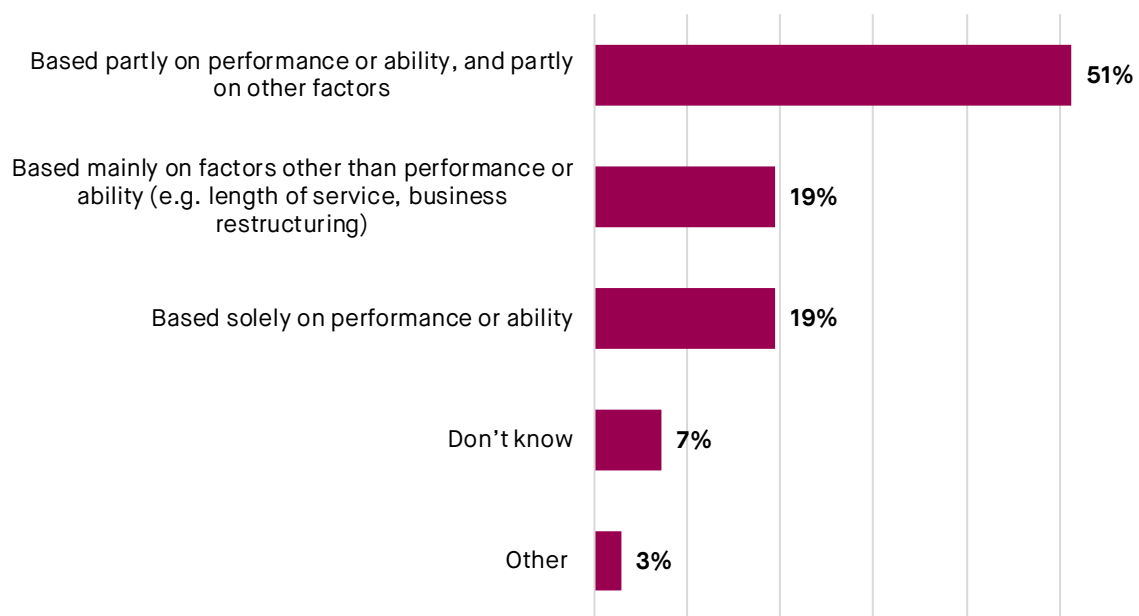
Source: *SMF - Opinium Survey (2023)*

Promotions are often viewed as a way to recognise and reward staff. Instances where promotion is not wholly merit-based therefore are likely to see the overlooked staff seek opportunities elsewhere. This has negative implications for the current cohort of leaders and managers who, the survey data suggests, may not always be the best people for those jobs and also for the pipeline of future leaders and managers.

> *"…well-structured evaluation systems not only serve…[a]..sorting purpose, but can also improve educational production through non-transient increases in teacher effectiveness. In the language of the education sector, if done well performance evaluation can be an effective form of teacher professional development".*
>
> **Taylor, E S and Tyler, J H. (2012). The Effect of Evaluation on Teacher Performance**

Performance management is a key factor in good management

Performance management is vital for selecting the right people for the leadership and management pipeline and, more broadly it helps ensure everyone in an organisation is working as effectively as they can, towards the right goals.

Performance management is an area of difficulty for many managers

Addressing underperformance appears to be a challenge for many leaders and managers. Only 56% would say that, within their immediate area of responsibility, underperformance is being dealt with well. Almost a fifth (18%) think that addressing staff underperformance is actively poor. A persistent tail of underperforming team members are a drag on overall performance. The implications of sub-par performance management is that teaching for example does not improve and educational outcomes do not get better.

Figure 10: effectiveness of leaders and managers in addressing staff underperformance in their area of immediate responsibility
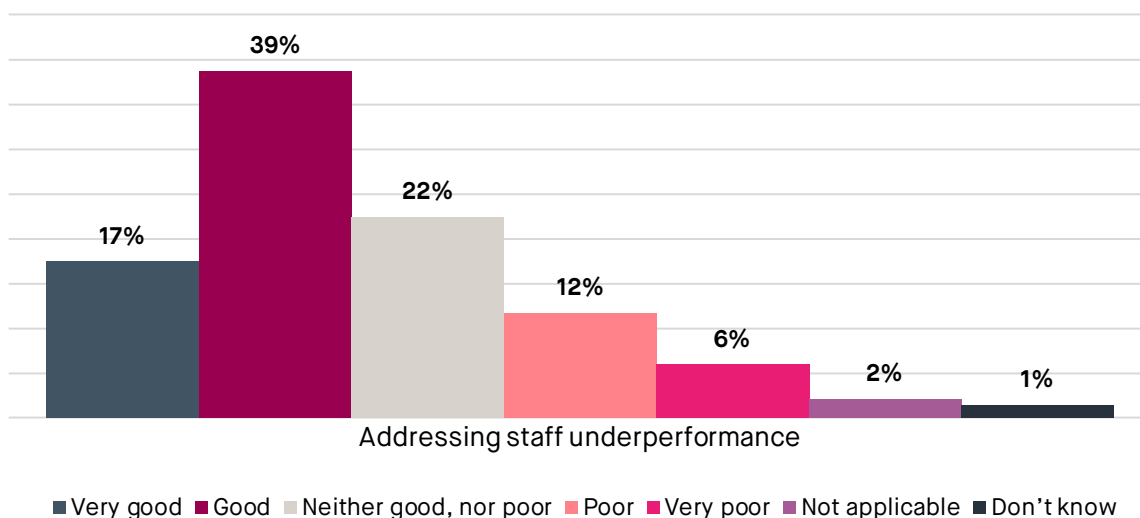
Source: *SMF - Opinium Survey (2023)*

The survey of leaders and managers demonstrated that a wide range of measures are used to try and improve the performance of underperforming managers, with no stand out measures (see Table 4).

Table 4: Steps taken when a manager is underperforming

	First instance	Second instance	Third instance
Most common action	Informally encourage improvement (23%)	Provide additional (relevant) training (25%)	Formally put under a performance management programme (19%)
Second most common action	Mentoring from another colleague (20%)	Mentoring from another colleague (21%)	Provide additional (relevant) training (18%)
Third most common action	Provide additional (relevant) training (17%)	Formally put under a performance management programme (14%)	Informally encourage improvement (11%) Mentoring from another colleague (11%) Pass on to HR to deal with (11%)

Source: *SMF - Opinium Survey (2023)*

Leadership and management training is common in education organisations

"In general, leadership training offers knowledge about important leadership behaviours and can strengthen leaders' ability to implement them in practice…Furthermore, effective leadership training leaves and time and opportunities for individual and collective reflection about leadership practices, which can spur deeper understanding of leadership as well as more active leadership behaviour".

Botcher Jacobson, C. et al (2022). Can Leadership Training Improve Organizational Effectiveness: Evidence from a Randomized Field Experiment on Transformational and Transactional Leadership

It was noted in our roundtable that an educator who is good at teaching will often be promoted to a managerial position. While training interventions are generally seen as being helpful to improving management quality, in education, moving into a leadership role is not always matched with sufficient appropriate training in how to lead well in an educational institution.[35] [xx] The best leadership development is consistent, progressive and utilises a mixture of mutually reinforcing methods. However, in the context of some of the constraints described in Chapter Five for example, adequate training is not always practical and, as noted by participants in our roundtable, some of the training that is available may not be optimally aligned with what is needed (see Box 2).

There should be specific concern amongst policymakers about the pipeline of future senior leaders in education. Those at the most junior levels of leadership i.e. junior managers and team leaders/supervisors report receiving less leadership and management training and when they do, they more frequently describe it as not making a difference than those at more senior leadership levels.

[xx] Please see Annex One for more detail on the differences between the two functions.

Figure 11: Days of leadership and management training undertaken by leaders and manager sin education institutions, in 2022

2 to 4 days
- All: 31%
- Team leader/ supervisor: 17%
- Junior manager: 34%
- Middle manager: 33%
- Senior manager: 29%
- Senior leader: 38%

5 to 10 days
- All: 25%
- Team leader/ supervisor: 32%
- Junior manager: 7%
- Middle manager: 24%
- Senior manager: 31%
- Senior leader: 31%

None
- All: 13%
- Team leader/ supervisor: 25%
- Junior manager: 23%
- Middle manager: 13%
- Senior manager: 5%
- Senior leader: 4%

More than 10 days
- All: 11%
- Team leader/ supervisor: 10%
- Junior manager: 5%
- Middle manager: 9%
- Senior manager: 18%
- Senior leader: 13%

1 day
- All: 10%
- Team leader/ supervisor: 7%
- Junior manager: 9%
- Middle manager: 13%
- Senior manager: 6%
- Senior leader: 8%

Less than a day
- All: 8%
- Team leader/ supervisor: 7%
- Junior manager: 20%
- Middle manager: 7%
- Senior manager: 8%
- Senior leader: 4%

Legend: ■ All ■ Team leader/ supervisor ■ Junior manager ■ Middle manager ■ Senior manager ■ Senior leader

Source: SMF - Opinium Survey (2023)

Figure 11 shows 85% of leaders and managers undertook some training in 2022, with two to four days being the most common (31%). Lower management levels were less likely to have had training, with 25% of team leaders and 23% of junior managers reporting they had no training at all in 2022.

"...training changes leadership behaviour if the training includes feedback, classroom education, coaching and reflections that involve work experience..."

Botcher Jacobson, C. et al (2022). Can Leadership Training Improve Organizational Effectiveness: Evidence from a Randomized Field Experiment on Transformational and Transactional Leadership
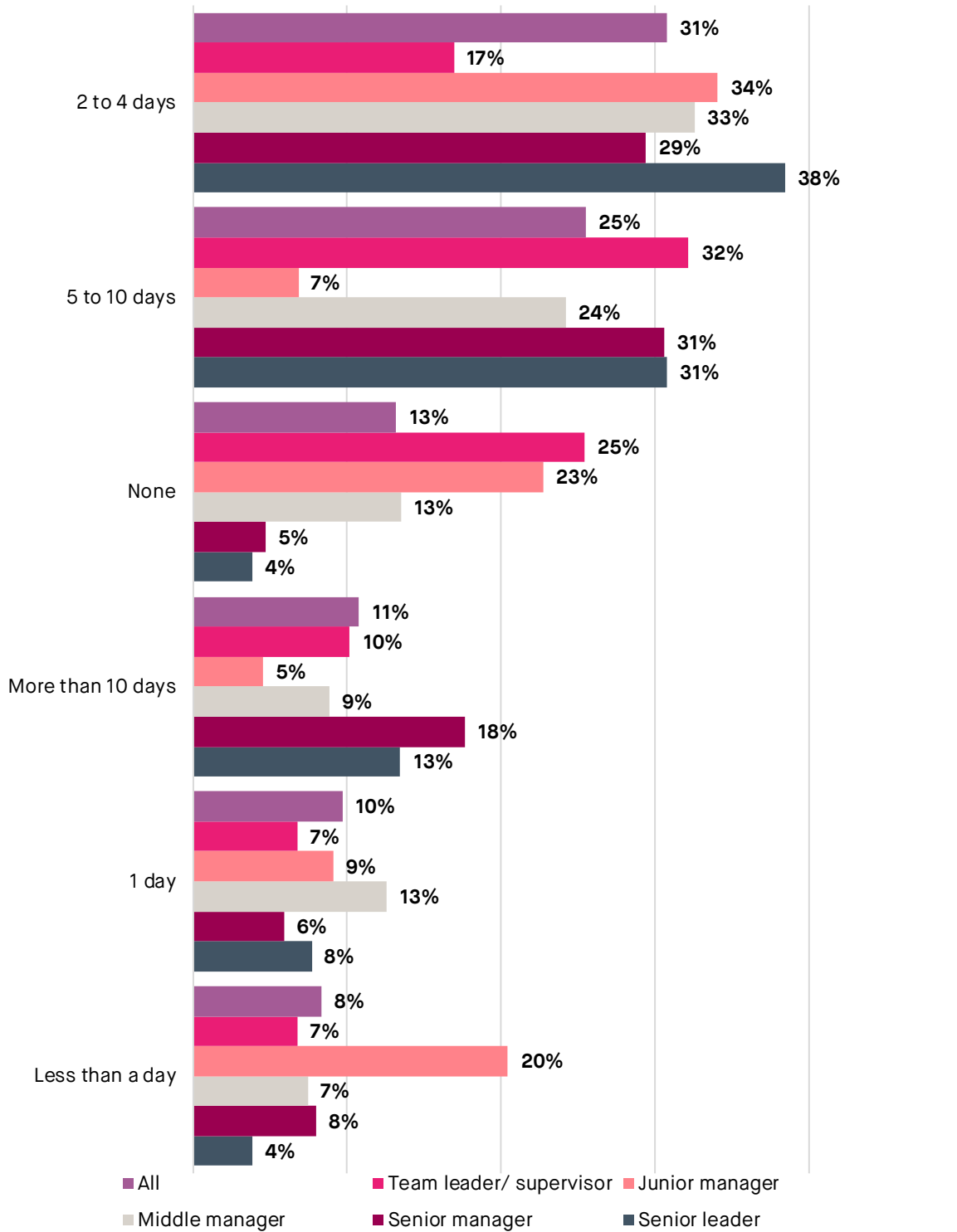
More than 9 in 10 (92%) senior leaders reported the training they received made a positive difference. In contrast, among the junior managers that received training, 66% felt that the training they received made a difference. Across junior managers in the UK's educational institutions, around half (51%) received some leadership training in 2022 that made a positive difference to them, as per our survey findings.

Figure 12: Whether leadership and management training made a difference
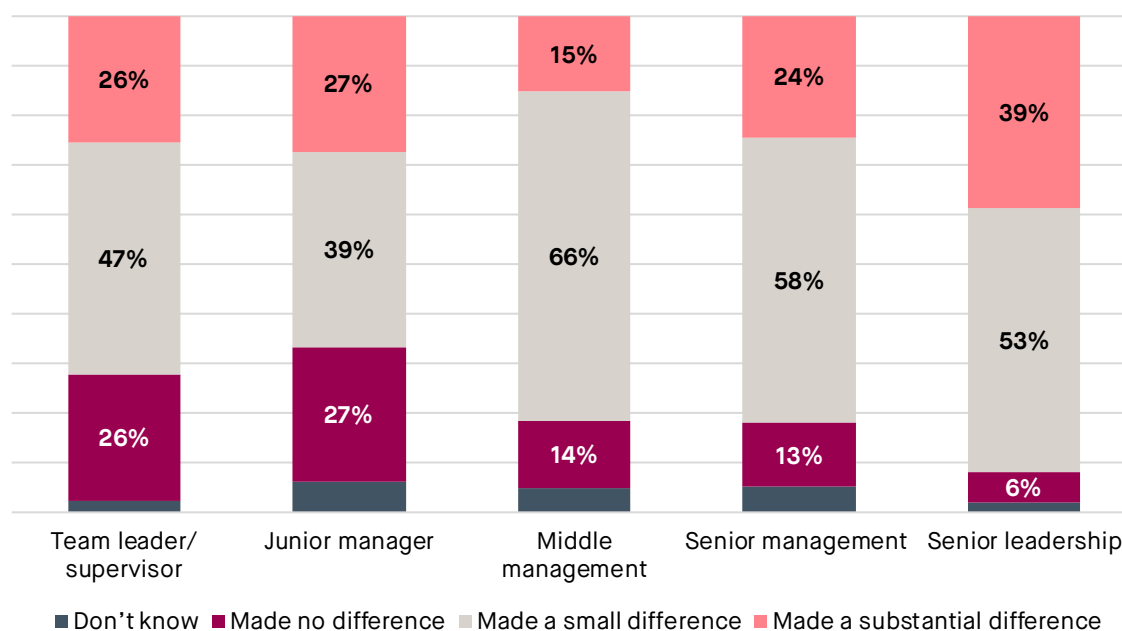
Source: *SMF - Opinium Survey (2023)*

Autonomy is an important component of effective management

Autonomy for managers (often captured by the concept of "distributed leadership") provides an opportunity for "middle leaders" in educational institutions to use their judgement and skills. That autonomy is often constrained by various factors. These can include an organisation's culture, time and resourcing limitations, formal internal processes as well as professional demarcations, institutional silos, and intrusive oversight.[36] In addition, the size of organisations, an insufficient distribution of the necessary information and knowledge and inadequate skills among the workforce to exercise that autonomy effectively and realise the benefits of distributed leadership can also result in leadership decentralisation not delivering better organisational performance.[xxi][37]

Survey respondents in education report a relatively high level of autonomy. A little over three-quarters (76%) of respondents to our survey considered that the senior leadership in their organisations respected their ability to perform their role without oversight (see Figure 13).

Figure 13: Performance of senior leadership in relation to respecting staff to perform their roles effectively without oversight.

31%	45%	13%	5%	

■ Very well ■ Somewhat well ■ Poorly ■ Very poorly ■ Not at all
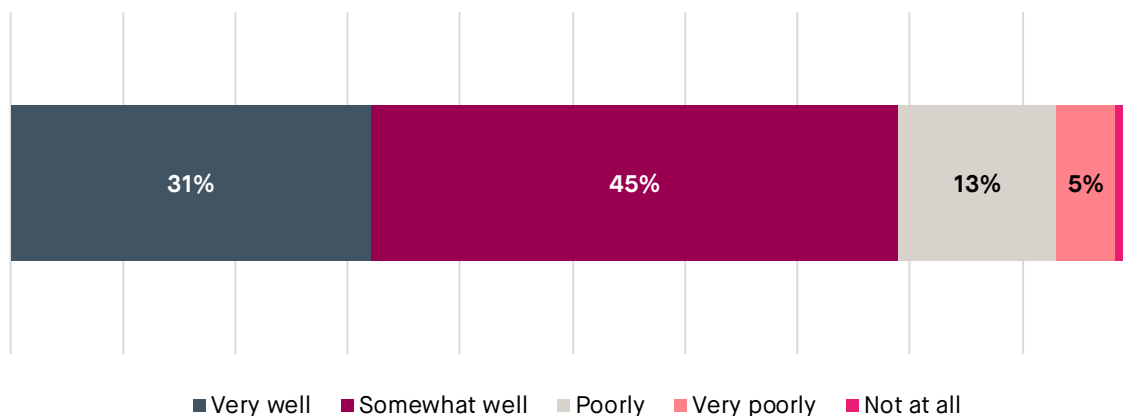
Source: SMF - Opinium Survey (2023)

[xxi] Academies are a type of state funded school. A Multi Academy Trust is when a group of academies come together and form a trust. This means their funding is pooled and shared. As trusts they not only have a board of trustees, but often other layers of functions above the leadership of the individual schools. Source: Ofsted, "Multi-Academy Trusts: Benefits, Challenges and Functions," 2019, https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/936251/Multi_academy_trusts_benefits_challenges_and_functions.pdf.

Consistent with widespread decentralisation, 79% of those surveyed said their superiors trusted them to deal with problems (see Figure 14). However despite, on the face of it, there being considerable autonomy in the majority of educational organisations in the UK, when asked about respondents' experiences of trying to identify and implement the best solutions to a problem, the reality for many was of limited autonomy, perhaps betraying those organisations as ones of comparatively low trust.[xxii] For example, more than half of respondents (52%) reported that their organisation's rules acted as barriers to implementing solutions and 58% agreed that interference by superiors was often a barrier.

Figure 14: Extent to which managers have the autonomy to solve problems.
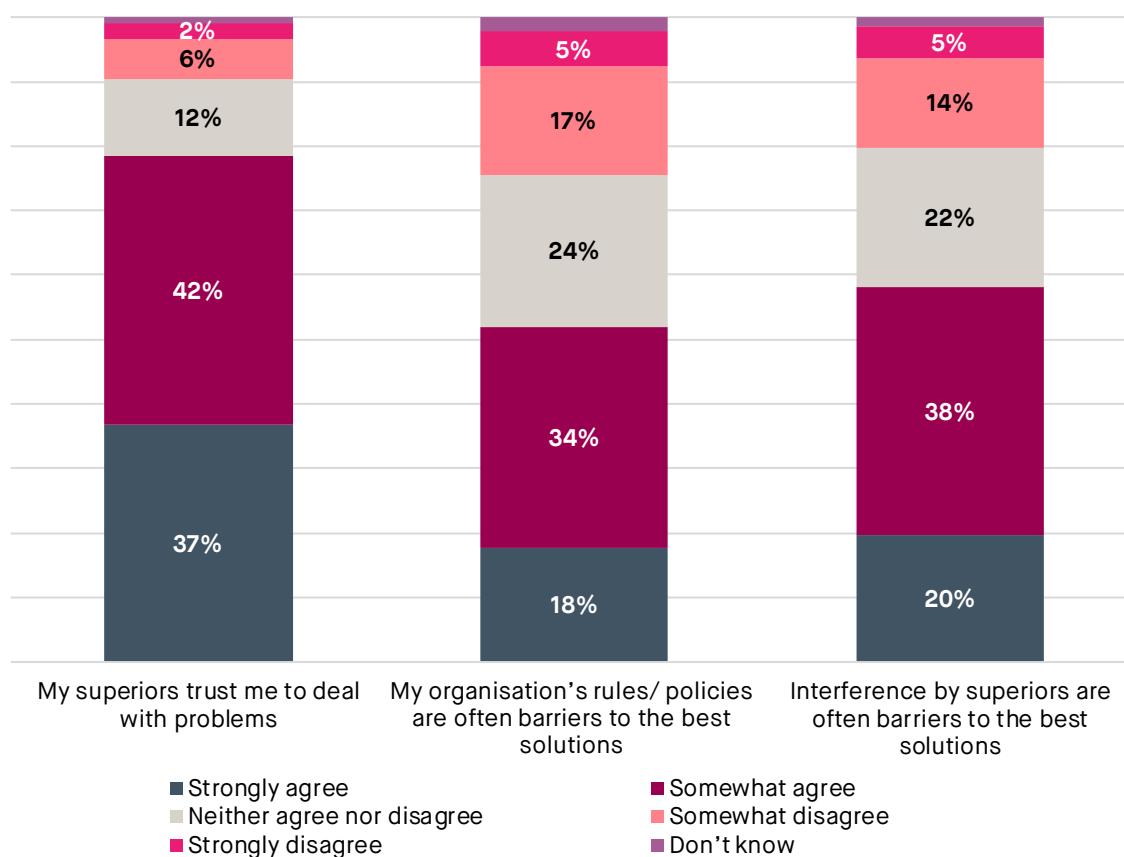
Source: SMF – Opinium Survey (2023)

CASE STUDY: LEADERSHIP AND MANAGEMENT IN FURTHER EDUCATION – EXETER COLLEGE

Exeter College

Exeter College received a rating of "good" at its first inspection in 2008, and then a rating of "outstanding" in 2014, and 2023. Current Principal and CEO John Laramy has been at Exeter College since 2009 when he was brought in to help the college reach "outstanding". He spoke to us about his time there. Rather than completely changing the wheel, an effective and actionable strategy that focused on refining leadership and management practices was key to the change, and to maintaining the "outstanding" standard.

Refining leadership and management practices

Throughout our discussion, Laramy was keen to stress the college was not about one person, making decisions in isolation, but about creating the conditions to enable great people and leaders to flourish at every level of the organisation. This can be evidenced in the leadership and management practices at the college.

Extensive use of data to inform decisions

The process of refining leadership and management at the college began with more extensive collection and use of data in the college. It allowed leaders and managers to identify the areas that needed improvement and proved valuable for persuading more resistant staff of the necessity of change. The data was used to assess the effectiveness of changes and develop a set of good practices.

> *"Once you know the standard you have to meet and you know how you'll be measured, things really started to improve".*

Working with the wider community

Also key to the journey to being "outstanding" was the development of greater external relationships. Laramy pointed out that working with local employers, for example, enabled the college to make sure that its programmes were appropriate for the local economy. There was also considerable effort made to work closely with local schools in a mutually beneficial way, in order to ensure a pipeline of new students onto appropriate courses.

> *"The approach really is what more can we do as a college…How can we help your school be better, how can they help us be a better college".*

> *"We co-designed our entry criteria with local schools…In lots of colleges that conversation doesn't happen and they [schools and colleges] sit on two sides of a wall with no door or window."*

Listening to the views of staff and students

Laramy, when Vice Principal, instituted a mechanism for obtaining a better picture of the views of staff and students about the college.

"It's really three simple questions: What's great? What could we do better? And are there any staff/teams doing a really great job, so we can thank them".

Laramy noted that understanding the concerns of staff and students helps leaders see problems coming and deal with them sooner rather than later.

"When you become a leader people don't feel as confident to give you bad news, you need to find a mechanism where they can do that".

The college actively develops leaders and managers

Laramy spoke about the actions the college takes to ensure a pipeline of good leaders for the future. One of the ways is identifying 2-3 staff members who are not part of the senior leadership team to work on developing the next strategic leadership plan. They then presented the plan to stakeholders. This works, he said, not only as a training exercise for those who may move into senior leadership positions, but it also helps to get honest feedback from staff on what is working and what ideas might not be working.

"The boss changes the dynamic of every meeting you're in. Stepping back, you get excellent and honest feedback from staff, which hopefully avoids clumsy decision".

The College also uses the CliftonStrengths[xxiii], to help understand the traits of the leaders at the college, to improve internal leadership. Other development activities include mentoring and leadership away days.

"Leadership development, mentoring, really clear conversations about standards, this is what happened these are our expectations".

Maintaining momentum and securing the future

Keeping the mission, but looking to the future

To get Exeter College from "outstanding" to "exceptional" Laramy described the need to reflect this ambition. The process of enhancing the college's vision began with getting the staff involved to ensure everyone would be bought into it. As with the use of data initially, knowing what the next step is enables different faculties to make their own personalised improvement plans.

"[The] new vision is to be an exceptional college. Whatever you do at Exeter college it should stand out from every other college".

"We have asked every area of the college, to look at what exceptional looks like to them, what are the attributes of that".

[xxiii] CliftonStrengths is a psychometric tool that helps to identify an individual's innate talents and abilities, and how these can be developed (e.g. through training) in order to maximise each individual's potential, helping them to achieve their goals and improve performance. Source: Gallup, "Live Your Best Life Using Your Strengths," n.d., https://www.gallup.com/cliftonstrengths/en/home.aspx.

Autonomy within limits for leaders and staff.

Leaders and staff across Exeter College have a significant degree of autonomy. Laramy described it as "freedom in a box". Each area of the college receives and is responsible for their own budget and can largely spend that budget how they feel it would best benefit them.

> *"Budgets are delegated to different areas of the colleges… it has to be legal, and it has to pass the Daily Mail test."*

Faculties implement college rules and procedures in the ways they see most fitting to their circumstances.

> *"Areas [faculties] each have their own personality… Visiting maths and science is very different to when you visit creative subjects."*

Laramy felt that this freedom demonstrated a level of belief and confidence from college leadership, in the leadership and management elsewhere in the college. In turn the leadership are rewarded with positive student outcomes and staff satisfaction.

A positive culture that emphasises recognising good leaders, and rewarding them

Maintaining momentum is made possible by a positive work environment that ensures staff work in a high morale culture:

> *"[there is] lots of focus on the challenges, not as much on the positives… talk about problems you get problems. There's never enough money, there never will be, what can we do with what we've got".*

Laramy highlighted that staff wellbeing and recognising good work are essential facets of a high morale workplace. Informal activities and rewards such as an end of year (voluntary) staff barbecue are used as opportunities to thank all staff. More formal procedures are also in place to reward staff who are doing an exceptional job.

CHAPTER FIVE – OBSTACLES TO IMPLEMENTING EFFECTIVE LEADERSHIP AND MANAGEMENT PRACTICES IN EDUCATIONAL INSTITUTIONS

The constraints on leaders and managers within education

The context that educational leaders work in affects what they can do and the extent to which decisions and actions prove to be effective. This is particularly the case in the sectors like education where the context is often complex. That complexity is in-part because the factors that shape it can be both external and internal to an organisation.[xxiv] For those closer to the top of the leadership hierarchy in a school for example, external factors such as government policy and finance tend to be salient. For those lower down the leadership structure internal factors are often more prominent.

> *"…there is consensus that public sector leaders face a series of distinctive issues… they need to lead across and within multiple professional hierarchies and groupings… they are required to respond to the demands of multiple principals (funders, political leaders and service users to name a few), and to deliver according to complex and varying performance criteria…their room for manoeuvre is therefore limited multiple audit/performance regimes and high levels of formalized constraints on their authority…their work is characterized by goal complexity and ambiguity…they are increasingly required to navigate inter-organizational hierarchies and multiple agencies working together…they may lead on the design and delivery of services that rely upon 'co-production' with service users"*
>
> **Lindsay, C (2020), Leadership in Public Sector Organisations in Organisational Leadership, ed Bratton, J.**

Human resource and staffing constraints are the most common obstacles to leading and managing as effectively as possible

In our survey, we asked leaders and managers to detail some of the biggest obstacles they faced (if any) which inhibited their ability to perform their roles effectively[xxv], (Table 5):

- Almost 70% of leaders and managers in education highlighted obstacles which prevent them from doing their job effectively.
- Nearly 60% of senior leadership described key barriers to them carrying out their roles as effectively as they might.

[xxiv] Internal factors include organisational culture and the degree of operation autonomy. External factors include politics, media framing and regulations, among others: Source: Richard Hyde, "Managing It Better" (Social Market Foundation, 2023).

[xxv] This was an open-ended question in the survey. Respondents were able to use their own words to describe the factors that hindered them.

Table 5 : Obstacles to good leadership and management in education[xxvi]

Category of obstacle	% of total respondents	% of all respondents who described obstacles
Human resourcing	24%	35%
Time/workload	19%	28%
Organisational culture	19%	28%
Budgets/funding	16%	24%
Internal process	10%	15%
Senior leadership	9%	14%
External (to education) factors	8%	12%
Structural/organisational	7%	10%
Inadequate/insufficient tools	6%	10%

Source: SMF - Opinium Survey (2023)

Recruitment and retention issues create some of the most significant obstacles to effective leadership and management

Human resourcing issues were the most frequently cited type of obstacle (Table 6). Within that category of barriers, recruitment and retention were prominent, reflecting the survey findings noted earlier (Figure 8).[xxvii] The importance of retention in particular, as a drag on effective leadership, was also highlighted at the expert roundtable convened to inform this report:

> *"Thinking about what kind of environment is really going to allow school leaders to flourish is retention, staff retention...".*

[xxvi] Obstacles were filtered into 38 distinct categories. Some of these had substantial enough populations to stand on their own, others we grouped together based on theme.

[xxvii] Education is not the only publish service struggling with recruitment and retention it is a widespread problem. Source: Matthew Fright, Nick Davies, and Gil Richards, "Retention in Public Services: How Can Government Keep Workers in the NHS, Schools and Police?," 2023, https://www.instituteforgovernment.org.uk/sites/default/files/2023-10/Retention-in-public-services.pdf.

Figure 15: Teaching vacancy levels and temporarily filled roles in England, 2010/11 – 2022/23

Source: School Workforce Census [38]

Only 6 in 10 teachers remained in teaching in state schools in England, after five years. [39] Particular recruitment and retention challenges are found in subject areas such as maths and science. [40] The FE sector and universities are similarly suffering from recruitment and retention issues. [41]

In testimonies from survey respondents reported that insufficient numbers of staff were a prominent constraint on the ability to manage effectively. It has been regularly observed that an insufficiently large workforce results in higher workloads which negatively impacts individual performance and organisational efficacy and efficiency. [42]

> *"Staffing. When staff are ill, we are just meant to cope without them, this is just not possible. Education suffers". (*Middle leader, school*)*

> *"Recruiting is [a] really long, drawn-out process when trying to replace a leaver which means the team can be stressed with too much work". (*Middle manager, university*)*

> *"Constant changes of staff- people leaving and it is difficult to find a suitable replacement." (*Junior manager, university*)*

The relationship between staffing levels and management is two-way. Not only does insufficient staff cause management difficulties but poor management drives people out of a workplace and contributes to the retention crisis. [43] It is understandable that such situations can become vicious circles that are hard to get out of.

Time pressures and workloads leave little room for leaders to focus on leadership

Closely linked to having enough high quality people is that of time and workload, which were jointly the second-most frequently raised obstacles facing leaders in educational institutions. Typical of the kinds of remarks from survey respondents, outlined below, about how workforce, time and workload issues were mutually negatively reinforcing:

> *"Lack of time to research new ideas/initiatives and implement fully and confidently – small school with no budget to cover teachers for leadership time"* (Middle leader, school)

> *"The biggest issue within my organisation is time, regarding time to properly manage. My role as a teacher is extremely time consuming."* (Senior manager, Local Education Authority)

Poor organisational culture is inhibiting leaders and managers

A good organisational culture is widely known to be an ingredient in successful educational institutions.[44] Organisational culture is important for:[45]

- Shaping how open to ideas an institution is.
- Influencing the thinking and actions of leaders, and the culture is in-turn shaped by those actions by leaders.
- Determining the nature of the communication that takes place within an organisation.
- Framing decisions at all levels and the processes through which they're made.
- Helping organisations adapt to changing environments.

Problems relating to organisational culture were noted by 28% of those who, in our survey, identified obstacles to effective management:

> *"Directors dictate processes they don't understand and don't ask or listen to the people who put the process into action".* (Team leader/supervisor, college)

> *"Exec level managers are very removed from the shop floor and don't understand that a reorganisation won't make any difference to performance."* (Senior manager, university)

> *"My headteacher is a huge barrier to anything productive. She limits creativity and inspiration and is insulting."* (Senior leader, school)

> *"Directors dictate processes they don't understand and don't ask or listen to the people who put the process into action".* (Team leader/supervisor, college)

> *"Exec level managers are very removed from the shop floor and don't understand that a reorganisation won't make any difference to performance."* (Senior manager, university)

> *"My headteacher is a huge barrier to anything productive. She limits creativity and inspiration and is insulting."* (Senior leader, school)

Issues with communication and a resulting lack of understanding between leaders and the staff and the workforce not being listened to, were particular challenges raised in the testimonies from leaders in educational institutions. Further, a poor organisational culture is closely related to low morale and motivation among a workforce. The highlighting of this obstacle to effective leadership and management by many respondents chimes with other findings from the survey around leaders in many institutions struggling with morale and motivation issues (see Figures, 5, 6 and 7).

One roundtable attendee also expressed concern that the organisational culture in higher education was to regard leadership and management as not being especially important, noting that academics:

> *"…talk about leadership and management as 'admin'… they have a very strange notion of what is leadership, what is management and what are administrative tasks"*

Attitudes like this indicate that it may be difficult for good leadership and management to become ubiquitous especially in HE unless more interventionist approach is adopted, as there appears to be a cultural aversion to acknowledging the existence, and by extension the utility, of leadership and management.

Challenges with funding and budgets make it harder to manage and lead

Budgets have been a challenge across the public sector as a whole for a long time. Education is no exception. How budgets are set in education varies depending on the education area, although often they are determined by the number of students enrolled. Inadequate funding can affect who education organisations can recruit, how much more they can pay staff and the amount and quality of physical resources a school or college has at their disposal.

One analysis suggests that under current public expenditure plans, by 2024-25, funding for schools in England at least will be 3% lower in real terms than it was in 2010.[46] [xxviii] With staff costs a high proportion of the total cost of running an educational institution, tighter budgets often put immediate strain on workforce numbers.[47]

The challenges associated with finance were raised by 24% of survey respondents, who agreed that it was a barrier to them leading as well as they otherwise would be able to, with a number of testimonies illustrating how financial constraints impact on leadership in education:

> *"Lack of funding – to provide adequate resources for students, to improve staffing numbers in order to support students properly". (*Middle leader, academy trust*)*

[xxviii] The Education Policy Institute (EPI) estimated that the real terms cut in schools funding since 2010 equates to just under one teacher in the average primary school and between 3 and 4 teacher in the average secondary school. Source: Education Policy Institute, "Current Estimates of School Funding Pressures," Education Funding/ Policy Analysis (blog), October 24, 2022, https://epi.org.uk/publications-and-research/current-estimates-of-school-funding-pressures/.

"Lack of funding to get all the needed resources to teach so the students can enjoy while learning" (School, team leader/supervisor)

"Lack of resources, equipment is always breaking and takes forever to get it reported and rectified" (Junior manager, academy trust)

CHAPTER SIX – POLICY RECOMMENDATIONS

Prioritising leadership and management in education policy

Bringing about improvements in the performance of schools and colleges through higher quality leadership and management, will require policy action across four fronts. These are set out in Diagram 4.

Diagram 4: Delivering the leadership and management solution to the education quality deficit problem
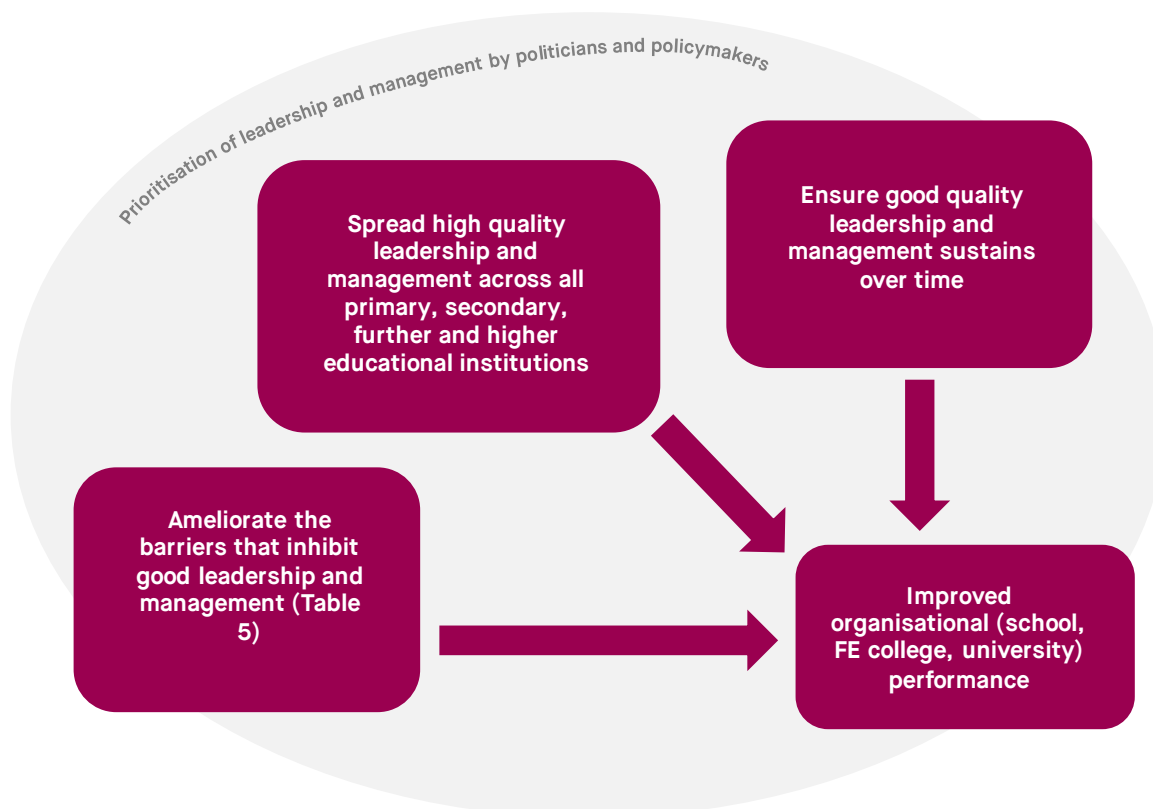
Source: SMF analysis

Prioritising leadership and management at the highest policy levels

Reform must begin by making leadership and management an education policy priority. This means putting them ahead of further structural and other kinds of reforms, in order to develop a coherent set of leadership and management focused measures and drive them through.

> **Recommendation One – Politicians and policymakers should make leadership and management a priority issue, and urgently develop proposals to ensure the spread of high quality leadership and managment across the whole education sector. Embed best leadership and management practices across schools, FE colleges and universities over the long-term and bring about a significant reduction in the obstacles that constrain leaders and managers in to the detriment of their efficacy**

While leadership and management in education has benefited from some interest over the decades from politicians and policymakers, it has rarely been a central focus. The latter has tended to be on structural reforms, curriculum changes, pay and teacher training. As such, leadership and management have been somewhat overlooked as important factors which have a key contribution to make to educational quality and ultimately education outcomes.

There is an opportunity to change this and for politicians and policymakers to make leadership and management more prominent part of the education reform agenda.

To signal their commitment to better leadership and management in education, the government and the Opposition should consult upon and then bring forward a strategy to boost the adoption of best leadership and management practices across the education sector. That strategy should include the kinds of measures set out in the recommendations Two to Five.

Tackling the barriers afflicting leaders and managers in educational institutions

As Chapter Five showed there are a plethora of constraints on leaders and managers in education leading in the most effective ways in their organisations. The Government already recognises that recruitment and retention are problems in education. However, the challenging environment for leaders and managers involves more than just recruitment and retention (as important as they are). All the main obstacles need to be identified and ameliorated if the full benefits that good leaders and managers can deliver for an organisation are to be realised.

> **Recommendation Two – Build on the current Teacher Recruitment and Retention Strategy and develop a more comprehensive approach to reducing the main barriers to leaders and managers maximising their impact on their organisations**

As shown in Chapter Five there are a number of obstacles to leaders and managers deploying best leadership and management practices and maximising their influence on organisational performance.

Recruitment and retention are two obstacles that the Government has set out to try and ameliorate, with its Teacher Recruitment and Retention Strategy.[48] The efficacy of this effort should be reviewed in 2025.

However, our research showed there are other factors limiting the efficacy of leaders and managers in education. Therefore, a wider strategy aimed at minimising the full spectrum of significant obstacles to effective leadership and management is needed.

After the review has established the extent of the impact of the Teacher Recruitment and Retention Strategy (i.e. its successes and failings) have been evaluated, whether it is continued or refreshed, it should be folded into the wider strategy to minimise the barriers to leaders and managers being able to lead and manage as best they can. This would enable the development and implementation of a comprehensive approach that is more likely to deliver a more coherent set of solutions.

Spreading and embedding high quality leadership and management across the education sector

The NPQ framework is the DfE's main tool for trying to improve the quality of both current and future leaders in the education system. In that light, any proposals to help further improve leadership and management quality in education would most profitably build on the NPQ system. In that vein, if good leadership and management practices are to become widespread across schools and colleges, there needs to be a mechanism for ensuring NPQ standards are adhered to by all those wanting to become leaders or in leadership positions.

Recommendation Three – Revamp NPQs on leadership and mandate them for all those aspiring to be or already in leadership and management roles in state funded education

The evidence from Ofsted on school and FE college performance alongside the leadership and management quality ratings of those same institutions, the survey data showing a sizeable minority of educational institutions are not implementing good leadership and management practises and the qualitative findings from the expert roundtable, cumulatively show:

- There is some way to go to ensure all education organisations meet a minimum leadership and management standard.
- Few "good" rated institutions are continuing to improve sufficiently in order to move into the "outstanding" category.
- The voluntary approach to spreading best leadership and management practice is having a limited impact.

To make sure, therefore, that best practice becomes ubiquitous across schools and FE colleges, leadership NPQs should be compulsory for all aspiring and current leaders.

The discussion at our expert roundtable identified that current leadership NPQs contained a number of deficiencies e.g., they fail to cover a number of key management competences adequately. Consequently, many of those completing such training may ultimately find themselves underprepared for management. To remedy this, the content of leadership NPQs should be expanded where necessary to ensure that best practice management and leadership skills - for both senior and middle leaders - are taught.

Further, to ensure skills do not deteriorate and leadership and management practices in institutions keep up with the emergence of new best practices, refresher training for all those who have been through NPQ training on leadership and management should be required, from time-to-time.

In addition to broadening the scope of what is taught, coaching and support networks should become more prominent parts of NPQs. Each NPQ currently on offer includes group coaching as part of the training, however, once the programme has been completed that tends to be where it ends.[xxix] Our roundtable and our case studies extolled the virtues that having a coach or a mentor can have on leadership capability, and not just at the most senior level. Finding a coach for every teacher who completes an NPQ would be a challenge, therefore one option might be that coaching could take the form of a buddy system, where participants are paired with someone the level above them, for support.

Recommendation Four – Develop leadership NPQs or equivalents for other parts of the education sector

There is not yet an equivalent to the NPQ framework for universities. As evidenced in the London Met case study, universities often have their own leadership and management training programmes. Not all universities however have such a focus on training for leadership and management.

To ensure the benefits of high-quality leadership and management are enjoyed across all the parts of the education sector, formal leadership and training programmes should be developed for leaders and managers in third level institutions. The Quality Assurance Agency (QAA) could be well placed to work with universities to produce standards that those in higher education leadership and management should be expected to meet. These standards could be added to the QAA's UK Code for Quality Higher Education.

Those in higher education are not subject to the same sort of formal training framework as schoolteachers, therefore there is less scope for embedding leadership and management practices into training. One way to obviate this problem could be to make participation in leadership programmes a standard part of CPD.

As NPQs are delivered by a variety of approved providers, existing programmes in universities could be incorporated into new NPQ programmes. It will also help to ensure that existing training programmes *do* include a focus on leadership and management.

[xxix] The exception for this is the early headship coaching programme, for those who are in their first five years of headship and who have completed the headship NPQ. The programme gives participating heads access to networking and one to one coaching opportunities.

Ensuring high quality leadership and management in the education sector is sustained over time.

In the context of a comprehensive and compulsory framework for leadership and management training in education in England at least, the quality of the training needs to be guaranteed. In a sector where curriculum content and delivery standards that are inspected and rated have become deeply embedded, applying the same quality assurance principles to ensure the highest standards of leadership and management training is provided - and the sustaining of those standards over time - should be understood as a necessary and welcome development.

Recommendation Five – Ensure that the reformed NPQ framework (see Recommendation Three) is underpinned by a robust regime that upholds the quality and consistency of NPQ training and enables those procuring such training to navigate effectively the provider offer

A compulsory national NPQ framework will require a complementary system for ensuring that wherever training is delivered, it is of sufficient quality and those receiving it can expect clear standards to be met. The latter is particularly important in light of the concerns that were raised at SMF's expert roundtable, which suggested that (see Box 2):

- Some current NPQ content is not deeply rooted in the best available evidence.
- There is sometimes a mismatch between what is taught and the skills that leaders and managers in educational institutions need.

The DfE is already moving in this direction by getting Ofsted to inspect the delivery of NPQ training.[49] In principle, these are welcome steps, but what is required is an effective market in NPQ provision of leadership training, that MATS, schools and other relevant organisations can confidently navigate and make the informed choices about courses and providers.

The DfE should bring forward proposals to help foster a mature market for NPQ leadership training. This will need to include ensuring there:

- Is transparency from providers over costs and quality, e.g., with Ofsted's evaluations published regularly.
- Are routes for redress for users, for those instances where there is sub-standard provision.

The efficacy of this market-based approach to provision should be reviewed five years after implementation, to understand whether it achieved what it was expected to or not.

ANNEX ONE: THE DIFFERENCES BETWEEN LEADERSHIP AND MANAGEMENT

Box 3: The differences between leadership and management

Leaders are figureheads, typically the most senior people in an organisation. They are usually in charge of strategising and endowed with ultimate authority over the people in and the operations of the organisation they lead. Some have suggested that leadership is not necessarily tied to a specific function in a hierarchy but is rather a set of skills and behaviours. These include being an effective communicator, motivating people and being able to identify a vision (and goals) underpinned by effective strategy development.[50]

Leadership is widely seen as a distinct function to management.[51] Management is often seen as a more routine and technical exercise, focused upon organising resources towards achieving intermediate objectives and the ultimate ends that those leading an organisation have identified. Consequently, a manager is typically a technician, an administrator and problem solver.[52]

In most organisations leaders often have some management responsibilities and many managers have to display some leadership qualities. Managing a team is not just a technical exercise but requires, among other factors, communication skills and the ability to motivate staff.

In the most successful organisations, leaders and managers recognise the co-dependence of their roles and the links between leadership and management.[53] Consequently, leaders and managers, and leadership and management, are best seen as complementary to one another.

ANNEX TWO: THE TEACHER WORKFORCE IN ENGLAND 2020-21

Table : Number of full-time equivalent teachers in England in classroom teaching, middle, senior and head positions

Level of seniority	Number	Percentage
Classroom teacher	269,000	58.3%
Middle leader	123,100	26.7%
Senior leader	46,800	10.2%
Head teacher	22,100	4.8%
Total	461,100	100%

Source: Department for Education (2022)

ANNEX THREE: FURTHER SURVEY SAMPLE DETAILS

The survey sample consisted of 59 team leaders/supervisors, 44 junior managers, 215 middle managers, 85 senior managers and 52 people in senior leadership positions.

The largest portion of respondents worked in schools (38%), followed by school/academy trusts (21%), universities (19%) colleges (8%) and local education authorities (7%). The remainder (up to 6%) worked across Ofsted, Ofqual, the Office for students and in "other" areas. Given the small sample sizes of these groups we have not included them in charts split by education area. The vast majority (92%) had worked in their leadership or management role for a year or more, and the single largest group had worked in management for one to five years (43%).

The survey was in the field across March and early April 2023.

Figure 16: Broad description of role by management level of survey respondents in education

I am more responsible for the day-to-day management of people and /or services and/ or projects within/ delivered by my organisation.

I am more responsible for setting broader strategic aims for my organisation/ overseeing strategy implementation.

I am equally involved in both
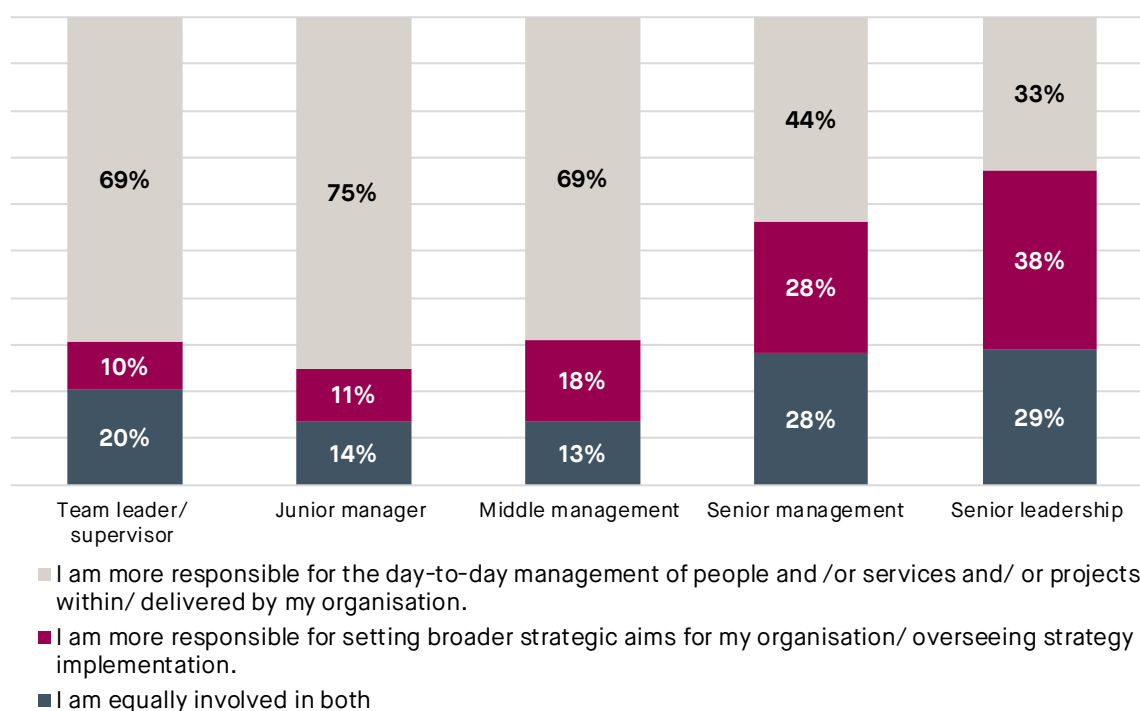
Source: SMF - Opinium Survey (2023)

ANNEX FOUR: THE POSITIVE LINK BETWEEN LEADERSHIP AND MANAGEMENT QUALITY IN EDUCATIONAL INSTITUTIONS, ORGANISATIONAL PERFORMANCE AND EDUCATION OUTCOMES

Table 1: Summary of studies demonstrating the link between leadership and management and the performance of educational institutions.

Country	Focus	Findings
Cross-country	1,800 secondary schools in eight countries	Higher scores by schools on World Management Survey benchmarks were correlated with positive impacts on educational achievement. Further, around half the variation in management quality identified in the study was accounted for by senior leadership in the schools and the headteacher in particular.[54]
England	Further education colleges over the period 2003 to 2015.	Improving the quality of college principals was found to have a clear influence on organisational success, distinct from any impact from management practices.[55] The research identified that, switching from a principal in the 25th percentile to a principal in the 75th percentile[xxx] raised the likelihood of students achieving a Level 2 qualification (equivalent to a GCSE) by 15.9 percentage points and a Level 3 qualification (equivalent to A Level) by 14.1 percentage points. It also helped lead to increased enrolment (3.7 percentage points) for a Level 4 qualifications (e.g., Higher National Certificate - HNC).
England	Further education colleges	Increases in the management score of an FE institution from an average of 4.28 (out of 5) to 4.64, increased the probability of a young person at the college achieving a 'Level 3' qualification (e.g., A-level or BTEC) or going to university by two percentage points.[56]
Ghana	210 schools	Providing some teachers with differentiated training and managers with classroom practices

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[xxx] The percentiles refer to the performance ranking of college principals. The authors of the study had access to data which allowed them to build a novel dataset that tracked both the performance of principals across a sample of different FE institutions over time as well as the performance of individual FE institutions under different principals. By examining the educational outcomes of "young learners" (i.e., Students that did their GCSE exams between 2002 and 2014) at the FE institutions in the sample (under different principals at different times) the authors were able construct a unique "principal ranking" system. Source: Jenifer Ruiz-Valenzuela, Camille Terrier, and Clémentine Van Effenterre, "Effectiveness of CEOs in the Public Sector: Evidence from Further Education Institutions" (Centre for Vocational Research, 2017).

		check list and supervisors and principals with training in managerial best practices compared to control groups, found that the training delivered improvements on standard measures of school management and student test scores by the equivalent of 30% of an academic year.[57] This improvement persisted over time.
India	299 schools	An analysis of management quality in schools in India identified a positive correlation between management (particularly good personnel management practices), school productivity and "student value added" (i.e., the academic progress students made given their starting point).[58] [59]
United Kingdom	Further education colleges	The study found that, among UK further education colleges, structured management has significant positive impacts on further education outcomes, especially for those students from low-income backgrounds. The study suggested that a typical student that moved from a college that was ranked in the 10th percentile for management practices (as defined by the World Management Survey) to one in the 90th percentile received an 8% increase in the likelihood that they would achieve a good high school qualification. This is half of the educational gap between those from poor and non-poor backgrounds.[60]
United States	Texas and Chicago schools	One study examined the impact of 300 hours of leadership and management training for Texas school principals. This resulted in significant improvements in student achievement across all subjects, in the schools where principals were subject to the training. A second study saw the introduction of best practice from charter schools into elementary and secondary schools in Houston, Denver and Chicago. The research found that the changes led to substantial improvements in maths outcomes, in particular.[61]

ANNEX FIVE: OVERALL OFSTED-RATED EFFECTIVENESS OF SCHOOLS AND FE COLLEGES AND LEADERSHIP AND MANAGEMENT RATINGS

Figure 17: Ofsted overall effectiveness and leadership and management ratings results for state schools
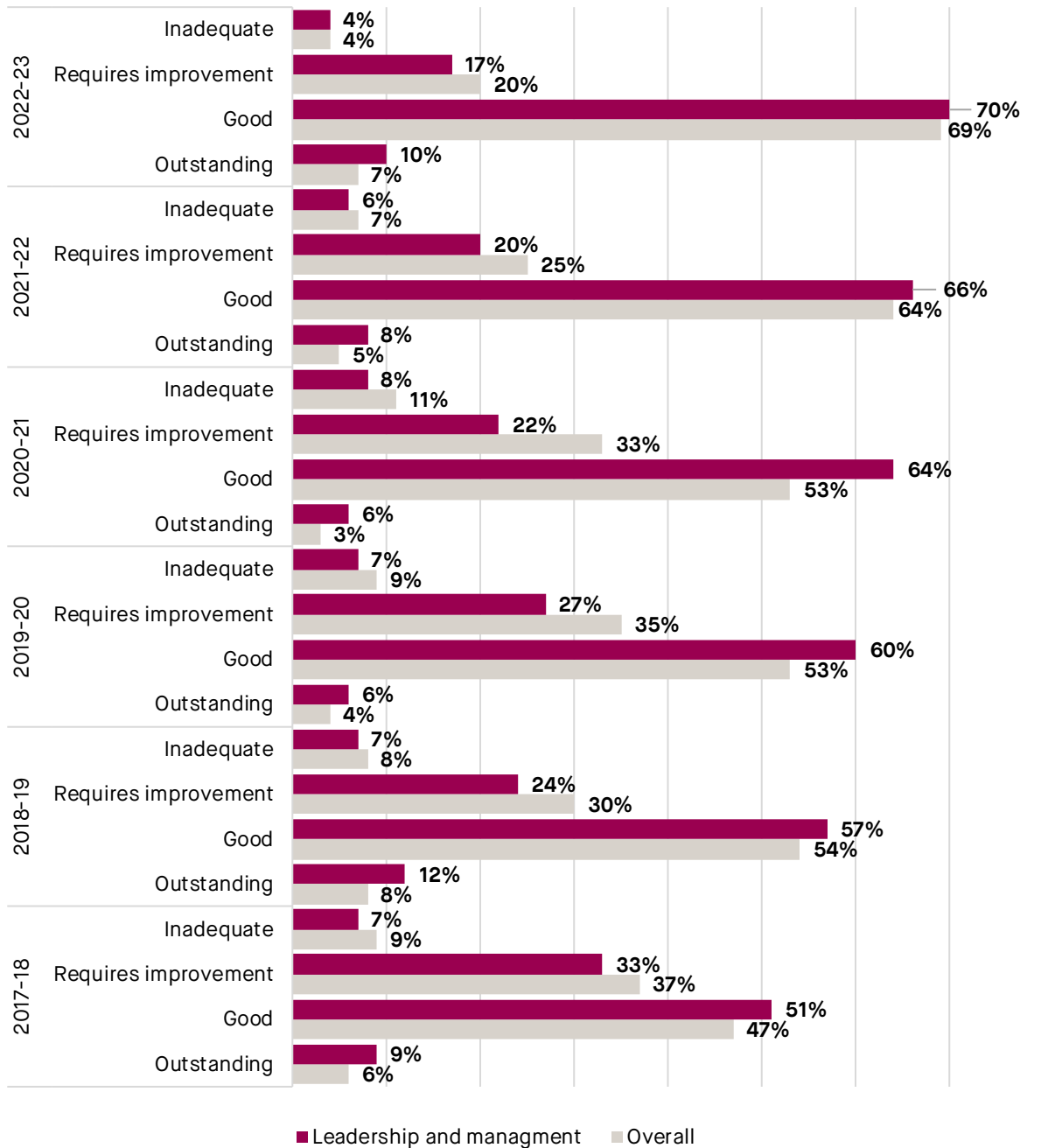
Source: Ofsted

Figure 18: Ofsted overall effectiveness and leadership and management ratings results for FE colleges, inspection years 2017-18 to 2021 – 22 (exc. 2020-21)

2021-22
- Inadequate: 0% / 0%
- Requires improvement: 9% / 9%
- Good: 67% / 74%
- Outstanding: 24% / 17%

2019-20
- Inadequate: 5% / 5%
- Requires improvement: 44% / 38%
- Good: 41% / 46%
- Outstanding: 10% / 10%

2018-19
- Inadequate: 2% / 4%
- Requires improvement: 40% / 42%
- Good: 53% / 51%
- Outstanding: 4% / 2%

2017-18
- Inadequate: 2% / 4%
- Requires improvement: 40% / 36%
- Good: 53% / 55%
- Outstanding: 4% / 4%

■ Leadership and management   ■ Overall
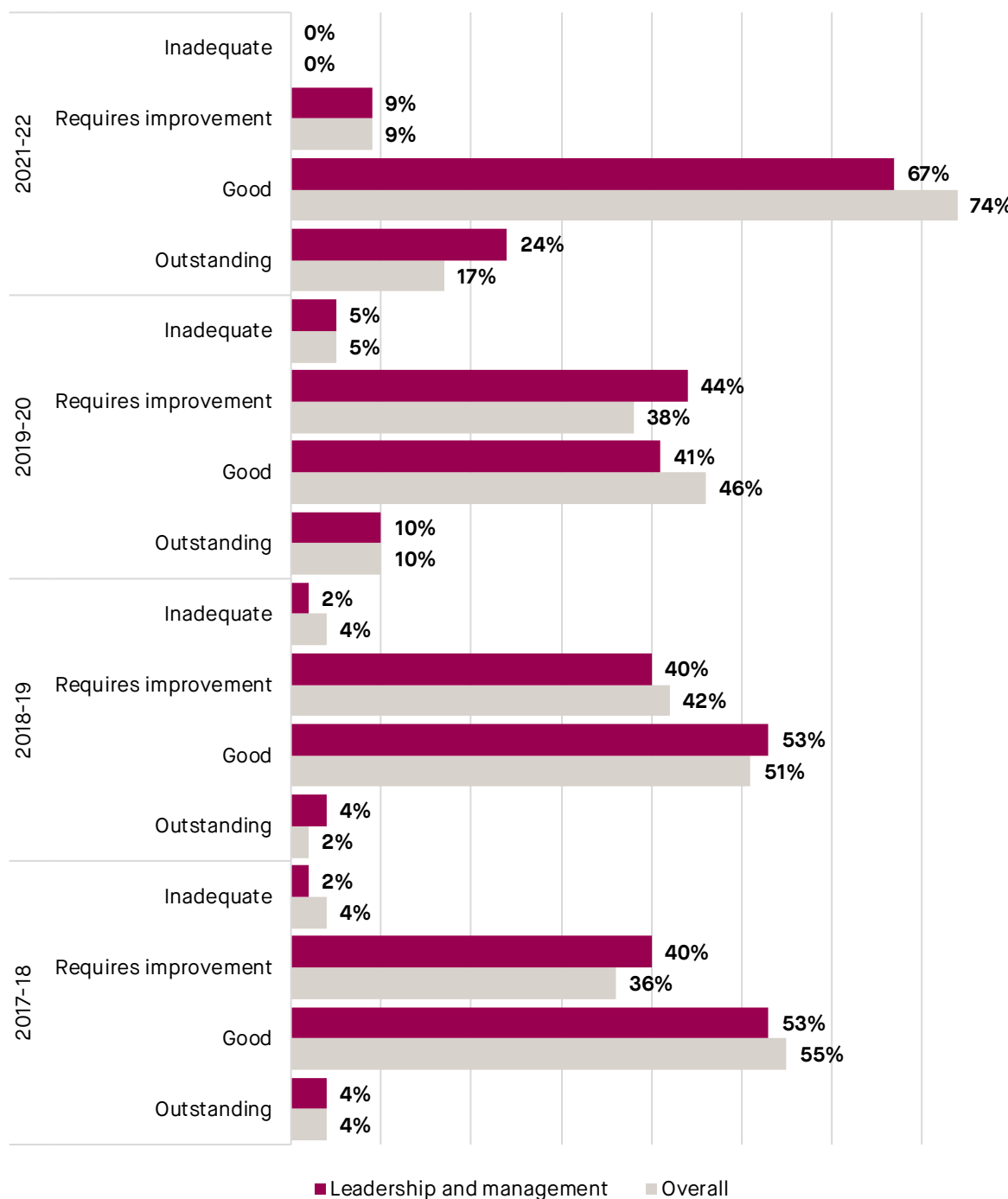
Source: Ofsted

ENDNOTES

[1] Ludger Woessmann, "The Economic Case for Education," *Education Economics* 24, no. 1 (January 2, 2016): 3–32, https://doi.org/10.1080/09645292.2015.1059801.

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