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Change Engagement Comparative Study

Final Report

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CONTENTS

Acknowledgements	i
List of tables and figures	iii
Executive summary	vi
Introduction	vi
1. Introduction	1
1.1 Background	1
1.2 Aims, objectives and scope	1
1.3 Methodological considerations	3
1.4 Research activities and sampling	4
1.5 Structure of the report	8
2. How schools engage with change	11
2.1 Introduction	11
2.2 Context for change	11
2.3 Key drivers for change	21
2.4 The change management process	29
2.5 Challenges and success factors	45
2.6 Sustaining change	56
2.7 Types and Sources of Support	65
2.8 Summary	79
3. How local government, the health sector, and the police engage with change in comparison to schools	81
3.1 Introduction	81
3.2 Context for change	82
3.3 Key drivers for change	85
3.4 The change management process	91
3.5 Challenges and success factors	98
3.6 Types and sources of support	104
3.7 Summary and implications	110
4. Conclusions and key findings	115
Appendix A Factor and regression analysis	123
Appendix B Sample profile	147

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List of tables and figures

- Table 2.2a – Ability to deal with change (SLT, teachers and support staff), p.12
- Table 2.2b – Organisation’s change management capacity, p.12
- Table 2.2c – Attitudes towards change, p.16
- Table 2.3 – Primary and secondary school SLT rankings of change drivers, p.26
- Table 2.4a – Respondents’ views on change management, p.31
- Table 2.4b – Change management team, p.32
- Table 2.4c – Members of change management team, p.34
- Table 2.4d – Respondents’ views of levels of inclusiveness in change decisions, p.35
- Table 2.4e – SLT’s views on stakeholders’ involvement in change process, p.36
- Table 2.4f – SLT views of the importance of the School Development Plan, p.38
- Table 2.4g – SLT views of who has responsibility for the leadership of change, p.39
- Table 2.4h – SLT views on managing stages of the change process, p.40
- Table 2.4i – School respondents’ views on aspects of change management, p.43
- Table 2.4j – School staff’s satisfaction with involvement in planning change, p.44
- Table 2.5a – The impact of change, p.46
- Table 2.5b – Confidence in capacity to achieve change goals, p.47
- Table 2.5c – Factors used to successfully manage change, p.48
- Table 2.5d – Barriers to implementing change, p.53
- Table 2.6a – Change drivers and progress in sustaining change, p.57
- Table 2.6b – Factors that facilitate the sustainability of change, p.59
- Table 2.6c – Barriers to sustaining change, p.62
- Table 2.7a – Impact of organisations on the change process, SLT respondents, p.66
- Table 2.7b – Effectiveness of change management guidance and toolkits, SLT respondents, p.71
- Table 2.7c – SLT: Usefulness and awareness of TDA modelling tools, p.74
- Table 3.1 – Managers’ perceptions of aspects of the change process, p.95
-
- Figure 2.3a – Primary first preference change driver, p.27
- Figure 2.3b – Secondary first preference change driver, p.27
- Figure 2.7a – Main organisation used in relation to workforce remodelling, p.67
- Figure 2.7b – Main organisation used in relation to extended services/ECM, p.67
- Figure 2.7c – Main organisation used in relation to performance targets, p.68
- Figure 2.7d – Main organisation used in relation to distributed leadership, p.68
- Figure 2.7e – How useful SLT respondents find TDA web-based resources, p.73
- Figure 2.7f – SLT: Preferred methods for receiving information and guidance, p.77

Executive summary

Introduction

The education sector has experienced significant changes in recent years, for example, workforce remodelling and the development of extended services through the Every Child Matters agenda. In 2007 the Training and Development Agency for Schools (TDA) commissioned a research study into how schools engage with change and how the schools sector compares with the health, local government and police sectors with regard to managing change. The research was carried out by a team at the National Foundation for Educational Research (NFER), in collaboration with the Office for Public Management (OPM).

The central aim of the research was to inform the TDA's programme of strategic performance assessment in the key area of supporting modernisation. It included two main objectives which were to investigate how schools engaged with change, including detail on the full spectrum of engagement with change management across schools in England, and how this differed between different subsets of schools, and to analyse change management in other sectors to provide an understanding of how the schools sector compares to other sectors in managing change.

The main research methods used were:

- A concise literature review which focused on change management in each of the four sectors
- A small number of strategic level interviews in each sector
- A large scale school survey of schools leaders, teachers and support staff
- Fifty qualitative telephone interviews with school leaders
- Telephone interviews with 129 senior managers in the health, local government and police sectors.

Key messages from the research

1. School staff generally have positive attitudes towards change and are confident about their (and their school's) capacity for change, suggesting a high degree of receptivity to change.
2. Staff involvement is a critical success factor in implementing and sustaining change. Involving staff, beyond the school leadership team (SLT), is also a way of releasing additional capacity to manage change effectively.
3. Monitoring and review of change initiatives and celebrating success are also critical aspects of the change process. There is evidence of some positive practice in these areas, but these remain priorities for improvement in future.

4. School leaders (and managers in other sectors) were aware of a variety of change models and tools, though regular use of these does not seem to be common. Awareness of the TDA's change management tools and models was generally low, though this might be partly explained by the way in which these were delivered to schools via local authorities.
5. School (and other public sector) leaders seem to have an increasingly sophisticated understanding of change and thought now needs to be given as to how to develop the next level of change support.
6. This study suggests awareness that 'change is everybody's job now' and highlights a need for greater levels of understanding of change at all levels within organisations.
7. Different types of schools face different challenges. It appears that many schools would benefit from a more 'bespoke', differentiated, and mainly face-to-face, approach to change management.
8. Networking between schools (and other organisations) in similar contexts, facing similar challenges, remains a critically important mechanism for reflecting on practice and learning about change.
9. School leaders have more of a perception of 'control' over change than leaders in other sectors, and this presents opportunities for schools, especially those that have a strong sense of purpose and direction and are already high performing.
10. There is a considerable degree of similarity in change challenges and priorities across the different sectors, despite clear differences in terms of function, degree of autonomy of local organisations, and roles.
11. Despite the similarities, managers in comparative sectors report having made more progress in some areas, particularly in working with partners to achieve major change. Although partnership working clearly takes place between schools, working with other services may be a growing change driver for schools, and an area in which schools could learn from other sectors.
12. Managers in comparative sectors are experiencing considerable pressure to deliver efficiencies; this may be another area where schools could face further challenges in the future and could learn from other sectors.

Main findings

The way in which change is managed was clearly viewed as a complex issue; one that evolves and adapts to the circumstances in which a school, or any institution, is placed. It is not straightforward as encapsulated in the following comments made by the Head of English in a secondary school:

I don't think that the management of change is a science, it's an art, so I don't think there is a formula for it.

Schools

- Senior school leaders, teachers and support staff were largely positive about the need for change and were mainly optimistic about capacity to deal with change. At the same time there was recognition that the amount, scope and pace of change had increased in recent years.
- On the whole, change was perceived to be driven by central government, although mediated through local authorities, especially in the case of primary schools, where staff reported feeling less in control of change than their secondary colleagues, possibly due to the local authority mediation.
- Control of change was attributed to a school's clear vision and strong creative leadership: the school leadership could not only act as a gatekeeper for change, but also '*make agendas their own*'. The evidence also suggests that the amount of control over change was perceived to be shaped by the context and circumstances of a school at any given time, with stability of staff, longevity of leadership, resources and high performance important factors.
- Overall, attitudes to the way in which change is managed were positive, although approximately half of teachers and support staff felt that staff were informed, rather than consulted, with regard to change and, on the whole, teachers and support staff reported feeling less involved in the whole process than SLT perceived them to be. Additionally, one quarter of teachers and one third of support staff would like more involvement in planning change. There was also some scope for more consideration of the emotional and political aspects of change.
- The majority of SLT survey respondents reported having a standard process dedicated to managing change, although this rarely involved a change management team and was felt to vary according to the change driver. The approach to change was reported to have altered in recent years: it was now viewed as more consultative, distributed and focused. There was still perceived to be scope for improvement in the area of feeding back and reviewing the change process, however, and this may well contribute to sustaining change, a part of the process generally perceived to be difficult.
- As with control of change, the successful implementation and sustaining of change was largely attributed to a school's clear vision and strong effective leadership, as well as collaboration with, and the involvement and support of, staff. Indeed respondents who were more confident that change could be sustained were from schools with a higher consistency of inclusiveness in terms of staff involvement in the change process.
- Overburdening, for example the perception that there were too many initiatives and lack of time, were regarded as the main barriers to implementing and sustaining change.
- School leaders felt that they, along with the government, inspectorates and their own colleagues, informed the change process most strongly. Additionally school networking, headteacher forums and conferences and local authority meetings and training were considered to be useful forms of support, as was face-to-face support. For change management information and advice, local authorities have, overall, been regarded as a primary source of support. It seems they were regarded

as an important channel for transmitting, mediating and interpreting information about change, especially about workforce remodelling.

- Although a quarter of respondents were unaware of TDA change management guidance and awareness of individual TDA remodelling tools was reported to be low, one third found their guidance to be ‘very effective’ or ‘effective’, and just over a quarter found the website case studies on extended schools and remodelling tools ‘very useful’ or ‘useful’. However, the TDA process model was perceived by some to be too linear, missed the elements of monitoring and review and avoided the issue of how to cope when things go wrong or there is conflict despite following each stage. There was some evidence that more emphasis should be given to the emotional buy-in of staff.

How schools manage change in comparison to other public sectors

- Senior managers in comparative sectors reported experiencing more change in recent years and having slightly less capacity to manage change than school leaders (though lack of capacity was frequently linked to inadequate resources, rather than skills). In comparison, senior managers in schools appear to be more confident about their ability to influence and shape change.
- Overall, participants in comparative sectors rate their change management practice positively (though slightly less positively than school leaders), with least positive practice in relation to feeding back information and decisions about change and review and evaluation of change initiatives (though more school leaders feel that they do very well or well in this area than managers in other sectors).
- Managers in all four sectors identified staff resistance as a major barrier to change and regarded understanding of how to read and respond effectively to this as a key leadership task.
- Despite important differences between comparative sectors (including the function and structure of the sectors, the size, funding arrangements, and degree of delegated authority of delivery units) senior managers in all four sectors are facing some similar change challenges – particularly around workforce remodelling, focusing on outcomes, partnership working with clients and communities and other agencies, and personalisation.
- Managers in comparative sectors reported having made greater progress than school leaders in achieving an outcomes focus and working in partnership with other agencies.
- There may be some learning for the schools sector in reviewing models and tools commonly used in other sectors. However, it will be important to recognise that some of these resources are geared towards types of change and a size and scale of change that may not be relevant in the school context.
- Managers in comparative sectors appear to have access to more support for change from within their own organisation or force than is the case for headteachers. Support from the corporate centre of organisations in other sectors is sometimes used to sift, interpret and customise the support that is already available from a wide variety of sources.
- Evidence from the comparative element of this research indicates that the models and tools which are used most often by practitioners are those that have been

actively promoted and disseminated by central government departments and other agencies. Those models and approaches that have been promoted by several agencies seem to be particularly successful. The TDA may wish to consider how it can reinforce its preferred approach to change by collaborating with other agencies that are involved in improvement work to ensure that change messages are consistent and possibly using these agencies as dissemination channels for its model.

1. Introduction

1.1 Background

This report sets out the findings from a research study into how schools engage with change and how the schools sector compares with the health, local government and police sectors with regard to managing change. The study was commissioned by the Training and Development Agency for Schools (TDA) and carried out by a team at the National Foundation for Educational Research (NFER) in collaboration with the Office for Public Management (OPM).

As the sector development agency for schools, the TDA commissioned this study in order to strengthen the empirical evidence base about how change is managed in schools, including an examination of variations between schools. The study also aimed to assess the perceived usefulness of the TDA's change management tools and approaches and identify how its support package in this area might be developed in future. This project was conceived as a comparative study in order to situate change practice in schools in a broader context and to explore potential learning from other parts of the public sector.

This change engagement comparative study was carried out at a time when the educational sector had experienced a comprehensive modernisation programme, including where the National Agreement has, for example, supported the introduction of new school workforce roles, such as cover supervisors and Higher Level Teaching Assistants (HLTAs). In addition the development of extended services through the Every Child Matters agenda states that by 2010 all children should have access to a core offer of extended services through their school. While the three comparative sectors differ from each other, and from the schools sector, in important respects, they share with the educational sector many of the main overarching drivers for change.

1.2 Aims, objectives and scope

The NFER and OPM undertook this research primarily to inform TDA's programme of strategic performance assessment in the key area of supporting modernisation. The two main aims were:

1. to investigate how schools engage with change, including detail on the full spectrum of engagement with change management across schools in England, and how this differs between different subsets of schools
2. to analyse change management in other sectors to provide an understanding of how the schools sector compares to other sectors in managing change.

Specific objectives relating to the first aim were to:

- investigate how schools engage with change
- understand how schools have managed sustainability of the change process
- explore how change management impacts on all levels of staffing within a school (from the headteacher and senior managers to class teachers and teaching assistants)
- evaluate how schools with different characteristics, such as age range, level of disadvantage, size and location, differ in terms of their capability to manage change
- ascertain whether the tools developed by the TDA to assist schools with managing change are meeting their desired outcomes.

The objectives of the second part of the study were to explore how schools compare to public sector organisations in three other sectors in their:

- engagement with change management, including setting up of effective structures relating to the management of change
- management of sustainability of change
- engagement with particular new initiatives.

The concepts at the heart of this study are broad and complex. Change itself has been understood in a number of different ways (as shown by the literature review conducted as part of this study). One popular conceptualisation developed by Ackerman, distinguishes three main types of change¹:

- **Developmental change** may be either planned or emergent; it is first order, or incremental. It is change that enhances or corrects existing aspects of an organisation, often focusing on the improvement of a skill or process.
- **Transitional change** seeks to achieve a known desired state that is different from the existing one. It is episodic, planned, and second order, or radical. The model of transitional change is the basis of much of the organisational change literature.
- **Transformational change** is radical or second order in nature. It requires a shift in assumptions made by the organisation and its members. Transformation can result in an organisation that differs significantly in terms of structure, processes, culture and strategy. It may, therefore, result in the creation of an organisation that operates in developmental mode – one that continuously learns, adapts and improves.

Transformational change is widely seen by government as the form of change which is most relevant for those managing change in public services at the present time. The

¹ Ackerman, L., *Development, transition or transformation: the question of change in organisations*. In Van Eynde, D., Hoy, J. and Van Eynde, D. (eds) *Organisation Development Classics*. San Francisco, Jossey Bass, 1997.

Audit Commission, for example, in its report *Change Here! Managing Change to Improve Local Services* states: ‘*transformational change is the most relevant type of change for many public services today...(it) is required where there is a need for much better performance in an environment of continuing uncertainty*’.²

This study focused largely on ‘transformational change’, and has been informed by our understanding of change management, which entails ‘*the leadership and direction of the process of organisational transformation, especially with regard to the human aspects and overcoming resistance to change*’. Though this study is underpinned by these notions, in the qualitative element of the study, we also explored participants’ own conceptualisation of change and the way in which they interpreted their role in managing change.

1.3 Methodological considerations

The main element of this research study was an exploration of the way in which schools engage with change. A more extensive research process was therefore employed to explore change and change management practice in the schools context, with activities designed to explore the perceptions and experiences of those leading major change, as well as those who were affected by change processes in their schools.

A more contained research strategy was employed to study change engagement in other sectors, focusing primarily on the leaders of change, rather than those on the receiving end of change initiatives. In comparative sectors, senior managers were targeted on the basis that their level of seniority, budgetary and staff responsibilities were *broadly* similar to those of headteachers’.

In order to ensure this broad comparability across the four samples of leaders, the research team collected details of respondents’ length of service and budgetary and staffing responsibilities. These details should be regarded as illustrative, rather than as the basis for a systematic comparison, because it was not always possible to distinctly identify discrete budgets and staffing numbers and in some cases estimates were provided. In education the average size of budget was £2.5m, the average number of full-time staff in a school was 74, and the average length of service was close to seven years. As would be expected, secondary schools were larger, with an average budget of £5m, an average of 141 full-time staff and an average length of service of 7 years.

The equivalent figures for health, local government and the police, respectively, were: average budget: £10m, £30m and £19m; average number of full-time staff: 155, 300, 430; average length of service; 3 years, 3 years, 2 years³. This would suggest that interviewees from the three comparative sectors tended to have higher levels of

² Audit Commission, *Change Here! Managing Change in Local Services*, 2001

³ Due to large outliers median averages have been used rather than mean averages.

responsibility than school leaders, though school leaders, of course, also had responsibility for the education and welfare of large numbers of children.

It is with headteachers' experiences, perceptions and attitudes therefore that comparisons are made in this report. It is important to note, however, that managers in the four sectors are operating in distinct contexts, with different drivers and constraints. Critical differences include: the overall function and structure of the sectors; the degree of autonomy, funding arrangements and the extent of budgetary control of individual delivery units; whether delivery units are single or multi-functional; and skill mix and staff make-up. Headteachers are also in a unique position as the leader for an autonomous institution. In making comparisons across sectors and identifying learning for schools and for the TDA, these important differences need to be borne in mind.

1.4 Research activities and sampling

The research activities that were used to explore these aims and objectives included:

- a concise literature review focusing on change management in each of the four sectors
- a small number of strategic level interviews in each sector
- a large scale school survey
- qualitative telephone interviews with school leaders
- telephone interviews with senior managers in the health, local government and police sectors.

Literature search

A rapid and focused literature search was conducted in order to:

- examine the main policy drivers informing change and the intended outcomes of change in the main sectors to be covered
- examine available evidence about change management practice in each of the sectors, including barriers and challenges and success factors in managing change
- identify the predominant approaches, models or guidance available to help support any kind of change in each of the sectors
- explore the available literature on the main professions to be involved in this study in order to construct acceptable units of comparison.

The full literature review is available as a separately published document.

Strategic-level interviews

Semi-structured telephone interviews were carried out with 15 senior figures working in education, local government, the health sector and the police, in order to explore in more depth some of the issues that emerged from the literature review and to inform the instrument design. Strategic interviewees included: senior level practitioners, representatives from sector development agencies and inspectorates, academics and commentators, and organisational development specialists.

Questionnaire survey

A survey of primary and secondary schools was carried out in November and December 2007. The questionnaires were available to be completed either on paper or online.

Two questionnaires were designed, one for the school senior leadership team (SLT) and the other for staff. Questionnaires were sent to headteachers in the sampled schools, with a request that the staff questionnaires should be completed in equal proportions by teachers and support staff.

The questionnaires consisted predominantly of precoded questions, with two open-ended questions, and explored a range of areas including:

- the context for, and attitudes towards, change within the school
- attitudes towards the change management process and stakeholder involvement in change
- the perceived impact of change and the success factors and challenges associated with change
- types and sources of support, including the TDA package.

In-depth telephone interviews

The data gathered through the survey was supplemented by a programme of telephone interviews with 50 senior school leaders conducted concurrently with the survey. This also provided further insights into the complexities of change management strategies adopted and the factors influencing senior leaders.

Additionally, across the three comparator sectors 129 in-depth telephone interviews were conducted with a sample of senior managers deemed to be broadly equivalent in their roles and responsibilities to headteachers. The majority of questions put to participants in comparative sectors were 'open', leaving them free to answer in any way they wanted (these questions were also asked of members of senior leadership teams in schools, allowing some comparability across the sectors).

It should be stressed that, although the survey questionnaires and interview schedules used in this study included definitions of some of the main change drivers across the public sectors covered (such as workforce remodelling), definitions of change were to

some extent *self-reported* by respondents. Leaders across the four sectors were given opportunities to define change and to give their own subjectively-selected examples of important changes experienced, and it needs to be borne in mind that other stakeholders, such as clients, pupils or parents, would not necessarily take the same views about change.

While senior leadership teams answered questions in relation to their whole school, in comparative sectors, interviewees responded in relation to their service area or unit. In addition, in order to provide an element of quantitative comparison between the education sector and the other public sectors, six common precoded questions posed to SLT survey questionnaire respondents were also included in the interview schedule for managers in the other public sectors. However caution should be exercised when interpreting this comparative data as the school SLT survey was based on 1,537 respondents, whereas the comparator sector data was based on 129 interviewees.

Analysis

The interviews with leaders in the four sectors (a total of 179 interviews), provided the research team with much useful qualitative data. The interview responses were qualitatively analysed across the four sectors and also within each sector. Key findings are presented at relevant points in the following chapters, with the use of illustrative quotations where appropriate.

Simple statistical analysis of the key findings from the six closed questions which were put to both SLTs and managers in other sectors was carried out and the results are reported in Chapter 3, alongside the qualitative data from other sectors. More detailed quantitative analyses were carried out on the data collected from school leader surveys (1,537 returns) and the school staff (teacher and support staff) surveys (4,104 returns). These included descriptive analyses using basic response frequencies, but also more sophisticated forms of statistical analyses: change management is a complex area and the research team needed to look at some of the inter-relationships between groups of staff and their attitudes to change, and between school characteristics and approaches to change. Factor analyses and regression analyses were used to look at some of these relationships (these are referred to as ‘further statistical analysis’ in the text in the following chapters: the Technical Appendix A provides more details about these techniques).

Samples

School survey

Two stratified, random and representative samples of schools (primary and secondary) were drawn from the NFER’s Register of Schools (ROS). Samples were stratified by size, Government Office region and pupil entitlement to free school meals (as an indicator of levels of disadvantage).

Letters were initially sent to 4,000 schools inviting them to participate in the research and 1,000 schools declined to take part. The remaining 3,000 schools were asked to distribute questionnaires to the following members of staff:

- four members of the school leadership team (including the headteacher, deputy headteacher and school bursar or business manager, where appropriate)
- four classroom teachers
- four members of support staff (including Teacher Assistants and Higher Level Teaching Assistants).

The survey was undertaken in November and December 2007. Two reminder letters were sent, one with additional copies of the questionnaires, and a targeted telephone reminder of non-responding schools was conducted. A total of 4,104 completed questionnaires were received from 1,537 SLT members and 2,568 from school staff in 460 primary schools and 386 secondary schools, giving an overall school response rate of 28 per cent.

The achieved sample of schools was representative of schools generally, in terms of school size and eligibility for free school meals and in terms of Government Office regions. The SLT questionnaire was completed by headteachers (33 per cent), deputy headteachers (24 per cent), assistant headteachers (21 per cent) and heads of department, subject, year or key stage (15 per cent). The staff questionnaire was completed by class or subject teachers (24 per cent), class teachers with special curricula or non-curricular responsibilities (35 per cent), learning support assistants (nine per cent), Higher Level Teaching Assistants (ten per cent) and Teaching Assistants (13 per cent). The remaining nine per cent did not specify their job role.

A full breakdown of the characteristics of respondents is available in Technical Appendix B.

Telephone interviews

For the SLT interviews, three stratified, random and representative samples of schools (primary, secondary and special) were drawn from the NFER's Register of Schools (ROS). Samples were stratified by size, Government Office region and pupil entitlement to free school meals (as an indicator of levels of disadvantage).

In the health, local government and police sectors, three representative samples of senior managers were constructed and stratified by GO region. In health and local government, samples were constructed using Binley's database and OPM's own databases; in the police, a sample was drawn together through direct contact with the police forces in England and through OPM's own contacts. In health, the sample included managers working in both acute and primary care and active in a variety of roles, including as general managers, heads of services, service managers and directorate managers, and in a wide range of specialisms. In local government, the sample included a mix of staff; most were heads of service, but the sample also

included some assistant Directors and Directors. A wide range of different local authority service areas were represented. In the police, all potential interviewees were Chief Superintendents leading Basic Command Units (BCUs), also known as divisions, area units or, in London, borough operational command units.

A total of 179 telephone interviews were achieved, as listed below:

- 50 Education interviews – approximately three-quarters with headteachers (or principals). Other roles included: bursars, deputy headteachers/vice-principals, and assistant headteachers. Twenty interviews were achieved with primary schools, 19 with secondary and 11 with special schools.
- 45 Health interviews – 30 from the acute sector and 15 from primary care. All English regions were represented in the achieved sample; however there was a particularly strong response rate from managers working in London. Interviewees worked in 14 different specialisms, with a particularly strong response rate from managers working in cancer care services.
- 54 Local Government interviews – of which 20 were managers of children’s services, 12 managed adult services, 13 housing and regeneration, four community services (e.g. leisure), and five managed community safety services. All English regions were represented in the achieved sample, with a particularly strong response rate from managers in the south east and London.
- 30 Police interviews – all were Chief Superintendents in charge of basic command units, with a reasonably even spread across the nine English regions.

Within each of the three comparative sectors, there was considerable variation in the level of budgets and staff numbers managed by study participants. In part this reflects the different size and funding arrangements for local delivery units in different areas; it also reflects the fact that local organisations may carve up roles and assign job titles in different ways.

1.5 Structure of the report

The remaining chapters of this report focus on how change is managed in the schools sector and how this compares with health, local government and the police. Chapters are organised in the following sequence:

Chapter 2 examines how schools engage with change. It reports on schools’ capacity and attitudes towards change, the key drivers for change and attitudes towards, involvement in, and approaches to the change management process. It also explores the impact of change and the challenges and contributory factors to successful change. Finally it considers the types and sources of support, including the TDA support package, and suggested improvements.

Chapter 3 reports on how local government, the health sector, and the police engage with change in comparison to schools in terms of the themes outlined in Chapter 2 above.

Chapter 4 concludes the report by drawing out the main findings and implications, from the school survey and the in-depth telephone interviews, for schools and the TDA. It sets out twelve key messages arising from this research study.

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2. How schools engage with change

2.1 Introduction

This chapter draws from both the survey findings (from school leaders, teachers and support staff) and the interviews (with school leaders) in order to look specifically at how schools engage with change, prior to the comparison of schools with the other public sectors which is presented in Chapter 3.

Section 2.2 examines the contexts within which schools engage with change, including respondents' perceptions of change capacity, Section 2.3 looks at perceptions regarding the key drivers for change in schools and Section 2.4 presents findings relating to the change management process in schools, including staff attitudes to, and involvement in, the change management process. Sections 2.5 and 2.6 examine the impact and sustainability of change, respectively, and Section 2.7 focuses specifically on the types and sources of support available to help schools to manage change.

2.2 Context for change

In this section the context for change in the schools surveyed is explored in terms of the *amount* of change experienced, respondents' views on the *capacity* to deal with change and their *attitudes* towards change.

Respondents were asked about the extent to which change had occurred in their institution in the last two years; perhaps unsurprisingly, nearly all (97 per cent) of 4104 SLT teacher and support staff respondents reported that change had occurred in their workplace during this time.

Capacity to deal with change

In the questionnaire survey, respondents were asked to rate how they, their senior management, their colleagues and their organisation dealt with change. In general, the survey responses show that SLT, teachers and support staff were broadly positive about change capacity, as can be seen in Tables 2.2a and 2.2b. It is interesting to note, however, that respondents rated their own capacity to deal with change more strongly than they did that of their colleagues and their institution.

Table 2.2a Ability to deal with change (SLT, teachers and support staff)

	very well	quite well	not well	not at all well	No response
	%	%	%	%	%
...do you deal with change?	41	56	3	<1	<1
...does your senior management deal with change?	37	56	6	1	1
...do your colleagues deal with change?	13	72	14	1	1

N=4104

Series of single response items

Percentages may not sum to 100 due to

Source: NFER change engagement school survey 2008

Table 2.2b Organisation's change management capacity

	very strong	strong	weak	very weak	no response
	%	%	%	%	%
How would you rate the change management capacity in your organisation?	18	67	12	1	3

N=4104

Single response item

Percentages may not sum to 100 due to rounding

Percentages may not sum to 100 due to rounding Source: NFER change engagement school survey 2008

It is clear from these findings that, overall, school staff had mainly positive attitudes in terms of their, and their organisation's, capacity to deal with change.

Further statistical analyses⁴ were carried out to see if there were any particular patterns in terms of the characteristics of school staff and whether these groups of schools and their staff were confident in their organisation's capacity to deal with change. This analysis revealed that:

staff from secondary schools were less confident about their capacity to deal with change (compared with those from primary schools)

⁴ Factor and regression analyses were conducted and these are explained in full in Appendix A.

- staff who said that they were not supportive of the need for and the importance of change also reported a lower confidence in their organisation's capacity to deal with change
- older staff were more confident about their organisation's capacity to deal with change
- staff who said they had no Change Management Team⁵ in the school, also said that they were less confident in their organisation's capacity to deal with change.

Analysis of the interview data showed that few interviewees gave direct or explicit details about their school's 'capacity' to manage change. From the information provided by those who did comment on issues related to capacity, some key themes emerged. These were to do with the importance of leadership, delegation and involvement.

Most of those interviewed mentioned the importance of effective leadership, as it related to the school's capacity to manage and/or implement change. Most said that change was managed by the headteacher and the Senior Leadership Team. Others thought that their school's ability to manage change could be enhanced by employing a 'distributed management' approach. One headteacher of a secondary school summarised such an approach:

The senior leadership team are key to leading change. But, at present, I am trying to move change leadership to middle managers (a distributive leadership model). So middle managers are undergoing training at present in order to enable them to lead change more. We do not have a change management team, but within our school development plan we have a named person to lead a change. For example with our SEF we are moving towards a model of bottom up management, not top down. For example, we have a 'change behavior group' which is not led by a senior manager but by a member of the middle management. (Headteacher, secondary school)

However, responses from primary school interviewees suggested that, because there are generally fewer staff and flatter structures in primary schools, the capacity for change is spread more widely across members of staff. For example, one primary interviewee said:

We have a change management team. But the two schools are very small, so the change management team includes all teachers, and the senior management team oversee them. So everyone takes part in change. (Headteacher, primary school)

⁵ Change teams are part of the TDA's remodelling change process. They should be representative of the whole school staff and should become the main vehicle for driving the remodelling process.

Many interviewees also referred to making use of delegation, in that change management could be delegated to specific groups or individual members of staff who had specific interests and or experience connected to the change under consideration. One primary headteacher explained: *‘We work on the premise that there is not just one person that should lead all change but that it should be whoever is most suitable to lead a particular change’* (Headteacher, primary school).

In general, groups of staff overseeing change were mentioned more by secondary schools and individuals by primary and special schools: again this is likely to connect to staffing levels. For example, one secondary headteacher explained:

We do not have a change team, however we do have working groups on particular changes. For example, at present we are having a new school building being constructed, so we have ‘a new school group’. This group is open to all and is led by a deputy head (and some staff have to be involved). Also, we have group looking at implementing ‘classroom quality standards’. For this we asked for volunteers. So we have specific change teams for specific projects.

All of those interviewed talked about harnessing staff capacity through various types of involvement. Some saw consultation and involvement as essential elements in the capacity of the school to achieve their goals. One headteacher of a special school noted that:

We had a very consultative approach... so nothing involving change came as a surprise to anybody and, in general, people were either consulted or informed about it... In terms of our Development Plan, we had teams of people that were focus groups who would work at adapting and developing and changing things. [These were] not necessarily made up of the members of the Senior Leadership Team or the Governors, so I would say pretty well across the board, at some stage or another, everyone was involved in change.

Attitudes towards change

When asked whether they agreed or disagreed with a series of statements that broadly explored their attitudes towards change, respondents indicated, similarly to views on the capacity to manage change, that they were generally positive towards the need for change. As can be seen in Table 2.2c, the majority of respondents:

- **disagreed** with the statement that *change would not solve problems* (82 per cent compared to nine per cent who agreed)
- **agreed** with the statement that *most changes had been for the better* (70 per cent compared to 22 per cent who disagreed)

- **agreed** with the statement that *continuous change was necessary* (55 per cent compared to 42 per cent who disagreed)
- **disagreed** with the statement that *change should be kept to a minimum* (53 per cent compared to 44 per cent who agreed).

Table 2.2c Attitudes toward change

	strongly agree %	agree %	disagree %	strongly disagree %	don't know %
Change will not solve problems here	1	8	58	24	7
Most changes have been for the better	11	59	20	2	7
Continuous change is necessary	9	46	37	5	2
Change should be kept to a minimum	5	39	43	10	2
Outside support cannot help us deal with change	1	3	57	37	2
If change is needed it will just happen	1	9	55	34	1
Institution not well-equipped to manage change	1	10	54	32	2
Pace of change in my organisation is slow	1	13	62	20	3
Need less change and more consolidation	9	45	33	3	8

N=4104*Series of single response items**Percentages may not sum to 100 due to rounding and missing data (which is approximately one per cent)**Source: NFER change engagement school survey 2008*

Furthermore, responses suggested a broadly supportive attitude towards the need to actively manage change. The majority of respondents **disagreed** with the following statements:

- outside support could not help deal with change (94 per cent compared to four per cent who agreed)
- change would just happen if it was needed (89 per cent compared to 10 per cent who agreed)
- their institution was not well-equipped to deal with change (86 per cent compared to 11 per cent who agreed).

Finally, responses show that staff have some reservations about the pace and amount of change, although in themselves such responses should not be interpreted as being 'negative' towards change. The majority of respondents:

- **disagreed** with the statement that *the pace of change was too slow* (82 per cent compared to 14 per cent who agreed)

- **agreed** that *less change and more consolidation was necessary* (54 per cent compared to 36 per cent who disagreed).

Generally, interviewees' comments tended to reflect the largely positive attitudes towards the need for change reported by survey respondents. However, interview responses also revealed some interesting contrasts and provided more in depth explanations of related issues, such as:

- the developing 'culture' of change in education and perhaps a developing 'consensus' about the need for change
- the circumstances in which schools were supportive of the need for change and when they were less supportive
- the impact that the 'driver' for change has on staff attitudes
- the issues of the pace, amount and scope of change.

The following are some examples of how attitudes to change are affected by these factors.

Five interviewees drew attention to what they perceived as a developing cultural acceptance of change in education: it had, according to one interviewee become '*... part of the territory and managing it, part of my job*' (headteacher, primary school). Others agreed:

People are naturally resistant to change, but that is much less so now in education because over the last five years there has been so much change. Change is now automatically built in - it's embedded. There is now a culture of change within education. I can't see a time now when change will not be significant within education. (Headteacher, secondary school)

As a society we like to look back at history because it makes us feel secure. But when you change history, people look back at it and forget the warts and all and put on rose colours and think it was better back then. You need to keep changing so that the change becomes the historic norm. (Headteacher, secondary school)

Staff were not in agreement with... the primary and numeracy curriculum changes. They did not want the change, and all staff were involved, but they just got on with it. ... Education is a business that is used to making changes - we have to make them all the time. (Headteacher, primary school)

However, while interviewees were generally supportive of the need for change, many raised reservations regarding the drivers for change, or explained the circumstances in which the need for change would be more readily understood and or supported. A headteacher provided an explanation

that drew together the need to change generated by an internal ethos at their school with external policy initiatives and directives:

The main impetus for change comes from the need and desire to change...it is my vision, values and beliefs which are the biggest motivator - I want to change teaching and learning in this school. Secondly it is the desire of the staff to improve the school. Thirdly there is high accountability externally; if the school doesn't achieve certain data then we are deemed to be a failure. (Headteacher, secondary school)

Some interviewees drew direct comparisons between 'imposed' or 'bureaucratic' change and change that they perceived was generated by 'real' need, saying that the latter was more likely to be supported by staff:

I feel I have a lot of control, but not enough on external initiatives, although we can transform them with creative thinking. With external initiatives we customise them so that they feel as if they are from inside the school. We call the NS change 'the Smith good lesson strategy'. The killer for intelligent change is when the head has an awful external initiative which they have to initiate. The head is the gatekeeper for change. I would only endorse and implement change which is morally good for the pupils in our school. If it's against the Smith principles then we would not implement it. (Headteacher, secondary school)

Initially, create a climate for change by choosing an easy change which is visibly effective - this will help to win hearts and minds over. Get it right the first time. This will then be an ambassador for further change...If you get it wrong, own up immediately. (Headteacher, secondary school)

The ability of schools to decide, drive and control their own change agenda was a common theme raised by interviewees. One interviewee described such an approach, but at the same time recognised that this approach may not be applicable to all schools:

I feel I have a lot of control, but that's mainly because I'm stroppy and won't obey government like an automaton. When you lead a good school you're in a great position with regard to autonomy and freedom. If I don't think that what the government is suggesting is going to be right for my children I just don't do it. But not every head has that freedom. If you're deemed to be failing and are in a difficult area without the support of the parents then you're in a difficult position. (Headteacher, secondary school)

Furthermore, interviewees emphasised that it was important to clearly explain the rationale for change to staff, so that staff (and other stakeholders) would

believe in the change proposed and become actively engaged in implementing and supporting it:

If the initiative makes sense to me, I can then sell it to other people. I empower people to feel that they are driving the change. (Headteacher, special school)

If people see it as an individual thing and not for the benefit of the whole organisation they won't do it. There must be some kind of rationale. (Headteacher, special school)

Interviewees generally made the point that it was important that, as well as the rationale for change, the plan for implementation was clearly explained to and discussed with staff – emphasising the importance of ‘involvement’:

What's critical is dialogue with staff, it has to be a two way process. For example, we just introduced the new management system, then we introduced some developments but we needed a staff meeting and we hadn't done it, and we expected them to make the change without offering support, it backfired, and we had to apologise. If you do not treat your workforce with respect and intelligence they will backfire all over you! It's different from managing a factory perhaps, but I think showing respect to people's professional integrity... is critical. (Headteacher, secondary school)

Most of those interviewed (43 individuals) also made reference to the amount, scope and pace of change, some (8) feeling that such pressures had increased in recent times. For example:

...far too much [change], the workforce reform, primary framework, intervention programme... Far too much change, particularly the things like the Primary framework and teachers have to start all over again with planning... it's a huge issue....(Headteacher, primary school)

It depends on micro or macro change. An example of micro might be dealing with an issue in a department, like science for the new GCSE programmes of study. Macro would be whole school, like raising attainment, or looking at the Teaching Learning Responsibilities (TLR) structures. You get bamboozled by it, you hardly get one thing done properly and you're onto another. (Headteacher, secondary school)

The amount [of change] is a problem; the government fails to understand how we implement change. It's not that we are against change per se, it's about the amount of support given, the forewarning given. It's about the degree of action required within the timescale given. The new announcements made by Ed Balls today [about the Children's Act increasing the role of school in child's wellbeing] really worries me because I know it will all be rushed through without

much thought about how it'll happen on the ground. (Headteacher, secondary school)

One interviewee, while agreeing about the challenges posed by the pace and amount of change, suggested that challenges could be mitigated by the way the school dealt with change, noting:

You just have to get on with it really, they [changes] keep on coming; sometimes it can be overwhelming, but you have to be confident as an organisation and take on the changes that suit you and perhaps put on the backburner those that you don't feel are quite so necessary - and that's all about strong leadership.

The interview data revealed some of the complexities of attitudes towards change and change management. In this context it was instructive to look at the further statistical analyses (see Appendix A) which provided details of which groups of school staff were supportive of the need for change and those that were not. The analyses revealed that:

- staff from secondary schools were supportive of the need for and usefulness of change (compared to those from primary schools)
- staff from larger primary and secondary schools indicated they were more supportive about the need for change
- older staff (in terms of age) were not supportive of the need for change
- men were:
 - supportive of a flexible rather than structured approach to managing change
 - supportive of the importance of change management
 - not supportive of the need for change.

Together, the statistical analyses broadly suggest that secondary schools are less positive about their capacity to manage change but more positive about change itself. This may be due to size of staff, for instance it may be that because there are fewer staff in primary school, communication, consultation, delegation and action is 'easier' (hence capacity is rated more highly); while, conversely, because there are less staff the impact of change on primary staff is more immediate and direct, hence the less positive overall attitude towards change generally amongst such staff.

Summary

It is perhaps surprising that, overall, responses to questions about attitudes to change were found to be largely positive. Therefore, it might be useful to conclude this section by giving some consideration to possible explanations for this finding, or at least to identify some relevant questions:

- Do these findings suggest that the concerted effort to support and develop schools' change management capacity have, at least in part, been successful? Does this mean that, while there may still be a sense of 'initiative fatigue', there is actually very little evidence of 'change fatigue'?
- Do these findings suggest that a culture of 'change' has started to become embedded within our school system with more acceptance of, and support for, the need for change?

2.3 Key drivers for change

The research team identified a number of key drivers for change which were applicable to the education sector (but also relevant to the other public sectors). These were:

1. Workforce remodelling - involving the freeing up of skilled professionals to focus on core activities
2. Achieving joined-up outcomes through partnerships and collaboration (for example extended schools and the Every Child Matters agenda).
3. Performance targets (for example league tables and attainment levels).
4. Distributed leadership - i.e. giving staff at all levels more responsibility for decision-making (distributed leadership).

The interviews and surveys provided opportunities to explore respondents' perceptions of the importance of these drivers for change.

Pressure for change

Approximately half of interviewees (23) in all schools stated that the main pressure for change came from central government agendas. Primary school interviewees were more likely to mention that these initiatives came via local government. One primary headteacher commented that the local authority "*pass on the pressure*" to schools. Just under a third (six) of primary school interviewees felt that pressure to change was initiated internally through self-evaluation, and over half (11 interviewees) of secondary school leaders took this view. Other sources of pressure were:

- Ofsted (two primary school leaders and four secondary leaders)
- Students, parents and the community (three primary and two secondary leaders)

Special school leaders also mentioned central government (three interviewees), the local authority (four interviewees) and pressure initiated internally from within the school (two interviewees).

Approximately half of special schools (five interviewees) and secondary schools (11 interviewees) believed that they exerted a significant measure of control over change in their schools.

For secondary school leaders, the source of this confidence was attributed to:

- knowing what is right for their pupils and a strong sense of the principles that the school stands for (six interviewees); often formalised by an official school vision or the School Development Plan (four interviewees) which is used to mediate any externally-driven pressures for change.
- having a ‘confident headteacher’ (four interviewees). One secondary headteacher told us that they had to be “*a gatekeeper of change*”. A deputy headteacher said that: *‘The nature of (the Head), their personality, the confidence in them and the philosophy of the head really gears as to what the school will do, so that if a head wishes to involve themselves in the LA and follow everything that is put down on them then the school will become a pressurised school. If the head has his own philosophy and recognises the important points then the pressure is less’*.
- a feeling that that there was a fair amount of flexibility involved in how they could control change (five interviewees). One primary school leader told us that they used creative thinking to “*customize*” external initiatives, using language that was already meaningful within their school setting in order to make it feel as if the initiative had come from within.

Special school leaders who reported themselves as having a good degree of control over change also mentioned feeling that they had more control than mainstream schools, attributing this to the unique nature of their task. One interviewee did make reference, however, to the fact that this level of control is diluted somewhat by the need to work with several other agencies locally, all with *‘different agendas’*.

In contrast, only a small number of primary school leaders (three interviewees) reported feeling that they had considerable control over change. They were more likely to say that they felt externally driven change to be inflexible, with some (four interviewees) saying that they felt change was ‘blanketed’ over all schools regardless of an individual school’s current context, capacity or performance. Four primary leaders also indicated that they found the timescales for implementation unrealistic and were faced with new initiatives before they had had time to embed the last. However, one primary headteacher explained her proactive approach to creating a ‘confident organisation’:

We’ve had to really evaluate where we want to be as a school - that’s where our vision has come from originally, because I felt the school was being pulled in all directions and we were doing things because we were told to. So now if it doesn’t fit into the vision we feel legitimate in saying ‘well it might be important to you but it’s not so important to us as a school’.

Other issues relating to sources of pressure and control over change as reported by interviewees were as follows:

- Non-statutory changes provided more flexibility but the reporting of most objectives by Ofsted could add pressure (two interviewees).
- Leaders in high-performing schools (three interviewees) felt that they are left more to their own devices, although some stated that there was also considerable pressure to maintain this high level, particularly from the local authority and parents.
- Control over change was perceived to be dependant on the level of support from other staff and governors (two interviewees).
- The level of pressure was reported to be linked with the timing of an Ofsted inspection. A couple of school leaders reported putting an initiative on the backburner once Ofsted had visited.

Change Drivers

Interviewees were asked which change driver was most important in their school at the time of the interview. Without the aid or prompting of a list of discrete change drivers, change in schools was perceived by interviewees to be motivated by many diverse drivers, and to some extent, was influenced by the type and phase of school. However some common themes emerged linked predominantly to outcomes and attainment and the driving forces encapsulated in the Every Child Matters agenda. The main themes from the interview responses are outlined below:

Primary school leaders:

- developing a more personalised learning approach through, for example, a *creative curriculum*, personalised targets, timetables and self-evaluation (eight interviewees)
- curriculum change, for example implementation of the primary strategy literacy and numeracy frameworks (five interviewees)
- modernising existing facilities and learning tools to accommodate the new educational agendas, for example, upgrading IT to enable personalised learning spaces, newly built facilities to ‘*move away from 30 pupil spaces*’, and introducing Children’s Centres to deliver personalised support and identify those in need of referral to partner services (three interviewees)
- remodelling the school workforce to incorporate new performance management procedures and introduce newly appointed staff with *Teaching and Learning Responsibilities (TLRs)* (two interviewees).
- distributing leadership to the most appropriate level was mentioned by two interviewees.
- two interviewees were currently involved in federating their school with another.

Secondary school leaders:

- The 14-19 agenda was mentioned by eight interviewees. Four of these interviewees referred specifically to the vocational nature of the changes and the new Diploma qualification. Three leaders told us that partnership working was the focus for implementing this change. One secondary Headteacher said they were trying to move away from *'the concept that a school on its own can deliver the needs of all its pupils, which is a thing that schools have always claimed to do'*.
- Raising standards and attainment through curriculum change and implementing the national standards for teaching (seven interviewees).
- Moving towards more personalised learning and a more inclusive approach (six interviewees).
- Only one interviewee said that workforce remodelling was currently the most important change for their school.

Special school leaders

- The Every Child Matters agenda was pinpointed by two interviewees.
- Increasing vocational learning opportunities was mentioned by one interviewee.
- Increasing emotional literacy of both staff and pupils (one interviewee observed *'We think it is important because by enabling everyone to self manage we can spend more time on academic goals'*).
- Improving pupil confidence to increase attendance (one interviewee).
- Redesignation to extend the range of age groups taught (two interviewees).
- Developing a more skilled workforce (one interviewee).

The fact that interviewees were able to provide this level of detail about the themes or drivers for change enabled the research team to usefully supplement the broader identification of the change drivers made in the survey responses. It is interesting to note that there was a diverse range of change drivers reported across primary and secondary schools, but that special schools appeared to be motivated by changes related to the ECM agenda.

When given the opportunity for open-ended response to this question during telephone interviews, school leaders were more likely to tell us about a change agenda which was unique to their school, and perhaps one tailored more directly to improving and enhancing the experience of each individual child.

Telephone interviews also revealed that workforce remodelling was an evolving agenda. All interviewees agreed that workforce reform had been important at some point, and while 17 believed that the changes had now been embedded and were *'in the past'*, almost half (23 interviewees) told us about

its continuing importance, particularly in the face of new challenges. One primary headteacher, for example, commented:

It's grown as an agenda – it's become an overarching discussion of how you facilitate change within the workforce. It's not just about restructuring pay conditions and salaries – it's more about how you work with people and challenge. We've changed three times now since the first time of looking at WR. We kept the things that allowed teachers to have more professional time but we've changed how leadership within the system is accomplished

Almost all interviewees were positive about the remodelling agenda, with seven claiming that they were making these kinds of changes before they were externally imposed. The negative comments made were related to the problems with funding the initiative and the huge challenge that it had presented, rather than disagreeing fundamentally with its core aims and objectives. Of the listed change drivers given, workforce remodelling was found to be the hardest to implement by both primary and secondary respondents (32 per cent and 34 per cent of respondents respectively).

As noted previously, the qualitative research allowed respondents, to some extent, to identify their own change drivers. The survey questions, out of necessity, gave more limited definitions of change drivers. Survey respondents were asked to rank a number of change drivers in order of importance for their school at this time. Table 2.3 shows the distribution of responses from school leaders:

Table 2.3 Primary and secondary school SLT rankings of change drivers.

For your organisation which of the following change drivers do you perceive to be the most important at this moment?	%	
Primary/Secondary	Primary	Secondary
Freeing up skilled professionals to focus on core activities	26	29
Achieving joined-up outcomes through partnerships and collaboration	11	11
Performance targets	16	27
Giving staff at all levels more responsibility for decision-making	33	25
Efficiency	13	9
Other	4	5
No response to this question		
N =1520		

A total of 1537 respondents gave at least one response to this question.

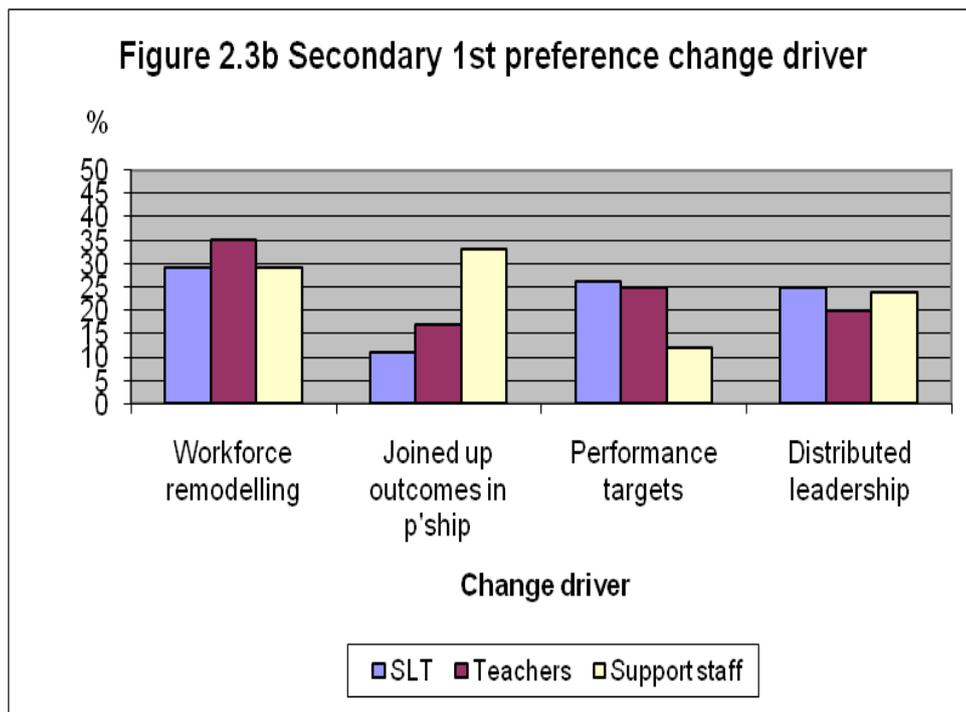
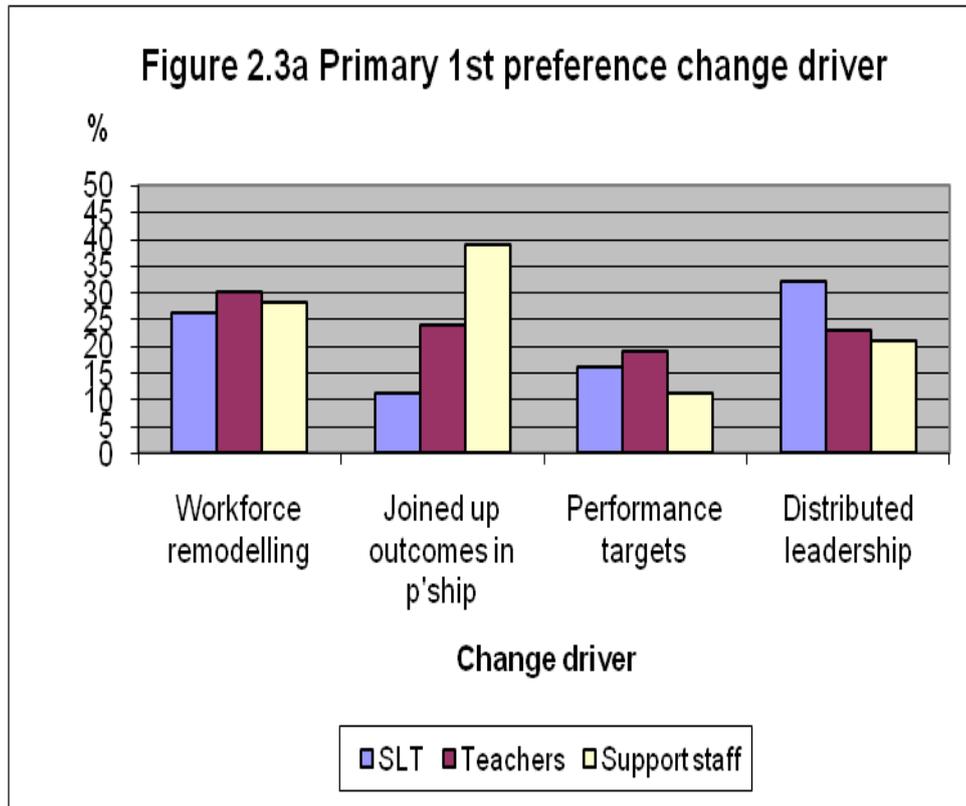
Due to rounding figures may not add up to 100 per cent.

Source: NFER change engagement school survey 2008

The following observations can be made from the data:

- Both ‘Freeing up professionals to focus on core activities (referred to as workforce reform in this report)’ and ‘Giving staff more responsibility for decision making (referred to as distributed leadership)’ were rated as a high priority for both primary and secondary school leaders.
- Distributed leadership was more of a priority for primary schools than secondary.
- ‘Performance targets’ was one of the major priorities for secondary schools.
- The high scoring of ‘joined up outcomes through partnership or collaboration (or Every Child Matters and Extended Services)’ only as a third preference for both primary and secondary school leaders suggests that, while this was an important consideration for schools, it was only approached once other priorities have been dealt with.

All respondents were also asked to rate the change drivers in terms of how important they felt they were for their school at the time of the survey. The following charts display the responses given by SLT, teachers and support staff in relation to which was their perceived most important change driver.



In terms of staff responses, the following can be identified:

- Both support staff and teachers agreed with school leaders in primary and secondary schools that workforce remodelling was the, or one of the, most important change drivers for their school.
- Achieving joined up outcomes through partnership working and collaboration was seen by primary school teachers to be on a par with devolved leadership.
- Secondary school teachers followed the same pattern as their leaders in identifying joined up outcomes most as a third preference.
- Secondary school teachers were also in agreement with their leaders that performance targets were a high priority.
- Support staff in both secondary and primary schools, however, chose as their school's number one priority 'achieving joined-up outcomes through partnership working and collaboration'.
- Interestingly, in both primary and secondary schools, support staff only rated performance targets as a third preference.

This comparison between staff and leadership data suggests that one or more of the following may be true:

- a) there may be a better level of communication and/or information sharing between secondary school leaders and their teachers when compared to primary school leaders and their teachers
- b) there may be a better level of communication and/or information sharing between all school leaders and teachers compared to all school leaders and support staff.
- c) It is also apparent that when presented with these options, staff may prioritise those changes which have had the strongest effect on *themselves* rather than those which are considered the most important strategically for the school. The consistency of support staff responses across primary and secondary schools would suggest that this is the case for this group in particular.

Summary

In summary, primary school leaders have given the impression that they are steered more by the local authority and also appear to feel that they have less control over change than secondary school leaders who have told us that they feel the pressure directly from central government. The latter group credits their perceived high level of control to a clear vision and set of principles, through which all external change agendas will be mediated. In addition, it was felt that having a strong headteacher who acted as a gatekeeper for change helped to ensure that only agendas useful to achieving the school vision would

be prioritised and those with an ability for creative thinking could make agendas their own. The amount of control over change can also be shaped by the context and circumstance of a school at any given time, with stability of staff, longevity of leadership resources and high performance being important factors.

From the list provided, survey respondents reported that workforce remodelling and distributed leadership were the most important change drivers at this time. The differences in response between SLT and school staff are interesting and may signify different understandings about what is strategically important for the school on behalf of the latter, with pressure intentionally placed by leaders on those issues which most directly affect or are affected by the individual member of staff. The higher rating of 'performance targets' as a change driver for secondary school leaders compared to their primary counterpart is also interesting, as is the scoring of partnership and collaboration only as a third preference. This could indicate that this is a new agenda for schools and one which they do not yet see as a priority in terms of its impact on outcomes. Or it may relate to the focus of pressure and priority as placed on the change driver by central government/the local authority.

When given the opportunity for making an open response SLT interviewees were more likely to tell us about change drivers such as personalised learning and curriculum change which may be characterised as change drivers which perhaps have a more immediate and measurable impact on a child's learning experience – something which interviewees often said was their ultimate concern. Workforce remodelling has been an important change agenda and while it seems that some of the hardest issues have been successfully addressed, the more politically sensitive issues have been overcome and the benefits have become apparent – further significant changes such as moving to a position where teachers are rarely required to cover from 2009 remain. However, while it is a continuing agenda, the challenge that this presents has eased off and school leaders are once again able to focus on other agendas.

2.4 The change management process

The TDA change management process is based on the core principles of effective leadership, an inclusive culture, together with change teams, constructive collaboration, a proven change process and consideration of rational, political and emotional aspects of change. The TDA believe that, in order to ensure positive progress with regard to change, it is: *'vital to have a vision, a strategy and a proven, structured and adaptable process for managing change in place, supported by appropriate skills and tools. A proven process is key to implementing sustainable change'*. It was within the context of the implementation of the workforce agreement that the TDA made

the M4D change management model available. This was based on a five-stage process (mobilises, discover, deepen, develop and deliver).

Section 2.3 revealed that respondents were, on the whole, positive about change and their capacity to implement change, this section explores attitudes and approaches to the way in which change is managed and perceptions on levels of involvement in the process.

Attitudes to change management

Survey respondents (school leaders, teachers and support staff) were asked to what extent they agreed or disagreed with views about change management. Table 2.4a provides details of responses. On the whole respondents felt that change should be managed in an open and inclusive way. The majority also believed that change should be overseen by a specific team, that change requires direction and focus and a clearly defined, but flexible, process should be followed.

Table 2.4a Respondents' views on change management

Different people have different views about the way change should be managed. Levels of agreement with the following statements.	Strongly agree	Agree	Disagree	Strongly disagree	Don't know	No Response
	%	%	%	%	%	%
All stakeholders (including all staff) should be involved in change	42	51	6	<1	1	1
It is helpful to follow a clearly defined process when managing change	37	60	2	<1	1	1
Change tools provided by external organisations are not helpful	1	12	66	6	14	1
Change should be managed from the top	14	48	31	3	3	1
It is important to understand different change processes	25	70	2	<1	3	1
It is not necessary to have a specific team to oversee change	2	31	51	9	5	1
Successful change requires clear direction and focus	60	39	1	<1	<1	1
Change is best when a clearly defined process is followed	38	55	4	<1	2	1
Sustaining change is the difficult bit	17	56	22	1	4	1
The approach to change should be adapted depending on what change you are implementing	31	63	2	<1	2	2

N =4104*A series of single response items**Due to rounding, percentages may not always sum to 100**A total of 4,104 respondents answered at least one item in this question**Source: NFER change engagement school survey 2008*

Just under two-thirds of all respondents believed that change should be managed from the top (and more teachers (65 per cent) and support staff (67

per cent) believed this than did SLT (55 per cent). Additionally one third felt it was not necessary to have specific team to oversee change and three-quarters perceived sustaining change to be the difficult part of managing change.

With regard to school phase, secondary school respondents agreed more strongly (41 per cent) that it is helpful to follow a clearly defined process when managing change and that successful change requires clear direction and focus (64 per cent) than did their primary colleagues (32 per cent and 55 per cent respectively).

Involvement in the change process

A minority of all respondents (16 per cent) reported the use of a school change management team (CMT) dedicated to planning change (see Table 2.4b).

Table 2.4b Change Management Team

Does your school use a formal Change Management Team (CMT) dedicated to planning change?	%
Yes	16
No	49
Don't know	34
No response	2
N = 4104	

A single response item

Due to rounding, percentages may not sum to 100

4039 respondents answered this question

Source: NFER change engagement school survey 2008

There were differences in awareness levels between SLT and school staff (teachers and support staff). Awareness of the use of a CMT was greater amongst SLT respondents (24 per cent) than staff (12 per cent of support staff and nine per cent of teachers), and substantially more staff (66 per cent of support staff and 42 per cent of teachers) did not know whether there was a CMT in their school than SLT (five per cent).

The vast majority of interviewees (47) said that there was not a CMT in their school. On the whole, change was reported to be led by the headteacher and the SLT according to the school context. This was explained by one special school headteacher as follows: *'As headteacher my main role is to manage change, we have to make decisions and we prioritise any new initiatives....within the school according to the school improvement plan'*. Bursars and governors were also involved in the process, as were heads of curriculum areas and ultimately all staff.

Table 2.4c below gives details of stakeholders said to be involved in the CMT, according to those SLT respondents who reported having a CMT in their school. Ten per cent of those staff who believed there was a CMT in their school, reported being part of the CMT.

Table 2.4c Members of Change Management Team

CMT usually consists of	Total %
SMT/SLT only	8
SMT/SLT and other senior staff	15
SMT/SLT and other staff from all levels within school	24
SMT/SLT, other staff and other stakeholders	35
Other staff from all levels within the school but no SMT/SLT involvement	1
Depends on the change driver	14
No response	4
N=375	

A single response item

Due to rounding, percentages may not always sum to 100.

All SLT who reported having a CMT

Source: NFER change engagement school survey 2008

All respondents were asked about the extent to which they agreed with various statements about inclusion at different levels in change decisions. Table 2.4d below outlines their responses.

Table 2.4d Respondents' views on levels of inclusiveness in change decisions

Extent of agreement with the following	Strongly agree %	Agree %	Disagree %	Strongly disagree %	Don't know %	No Response %
Contributions from stakeholders encouraged and welcomed	23	52	13	3	8	2
Staff are informed rather than consulted about change	7	32	49	9	2	1
Staff do not contribute ideas to the change process	2	14	63	16	3	2
Contributions from stakeholders valued and recognized	15	54	18	3	9	2
Staff are directly involved in shaping ideas for change	10	59	23	3	5	2
This school does not have an inclusive ethos to change	2	14	49	21	13	2
Staff do not feel empowered to take responsibility for change	3	24	52	12	8	2
Staff at all levels contribute to planning change	7	49	33	4	6	2
Staff at all levels contribute to implementing change	7	54	29	3	5	2
Staff expect SLT to lead change	13	59	16	1	9	2

N =4104

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 4104 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

There were some differences in opinions expressed with regard to involvement in change by school sector. In terms of school phase, more primary school respondents agreed or strongly agreed that staff at all levels contribute positively to planning (61 per cent) and implementing (68 per cent) change than their secondary colleagues (51 per cent and 56 per cent respectively). Additionally more secondary respondents (78 per cent) agreed or strongly agreed that staff expect SLT to lead change than their primary counterparts (65 per cent).

A pattern emerged in terms of attitudes towards inclusiveness in change decisions with regard to level of respondent. On the whole, teachers and support staff felt similarly and SLT differently: for example, substantially more support staff (54 per cent) and teachers (50 per cent) agreed or strongly agreed that staff are informed rather than consulted about change than did SLT (18 per cent). Similarly considerably fewer support staff (54 per cent) and teachers (57 per cent) felt that contributions were valued and recognized than did SLT (89 per cent). There was also some evidence that the more senior the member of staff the more likely they felt staff were to expect SLT to lead change (SLT 80 per cent, teachers 70 per cent and support staff 60 per cent).

SLT respondents were also asked at which stages of the change process stakeholders were most likely to be involved. Details of their responses are set out in Table 2.4e below.

Table 2.4e SLT’s views on stakeholders’ involvement in change process

Stages that stakeholders are most likely to be involved	Teachers %	Support staff %	Parents %	Pupils %	Governors %	No response %
The need for change is communicated	94	83	51	49	88	4
A strategy/process for planning change is agreed	90	62	11	12	77	7
Relevant stakeholders are identified	86	66	42	41	74	10
The current situation is formally assessed	88	54	24	26	67	9
Understanding of the situation is deepened	87	64	26	26	65	10
Priority areas for action are identified	89	56	18	20	69	9
A plan for implementation is developed	89	55	17	18	69	9
Information and decisions are fed back at each stage in the process	44	74	50	46	79	9
Implemented change is reviewed	89	68	42	44	82	9

N =1537

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 1469 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

Additionally, teachers were asked at which stages they felt involved in when their school planned changes. Interestingly they perceived themselves to be less involved, than their senior colleagues reported at every stage of the

process. The biggest discrepancies in perceptions of SLT and teachers with regard to teachers' involvement were at the following stages in the change process:

- 'a strategy/process for planning change is agreed' (SLT 90 per cent, teachers 50 per cent)
- 'the current situation is formally assessed' (SLT 88 per cent, teachers 46 per cent) and,
- 'implemented change is reviewed' (SLT 89 per cent, teachers 50 per cent).

Support staff were also asked about at which stages of the change management process they felt involved. They reported themselves to be less involved, than SLT perceived them to be, at every stage of the process, other than when 'priority areas for action are identified' where SLT and support staff concurred over support staff involvement (56 per cent). The largest discrepancies in perceptions of SLT and support staff with regard to support staff involvement were at the following stages in the change process:

- understanding of the situation is deepened (SLT 64 per cent, support staff 24 per cent) and
- information and decisions are fed back at each stage of the process (SLT 74 per cent, support staff 38 per cent).

Approaches to the change management process

SLT survey respondents were asked whether their school had a standard process dedicated to planning change for certain change drivers. Approximately three-quarters reported that they had a standard process (a defined process that they tended to use year-on-year) for dealing with league tables and attainment levels (74 per cent) and workforce remodelling (70 per cent), while just over a half felt they had followed a standard process for distributed leadership (57 per cent) and ECM and extended schools (56 per cent). They were also asked how important they perceived the school development plan (SDP) was to the process of change with regard to certain change drivers. On the whole the SDP was regarded as important or very important to the process, in particular with regard to league tables and attainment levels. Table 2.4f provides details of their responses.

Table 2.4f SLT views of the importance of the School Development Plan

How important is the School Development Plan to the process of change for each of the change drivers	Very important	Important	Not very important	Not at all important	Don't know	No response
	%	%	%	%	%	%
Workforce remodelling	30	47	17	2	2	1
Extended Schools/ECM	35	45	15	1	3	1
League tables/attainment levels	65	31	2	1	1	1
Distributed leadership	35	44	13	2	5	2
N =1537						

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 1517 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

Responsibility for the leadership of change was largely regarded as resting with SLT, although department heads were perceived to have substantial input especially in the area of attainment. Details can be seen in Table 2.4g.

Table 2.4g SLT views of who has responsibility for the leadership of change

In your school who has responsibility for the leadership of change management for each of the following change drivers	SLT %	Department heads %	CMT %	Outside organisation or advisor %	Other %	Don't know %	No response %
Workforce remodelling	87	14	8	6	7	2	2
Extended Schools/ECM	80	15	4	13	10	5	4
League tables/attainment levels	34	34	5	10	7	2	3
Distributed leadership	79	27	5	3	6	8	4
N =1537							

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 1503 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

On the whole SLT respondents considered that their schools managed change well or very well, apart from during those stages of the change cycle that involved feeding back and reviewing. Approximately a quarter felt that the school was not effective, or not at all effective, at feeding back at each stage of the process (30 per cent) and reviewing implemented change (25 per cent).

Table 2.4h SLT views on managing stages of the change process

Thinking about how your organisation typically manages change, how effectively does it carry out the following stages in the change process?	Very well	Well	Not well	Not at all well	Don't know	No response
	%	%	%	%	%	%
The need for change is communicated	17	73	8	1	1	1
A strategy/process for planning change is agreed	12	68	16	1	1	2
Relevant stakeholders are identified	16	72	8	1	1	2
The current situation is formally assessed	14	66	16	1	1	2
Understanding of the situation is deepened	12	68	15	1	3	2
Priority areas for action are identified	28	65	5	1	1	1
A plan for implementation is developed	23	65	9	1	1	2
Information and decisions are fed back at each stage in the process	11	56	28	2	1	2
Implemented change is reviewed	14	57	24	1	2	2

N =1537

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 1515 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

The vast majority (49) of interviewees believed that they managed change well, and 18 interviewees commented on the fact that the way change was managed in their schools was now more consultative and collegiate than previously. One headteacher of a special school explained:

The key in this school is consultation. If the staff feel that they have been consulted effectively and thoroughly and have their say and understand why the changes are happening then it is generally easier for that change to happen. If for various reasons we have to carry out a change without consultation, and there are such situations (either we don't have the time or the resources) then it does not work so well.

Five SLT interviewees explained that they were more selective in their approach to change now, as described by a primary headteacher:

I decide what change is implemented and it has to benefit the teaching of pupils or the quality of life for staff or else I don't implement it.

One assistant headteacher believed that change had not been well-managed recently because there had not been enough dialogue and support. SLT interviewees in four other schools felt that staff in their schools struggled with change. One secondary headteacher said: *teachers have to realise that the*

wider world copes with change every day'. Another primary headteacher pointed out that the school had experienced many staff changes due to workforce remodelling, so it had been *'tough'*.

Interviewees were asked whether they used any change management models, other than the TDA M4D model (this is discussed in section 2.7). Approximately one fifth (11 interviewees) said they used other approaches, sometimes depending on the nature of the change: *'it depends what change you're looking for as to what change you'll use'*. However five interviewees commented on the emotional elements of change models (also see Table 2.4i below) such as: *'I think change models are good but they shouldn't be a check list of 'I've done this and this and I'm doing well' you're not if you don't bring in the emotional aspects'*. Another secondary headteacher described how she was influenced by business models:

I've done some corporate reading and worked with Pricewaterhouse-Coopers on change management. My deputy head is an ex-accountant with PWC and has been a big influence...I do most of my reading outside education. I read everything written by Stuart Rose, chief executive of Marks and Spencers, as he's turned it around through a planned and sustained change process. I use a model not unlike the TDA one but it's about getting the key staff involved at the very beginning... and making sure you pick your participants very carefully at the start of the process. I know about emotional intelligence and team dynamics... we don't use the right jargon, we take the best bits.

Nearly half (21 interviewees) said they did not use standard approaches to change management for various reasons such as *'we make it up as we go along'* (secondary deputy headteacher) or *change is relatively easy in our school and we haven't felt the need to explore this kind of thing'* (primary deputy headteacher).

The majority of interviewees (32) believed that their school's approach to managing change had altered over the past few years. Three main forms of adaptation were described:

- Change has become more **inclusive and collaborative** (11 interviewees). One headteacher observed that *'imposition does not work well – we need buy-in...change is now discussed and it is not imposed. The impact is that everybody feels valued and team and community trust has been established.'* The more inclusive approach was often linked with the arrival of a new headteacher, as explained by one secondary deputy headteacher: *'the old head knew what he wanted and that was the starting point, the new head is more inclined to involve people right the way through. We involve more teams of people. It's generated an open climate, so staff expect to be involved, they expect more open approaches to express their thoughts'*.

- Along with the consultative approach outlined above, a further 11 interviewees noted that change management has become **more distributed**. One bursar in a college observed that the way change was managed was: *'narrower before... and what we have now has distributed the responsibility, so that more tiers of people are expected to take on more responsibility...as a consequence people feel more involved'* Again this change in style was often linked with the advent of a new headteacher. One secondary deputy headteacher commented that: *'the new headteacher is all about empowering others, she asks people to discuss things in meetings'*.
- Six senior leaders commented on how the way in which they manage change has become **more focused** in recent years, often through experience, as observed by one primary headteacher: *'I'm better at time-keeping and monitoring progress now'*, while another explained: *'we plan better now, we are more proactive, so we are always looking ahead and scanning the horizon'*.

Although it was clear that some of the key constituents of successful change were consultation, empowerment of middle managers to lead change and a more focused, planned approach, nevertheless a few interviewees (five) observed that sometimes it is more appropriate for headteachers to make decisions without consultation and that change does need to be *'top led'*. It was also observed by one primary headteacher that whether to consult over change was, at times, reliant on the nature of the change and the timing:

When I arrived there was so much legislation to put in place, there was less consultation. Within the academic side we've always consulted, except I've said we must do this, or that, in the beginning there was less consultation because decisions had to happen. Over the years it has become more consultative....the changes now are smaller, and are seen to be necessary, or we ignore them and they make it possible for staff to feel valued.

Another secondary deputy headteacher endorsed the last point and also stressed the importance of emotional literacy. He pointed out:

There are different styles of change leadership which are necessary according to the context at any given time. If you have come into a school with relative lack of success or underachievement a more direct style, where you inform them that change is necessary is needed. Having done that... you can have a more collegiate approach where the input comes from the teams. The effect of that is greater once you've achieved the initial changes as you'll have hearts and minds on board. This is needed because once they go to the sanctuary of their own classrooms they'll revert to type if there are not hearts and minds on board.

Another interviewee encapsulated the importance of ‘winning hearts and minds’ when he observed: *‘I don't think that management of change is a science, it's an art, so I don't think there is a formula for it’*.

Survey respondents were also asked to consider the emotional aspects of change management and their answers are set out in Table 2.4i below.

Table 2.4i School respondents’ views on aspects of change management

When implementing change, to what extent does this organisation take into account the following aspects at the different stages of change	To a great extent	To some extent	A little	Not at all	Don't know	No response
	%	%	%	%	%	%
Stakeholders’ emotional reaction to change	14	45	23	9	9	1
Stakeholders’ political sensitivities	12	41	24	9	13	1
Stakeholders’ preferences about change	7	45	26	8	13	1

N =4104

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 4061 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

As can be seen in Table 2.4i the majority of respondents (59 per cent) perceived that their schools did take emotional reactions (such as fear and anxiety) into consideration to a great or to some extent. Similarly, the majority considered that political sensitivities (such as changes in role or status) were taken into account to a great or to some extent (53 per cent), and preferences about change to a great or to some extent (52 per cent).

However just under one in ten believed that their sensitivities, reactions and preferences were not taken into account at all, and this was most acutely felt by teachers (in contrast to SLT and support staff) where 13 per cent reported their emotional reactions and political sensitivities were not considered at all.

Teachers and support staff were asked how satisfied they were overall with their involvement in planning change. The majority were satisfied, as can be seen in Table 2.4j below. However over a quarter of teachers (27 per cent) and nearly a third (32 per cent) of support staff were not satisfied with their level of involvement.

Table 2.4j School staff's satisfaction with involvement in planning change

How satisfied are you overall with your involvement in planning change?	%	
	Teachers	ss
Very satisfied	13	11
Quite satisfied	54	48
Not very satisfied	23	27
Very dissatisfied	4	5
Don't know	5	8
No response	1	1

**N = teachers 1521
support staff 833**

A single response item

Due to rounding, percentages may not sum to 100

Source: NFER change engagement school survey 2008

When analysed by sector more secondary school staff were dissatisfied (37 per cent and 32 per cent respectively of support staff and teachers were 'not satisfied' or 'very dissatisfied') than primary staff (27 per cent and 21 per cent respectively). Similarly more primary support staff and teachers were quite or very satisfied (65 per cent and 73 per cent respectively) than their secondary colleagues (52 per cent and 63 per cent respectively). In summary, the staff who were most dissatisfied with their level of involvement in planning change were secondary support staff and the most satisfied were primary teachers.

Summary

Overall attitudes towards change management were reported to be positive and sustaining change was perceived to be the difficult part of the process. On the whole, more secondary than primary respondents believed that it was helpful to follow a clearly defined change process with clear direction and they expected the SLT to lead change, whereas more primary than secondary respondents felt that teachers and support staff contributed positively to planning change. It seems likely that the secondary respondents' desire for clarity may be linked with the complexity and range of agendas they are facing, and the size of their organisations.

Approximately half of teachers and support staff, in contrast to one fifth of SLT, thought that staff were informed rather than consulted with regard to change, and, on the whole, teachers and support staff felt less involved in the whole process than SLT perceived them to be.

Overall a minority of survey respondents and interviewees reported having a Change Management Team. Many interviewees viewed the SLT as the CMT. The majority of survey SLT respondents reported having a standard process dedicated to planning change, although this varied according to the change driver. Interviewees also pointed out that the approach to change had, for the majority of them, altered in recent years in that it was now more consultative, distributed and focused. However they felt that there was still scope for improvement in the area of feeding back and reviewing change progress (which may well contribute to sustaining change).

Although the majority of respondents felt that the emotional and political aspects of change were considered, one in ten did express a view that they were not sufficiently taken into account, and more teachers, than support staff and SLT, reported this. Similarly, although the majority of teachers and support staff felt satisfied with their level of involvement in planning change, one quarter of teachers and one third of support staff would like more involvement.

2.5 Challenges and success factors

In this section, perceptions of the impact of change, the capacity of schools to achieve change goals, the contributory factors to the successful management of change and the challenges and barriers encountered are explored.

Perceptions about the impact of change

All respondents were asked to rate the impact of change in the last two years on a range of school-related factors. Clearly, individual changes may have impacted in different ways on these factors, but in general, although up to a third did not comment on some factors, responses show that staff are positive about the impact of change on and within their schools, as can be seen in Table 2.5a. In fact, against each factor listed, the majority of those responding (more than 50 per cent in each case) reported feeling 'positive' about the impact of change.

Around three-quarters (74 to 78 per cent) of respondents reported positive impacts on the motivation/morale of pupils, school ethos, the quality of teaching, support staff skills and school leadership. Furthermore, approximately two-thirds (61 to 69 per cent) said that there had been positive impacts on the motivation/morale of the SMT, teaching staff, governors and parents. Similar proportions reported positive impacts for collaboration, attainment, pupil behaviour, infrastructure, community-school relations and ECM outcomes. Fewer respondents, but still over half (58 per cent), observed a positive impact on the motivation/morale of governors and on staff retention.

Table 2.5a The impact of change

Impact of change on:	% replying:					%: No response
	very positive	positive	negative	very negative	don't know	
...quality of teaching	17	61	6	<1	11	5
...support staff skills	16	60	5	1	14	5
...school ethos	18	58	7	1	11	5
...pupil attainment	15	61	6	<1	12	6
...the motivation/morale of pupils	11	63	7	1	14	4
...school leadership	21	53	8	1	12	5
...the motivation/morale of senior management team	18	51	6	1	17	6
...Every Child Matters outcomes	14	54	2	<1	24	6
...pupil behaviour	12	55	14	2	11	5
...school infrastructure	12	54	8	1	20	6
...the motivation/morale of teaching staff	8	58	18	3	8	4
...the motivation/morale of parents	8	56	5	1	26	4
...the motivation/morale of support staff	9	55	17	4	12	4
...community-school relations	11	52	4	1	27	6
...collaboration with partners	10	51	3	<1	29	6
...the motivation/morale of governors	12	46	2	<1	35	4
...staff retention	12	46	17	3	17	6

N=4104*Series of single response items**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

Further statistical analysis (see Appendix A) revealed that:

- staff who were not supportive of the usefulness of change also said that change had not improved school quality

- staff who were supportive of structured change management processes also said that change had improved school quality
- staff from secondary schools said that change had not improved motivation and morale
- staff who thought that change was sustainable also reported that school quality and motivation/morale had improved.

Views about the capacity to achieve change goals

All respondents were asked to rate how confident they felt about achieving their change goals in relation to four key drivers of change. As can be seen from Table 2.5b, approximately three-quarters of respondents, from primary and secondary schools, were confident that they would achieve their change goals in relation to all four change drivers, although slightly less confidence was reported with regard to distributed leadership.

Table 2.5b Confidence in capacity to achieve change goals

Change driver	% primary staff:			% secondary staff:		
	confident	not confident	don't know/missing	confident	not confident	don't know/no response
League tables/attainment targets	82	10	8	80	11	9
Extended schools/ECM	81	9	10	79	11	10
Workforce remodelling	79	9	12	77	12	11
Distributed leadership	70	13	17	65	18	17
N=	1926			2178		

Series of single response items

Percentages may not sum to 100 due to rounding

Source: NFER change engagement school survey 2008

Higher proportions of SLT respondents were confident about their capacity to achieve change goals compared to others, in relation to:

- workforce remodelling; 92 per cent of SLTs were confident of achieving such goals, compared to 70 per cent of teachers and 69 per cent of support staff
- league tables/attainment; 88 per cent of SLTs were confident of achieving such goals, compared to 79 per cent of teachers and 75 per cent of support staff
- and distributed leadership; 79 per cent of SLTs were confident of achieving such goals, compared to 61 per cent of teachers and 61 per cent of support staff.

Views about how to successfully manage change

All respondents were also asked an open question about what three factors they thought were most important in order to successfully manage change. A high number of specific factors were mentioned and these have been summarised under broader themes in Table 2.5c.

Table 2.5c Factors used to successfully manage change

Success factors	Number of times mentioned by:		
	SLTs	teachers	support staff
Involvement	1405	1206	807
Clarity	831	497	290
Effective leadership	622	570	305
Realistic plan	445	215	31
Monitoring and evaluation	298	236	105
Resources	273	194	69
N=4104			

Multiple response question

Frequencies do not sum to 4104 since percentages are not used as respondents may have provided multiple specific examples within each of the broad categories of factors listed. One respondent may have mentioned a success factor two or three times.

Source: NFER change engagement school survey 2008

Broadly, the factors mentioned most frequently, by all respondents, were very similar as were responses from primary and from secondary school staff. Involvement, clarity and effective leadership were perceived to be key to the successful management of change.

Interview data was broadly in line with the survey responses presented above. The factors associated with the successful implementation of change were perceived to be:

- **involving staff and other stakeholders** by providing clarity in the change process, opportunities for consultation and discussion, mentioned by all of those interviewed. One primary headteacher explained that change was more likely to be successfully implemented by:

Involving staff and stakeholders from the very beginning, involving them in change and giving them ownership. It's easier to do in a small school, by being clear on why the change is needed...it's because we

want our standards to improve, and staff and parents have seen that, because they have been invited to share their opinion from the start, it's helped.

- **the importance of implementing change that was relevant to their school**, met identifiable needs and held and retained focus, mentioned by 32 interviewees (equally important across school types), as one primary headteacher said:

One key element of successful change is that, other than mandatory change, don't implement all change.

- **making sure staff were supported in dealing with change** via collegiate or line management activity, through training and/or through other forms of support, such as that of external consultants. This was mentioned by about half of the interviewees and the following was typical of their comments:

There is an assumption that new staff will fit in with the way things are done. I don't agree with this, so we now have new staff training. This is a two way process whereby we train on change plans and we also get feedback from new member of staff and gain their experiences from previous jobs. (Headteacher, secondary school)

- **the importance of strong and positive leadership** was mentioned by 10 interviewees (only one of whom was from a primary school). This included the occasional need, according to seven interviewees, for headteachers to 'force' change through or at the very least forcefully lead it from the front:

Lots of people need to know things are changing but don't need to feel consulted. You have to have communication lines so that people are able to say "can you explain this to me?" But if you try to converse with everyone with a stakeholding it becomes slowed down and the pace of change stops.You have to be intelligent enough to know when something needs consulting on and when it's actually about you as a leader having to make a decision.(Headteacher, primary school)

Interviewees were asked to provide examples where they believed change had been successfully achieved. Broadly, interviewees mentioned two types of change, those motivated:

- by national policy initiatives (such as curriculum development, personalised learning, assessment for learning, workforce remodelling, distributed leadership and ECM/extended schools) and
- by the schools (such as changes to school uniforms):

Examples of successful change were provided for the following areas:

- workforce remodelling, mentioned by 17 interviewees (10 being from secondary schools):

... changing from Heads of Year to 'student progress leaders' (they monitor student performance across each stage) represented a change of culture here. We have very demanding pupils and very high FSM and this change has worked as it has been instrumental in raising the level of aspiration amongst pupils. (Headteacher, secondary school)

When I first came here it was obvious that the leaders as they are now were entirely teachers, they dealt with discipline matters and it was a waste of their expertise, so they needed to focus on student progress, know their students and encourage them, so we appointed a full team of student support managers (non teachers there to support students). This was a big chunk of people added to the team, expensive, but well worth it (Headteacher, secondary school)

- curriculum change or development, mentioned by 14 interviewees:

A major change would be the work towards personalised learning; we're doing a lot of tasks showing how the children can be when entrusted with more authority over their own learning. This has been a success because it's been raising standards, the children, to a large extent, are in control of their own destiny and they realise that, so there has been a raise in motivation. (Headteacher, primary school)

There has been a big change in the way we are teaching writing, there has been a lot of CPD, and inset and twilight sessions, there has been a lot of input and looking at other models in other schools and the success it's had in other places. That was actually a big uphill struggle, and involved other things, but it's reaping its rewards, and has seen the children moving forward at a much faster pace. (Headteacher, primary school)

- pupil assessment/reporting, mentioned by two interviewees:

One that was successful, and a relatively straight forward one; we've been working on pupil target setting for 4 years, we implemented it through a pilot scheme, with one year group, using senior staff to carry out the interviews; this year we had a whole school target setting and review day, involving parents, pupils and all staff, it was handled sensitively, it was well supported, parents were brought on board through consultation, and it was part of the plan for 3 years so was at a pace that was acceptable (Headteacher, secondary school)

We changed dramatically the way we report to parents, we had for years an old kalamazoo handwritten reports; we changed to A4 format

reports, a page for each subject, it was the usual headed detail taken from the machine, a descriptor of the course, and there was very clear and well organised presenting to parents about aspects of performance... The comments were from comment banks, but staff had the choice to write their own info in. The whole of the change was monumental, and it was successful because all parties saw there was something in it for them. (Headteacher, secondary school)

- the school achieving a specialist status, mentioned by three interviewees:

Moving from an X college for science and maths you'd think the Y college would be up in arms wouldn't you? But they showed an incredibly maturity and saw it as an improvement. This was because they were involved early on. We had a conversation about it, which expanded, the head and I knew where we wanted to end up. The head was talking one to one with the head of technology early on, he's a mature manager, so he didn't feel threatened from the beginning, he could also see all the things he wanted to do would now be possible. Because people were mature about it, it was remarkably smooth. (Headteacher, secondary school)

Healthy school probably, to achieve the status was a success. This was successful because children have been taught about healthy eating, physical activities, it's filtered down, children have been doing activities, it's been built into the curriculum, parents have been involved, it's been whole school. (Headteacher, primary school)

- ECM/extended schools, mentioned by one interviewee:

A good example of a good change that has been recently implemented is the introduction of a breakfast club between 8 and 9 am through the extended schools agenda. We have 12 pupils (out of 208) who regularly attend. It is successful because it makes money and the parents are very grateful for the service. It works because there is a good structure and we don't deviate from that. (Headteacher, primary school)

The examples of school-specific/motivated changes focused on changes to school rules (uniform) and internal school practices.

We recently changed the school uniform requirements because pupils constantly wear trainers to school. The new uniform required black shoes. The importance of uniform was explained to parents and pupils and they bought into it and it has worked and is a very visible sign of successful change (Headteacher, primary school)

One recent example was that, initially through the increased flexibilities project, we gave challenging young people the opportunity to experience taster days at college. The better behaved young people

felt hard-done by, one said 'it feels as if the naughty kids get the nice things'. So we sent some of the more vulnerable and overlooked young people who deserved to go. They enjoyed the courses and opportunities and felt very positive about it and this was apparent in the classroom. This all came about through listening to the young people.
(Headteacher, secondary school)

Perhaps, the broad and varied range of examples above, highlight the opportunity that exists to share and demonstrate examples of practice related to successful change management.

Barriers to implementing change

SLT survey respondents were asked about the change driver that had caused them most difficulty and which of a range of factors had been a barrier/challenge to its implementation. The barriers identified by the highest proportions of respondents, as shown in Table 2.5d, related broadly to 'overburdening', as follows:

- the fear of overburdening staff (84 per cent)
- there were too many initiatives (81 per cent)
- the lack of funding (80 per cent)
 - respondents felt most strongly about funding, 41 per cent identified this as being a barrier to a 'great extent'
- the lack of time to effectively plan (77 per cent).

Over half of respondents identified a lack of support from teaching staff (58 per cent) and a lack of a rationale for change (51 per cent) as barriers, while 44 per cent mentioned a lack of support from support staff as a barrier. Around a third of respondents identified a lack of support from the LA (38 per cent), professional associations (33 per cent) and a lack of support from parents (30 per cent) as barriers.

Table 2.5d Barriers to implementing change

Barriers	The extent to which the factor is perceived as a barrier (%):					%
	great	some	a little	none at all	don't know	No response
Fear of overburdening staff	30	34	20	9	2	5
Too many initiatives	34	27	20	11	3	5
Lack of funding	41	25	14	11	3	5
Lack of time to plan effectively	23	29	25	15	3	6
Lack of support from teaching staff	6	21	31	33	2	6
Lack of rationale for change	10	19	22	38	4	7
Lack of support from support staff	3	15	26	45	4	7
Lack of support from local authority	5	14	19	50	7	7
Professional associations	4	12	17	46	14	7
Lack of support from parents	2	9	18	57	6	7
Lack of support from pupils	2	8	15	63	6	7
Lack of support from governors	1	7	15	66	5	7
Lack of support from SMT	2	8	11	71	2	6
Change consultants/regional advisors	2	6	11	55	18	9
Partner institutions	2	5	11	58	16	7

N=1537*Series of single response items**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

Further analysis (see Appendix A) revealed that:

- staff who said that resources were a barrier to sustainability also reported resources as a barrier to implementing change
- staff who reported external stakeholders as a barrier to sustaining change, also reported non-teaching staff as a barrier to implementation of change,

but said that teaching staff and pupils and parents were not implementation barriers

- staff who reported the school community (that is, the external local community) as a barrier to sustaining change, also reported teaching staff and pupils and parents as barriers to implementation, but said that non-teaching staff were not barriers
- staff from schools with high numbers of pupils with SEN said that non-teaching staff were not a barrier to implementing change
- staff from schools with high numbers of pupils with FSM said that pupils and parents were barriers; whereas staff from primary schools with the highest VAs said they were not.

The information interviewees provided about barriers they had faced broadly reflects the survey findings; the focus being on barriers related to ‘resources’ and overburdening. This was consistent with the view that there were too many initiatives introduced too quickly. However, resistance from staff (their capacity to deliver or fear) was the barrier mentioned most frequently by interviewees (25). Comments included:

Capacity is the main barrier in terms of both physical and human resources For example, in terms of staff, it has involved the changing of hearts and minds - there has been a generation of teachers who have been used to the national curriculum and they're having to learn to think again. (Headteacher, secondary school)

... some staff are saying “hold on, this is different work to what we have had to do before and we're up for it, but give us the training”, I suppose it's staff lack of confidence, it's whether they have the kit bag of skills needed. (Headteacher, secondary school)

With some people you may have to use threats of competency because, for those people, there is no movement and poor practice continues. Word gets around; makes clear it won't be tolerated and those who are more malleable but a bit lazy then get their act together. That's one approach to changing hearts and minds. Other ways are through training; explaining why you need to do something and allow them [the staff] to come up with their own solutions that can then be shared within the school. (Bursar, secondary school)

Interviewees (16) also mentioned the lack of finance and the pressure of ‘time’ as a key barrier to successfully implementing change. Comments included

...it [the main barrier] would be budget, year on year with the proposed changes in terms of removing minimum level funding, in the three years we haven't started with the same structure every year,

Time or lack of time is a barrier. This sort of analysis [talking about monitoring and evaluation] is administration work for teachers and they are not used to looking at it in such detail. (Headteacher, secondary school)

It's going to be finance which is the major problem... [we are] setting up a whole group of support staff specialising in behaviour support. We're not getting the support financially that other people in the county are getting, and it just puts more pressure on. (Bursar, secondary school)

Finance, no extra money has been put in place to support the additional administrative structure needed, it's meant tightening on the teaching load for the teachers because the only way to make savings, so timetabling has become more difficult for the SMT. (Bursar, secondary school)

Changes being prescriptive (or the absence of local autonomy) were mentioned as barriers by three interviewees:

The main challenge would be prescriptive legislation, at the moment it's fantastic we are being encouraged to teach in flexible ways, but you only need one person high up in government to pull the rug on the progress we are making. Change in the policy sector could have an impact. (Headteacher, special school)

Money doesn't come to us because we're not in a deprived area - we don't tick enough of the boxes. For example, I'd love to be able to pay off some of my staff and just get rid of them like they can in the corporate sector. Instead we have to go through all the policies and procedures and sometime it can take up to two years to get rid of a teacher and that's two years of a child's education. (Headteacher, secondary school)

Heads don't have enough freedom to do what they need to do to manage change quickly and effectively. (Headteacher, secondary school)

Finally, three interviewees thought that their schools' location had been a barrier to implementing change, as explained below:

Our rurality and the confines of our building [*are a barrier*] and our site; we are reaching capacity and we're a very popular school. And funding, the suggestion is leaner and fitter budgets and they expect us to be able to do more - that's always a challenge. (Bursar, secondary school)

The logistics, that's not the only one, but it is important, I don't think anyone has bothered to find out whether students want to move

between schools or change what they study so they stay in the home school. The whole thing has generated a multitude of meeting at different levels, such as strategic and operational, which has taken people away from the school. (Headteacher, secondary school)

Summary

There was much confidence reported with regard to the impact of change and achieving current change goals. The involvement and support of staff, the clarity and relevance of vision with regard to the change and effective leadership were viewed as key to the successful implementation of change. Overburdening, for example the perception that there are too many initiatives and lack of time, were regarded as the main barriers to change implementation. The following section will look more specifically at sustaining change.

2.6 Sustaining change

Sustaining change was widely perceived to be a difficult element of the change process by SLT, teachers and support staff. This section explores sustainability and views on capacity to sustain successful change and the barriers encountered.

Progress in sustaining change

All respondents were asked about how much progress their organisation had made in sustaining change in relation to each of the four change drivers.

Table 2.6a Change drivers and progress in sustaining change

Change driver	Progress in sustaining change, % responding:						not applicable
	a lot	some	very little	none	don't know	No response	
League tables/ attainment targets	35	49	5	1	7	2	1
Extended schools/ECM	30	49	10	1	8	2	1
Workforce remodelling	42	39	6	1	10	2	1
Distributed leadership	22	45	12	3	14	3	2

N=4104*Series of single response items**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

Broadly, responses in Table 2.6a show that school staff thought that they had made progress in sustaining change in relation to each change driver, with most respondents reporting 'a lot' or 'some' progress for each change driver (in the range 67 to 84 per cent). In addition:

- of those reporting a lot of progress sustaining change for each 'driver', the highest proportion related to Workforce remodelling (42 per cent) followed by attainment, extended schools and distributed leadership with only 22 per cent of respondents reporting 'a lot' of progress.
- with the exception of workforce remodelling (because of the high proportion reporting 'a lot' of progress), broadly similar proportions of respondents reported 'some' progress against the remaining three change drivers (in the range 45 to 49 per cent)
- in line with other findings, it is noticeable that distributed leadership again seems to pose schools a greater challenge than the other change drivers (lower rates of progress were reported and higher proportions of respondents reported 'very little' or 'no' progress, 13 to three percent).

Further analysis (see Appendix A) also revealed that respondents who were more confident that change could be sustained were from schools with a higher consistency of inclusiveness.

Factors that can facilitate the sustainability of change

SLTs respondents were asked, for each of the four change drivers, to indicate what they thought were the two most important factors that facilitated the sustainability of change and Table 2.6b, summarises the overall frequencies of responses.

Table 2.6b Factors that facilitate the sustainability of change

Factors that facilitate sustainability	% identifying factors that facilitated sustainability for:			
	Workforce remodelling	extended schools/ECM	league tables/attainment targets	distributed leadership
Effective leadership	71	45	69	70
Stakeholder support	24	32	21	26
Effective collaboration	21	32	13	31
Adequate funding	37	37	10	12
Monitoring and review	13	8	43	17
Effective planning	22	18	20	19
Outside guidance and advice	10	19	12	8
Low staff turn over	14	3	13	17
A clear change process	19	9	9	15
Change advisor	7	8	8	5
Other 'open response' ⁶	1	1	1	1
Missing/no response	5	9	7	10

N=1537*Multiple response question**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

Effective leadership was mentioned by the highest proportion of respondents, for all four of the change drivers. The second most mentioned factor for workforce remodelling and extended schools was funding (37 per cent), for league tables/attainment targets was monitoring and review (43 per cent, which was the largest proportion of responses for the second most important

⁶ Only 10 open responses were provided and none differed from the fixed response options, therefore they have not been reported.

factor against any change driver) and for distributed leadership was effective collaboration (31 per cent). There were no noticeable differences between the responses of staff from primary and secondary schools.

Further analysis (see Appendix A) revealed that the following respondents were more confident that they could successfully sustain change:

- those who reported that ‘quality’ (of outcomes) and/or motivation/morale had improved at their school
- those who were confident in their organisation’s capacity to manage change and/or who were more supportive of the need for a structured process to manage change
- staff in larger primary schools, staff from schools with higher VA scores and staff from secondary schools
- staff from schools with higher proportions of pupils eligible for FSM.

Further analysis also revealed that respondents who belonged to the following groups were less confident that change could be sustained:

- staff who had five years or less in their current workplace when compared than those who had been in place for more than 10 years
- staff who said their school did not have a change management team
- men compared to women
- SLT aged 35 - 44.

Interviewees provided examples of how they had successfully sustained change. The following factors or issues were mentioned:

It was claimed that change would be sustained if ‘*it is implemented effectively*’ (Headteacher, primary school) and that ‘*If it is a good idea it will be sustained, as it will work and become embedded*’ (Headteacher, secondary school). Another interviewee agreed thus:

The general principles of successful change are that it works, that there is a seamless transition, that everyone knows about it and that there is natural progression. (Headteacher, secondary school)

- To support change and make it sustainable, flexibility and/or contingency planning were needed as explained by one interviewee:

We’ve had to be creative with time; if you want staff to come together at the same time you have to either pay support staff more money to meet after school or days in lieu and the whole meeting structure has been changed all round. We’ve managed to free up the whole school to meet on a Friday afternoon, by me taking the children for singing and

the leadership team chairing the staff meeting. What we used to call staff meetings were actually only teacher meetings. And this has been a real big change - now all staff have three quarters of an hour quality time working together. (Headteacher, primary school)

- The recognition that schools might well expect a ‘dip’ in performance related to the change before improvement could be seen, and that staff and schools should be ready for this and not be deterred:

The last year or so we’ve come to accept there has to be a pit - you know the change curve where you start off really enthusiastic and you go down and then come back up again. And we’ve come to realise that when you’re in the pit that is sometimes when the best ideas come. But it’s uncomfortable and people don’t like being uncomfortable do they? We understand now that when you change something there is going to be a period where you wished you had never started and we use that as a model quite a bit. By and large we try and evaluate how things have gone. I think that’s one of the most important things- not just to change something and then not look at it again. So we try to be as reflective as we can. (Headteacher, primary school)

- Monitoring and evaluation were important to enhance the school’s ability to know (and understand why) any changes had been successful or otherwise, and provided opportunities to disseminate good practice more widely:

Monitoring and reporting has been a way of measuring how well we are doing and helps to identify those members of staff who aren’t supporting an initiative which has led to them leaving the school as they obviously don’t share the same vision for the kids.(Headteacher, secondary school)

Our change is going to be used as a model for change in the rest of the county, we’ve got 2 or 3 more federations in the pipeline and it’s putting the pressure on politicians to recognise the benefits. (Headteacher, primary school)

Barriers to sustaining change

SLT respondents were asked about the change driver that had caused them most difficulty and which of a range of factors had been a barrier/challenge to sustaining change. The barriers identified by the highest proportions of SLT respondents related broadly to ‘overburdening’ as can be seen in Table 2.6c.

Table 2.6c Barriers to sustaining change

Barriers	The extent to which the factor is perceived as a barrier to sustaining change (%):					% missing
	great	some	a little	none at all	Don't know	
Lack of funding	39	24	15	12	3	7
Too many initiatives	32	26	18	13	3	8
Fear of overburdening staff	25	30	22	13	3	8
Lack of time to plan effectively	22	26	23	18	3	8
Lack of support from teaching staff	4	19	29	38	3	9
Lack of rationale for change	10	16	21	39	5	10
Lack of support from support staff	3	12	25	49	3	9
Lack of support from local authority	4	11	17	51	9	9
Lack of support from parents	1	8	20	56	6	9
Professional associations	2	8	16	50	15	10
Lack of support from pupils	2	7	17	59	7	9
Lack of support from SMT	3	8	11	66	3	9
Lack of support from governors	1	6	12	67	6	9
Change consultants/regional advisors	2	5	10	57	16	10
Partner institutions	1	5	10	58	16	9

N=1537*Series of single response items**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

Further analysis revealed broadly similar findings as reported for barriers to implementation. However, in addition the following was revealed:

- staff who were supportive of a flexible approach to change management reported that resources were a barrier to sustaining change

- those who had been in their position for the least amount of time said that resources were not a barrier to sustaining change
- SLT respondents aged 35 – 44 said that the whole school community was a barrier.

According to interviewees issues around finance, time and staffing were perceived to be barriers to sustaining successful change. Finance was mentioned by 20 interviewees:

I think the example of the children's centre would highlight the lack of clarity with finance, one of the major barriers for change is therefore sustainability, if you haven't the money to maintain the effects of change and haven't got that decision, it's difficult to plan for the future. This is partly due to political influence, if the party leaders change power priorities could change, and funding could change. The government might decide they're not working and move resources and finance elsewhere. Sustainability is linked to finance. (Headteacher, primary school)

It will be the funding, although we can kick start things easily with grants and so on, the sustainability would be a challenge (Headteacher, special school)

According to interviewees staff turnover (or difficulties with retention and recruitment) could have detrimental impacts on being able to sustain change

... we've lost one member of staff for budget reasons, another on maternity leave, the turnover of staff in a small place can have a big impact, it sometimes seems like you have to start from square one, because your structure has changed. Also in terms of the governing body, our membership is good, but the turnover is substantial year on year, mainly because our role for a small school fluctuates a lot, so we have a lot of change with the parent/governor community. (Headteacher, primary school)

Sustaining is more difficult! If you have a stable staff then it's [change is] easier to sustain. Just a small change in staff can have an impact. There is an assumption that new staff will fit in with the way things are done. I don't agree with this... (Headteacher, secondary school)

Recruitment is an issue. It's so difficult to recruit to leadership positions. I tried to recruit a Head of English and got two applicants - which is incredible bearing in mind we are high performing, the kids are lovely and it's a nice area. There so much pressure to deliver on the government's agendas for maths and English so why would you want that job unless you were sure you wanted it and could do it. (Headteacher, secondary school)

Seven interviewees told us that they thought that monitoring and evaluation was an important contributor to sustaining change, as one explained ‘*sustaining change is the time to track progress and to monitor and evaluate change*’:

One of the main things is that the skills need to be taught, so it takes a while to be able to see any impact of the changes, the impact isn't immediate, it's long term so we are seeing changes now, but we won't know the impact of those changes until a whole cohort have children have gone right through the school. It came up on the agenda of the staff agenda, so everyone took it on board. This is one of the most important because children learn better when they know why they are learning. (Headteacher, secondary school)

In more general terms interviewees mentioned the pace and amount of change being a barrier to sustainability, as well as their concern that the ambition for change should ideally be matched by the appropriate methods and resources they thought were needed to achieve it:

The fact that you have a legislation that allows the change to go forward but you don't have the systems and structures in other elements of national policy that make it easy. For instance, the pay and conditions document for schools does not recognise the now growing different varieties of leadership in schools. It still says you have to work out your size of school by a calculation and this ...doesn't fit in a federation of schools. Governance regulations do not facilitate speedy change of governors. You can't have foundation governors necessarily from every community that your foundation serves. The systems and structure, the regulation that you have to work by do not support the changes that you have to make. But that is par for the course - that is normal aspect. Change is always further ahead than policy. It's a frustration but you have to accept it and not stop change. You just change and through the change you pressure the system to change itself. As long as you know that they will always be forced to change it doesn't have to be so much of a frustration it's just a fact of life. (Headteacher, primary school)

Summary

Respondents were positive about the progress their organisation had made in sustaining change with regard, in particular, to workforce remodelling and attainment targets, but also to extended schools and distributed leadership. There was also evidence that respondents who were more confident that change could be sustained were from schools with a higher consistency of inclusiveness. Effective leadership, stakeholder support and effective collaboration were viewed as key to sustainability (additionally, monitoring and evaluation were seen as important in terms of sustaining attainment targets). Barriers to sustaining change were viewed as similar to those for implementing change and reflected concern over overburdening of staff.

2.7 Types and Sources of Support

The TDA, under its remit to increase schools capacity to manage change, has produced a package of guidance including a process model, a set of overarching principles for successful change management and a toolkit based largely on activities and visualisation instruments to aid communication, project management and identify priorities for action. The package has been disseminated mainly through workforce remodelling advisors employed regionally and by local authorities. The guidance is also held on TDA's website as downloadable material and has been linked from other well known education websites such as Teachernet.

Sources of support

The survey and interviews sought to find out how influential the TDA support has been, particularly in comparison to the guidance available from other sources and organisations. SLT respondents were given a list of different organisation types and asked the extent to which they perceived the organisations informed the change process within their schools, results can be seen in Table 2.7a. Their own organisation, the Government and inspectorates were clearly most influential.

Table 2.7a Impact of organisations on the change process, SLT respondents

To what extent do the following sources, organisations or agencies inform the change process within your organisation?	% responding:					No response
	To a great extent	To some extent	A little	Not at all	Don't know	
Own leader	60	32	4	1	1	2
Government Dept/body	43	45	7	1	3	1
Inspectorates/Regulators	43	42	11	2	1	1
Colleagues in own organisation	38	52	8	1	1	1
Local Authority	25	52	18	3	1	2
Service users (eg parents, pupils, community)	19	57	20	3	1	1
Government fieldforces/change advisors	20	49	21	5	4	1
Peers in other organisations	8	51	31	5	3	1
Partner organisations	8	51	31	6	3	1
Development Agency (eg TDA)	6	42	31	10	9	2
Sector Leadership centres (eg NCSL)	3	28	39	19	10	1
Private consultants/external advice	2	23	43	23	8	1
Professional Associations (eg GTC)	2	22	37	29	8	2
Unions	2	18	45	27	6	2
N=1537						

Series of single response items

Percentages may not sum to 100 due to rounding

Source: NFER change engagement school survey 2008

When analysed by school phase, ten per cent more primary school respondents felt that local authorities had informed the change process to “a great extent” or “some extent” than secondary school leaders, and 12 per cent more secondary than primary respondents answered in a similar way with regard to Unions.

Survey SLT respondents were also asked which of the 14 organisations or sources they had **mainly** used to inform the process of change for each of the following drivers. (See Figures 2.7 a – d).

Figure 2.7a Main organisation used in relation to workforce remodelling

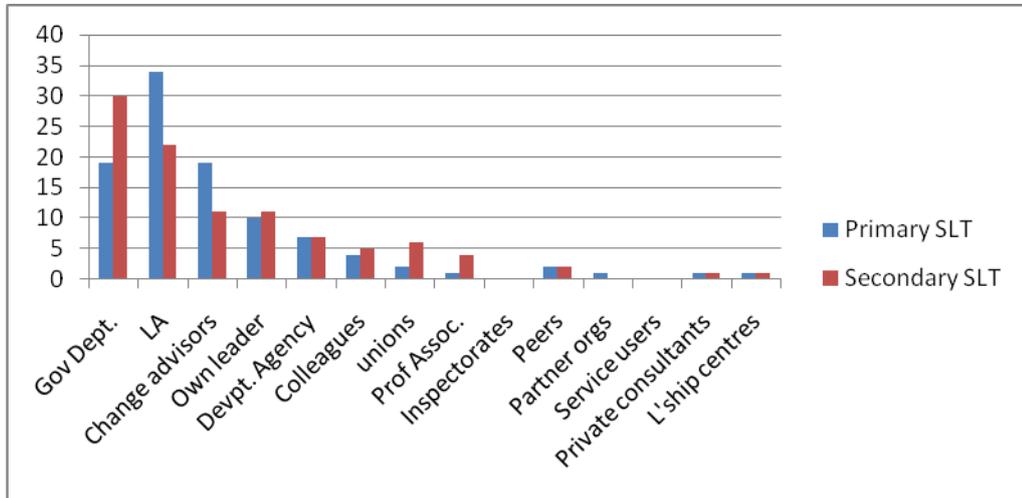


Figure 2.7b Main organisation used in relation to extended services/ECM

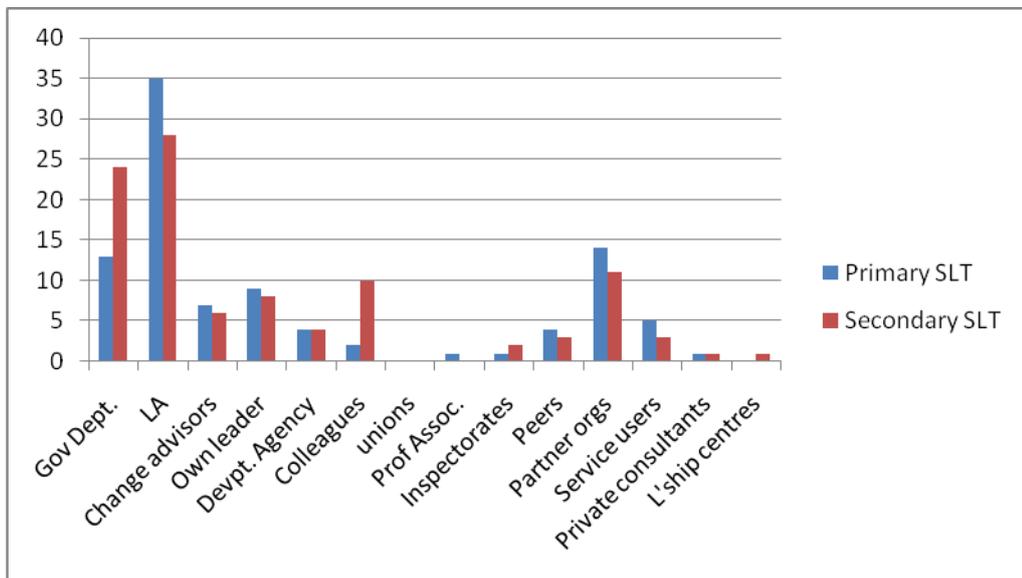


Figure 2.7c Main organisation used in relation to performance targets

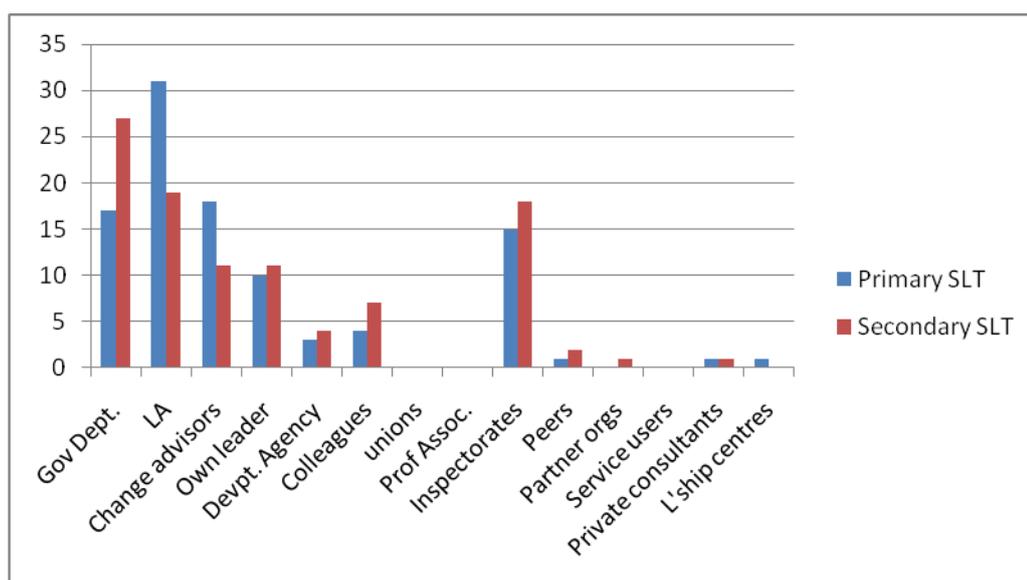
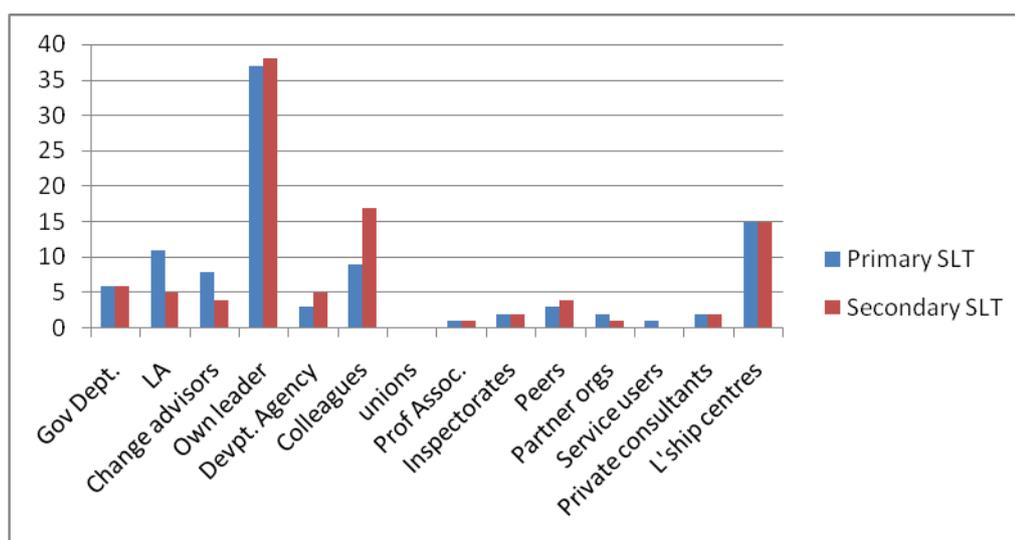


Figure 2.7d Main organisation used in relation to distributed leadership



Single response items

Percentages may not sum to 100 due to rounding

Source: NFER change engagement school survey 2008

Primary school respondents were more likely to say that they used their local authority as a source of information than their secondary school colleagues, who were more likely to say that they used the government department. This is interesting given the findings presented in Table 2.7a which show that respondents considered their own organisational leader, inspectorates and colleagues as informing the change process to a great extent.

Perceived usefulness of support

Interviewees were slightly more revealing as to how *useful* different sources of information and organisations were in implementing a change agenda.

School networking, headteacher forums and conferences were considered the most useful forms of support with 35 interviewees specifically mentioning these. Some schools used consultants such as the Specialist Schools and Academies Trust (SSAT) and the National College for School Leadership (NCSL) amongst others in order to establish links with schools with similar contexts and issues as themselves. Networks were found useful as sounding boards, for sharing ideas and '*escaping the minutiae of everyday*' which can impede inspiration (one primary headteacher who recognised the TDA as being the source of the remodelling guidance said: '*The stuff from the TDA and DCSF was great. But in the end the best support was from other headteachers*'). Similar conclusions were reached regarding the input of governors. One school leader made each governor a critical friend to an area of the curriculum, another told us their chair of governors, having come from a business background, was a great source of knowledge on up-to-date change management processes.

Fifteen interviewees reported **local authority meetings and training** to be useful. Positive comments received included:

There is a willingness to personally appear in the school...that element is vital, it's not just someone giving guidance from the centre...if there is a contentious change, personal contact is vital. (Headteacher, special school)

LA advisors are knowledgeable about the school, there when you need them...someone you can go to who is involved in the situation but doesn't have a vested interest. It's having a critical friend that is ongoing support. (Headteacher, special school)

Others pointed out that they found information from the centre too '*jargonistic*' and felt the local authority was there to translate. Another interviewee who reported the same problem appreciated the work of SSAT in producing '*accessible pamphlets*'.

Not everyone found LA support useful, however, but this usually came down to an issue with individuals rather than the organisation overall; the observation that '*it often comes down to the people*' was made and a concern was also voiced that it depended on whether or not an individual officer had been '*briefed enough*'. One primary leader felt that information and training received from their local authority was '*too generic...regardless of proficiency and levels of expertise*'.

For change management information and advice, local authorities have, overall, been regarded as a primary source of support. It seems that LAs are an important channel for transmitting, mediating and interpreting information

about change. However, whilst giving credit to LAs for their role in change management the following must be taken into account:

- Many resources used by LAs will have come from central government departments and agencies such as the TDA.
- This is particularly true of the workforce remodelling agenda which the TDA now has under its remit. Previously, this was the remit of the National Remodelling Team under the NCSL and so credit can be hard to place in some cases.
- As a *medium* for change management information and advice LAs have, overall, been regarded as a primary source of support.

Other types and sources of support considered useful included:

- School Improvement Partners, Governors and the NCSL (each mentioned by 10 interviewees)
- SSAT (nine interviewees)
- Local authority advisors and colleagues in own organisation (each, eight interviewees)
- Reading literature and involving consultants (each, six interviewees)
- Teachernet (four interviewees)
- Pupils (four interviewees)
- Ofsted (three interviewees)
- Standards website, DCSF e-newsletter and unions (each, two interviewees)
- TDA, including the TDA case studies (each, one interviewee)

In terms of workforce remodelling specifically, the following sources of support were considered most useful by interviewees:

- Local authority remodelling advisor (13 interviewees)
- Local authority meetings and training (nine interviewees)
- Local authority human resources (eight interviewees)
- School networking (seven interviewees)
- NCSL and colleagues in own organisation (each, five interviewees)
- Teachernet (three interviewees)
- SSAT (two interviewees)
- Parents and pupils, Governors, TDA, DCSF and School Improvement Partner (each, one interviewee).

SLT respondents were also asked how effective they had found any toolkits and guidance offered by certain organisations. Details are given in Table 2.7b below.

Table 2.7b Effectiveness of change management guidance and toolkits, SLT respondents

Overall, how effective have the guidance and toolkits from the sources listed below, been in helping your school to implement change?	% responding:		
	Very effective or effective	Not very effective or not at all effective	Not aware
Guidance from Ofsted	60	20	6
Guidance from National Strategies	60	21	7
Guidance from LA consultants/change advisors	55	28	7
Guidance from DCSF (ECM)	54	25	8
Guidance from DCSF (Teachernet)	50	26	10
Guidance from NCSL	48	22	15
Guidance from TDA	32	24	25
Other consultants/advisors	29	35	20

N=1537*Series of single response items**Percentages may not sum to 100 due to rounding**Source: NFER change engagement school survey 2008*

It is interesting to observe that Ofsted were mentioned relatively few times in interviews in comparison to their high scoring amongst survey respondents, although interviewees did mention them as a very good source of self-evaluation tools.

Table 2.7b also shows a relatively low awareness of the role of TDA in change management, again this may be due to the short time that this has been within their remit and the effect of using LA change advisors as a channel for disseminating for their tools and guidance. Plus, despite the low levels of awareness, a third of respondents still found their guidance ‘very useful’ or ‘useful’. One headteacher in a secondary school told us:

National Standards from the TDA is the best document I've read in years....we're finding it really helpful in terms of things like performance management and backing up observations in lessons. It's a key part of our processes and we use it for self-evaluation.

Further statistical analysis (see Appendix A) revealed that the following groups of respondents reported that the TDA guidance was effective in helping them manage change:

- those who were confident that change could be sustained, those who were confident in their organisation's capacity to deal with change and those with under two years at their workplace
- those who were supportive of the need for structured process to manage change.

The following groups of respondents reported that guidance was not effective:

- men, those who said they did not have a CMT and older SLTs (aged 45 and over)
- those from grammar schools and who said resources were a barrier to the implementation of change.

Interviewees were asked specifically if they used any standard tools to help them manage change. Secondary school leaders, in contrast to one primary school and two special school leaders, were more likely to say that they did not use any tools at all (seven interviewees). Six leaders in both primary and special schools and four leaders in secondary schools reported they only used well known tools such as brainstorming, icebreakers and questionnaires. Half of primary school leaders (11 interviewees) said they also used additional methods (in contrast to only four secondary leaders and two special school leaders). The tools used included 'voting systems', SWOT analysis, concept mapping and self-evaluation exercises.

On the whole, interviewees suggested that they would find change management tools more useful if they knew how to use them properly, had experience of them in action themselves and knew which ones would suit their school best.

One primary school leader found change management tools particularly useful, having brought in consultants to assist in developing a school vision. The headteacher explained:

To involve everyone in the vision for the school we started with a brainstorming activity and we went round the table with everyone able to write down what they wanted. I wasn't involved in the process...it was led by outside consultants. There was no discussion and there was a complicated voting system called a "10-4 system... you had to prioritise what was important to you by either scattering your votes or putting them all on one thing if you thought it was important enough. I and the two consultants then each wrote a vision based on the results and this went out to staff. Staff crossed out which bits they didn't like,

highlighted those they did and after 3 rounds of consultation that was distilled into the final vision. It went out to all the staff and governors and now the school council has helped me write a child friendly version which goes out to pupils and their parents. And we now have statements from the vision around the school and we can say to the children – look you’ve done that part of our vision.

The TDA Support Package

Survey respondents were asked to rate the change management resources available on the TDA website. The chart below (Figure 2.7e) shows how useful each resource was found to be by SLT respondents along with their respective awareness levels. Teachers and support staff awareness levels for each resource were found to be lower than that of SLT, with non-awareness levels ranging from 80 – 88 per cent.

Figure 2.7e How useful SLT respondents find TDA web-based resources

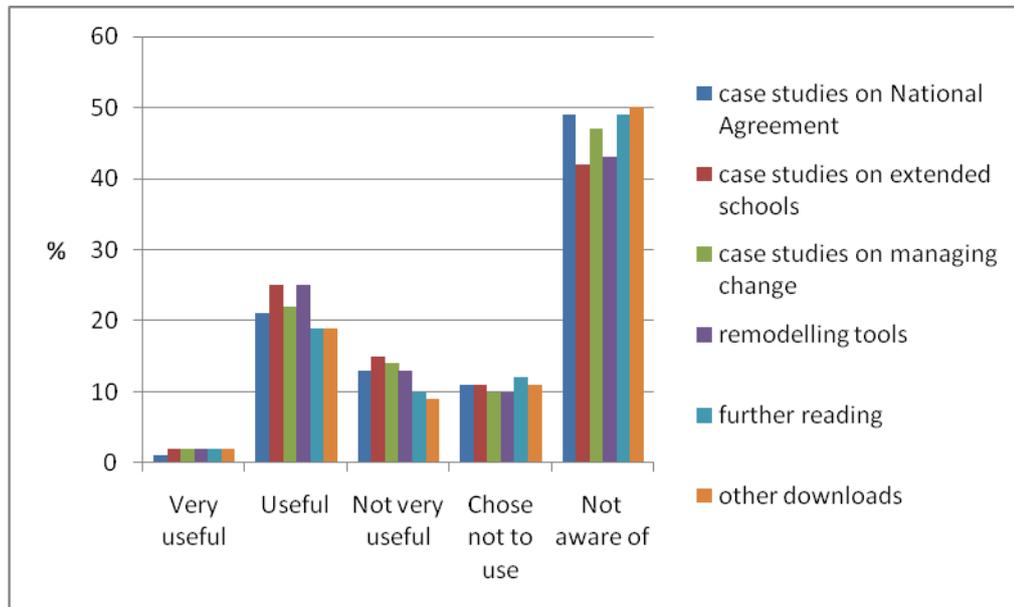


Table 2.7c shows how useful each individual TDA tool was perceived to be by SLT respondents and the relative awareness levels:

Table 2.7c SLT: usefulness and awareness of TDA remodelling tools

How useful have the following TDA tools been to your school's management of change?	Very useful	Useful	Not very useful	Chose not to use	Not aware of	Missing data
	%	%	%	%	%	%
brainstorming	5	28	6	5	47	11
problem solving, team building	3	17	7	7	56	11
project management templates	2	16	7	7	57	11
managing uncertainty	1	18	6	8	56	11
prioritisation matrices	2	15	7	8	58	11
Five whys	2	13	6	7	62	11
what's working	2	13	6	6	59	13
brown paper planning	2	11	9	7	61	11
stakeholder mapping	1	15	7	9	58	11
force field nalysis	1	10	6	9	63	11
fishbone analysis	1	9	7	9	63	11
get to know you	1	7	10	11	61	11
week in the life of	,<1	6	8	9	66	11
sentence build icebreaker	<1	5	10	11	63	11
targeted youth support	<1	5	6	9	69	12

A series of single response items

Due to rounding, percentages may not always sum to 100

Source: NFER change engagement school survey 2008

The tools that SLT respondents were more aware of were also the ones they found most useful and those tools that SLT respondents were less aware of were also considered the least useful. In addition, those tools with lower proportions of respondents rating them 'very useful' or 'useful' also have larger proportions of respondents rating them as 'not very useful' and discounting them before use (those who selected the option 'chose not to

use’). It is interesting that patterns of response are similar between both secondary and primary school respondents and SLT and staff respondents, although the latter again had lower awareness levels.

When asked about the TDA toolkit all special school leaders and over half of primary and secondary school leaders (11 and 12 interviewees respectively) said they did not use them and were not aware of them. However, five primary leaders had used them, one commented:

I did (use them) when I first came in, but not now...To start off with I needed to open discussion which isn't as important now

One SLT interviewee commented that, while not aware of the TDA tools ‘*they are probably a fancy title for what we are already doing*’. Another reported that they found stakeholder mapping useful as ‘*it makes you think about others point of view*’. Although interviewees were unaware that the tools had come from the TDA, others reported to have been used included:

- The five whys
- PSTB
- Fishbone analysis
- Stakeholder mapping

Survey respondents were given the opportunity to say in what ways they had found the TDA tools most useful in an open-ended response question. The three most common answers were:

- They focused discussion and planning (32 respondents, 16 in primary, 16 in secondary)
- They provided a basic starting point (24 respondents, 11 in primary, 13 in secondary)
- They enabled all concerned to contribute as they are aimed at a wide audience and range of stakeholders (23 respondents, 13 primary, 10 secondary)

Other popular answers were:

- They helped prioritise and develop ideas (13 respondents), they were an additional source of reference (12 respondents) and they provided up-to-date information on change management (11 respondents).
- Most SLT interviewees were unaware of the TDA process model (14 in primary, 18 in secondary, and 9 in special schools), while one observed: ‘*That sort of process I can identify with. It’s mainly developed through experience, and the way most school development plans work*’. (Section

2.4 explored the approaches taken by schools in their current management of change.)

- Six primary, one special and one secondary leader recognised the TDA process model, mainly through workforce reform sessions with their LA or through the website (recommended by the LA)
- Five of the six primary leaders who knew about the process model had found it useful but with caveats. The following comments were made:

I don't use the model literally to manage change but more the general principles and for reference...I do go back to it and refer to it if I feel I haven't got people on board.

We used it as background information. We've not used it since then (remodelling). We have the basic principles of what we need to do – all these initiatives come too fast. There's no time to deal with the extra bits (that is the tools, which this leader said they didn't use)

I think it's a good model, I don't always do it stage by stage but it is part of what I do, it was the way I worked anyway in my previous headship, but I had been in different schools, so I had to have total involvement, otherwise nothing was going to go anywhere.

The model is there as a guide, it's not the bible; you have to take out the bits applicable to your school. No-one wants to start with a blank paper contrary to what TDA suggest though, you want to learn from others.

It's a beautiful linear model...I don't like the bit about starting with a blank page. If 10 people have tried something before there is no point in reinventing the wheel. I think you should "grow your own model". I use it as background information rather than following it rigidly

The 'people bit' is missing from this model. There is not enough on how you deal with people's fears.

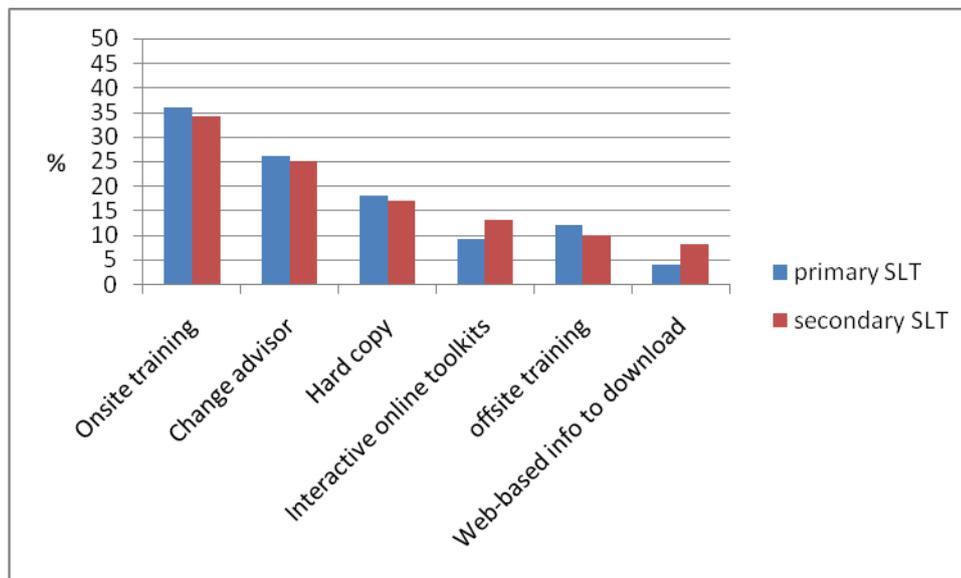
It's not linear. It's an entirely different thing. It's never a straight course. If it was an $a + b = c$ thing it would all be so much easier – but it isn't. I've got 67 people here all with different characters and egos and they come in different everyday. The interrelationships with them is all about chemistry. It's not mathematics. It's about understanding what works with some people won't work with others, that's the skill - you can't be taught that you have to learn those skills. You've got to know your staff before you can do anything with them – that's why the approach has to be different depending on the situation, why you have to be autocratic in the beginning.

The consensus suggests that the model, although perceived by some as useful, seems to miss some of the vital components which help change to embed.

Leaders required more information on what to do when things went wrong and how to deal with the personal conflicts and team dynamics that become an issue when organisations experience change. It was regarded that much can be learnt from experience and networking. One interviewee told us that you learn just as much from examples of change that have gone wrong as those where change has worked (often the focus for case studies). Other leaders told us that these concepts could be learnt; having had specific training in change management. One of the keys to successful change management was perceived to be to understand that there may well be a dip in performance, “a time for storming before change can be successfully implemented” and embedded; it’s never a clear course and the best help that can be given is in how to develop ways of getting “out of the dip.” The next section gives further suggestions for improving change management guidance and advice.

Suggested Improvements

Figure 2.7f SLT: Preferred methods for receiving information and guidance



Series of single response items

Percentages may not sum to 100 due to rounding

Source: NFER change engagement school survey 2008

As previously noted, respondents expressed a preference for face-to-face communication of information. The TDA has used change advisors but awareness of their toolkits was still relatively low and their continued dissemination relies on the least popular form of communication – web based information. Some interviewees perceived websites to be useful as ‘*you can always find information on anything*’, while others indicated that they were overwhelmed by the amount of information available. One primary school leader explained:

...now everyone has a website and I’m sure there’s lots of useful stuff on them but now I don’t know what I don’t know and it makes me feel a

little insecure. I rely on the DCSF newsletter to direct me to stuff. Things like the TDA I forget to look at.

Of those survey respondents who offered advice on ways to improve the TDA model and toolkit, the overwhelming majority believed that there should be more publicity (128 respondents).

Other suggestions on ways of improving the TDA package included the following:

- Make information more clear and concise (there is too much of it) (15 respondents, two interviewees) in regard to resources but also expectations.
- Give us time to read it (15 respondents).
- Provide schools with one-to-one personal support (15 respondents, two interviewees).
- Make resources relevant to contexts (for example, small schools, village locations) (13 respondents, four interviewees). One interviewee said: *'visiting schools with similar visions and a similar context but three or four years ahead would be useful'*. Another said, *'other organisations target their products'*.
- Make change management part of professional training for leadership (eight respondents, one interviewee).
- A change model is not really necessary (eight respondents).
- More liaison with other government agencies/change 'bodies' (to manage change in a more coordinated way) (seven respondents).
- There were perceived to be too many change bodies and the *'TDA is not a main runner'* (six respondents, one interviewee). A secondary Headteacher said: *'I think there are too many groups involved in schools. There's so many advisory groups and if I was Ed Balls the first thing I would be looking to do is rationalise the whole lot...they are all producing a lot of useful stuff but if there is one thing I could say to the DCSF is please sort that out strategically'*.

Other suggestions included, facilitating networking (a specific suggestion was to develop a database of schools, their context and their visions to facilitate pairing), enabling access to electronic journals, developing a central directory of resources, supporting LA change advisors, including more emotional intelligence methods, introducing a telephone support line, liaising and learning more from business and including methods of evaluation to link with Self Evaluation Frameworks.

2.8 Summary

School leaders felt that they, along with the government, inspectorates and their own colleagues, have a high impact on the change process. Local authorities (LAs) were considered, on the whole, to be a successful medium for information and guidance relating to specific changes due to their closeness to the school, both in terms of proximity, relationship and understanding of context and needs (primary respondents reported being more influenced by the LA than their secondary colleagues), but were rarely mentioned in relation to any learning about change management processes and principles.

Both respondents and interviewees stated a preference for one-to-one support, often face-to-face and although opinion was split on the usefulness of web-based resources, it was generally felt that these were useful for raw information but were less useful for anything which required them to engage, become inspired or to relate to their own situation. With this in mind, the lack of awareness and use of tools such as those developed by the TDA could simply be because the medium for their introduction was not quite right, with school staff feeling unable to engage with and appreciate their benefit. Other forms of support perceived to be useful by interviewees were school networking, headteacher forums and conferences and local authority meetings and training.

The TDA process model was felt to be too linear, missed the elements of monitoring and review and avoided the issue of how to cope when things go wrong or there is conflict despite following each stage. There was some evidence that more emphasis should be given to the emotional buy-in of staff.

While the issues relating to the process model and toolkit could be improved by reconsidering the medium for lessons in change management, the TDA may wish to consider supporting and facilitating some of the other sources of support considered so important to school leaders.

3. How local government, the health sector, and the police engage with change in comparison to schools

3.1 Introduction

This chapter reports the main messages emerging from the 129 interviews conducted in health (45), the police (30) and local government (54) and highlights some of the key similarities and differences with the schools sector.

As discussed in Chapter 1, each of the comparative sectors is different and they differ, in turn, from the schools sector in many important respects – including the overall function and structure of the sector; the degree of autonomy, funding arrangements and the extent of budgetary control of individual delivery units; whether delivery units are single or multi-functional; and skill mix and staff make-up. Interviewees in comparative sectors were chosen on the basis that their levels of seniority, budgetary and staff responsibilities were broadly similar to those of headteachers. It needs to be borne in mind, however, that managers in the four sectors are operating in distinct contexts, with different drivers and constraints. Most notably, perhaps, headteachers are in a unique position as the leader for an autonomous institution.

It is important to highlight that the findings set out below only draw on research with senior leaders in the comparative sectors. Findings therefore reflect the experiences, views and perceptions of those leading change, rather than those who are on the receiving end of change initiatives (except where participants have commented on change at a corporate level in their wider organisation). Where comparisons are made with schools, therefore, these are with findings reported by school leaders. In the main, comparisons are drawn with the 50 in-depth school SLT interviews, however there are some comparisons drawn with the 1,537 school SLT survey respondents. Caution is advised while interpreting comparisons where numbers of school respondents (N=1,537) are significantly higher than those in the other sectors (N=129).

In contrast to Chapter 2, the main evidence for this chapter is qualitative. Interviewees in comparative sectors were asked a small number of ‘closed’ questions, which were also asked of school leader survey respondents. However, the majority of questions put to participants in comparative sectors were ‘open’, leaving them free to answer in any way they wanted (these questions were also asked of members of senior leadership teams in schools,

allowing some comparability across the sectors). While senior leadership teams answered questions in relation to their whole school, in comparative sectors, interviewees responded in relation to their service area or unit.

Finally, it is also worth noting that while in this chapter we identify the three comparative sectors as ‘health’, ‘local government’ and ‘the police’, the developing agenda around multi-agency partnership working means that sector boundaries are increasingly blurred. Particularly in health and social care, close collaboration and joint appointments are common and, in some cases, single organisations that span sectors have been created.

3.2 Context for change

Pace of change, interpretation of change roles, capacity

Interviewees in health, local government and the police reported that there had been a huge amount of change in their sectors in recent years and that the pace of change had been speeding up. Taking the three comparative sectors together, 84 per cent of interviewees reported that there had been a great deal of change in their service area or unit in the last two years – a considerably higher percentage than of senior leaders in the schools sector (68 per cent). There was little variation in the percentages of respondents from each comparative sector reporting this finding. It was common for interviewees to characterise their working lives as dominated by change – as one interviewee in the police sector commented, ‘*change is our only constant*’.

In this context, most of those interviewed regarded change management as a key part of their job; change management was viewed as a core management competency for those operating at a senior level in all three sectors. Interviewees conceptualised and articulated change, and their roles in this, in different ways. For many, change management involved making major transformational change in their service areas, *as well as* managing the ‘*gradual evolution*’ of services as part of a commitment to continuous service improvement. Given the need to keep pace with a constantly changing environment and sustain good levels of service, gradual and continual change was regarded by interviewees as just as important as more radical change.

Interestingly, interviewees in health, local government and the police tended to rate their capacity to manage change in their service areas less strongly than headteachers. Whilst 93 per cent of heads described their capacity to manage change as ‘very strong’ or ‘strong’, only 78 per cent of managers in other sectors gave the same answer (again, with little variation in response across comparative sectors). It is important to note, however, that many interviewees in comparative sectors told us that the reason they did not rate capacity to manage change in their service area more highly was that they had insufficient resources, not because they lacked skills, which many interviewees told us

were strong and improving. The issues highlighted below regarding the pressures for change in comparative sectors and the degree of control over change, and the nature of the changes leaders in comparative sectors are trying to implement may also go some way to explaining these differences.

The pressure for change

When interviewees in comparative sectors were asked where the major pressure for change comes from in their service area, it was common for them to cite a wide range of sources, including: central government in the form of legislative or policy directives; inspectorates; leaders within their wider organisation or force; other senior or more junior colleagues in their service area; as well as direct pressure from users, clients and local communities.

For many interviewees, pressure from central government, expressed through policy directives and targets, was still experienced as the most dominant driver of change in their service. As one interviewee commented, *'there's no space to have people dedicated to local priorities when central government's strategy is such a high priority'*. This was a common response in health, where meeting centrally-driven standards and targets was identified as by far the most significant pressure. The '18 week' target (which needs to be met by April this year) was at the forefront of many interviewees' minds at the time this research was undertaken. Directives from the EU, in particular the implementation of the European Working Time directive, were also mentioned frequently. In the police, too, the pressure for change was felt to come strongly from national initiatives, as well as mandates from force headquarters.

Pressure from central government was experienced by most interviewees as dominant in spite of a host of recent initiatives designed to devolve power to local delivery agencies and local areas. Senior staff in local government, for example, discussed initiatives such as Local Area Agreements, which are designed to reduce reporting requirements to the centre and free up local managers to set priorities and spend money according to local needs. However, while being generally supportive of this direction of travel, many interviewees felt that the greater degree of autonomy promised in these initiatives had not yet materialised.

Some interviewees were keen to point out that the direction of central government policy and thinking was broadly in line with what they wanted to achieve for local people anyway. This was a common response from managers of children's services, for example. However, in other areas, local and central change pressures and agendas were sometimes experienced as being in tension. As one participant from the police pointed out:

I face a number of conflicting drivers: central government's political priorities, new legislation, and emerging challenges that change police roles (e.g. terror threats, managing dangerous persons, support for

victims and witnesses), pressure from the public – particularly regarding fear of crime, where perceptions don't always reflect reality, but must still be addressed, financial constraints arising from static funding but demands for more and better services. (Police interviewee)

Though internal drivers for change tended to be mentioned less frequently than external, centrally-driven ones, in all three comparative sectors interviewees emphasised the role of senior leaders from within their service or wider organisation in driving change. Interviewees from the police, for example, told us that changes in leadership created '*phases of organisational change*'. It was common for chief officers to have their own agenda and personal approach to change. The arrival of a new person in post could therefore be a powerful driver for change in direction:

New managers have come in who are less attached to 'old' ways of doing things. Some people who have been around for a while with reasonable success...are particularly reluctant to change...even if the environment, the challenges, have changed. New managers don't have this attachment to old ways, so are bringing a fresh perspective to problems. (Police interviewee)

In local government, local politicians were also highlighted as a source of pressure for change (though as a brake too, see later in this chapter). As one officer put it, '*the council's political leadership want the council to deliver effective services, this is driven by their own desire to get re-elected...*'

As was highlighted in relation to schools, several interviewees in comparative sectors suggested that internal or local pressure for change could be given greater expression where services or organisations were performing well. As one of the local government interviewees commented: '*...the main pressure for change comes internally, from myself, and that's because we are in a relatively stable position both financially and in relation to customer satisfaction, so the external pressure for change is less strong*'. (Local government manager)

Control over change

Faced with pressure for change from many different directions, the majority of interviewees in comparative sectors suggested that they had *influence*, rather than *control*, over change. In addition, most interviewees felt that, in relation to larger changes, they had more influence over *how* a change was implemented, rather than *what* they were actually trying to change (as this was often quite tightly prescribed by central government or the corporate centre of their wider organisation).

The way in which change pressures were experienced by local managers was linked, critically, to the structure of each sector – the extent of central control and prescription and the degree of autonomy enjoyed by local delivery units.

Overall, senior leaders in schools seem to feel more positive about the degree of control they have to influence and shape change in their schools than was the case in other sectors. Interviewees in health tended to be least positive about the extent to which they could shape change in their service areas. This lack of influence was often related to the nature of the centrally driven target regime in the health sector and/or to financial pressures, which were resulting in major structural reorganisation in many areas: *'I have...very little control over the reorganisation internally. The bottom line is to achieve savings, and there is very little flexibility about how to do this as it's all being directed from the top'*. (Health manager)

Interviews with Borough Commanders in the police highlighted that the level of control or influence managers experience relates critically to the degree to which they have control over their own budgets. Those Chief Superintendents whose budgets were significantly devolved reported a higher level of confidence in their ability to shape change.

In general, where services and/or wider organisations were high-performing, managers reported a greater degree of influence over change. Unsurprisingly, longer-serving managers reported a greater degree of confidence about their own ability to shape and influence the way that change affected their service area:

When it comes down to the implementation and realisation of policies, I am very proactive, and have a big influence largely because of...years of experience. I am usually putting forward suggestions and ideas before the local hierarchy has had a chance to think about it. (Health manager)

I have as much control/influence as my stamina and perseverance will allow! I've been around long enough to get support for (what) I propose. (Local government manager)

3.3 Key drivers for change

Change drivers and goals

Participants were asked to identify and discuss their top few change priorities – those changes that they have been particularly focused on achieving. Participants tended to describe these priorities in different ways, using different terminology. Some focused primarily on the end 'goal', others on the changes required to achieve this. Some changes clearly contribute to several change 'goals'. Despite this complexity, managers in all three sectors clearly emphasised that their ultimate goal in designing and implementing change initiatives was to improve services for users and communities.

It was common for interviewees to observe that, increasingly, service improvement needed to take place in the context of tight, or even shrinking, resources. This pressure to ‘*do more with less*’ and achieve efficiencies in service delivery was a theme in all comparative sectors. It was, however, a particularly strong theme in some parts of local government and, especially, in the health sector, where it was the most commonly cited change priority.

Meeting centrally driven performance targets was a common theme across the sectors; however it was much more likely for health sector managers to identify central targets as a key driver of change. As one health manager put it, ‘*with patient flows and acute activity in trusts, it’s about meeting the 18 weeks journey, ensuring routine diagnostic tests are performed in four weeks. It’s a whole new way of working and managing the service...*’ In other areas, targets were rarely mentioned explicitly as a key driver by participants, except where an inspection or external evaluation of the service had highlighted particular requirements to improve.

Improving services, in the context of tight finances and centrally driven targets, involved managers in implementing a whole host of changes – many of which were common across the different comparative sectors and which were also identified in the school environment. These have been clustered together below, under a number of key headings.

Organisation/service/pathway re-configuration

Whole-service or pathway reconfiguration was a particularly strong theme in some parts of local government and in health. Driven by central government targets (e.g. the 18 week target in health) and by financial pressures, managers observed that they were having to engage in ‘*first principles thinking*’ about how to re-design services in radically new ways that are more effective, and which cut out unnecessary cost. Although lack of adequate resources and stringent (or inappropriate) centrally driven targets were sometimes identified as a brake on change, participants also recognised that pressure of this kind often helped to stimulate new thinking and creative ideas:

...One big agenda, which is both local and national, is to try to continue to improve the service within shrinking finances; we need to look at extensive re-engineering and using IT in new ways... (Local government manager)

It’s about changing the patient pathways so that they are co-ordinated, timely, seamless, and reduce unnecessary steps. We have the cancer waiting time target and the way to achieve it is by looking at the patient pathway. Why? Because it would result in a huge improvement in the quality of services for patients. (Health manager)

In health, reconfiguration of the whole health system, not just change within individual delivery units, was a strong theme:

(Our priority is) the redirection of health care from hospital to primary care. That will have enormous impact on costs. It will save many hundreds of thousands of pounds a year. There are other spin-offs – many hospitals have long waiting lists well over 18 weeks...Community providers are more accessible, quicker, and cheaper and quality will be unimpaired. (Health manager)

Workforce remodelling

In common with schools, many interviewees in other sectors identified workforce remodelling as a key change agenda – though fewer interviewees in these sectors reported having made a lot of progress in this area (32 per cent overall) than in schools (63 per cent), with little variation across comparative sectors. Interviewees reported that remodelling involves redefining roles and responsibilities and creating new, mixed, teams of staff, working together in new ways. Remodelling has tended to focus on particular teams or departments, but has sometimes involved redefinition of roles and responsibilities across whole organisations, and/or the creation of multi-agency teams (see below). Workforce remodelling was regarded as a way of making the most of precious human resources and, particularly, professional skills, by maximising the contribution played by junior and support staff and by using IT in new ways.

In the police, two of the most important examples of remodelling have been the introduction of the Police Community Support Officer (PSCO) role and the increased use of other civilians in many posts previously filled by police officers. These changes have been designed and implemented in order to free up trained and warranted staff to work on areas where specific skills and authority are required.

We are very much into job remodelling, mainly because we are one of the lowest funded forces in the country and so have had to be very strict about it. If jobs don't need police powers, then we have civilianised them. This has been an important way of saving money, as you can usually get two civilian posts for the price of one police officer. We are now getting bigger bangs for our bucks. (Police interviewee)

We have focused on looking closely at roles and determining what needs to be done by police officers and what can be done by police staff. We can then put together the most effective teams, deploying skilled professionals more strategically. There has been a huge growth in civilian staff, as police officers cost a lot more in comparison. Civilian staff are doing many things that the police used to do which frees up police time. (Police interviewee)

Workforce remodelling was also a strong theme in health, where interviewees described restructuring roles and teams to allow more of the simpler tasks to be carried out by junior non-clinical staff, freeing up the time of senior clinicians. Follow-up appointments, diagnostic tests, and patient and family support were cited as examples of tasks that could, if properly managed, be delivered by other groups of staff: *'We're trying to make greater use of assistance clinicians who aren't qualified but have experience'*. (Health manager)

While local government interviewees regarded workforce remodelling as an important issue, many told us that they did not yet have the capacity to respond fully to this driver. Managers of adult and children's services tended to report that they had made the most progress in this area, and had focused more on the *'human element'* of workforce remodelling – focusing on roles and relationships within and across teams. In other areas of local government – e.g. housing – it was more common for interviewees to discuss ways in which they were making creative use of IT to change working practices and ensure best use of individual and team skills and time.

However, several interviewees in local government reported that, at a corporate level, their councils were developing new customer call centres, which provided a single point of contact for the public, allowing simple queries, across many service areas, to be answered quickly, by support staff, and freeing up specialist staff to focus on more complex requests. Others indicated that they were implementing new *'agile working practices'* – using new IT systems to allow staff to work remotely, out of any council building. The creation of new electronic record systems was also a strong theme – changes in this area were regarded as a means of creating more efficient and effective working practices and reducing administrative costs.

Views about workforce remodelling were mixed. Some participants viewed these changes as positive developments – the creation of the new budget holding lead professional role in children's services was cited in this vein:

'...one of the advantages of having a non-expert front end is that they can be very useful...they can ask the naïve questions you don't always think of. This sometimes sheds new light on things...You're more likely to get continual challenge and change, as long as you make sure this is done constructively'. (Local government manager)

Other interviewees had a more negative view, arguing that workforce remodelling was being driven by financial pressures rather than a focus on outcomes. A number of participants, for example, expressed concerns that a focus on technology and the creation of new extended roles risked *'losing sight of the value of qualifications'*.

Outcomes and partnership working

A focus on improving ‘joined-up’ outcomes for users and communities, not just the quality and quantity of services, was a strong theme across all three comparative sectors. Achieving outcomes was recognised to require partnership working with other statutory agencies, and the private and voluntary sectors. Changing the structure, processes, culture and skills of teams and departments to operate in this new environment was a top priority for many interviewees. This was a clear area in which interviewees in comparative sectors felt they had made considerable progress – with 52 per cent reporting having made a lot of progress on this agenda, compared to just 25 per cent of senior leaders in schools who felt they had made a lot of progress in sustaining change in relation to extended schools and Every Child Matters.

Partnership working was a strong focus for managers in local government, perhaps reflecting the thrust of government policy, which has identified a critical role for local authorities as ‘place shapers’ and convenors of partnership structures in localities. Children’s services’ professionals, for example, talked about their role in facilitating partnership working around children and families, in support of the Every Child Matters (ECM) agenda. Partnership working was also a strong theme in other areas, for example, one housing and regeneration manager commented that: ‘...*all new social housing developments are collaborative now, with the ALMO (arms-length management organisation). The local authority role is as a facilitator now; we need to influence the mix of housing being built*’. (Local government manager)

The need to deliver joined-up services that are outcome focused and delivered in partnership was also a strong theme emerging from the health interviews. This involved both inter-agency working and the creation of multi-disciplinary teams (MDTs).

Integrated working practices across agencies (is our top change agenda). We’ve just brought together health, social care and ‘early years’. We all started from different starting blocks. We wanted to get people to look at integrated practice and what is best for the child. It was a policy decision that made sense to us, the Children’s Trust model made sense to us. (Health manager)

(Our top change priority is)...reorganising the community nursing service. Last year, we created a multi-disciplinary team that includes nurses, social workers and occupational therapists. It’s for the benefit of the public, to provide them with joined-up services to ensure that people don’t fall through gaps. (Health manager)

In the police, too, partnership working and collaboration across agency boundaries was regarded as critically important. Interestingly, 70 per cent of interviewees in the police (21 out of 30) in contrast to 36 per cent of those in

health (16 out of 45) or 56 per cent of those in local government (30 out of 54) reported that they had made a lot of progress in this area. At a strategic level, partnership working centred around the Local Strategic Partnership and, in particular, the statutory Crime and Disorder Partnerships. At an operational level, many Borough Command Units were pooling resources with other BCUs and their local authorities to create mixed teams responsible for delivering for community safety, as two Borough Commanders pointed out:

The police service cannot achieve neighbourhood management and policing without partnerships. We are hugely into work with the local authority, health and the voluntary sector, too. All organisations are now working jointly because they know they can't achieve it on their own. There's a realisation now – you can't just leave it to the police service...relationships have developed extensively; it's been such a sea change. (Police interviewee)

Partners are now far more involved in information and intelligence gathering and sharing than before, and we are now fully integrated and coordinated with regard to tasks and meetings. We now have the capacity to provide joint funding for short and long term problem resolution. Together, we have lots of expertise and recognise the importance of sharing this to achieve improved outcomes. (Police interviewee)

Customer care, personalisation and user focus

Improving customer care and creating more tailored, personalised, services, which respond to the particular needs of individuals, groups and local communities, was another strong theme across all sectors.

It's about instilling efficiency and productivity and a 'can do' attitude, rather than a siege mentality. (You need to) instill the ethos that we're here to serve. (Local government manager)

Patients shouldn't have to come down three times on different days for different tests. They should be able to have it done on one day. They can also have follow-up meetings with a nurse and not a consultant. (Health manager)

Putting users at the heart of service design and delivery and giving them greater control over the services they use, was also a strong theme:

(We're trying to) move towards individualised, 'in-control' type service models. This requires a cultural shift at all levels, including from members (Local government manager).

We are streamlining patient pathways to ensure that patients are not waiting more than a week for their diagnosis. We are also looking at where best to place services. Should the patients go back to the

hospital for further tests or can they go to their GP? There is a need for patient choice about where they want to be treated. (Health manager)

For managers in all sectors, improving the user experience involves working in close partnership with clients and the public. In all sectors, managers discussed a growing emphasis on consultation and engagement. In health and social care, some managers were trying to adopt a ‘co-production’ model of service delivery, which recognises that outcomes are produced jointly with users and communities. In the police, the introduction of neighbourhood policing aims to enhance and sustain the connection between the police and the people within the neighbourhoods they serve:

We have recently seen the introduction of safer neighbourhood teams involving established teams based at discrete locations within the community, where they set priorities with that community...this has led to more focus on joint problem solving. (Police interviewee)

Business-oriented cultures

With the creation and extension of a market for health services, in which a plurality of service providers compete for business, and the development of practice-based commissioning, many health sector managers’ top change agenda was to instil a more business-oriented culture in their teams and wider organisations. The need to compete and ensure financial sustainability means that managers have to find new ways to cluster, brand, and market their services:

We are creating a unique identity for Cancer Services. A sense of what we as an organisation want to achieve as part of our Cancer Services. Previously, there were no Cancer-specific clinical staff. The current and future NHS is introducing market forces and competition. If cancer is a service and a product, we need to develop it. (Health manager)

3.4 The change management process

Involvement in the process and attitudes to inclusiveness

When discussing their department or unit’s approach to change management and the approach adopted in their wider organisation, some interesting differences emerged across the sectors. It was more common for interviewees in health and local government to suggest that they engaged in reflective conversations about change processes with colleagues. It was much more common for participants in the police to say that they ‘*just get on with things*’ – that they are given a task to do and they do it to the best of their ability. Perhaps reflecting both the culture and purpose of the institution, police participants tended to emphasise a strongly ‘*can-do*’, ‘*flexible*’, ‘*task-oriented*’

approach to change. For most, this approach was a source of pride; for a small number of police participants, this was regarded as a weakness.

When asked for their views about certain aspects of the change management process, as part of a closed question, similar proportions of senior managers in comparative sectors (61 per cent) to SLT respondents (54 per cent) agreed or strongly agreed that change should be managed from the top, though a slightly larger proportion of managers in comparative sectors strongly agreed with this statement (17 per cent) than did SLT respondents (10 per cent). Within comparative sectors, a smaller proportion (48 per cent) of health managers (22 out of 45) agreed or strongly agreed that change should be managed from the top in contrast to 70 per cent of local government managers (38 out of 54).

Attitudes to inclusiveness across the four sectors emerged as broadly similar, with 95 per cent of interviewees in comparative sectors (taken as whole) agreeing or strongly agreeing that all stakeholders should be involved in change, and 84 per cent of senior teachers agreeing with this statement. However, interestingly, despite stronger views about the importance of leading change from the top, a larger proportion of senior managers in the comparative sectors (taken as a whole) felt strongly that all stakeholders should be involved in change (67 per cent) than did senior teaching staff (45 per cent). A higher proportion (76 per cent) of health interviewees (34 out of 45) felt strongly that all staff should be involved in change than in local government (67 per cent: 36 out of 54) or the police (56 per cent: 17 out of 30).

More interviewees in comparative sectors (48 per cent) than in schools (36 per cent) felt that having a formal change team in place was not necessary for the successful management of change. Most interviewees indicated that they did not have such a team in place in their teams or departments (although many reported that support was available from corporate 'change' teams/functions in their wider organisations – see below). Rather, most major change was managed through the senior team; having a strong senior management team in place was therefore seen as a prerequisite for successful change.

In addition to work within the senior team, many participants reported that *ad hoc* project teams were formed in their service areas to tackle particular issues, as and when they arose. These teams tended to bring together a cross section of staff from across a department or unit and were usually time-limited.

When necessary I put together a change team of about five people, including a senior manager, three middle ranking managers and a couple of lower grades. Their remit is basically to: scope the need for change; produce an options paper; produce an implementation paper; implement the change; and review it. It's very useful and it would be impossible in my role to manage change without them. (Police interviewee)

In some cases, involvement in a change team was positioned as a development opportunity for staff members. For example, one Chief Superintendent in the police described how when a necessary change was identified, he would select specific members of staff who had shown emerging leadership potential and would give them responsibility for some part of the change process. He provided bespoke training to support them in the process, with the overall aim of developing the individual and the Unit's skills and capacity in change management.

Interviewees in comparative sectors also identified a wide range of other people who they felt had an important role to play in major change initiatives. As one local government manager put it, *'change is everyone's job now'*. Many interviewees emphasised the critical role of HR and Finance functions in providing professional advice on particular aspects of the change process. In local government (and to some extent the police), local politicians, and lead members in particular, were identified as playing an essential role in change. Chief Inspectors were identified as having a key role to play in change in the police context.

Strengths and weaknesses of current approaches to change

In health and local government, in particular, interviewees reported that change was generally managed reasonably well in their service areas – given the nature and magnitude of the change agendas they were facing, and the resource constraints there were operating under. Interviewees in the police tended to be slightly less positive – *'could do better'* was a common response to this question – although the majority of Borough Commanders also agreed that they did *'reasonably well'* in their units.

However, across all sectors, there was agreement that change was managed far better within the interviewee's own service area or unit, than within their wider organisation or force. As interviewees were in leadership positions within their departments or units, this finding has to be treated with some caution. As we have seen in the previous chapter, school leaders consistently rated their own capacity higher than colleagues', and this finding may reflect a similar tendency to be more positively disposed towards one's own practice. This assessment also seems to reflect, however, the nature of the challenges involved in managing change in a large organisation. In local government, for example, interviewees identified the sheer scale of local authorities and the scope of the change they are facing, the difficulties of communicating change messages effectively throughout large organisations, and the challenge of managing the officer-member interface, as possible reasons for weaker change management practice at corporate level.

The particular difficulties associated with managing change in a multi-functional organisation, where departments may experience different pressures

and constraints and have different cultures and ways of working, was also highlighted as an issue, both within local government, and in health:

Overall, (change management practice) in the organisation is variable. Different departments have different attitudes...the scientific background for what I manage means that there is an evidence-based protocol for delivery, which makes it easier for people to accept changes. In other areas, it may not be that easy, where you are dealing with unpredictable variables, like patient inflow etc. (Health manager)

Participants in comparative sectors were asked a series of closed questions about how effectively they managed various aspects of the change process in their service area or unit; these same questions were also put to school leaders. Overall, participants from all four sectors reported that their change practice was relatively strong; on seven out of nine aspects of the change process, more than 70 per cent of participants in comparative sectors (taken together) felt that they managed change very well or well (while 70 per cent or more of school leaders felt they managed change well or very well on eight out of nine dimensions). Senior school staff rated their performance most positively (on six out of nine aspects of change, a higher proportion of senior school staff than managers in comparative sectors reported that they managed change very well or well), while the police tended to rate their performance least positively (with the lowest proportion of managers reporting that they manage change very well or well on five out of nine aspects of change). Overall, however, the differences between sectors were not great.

Table 3.1 below sets out the percentages of respondents from each sector reporting that they manage aspects of the change process either 'very well' or 'well'. Note: SLT respondents were commenting in relation to practice in their whole school; managers in other sectors were responding in relation to their service area or unit, in the case of the police.

Table 3.1 Managers who perceive that aspects of the change process are carried out either ‘very well’ or ‘well’ in their organisation or service area/unit.

	SLTs	Police	Local government	Health
	%	%	%	%
The need for change is communicated	89	73	89	89
A strategy/process for planning change is agreed	80	83	80	60
Relevant stakeholders are identified	88	87	98	96
The current situation is formally assessed	81	78	80	69
Understanding of the situation is deepened	80	63	82	89
Priority areas for action are identified	92	90	91	91
A plan for implementation is developed	89	83	80	78
Information and decisions are fed back at each stage in the process	68	60	65	49
Implemented change is reviewed	71	43	63	49
N=	1,537	30	54	45

A series of single response items

Please note that the total number of respondents differ significantly between the school sector and other sectors. Moreover, those comparisons do not suggest that there is a statistically significant difference between those sectors.

Perhaps reflecting the growing emphasis on the role of local authorities as ‘place-shapers’ who work in close partnership with other agencies, local government managers reported that they were particularly effective at identifying the key stakeholders who need to be involved in change; 41 per cent of local government managers thought they did this very well (22 out of 54), compared to 16 per cent of school leaders, 31 per cent of health managers (14 out of 45) and 27 per cent in the police (8 out of 30).

Participants in all four sectors identified that their practice was least effective in relation to two aspects of change: feeding back information and decisions at each stage of the change process, and review and evaluation of change initiatives. In relation to review and evaluation of change, as can be seen in Table 3.1, school leaders reported more positive practice than managers in other sectors. Interviewees in comparative sectors identified the deluge of change initiatives they were facing and the need to continuously move on to new things as the reason for a lack of evaluation and review. Many

participants recognised that this was an important weakness in their approach and undermined the evidence base that could be used to celebrate success (seen as critical to sustaining energy and enthusiasm) and to make the case for further change in the future.

Most participants felt that their approach to managing change in their service area or unit had improved in recent years. Across all three comparative sectors, the most frequently cited reason for this was an improved understanding of the need to consult widely and involve people to a greater extent in change processes.

It is now accepted that change can be driven from the bottom up, not just top down. (Our approach) is more inclusive, including people in the change – people now feel more comfortable. (Health manager)

The change (process) has been made more and more open. Previously, we would try to protect people from change decisions. This doesn't usually work – even if you do it with the best will in the world, information gets out, so you are better off doing it and being upfront straight from the start. (Police interviewee)

We use a process of communicating the need for change, starting with senior managers and then asking them to cascade the information...I believe that everyone must play a role; it's not successful change unless it's happening when you're not there. And it's not just about management; my goal is that if you ask 28 different people what's being done and why, you'll get the same answer from all of them. (Police interviewee)

Some managers, particularly those in the police, interestingly, were also keen to emphasise that they were now much more likely to engage partners and users/communities in decisions about change – not just staff: *'Traditionally, we would have carried out internal change without thinking about the impact on external partners. Now we are a lot more aware of our partners and what impacts on them'*. (Police interviewee)

While most interviewees in comparative sectors reported that their approach to change had become more inclusive, albeit with room for further improvement, a few, particularly those working in health, reported that the approach to change in their wider organisation had become more directive recently. This approach seems to be associated in many cases with financial pressures and large scale structural reorganisation in the health sector:

I think before we aimed to make changes with staff; in the new culture it's just done to the staff. (Health manager)

Because of the amount of transformational change required, because we are moving towards a Foundation Trust, there has been a step back

towards a hierarchical approach to change – a more classic management style that has created more resistance at grass roots level. (Health manager)

Many interviewees also commented that their approach to managing change had become more professional or methodical over recent years:

We have become a lot more systematic about the methods I have just described. We are no longer reliant on general intelligence. We have systems and policies – it's a learning process. Before change was something that we did at our own pace and for our own reasons. Now it's imposed and has to be done quickly. We have to have the skills and processes to do this. (Health manager)

Interestingly, several interviewees in comparative sectors were keen to point out that while a more methodological approach had been a positive development, this also had some draw-backs. Some of the changes that local delivery organisations were grappling with need to be implemented very rapidly and, in this context, interviewees suggested that a balance needs to be struck between adopting a rigorous approach and being sufficiently 'nimble' and responsive:

We have got more professional about it, introducing a project team with specific activities and milestones and a sense of clarity about timescales etc. We can't just do it on the back of a fag packet. However, project methodology can suffocate and we still have a long way to go. (Police interviewee)

Across the three comparative sectors, it was common for interviewees to highlight a growing recognition of the importance of focusing on the '*human dynamics of change*'; as one local government interviewee commented, '*it's about people and their positions*'. Slightly higher proportions of interviewees in comparative sectors (taken together) reported that stakeholders' emotional, and political, reactions to change were taken into account to a great extent (32 per cent, 35 per cent) than was the case for senior schools' leaders (25 per cent and 22 per cent respectively). Interviewees in these sectors were also more likely to say that stakeholders' preferences about change were taken into consideration to a great extent (19 per cent compared to 12 per cent for school leaders). Local government managers were more likely to report that stakeholders' emotional and political sensitivities and their preferences about change were taken into account to a great extent than managers in any other sector.

3.5 Challenges and success factors

Challenges in managing change

Pace of change and competing agendas

Interviewees were asked about the key challenges and barriers they were experiencing in delivering their various change agendas and what factors had helped them to make progress. Some specific challenges and success factors emerged in relation to each of the clusters of changes interviewees were trying to deliver. However, as was also highlighted in the schools sector, at a certain level, many challenges and success factors seem to be common to any kind of ‘transformational change’, involving significant changes to structures, processes, culture and/or working practices.

For some people, keeping up with the sheer pace of change in their service area was a challenge, particularly when resources were tight. As in the schools sector, it was common for senior managers to talk about having little time to embed one change, before another major initiative came along.

However, for the most part, managers in the three comparative sectors recognised that constant change was now a feature of their working lives. What they found more challenging in managing change at a local level was the way in which change agendas were ‘*handed down*’ from the centre; ‘*tied by targets and measures*’, managers often felt they lacked the flexibility to respond. Managers in all sectors, but particularly in health, also reported that central government often had an overly ambitious sense of how long it took to bring change about and that targets with short timescales attached, though necessary in some cases, made it difficult to build inclusive change processes at a local level: ‘*Sometimes there is the external target that has to be met but because the timescale to do that in is so short, it means you can only consult a small number of people...*’ (Health manager)

In addition to short timescales, several participants emphasised that managing change at a local level was made more difficult because of competing or clashing central government agendas – either from within the same ‘parent’ government department, or as a result of different change agendas emanating from different departments or central agencies. Several Chief Superintendents, for example, reported that while the government is expecting the police to deal with an expanding agenda around globalisation, terrorism, serious and organised crime, at the same time they are expecting them to move to strong neighbourhood policing, giving local people more say over local police priorities. Chief Superintendents indicated that they were fully supportive of all these agendas, but it was felt that, with no extra resources, meeting these multiple and sometimes conflicting agendas was pulling the police in too many directions. Despite these challenges, interviewees were keen to stress

that they would *'pull out all the stops'* to achieve change, when it was required. Change fatigue, however, was exacerbated by the feeling that new developments are just *'the flavour of the month'*, and will only be a priority for the short term.

Resistance from staff

Resistance to change from staff was another common theme emerging from interviews in all sectors. Resistance was often found to be greater when change was mandated, rather than negotiated, either as a result of central government directives with short timescales attached, or local decisions:

(What is hardest is) change that is dictated without reason, for example, when we were looking at options...there was a situation where a senior manager decided that 'this is what we'll do'. There was a lot of resistance at all levels because no one had been involved in any discussions. That stopped developments for some months and created a stalemate situation. (Health manager)

Despite much change in the public sector in recent years, some interviewees in comparative sectors reported that a *'job for life'* mentality continued to survive amongst some pockets of their staff, often, but not exclusively amongst longer-serving staff. Though many managers were keen to emphasise that their staff could be enthusiastic and creative, when their involvement in change was appropriately corralled, others felt that some staff would continue to find change threatening, regardless of the approach taken to managing change.

Where roles and responsibilities changed significantly through remodelling exercises, resistance was commonly reported from professional staff, who were concerned about a loss of professional identity and expertise, as well as from support staff who may be required to carry out more challenging roles or work longer hours.

Professionals feel undermined – they think of it as 'some of my jobs can be done by someone unqualified' when actually it's the opposite...your qualification is so valuable, we want to use it more effectively. (Health manager)

Some people object fundamentally because of worries about professional identity and the danger of specialisms being lost. Sometimes we've parted company. (Local government manager')

Change per se frightens people, particularly admin staff...staff who have been used to doing things the way they've always done them. They've been in the job a long time... (Health manager)

Participants said that the ‘*middle level*’ of managers was where resistance to change often coalesced; middle managers were concerned about ‘loss of their empires’ when, for example, teams were brought together and merged or front line workers were given greater autonomy, as part of initiatives to devolve leadership throughout departments and organisations:

Absolutely key are the middle managers – the first line supervisors – don’t underestimate their power to resist. (Local government manager)

What didn’t work well were the middle management changes; they didn’t have a real chance to sit down and work through a middle management inspector cover model...The key underlying factor was that although they had given the inspectors a degree of autonomy and chances to give their ideas, what they didn’t do was talk to the next tier of management – i.e. the group which the change had the biggest impact on... (Police interviewee)

Politics and partnership dynamics

In local government, in particular, local politics were sometimes identified as a brake on change. Where key portfolio holders were not engaged and supportive, where relationships between political groups were particularly fractious, and at certain times in the electoral cycle when politicians’ attention might be focused on winning seats, it was thought to be more difficult to make major change happen successfully.

Also, poor relations with unions were often cited as a barrier to effective change. Early and constructive engagement with key union officials was seen as a critically important factor in major change processes.

As noted above, multi-agency partnership working was regarded by most interviewees as an important opportunity to tackle cross-cutting issues and achieve progress on outcomes. However, partnership working presented a whole host of challenges too. Some were relatively straightforward – for example, simply working out who is responsible for leading change in different agencies. Other challenges were more complex, and related to the different degrees of autonomy or delegated authority enjoyed by local delivery agencies, their different organisational cultures and ways of doing things:

Neighbourhood policing is only one element of an extensive neighbourhood agenda. The challenge is how we ensure collaboration and achieve desired outcomes, bearing in mind the different cultures and approaches within all the partner organisations. My force is very devolved and I have the power to do most things I want to; I can commit to decisions etc. But that isn’t always possible with the people round the table (in a partnership situation). I often have more, or differing, ability to direct resources and this is a massive challenge in

terms of tying it all together and developing a strong partnership.
(Police interviewee)

There are a lot of barriers (to partnership working). People go there representing their own organisations. The language that people use (is a barrier)...abbreviations, the way you present a meeting or report – really practical things – the style of meetings, the way they're chaired etc. (Health sector manager)

Sustaining change and avoiding complacency

Reflecting findings in the schools sector, sustaining change was also regarded as a key challenge by senior managers in local government, health and the police. Many participants felt that change was more likely to be sustained if an appropriate change process had been adopted in the first place – i.e. one where the case for change had been clearly expressed and where staff at all levels had been actively involved. However, some felt that further effort was required to embed new ways of working.

Finally, one important challenge that many participants were keen to emphasise was the risk of complacency. Where services were performing well, managers were concerned that staff should continue to be vigilant and on the look out for continual improvements; constant change was thought to be necessary, just to stand still: *'People think we are a good organisation and we are financially alright, so they think 'if it's not broke, why change it?'* (Local government manager)

Success factors in managing change

Effective leadership

Across the many different agendas they were tackling, managers in comparative sectors identified a number of critical success factors for effective change. Effective leadership of change was a critical success factor highlighted by nearly all participants. Effective leaders of change were highly skilled at reading the external environment and diagnosing the need for change. They were also, critically, visible around their departments, organisations and units, and able to articulate a powerful and persuasive vision for change in which the potential benefits for different groups of staff and for users were clearly set out.

Access and visibility of senior leaders is vital, it gives them authenticity as leaders, gives people the opportunity to challenge them, which is good...The gaffers don't understand' is a common attitude from front-line staff towards the leaders. I work really hard to communicate that I do actually understand! (Police interviewee)

You have to understand where people are coming from; their families too. People will go for change if they see what's in it for them and

they'll block it if they are threatened by it – and why shouldn't they? You need to show them the benefits, but this is not always easy – some people will not be up to it. The skill there is to help them realise this themselves. But this takes lots of investment of your own personality; there's no model or magic. It just comes down to the individual manager and what they are like. (Local government manager)

A strong message from the interviews in all comparative sectors was that leaders need to communicate far more than they themselves might feel is necessary. As the instigators or leaders of change, interviewees told us that they sometimes forgot how long they had been mulling over a change before their thinking was shared with staff; they therefore sometimes underestimated the time staff would need to get used to the idea.

Another of the key leadership attributes identified by managers in comparative sectors was to 'judge the moment' – to assess their department or unit's 'readiness' for change and choose the appropriate moment to launch a change initiative. While a robust, planned approach to change was identified as important by many of our participants, they also highlighted that in some cases, 'methodical' approaches could get in the way when you needed to move quickly. Inclusivity was highly prized, but interviewees also pointed out that in relation to some change drivers where the issue was particularly pressing (e.g. child protection issues) or timescales were especially challenging, a more directive approach was appropriate. So rather than slavishly following a set process, participants emphasised that the real leadership skill was in judging what kind of process was appropriate and how to change course when your chosen process is not working:

Focus on outcomes and be flexible about how you achieve them...where people have a rigid viewpoint about what the solution is rather than focusing on the outcome you run the risk of delivering a perfect project that doesn't work. (Local government manager)

No change process goes without a hitch. You need to be flexible and reactive when you come across...obstacles. (Police interviewee)

Faced with resistance from staff and a certain degree of 'change fatigue', interviewees also emphasised that leaders of change needed to be personally resilient to deal with the inevitable set-backs they would experience along the way. In this context, being self-aware, able to recognise one's own need for support and be willing to access this, were also thought to be important: *'As a manager you have to be quite thick-skinned and pragmatic at times, in order to lead people through the 'swirling around' they inevitably get involved in'*. (Health manager)

As has been highlighted above, the active involvement of staff, users, communities and partners was also identified as a critical part of successful

change processes. It was widely recognised that leaders could not make change happen acting on their own; leaders or champions of change were required at all levels throughout organisations and departments: *'...you need to identify people who are going to be able to motivate others and explain (the change) to them and keep it moving along'*. (Health manager)

However, participants in comparative sectors were keen to emphasise the importance of giving careful consideration to the parameters for engagement. In other words, is engagement being carried out purely to communicate decisions that have already been made, or is the active involvement of staff members being sought? If the latter, are staff views being sought on the nature of the change to be adopted, or how this might be delivered in practice?

Several participants in comparative sectors reported that there was a growing recognition in their wider organisations of the need to allow managers greater freedom to experiment in order to find solutions to complex, intractable, problems. Being clear about responsibilities for change and holding people to account for measurable goals was seen to be important. Nevertheless, in some contexts, particularly when operating in conditions of uncertainty where solutions were not clear, it was also thought essential that managers should be given the freedom to try new approaches, free from a *'harsh'*, *'blaming'* culture. Carving out this space to experiment, and potentially to fail, was thought to be easier in service areas or organisations that were already performing well; however some participants felt that it was those services and organisations that were struggling that might need this more: *'(You need to) create an ethos that welcomes innovation and a 'no-blame' culture, but also base your innovations on someone's good ideas and strong research'*. (Local government interviewee)

Wherever possible, participants felt that it was essential to base change initiatives on sound evidence about what works. Reviewing best practice and actively gathering examples of successful change processes from elsewhere in the country was seen as extremely valuable. In some sectors, the nature and robustness of the evidence base was thought to be particularly important – e.g. in health, where managers need to sell the case for change to clinicians, who have a strongly evidence-based culture. Where time permitted, piloting new change initiatives was thought to be an excellent way of trialling new approaches and gathering evidence about what works. Robust review and evaluation of pilot schemes was thought to be essential – though, as has been highlighted above, this is an area where many participants felt that their approach needs to be strengthened in future.

Interviewees in all sectors identified the critical role played by HR and finance functions within their organisations. Involving these professionals centrally in the change process, and at an early stage, was thought to be critical to success:

Human Resources has been a great help. In meeting with members of staff, keeping us informed of employment law and how far we can go. (Health manager)

HR help allows major change management around workforce redevelopment...heads of services cannot manage the complex HR issues around changes in workforces etc. (Local government manager)

One of the biggest obstacles to change is people saying you can't do this financially, when in fact you can if you can think about this creatively. Accountants get used to the way you've always done things, and you need to challenge them to think differently. (Local government manager)

Finally, many of the managers who participated in this study reported that insufficient emphasis was given to celebrating successful change. Linked to points made above about the sheer pace of change and lack of review and evaluation, this stage in the process was sometimes missed, though widely recognised as critical for sustaining morale and embedding change.

3.6 Types and sources of support

Use of models and tools

Most of the interviewees in health, local government and the police, as was the case with school leaders, were aware of a range of different models and approaches for managing change, although quite often they could not recall exactly what these were called or the precise details of what they entailed. Interviewees accessed these models and frameworks from a wide variety of sources, including central government departments, sector development agencies, organisational or sector training courses and providers, and their own personal reading and learning (e.g. Masters in Business Administration or Masters in Public Administration courses). In addition, in the health sector in particular, some participants reported that they now look to the private sector for change models – particularly to help them think about creating more efficient organisations and processes.

Rather than routinely making use of a favourite model or suite of models, however, the majority of participants reported that their approach to change was guided by a set of core principles for effective change management. These had sometimes been developed out of models or approaches used in their organisation or picked up on training courses, but more often they had been distilled from years of practical experience: *'I don't consciously (use any particular model), but I've been a manager for ages – I've been on leadership courses, so I am probably using standard approaches'* (Local government manager)

A wide range of different approaches and models were identified by those participants who reported that they used models frequently. The choice of model or approach depended on the type and size of the change that participants were trying to implement. In the police, for example, interviewees reported that if their unit was going through a large scale restructuring, then a clear project management approach was usually adopted. If the change was relatively small, a more ‘*common sense*’ process, built around some common principles was chosen.

Of the models or approaches cited, Prince2 was identified most frequently. It was seen as helpful in providing a structured framework for managing projects and programmes. Another perceived benefit of Prince2 was that it reinforces accountability, as it involves identifying who is responsible for delivering what and by when. However, the Prince methodology was also criticised by some participants for being overly onerous and bureaucratic; it was seen as more appropriate for managing bigger projects and programmes than for smaller-scale changes.

Prince2...provided a systematic approach...the key success (factor) was the use of a rigorous project management approach...it got us focused. (Local government interviewee)

Everybody is obsessed with getting a Prince2 qualification...but this is just good management. (Local government interviewee)

LEAN and 6 Sigma were frequently identified as key change models in the health sector, and sometimes in local government. LEAN, which was originally developed by Toyota in the 1950s, is an approach for determining the value of any given process and finding ways to strip out waste from it. 6 Sigma is a process improvement methodology developed at Motorola in the 1980s; it aims to reduce variation in the quality of outputs. These two approaches are now being linked together and strongly promoted in the health care context, as a way of solving problems and creating rapid transformational improvement at lower cost.

(LEAN) can be used to massively overhaul an entire system as well as to pinpoint where perhaps only one to two minor changes need to be made to make a system run more smoothly (Health manager)

However, LEAN, too, had its critics:

LEAN approaches are used a great deal...corporately. There is a lot invested in LEAN, but we need to think wider than process mapping – the danger is that we end up doing the wrong things faster. (Local government interviewee)

The European Foundation for Quality Management (EFQM) model was also identified as a useful change framework by some participants across comparative sectors. EFQM is a self-assessment tool, which can be used by organisations to rate their strengths and areas for improvement. Several interviewees also mentioned finding ‘change’ or ‘transition’ curves helpful in managing major change. These have generally been adapted from a model devised by Elisabeth Kübler-Ross in her 1969 book ‘*On Death and Dying*’. The Kübler-Ross model describes, in five stages, the process by which people deal with grief and tragedy. The model has been adapted to help people understand the human impact and dynamics of change in organisations, and several interviewees have used this approach in their change management practice. Particularly in children’s services, though also in other parts of local government, participants also identified Mark Friedman’s *Turning the Curve* approach as useful in helping them to manage change.

Overall, those approaches, models and tools – like LEAN and 6 Sigma and *Turning the Curve* – which have been actively promoted by central government, sector development agencies, or inspectorates, or which – like Prince – have been around for longer – seem to have much greater name recognition amongst senior managers and be used more frequently.

Many interviewees also reported that models and approaches were most useful when they had been adopted by their wider organisation and adapted for use in that particular setting – sometimes packaged and offered to managers in departments or units with the offer of additional support to make use of them. Several interviewees in local government, for example, reported that their councils used an adapted version of Prince2. As one described:

It’s a free, structured, process that we have agreed corporately. We have appointed a corporate transformational change team from various areas and have used them to develop our own framework using various approaches around Prince2, and translated this into something that we can all use. It has been very useful. (Local government manager)

Other councils have developed their own entirely bespoke approach to managing change, however the extent to which this is routinely followed seems to vary. For the most part, participants reported being free to use whatever approach they felt was most appropriate: ‘*There is a corporate handbook that takes you through the process; I know it exists, I read it and have referred to it, but I don’t use it every time I go through the process*’. (Local government manager)

These findings seem to be confirmed by responses to one of the closed questions put to interviewees; while 66 per cent of interviewees in comparative sectors disagreed with the statement that change tools provided by external organisations are not helpful, 77 per cent of school leaders

disagreed. Interestingly, however, there was considerable variation amongst comparative sectors on this question. Health emerged as the sector most positive about use of external models; 76 per cent disagreed or strongly disagreed that change tools provided by external organisations are not helpful, while 57 per cent of police interviewees disagreed or strongly disagreed with this statement.

Managers in comparative sectors demonstrated awareness of a wide variety of generic change tools, which they used in various ways at the different stages of any change process. Popular tools included: brainstorming, stakeholder mapping and analysis techniques, focus groups, and peer panels. Again, managers told us they had built up their own '*personal toolkit*' – drawn together, refined and updated through years of experience. Several interviewees highlighted the importance of using tools that were appropriate to the type of change, the stage in the change process, and the audience that managers were working with.

I think it's helpful to allow people to use a variety of tools; it's useful to have a toolbox if people aren't comfortable managing change, but you can't be prescriptive. As long as people can evidence the outcomes that are useful it doesn't matter what tools they use. (Local government manager)

There was a concern about 'gimmicky' approaches; interviewees told us that tools need to be used in a subtle way: '*We try not to get too gimmicky. As soon as you say 'process-mapping' everyone goes to sleep*'. (Health manager)

Further information about the approaches, models and tools discussed in this section, and others that are being promoted in health, local government and the police, can be found in the literature review which accompanies this report.

Sources of support and their usefulness

Reflecting findings from interviews with school leaders, managers in all three comparative sectors identified other senior colleagues as the most highly prized source of support for change management. More than anything else, what interviewees valued was having someone experienced, knowledgeable and suitably senior, who understood the local context, to act as a '*sounding board*'.

In contrast to schools, as autonomous institutions, interviewees in health, local government and the police also described a range of support for change that was available to them from within their wider organisation or force. In local government, for example, interviewees often had access to support or advice from staff in the corporate centre of the authority – for example on project or programme management or facilitation of stakeholder workshops.

'We have implemented a consultation team who help to support people who are going through extensive consultation.' (Local government interviewee)

In the police, several Chief Superintendents identified the important role played by staff at the headquarters of their force; although sometimes the involvement of staff from HQ was experienced more as 'pressure' than support. One Chief Superintendent described how each major change would begin with a 'summons' from force HQ to hear what was expected of them. Each BCU would then set up a project team and implement the change and force staff would visit at regular intervals to 'check' that the change had been successfully implemented. In other instances, Borough Commanders described intervention from their force in more supportive terms. For example, one Chief Superintendent had encouraged his chief officers to create a development board at police headquarters to provide skills, advice and information to each of the six BCUs in areas that were beyond each Unit's individual capability. They now have a system in place to call upon this resource 'on demand'.

In addition to support from within their organisation, managers in all sectors highlighted a range of support for effective change that was available from other agencies in their sector, and beyond, including: sector development agencies, sector wide management and leadership development courses, inspectorates, government departments, and private sector consultancies.

In local government, the Audit Commission, Care Services Efficiency Directorate and Care Services Improvement Partnership were mentioned as sources of support for implementing change. In the police, the Police College MSc in Management and the resources produced by the NPIA were highlighted. In health, participants identified the NHS Institute for Innovation and the Kings Fund as sources of useful development programmes and tools for change.

In addition, peer networks were identified by many participants in all sectors as being particularly useful. In some cases, support networks are quite informal, though nevertheless helpful:

It's a huge advantage having the contact with peers that we've had and it has helped us to avoid making mistakes. (Local government manager)

For me personally, it's about having a network of friends and colleagues in the same field where you can have a moan and ask for help if you get stuck. (Local government manager)

A small number of interviewees reported that they were strongly committed to building their own practice in relation to change management through reading

and private research. These managers tended to be those who were particularly interested in having a strong conceptual/theoretical under-pinning to their work and were motivated to search out new models and approaches.

Though they are generally aware of a range of support for change, a strong message emerging from the interviews in comparative sectors was that managers do not always have the time to access this information, sift and make sense of it. In this context, central change or improvement teams in the corporate centre were thought to have a very helpful role to play. Managers also clearly have different preferences in relation to channels of communication; while some like reading books or papers or being able to access support on-line, the majority of our interviewees valued face-to-face contact, especially with someone dealing with a similar challenge in a similar context.

Future support needs

Many of the senior managers in comparative sectors felt that they did not need further generic support on change management issues. With ‘*years of experience*’ under their belt, many participants considered themselves to be sufficiently skilled in this area. A small number of interviewees, however, expressed caution about this view:

It's a skill thing. Just because people are in a senior job you should not assume that they are able to do this. Personally, I have spent lots of time looking for models, tools etc...but very much on my own. It shouldn't be like this. There are so many examples of changes going really wrong – IT, staff grievances etc – all sorts of things. It's a waste of time and energy. (Local government manager)

Amongst those managers who were keen to receive additional support on change management in future, there was little desire for more overarching change models or approaches or generic change tools. Instead, managers identified a number of other ways in which they could be supported in managing change.

In relation to the external environment, interviewees felt that more local flexibility on targets, and an end to cycles of change where initiatives were rolled out quickly and then sometimes reversed, and adequate funding would help create a context in which local change initiatives were more likely to succeed. Within their own organisations, many interviewees were keen to see stronger HR and finance functions that were more centrally involved in change initiatives and at an earlier stage in the process. Although many of the interviewees in local government, health and the police reported that lack of adequate resources meant that they could not always proceed as far or fast with the change agendas they wanted to implement, most recognised that limited budgets are a reality. Nevertheless, it was common for managers in all

three sectors to argue that what is often needed is a small amount of extra resource to ‘*buy the time*’ or free themselves up to think about how to do things differently. Being able to find extra resource to provide dedicated project management and monitoring of major change initiatives was also highlighted as a critical success factor.

Some interviewees were keen to access more guidance and support on specific aspects of the change process. Help to design and manage complex consultation events, involving multiple stakeholders, was one area mentioned by a number of participants. Several interviewees reported that they would value further assistance in tackling the emotional dynamics of change – assessing different people’s readiness for change and developing appropriate strategies for overcoming resistance amongst different staff groups. Some interviewees across the three comparative sectors felt that more mentoring and coaching, especially of middle managers and those aspiring to top level jobs, would be helpful. Coaching and mentoring were seen as providing valuable opportunities for participants to reflect on their own practice, seek feedback, and discuss strategies and tactics for planning and implementing change.

Moving away from the *process of implementing any change*, interviewees in all sectors attached considerable value to support geared towards helping them to implement the *specific* change agendas they were currently tackling. They were interested and strongly motivated to find out about how similar changes had been implemented elsewhere and what they could learn from this. Interviewees highlighted, however, that best practice case studies need to be sufficiently detailed to allow the reader to ‘*get under the skin*’ of the issue or problem; opportunities to meet managers in person through action learning and peer networks were particularly appreciated. Police interviewees, in particular, felt that sharing of best practice across forces was important and not always as effective as it could be.

Given that many public sector bodies are now facing similar challenges – e.g. around workforce remodelling and partnership working – several participants across sectors felt that there was potential to create more development and support packages (e.g. training, action learning, best practice case studies) which were targeted at leaders from across the public sector, giving participants an opportunity to extend their experience and access fresh ideas.

3.7 Summary and implications

- Managers in all four sectors are operating in very different contexts – differences include the function and structure of the sectors, the size, funding arrangements, and degree of delegated authority of delivery units (including control over budgets), whether delivery units provide a single or multiple services, and skill mix and staff make up.

- Despite these important differences, senior managers in all four sectors are facing some similar change challenges – particularly around workforce remodelling, focusing on outcomes, partnership working with clients and communities and other agencies, and personalisation. Managers in comparative sectors report having made greater progress than school leaders in achieving an outcomes focus and working in partnership with other agencies. As schools are drawn increasingly into multi-agency working around ECM outcomes this might be an area in which schools could learn from other sectors’ experiences. The comparative literature review provides examples of development support available to managers in other sectors to help create a focus on outcomes and strengthen partnership working. (See for example, sections 3.3.3 and 3.3.6 in relation to local government.)
- Senior managers in comparative sectors report experiencing more change in recent years and having slightly less capacity to manage change than school leaders (though lack of capacity was frequently linked to inadequate resources, rather than skills). Senior managers in schools appear to be more confident about their ability to influence and shape change; managers in other sectors, particularly in health, commonly reported that financial and target pressures reduce the degree to which they can influence change. In all sectors, longer-serving managers tend to regard themselves as more able to influence change and these findings suggest that the TDA, and other sector development agencies, may want to target development support at those managers who are newer to senior posts (or at earlier stages in managers’ careers – see below). Findings also suggest that those working in high-performing organisations or service areas are more confident about managing change, and that managing change in a larger organisation creates some specific challenges – in particular in relation to communicating messages about change. These findings suggest a need for more tailored support that reflects the different challenges faced by managers working in different contexts.
- Overall, participants in comparative sectors rate their change management practice positively, though slightly less positively than school leaders. Managers in all four sectors report least positive practice in relation to feeding back information and decisions about change and review and evaluation of change initiatives (though more school leaders feel that they do very well or well in this area than managers in other sectors). Given the importance of communication in implementing and sustaining change and review of change initiatives in sustaining morale and building the case for future change, the TDA may wish to consider how it can reinforce this message in communications with schools and further strengthen and support practice in this area.
- More local government managers feel that they do very well or well in relation to mapping and identifying stakeholders who need to be involved in change and in taking their emotional and political sensitivities and preferences into account in change processes, and these might be other areas where schools could look for good practice. The comparative literature review (see Chapter 7) identifies some useful approaches to mapping relevant stakeholders and assessing how they might be

successfully engaged in change initiatives. The TDA may wish to consider if some of these techniques could be usefully made available to schools.

- Managers in comparative sectors use a wide variety of different models and tools, though rather than following any one model in a rigid way, they tend to apply common principles derived, in part from models, but more often from experience. Rather than slavishly following a set process, this research suggests that a key leadership skill is in making appropriate judgements about which kind of process to adopt in a particular situation and when and how to change course when a chosen process is not working. Chapter 7 of the comparative literature review sets out some tips on assessing the likely success of any change process and managing change in conditions of uncertainty, which might prove useful in this context.
- Evidence from the comparative element of this research indicates that the models and tools which are used most often by practitioners are those that have been actively promoted and disseminated by central government departments and other agencies. Those models and approaches that have been promoted by several agencies seem to be particularly successful. The TDA may wish to consider how it can reinforce its preferred approach to change by collaborating with other agencies that are involved in improvement work to ensure that change messages are consistent and possibly using these agencies as dissemination channels for its model.
- There may be some learning for the schools sector in reviewing models and tools commonly used in other sectors. However, it will be important to recognise that some of these resources are geared towards types of change and a size and scale of change that may not be relevant in the school context. What seems to be important is for the TDA to identify particular aspects of the change process or substantive changes where schools might learn from other sectors and in these areas, carry out a review of tools used in other sectors, to assess their potential usefulness to schools. We have suggested that there may be relevant learning in the area of partnership working and focusing on outcomes. Tools and approaches used to focus staff on delivering efficiencies might also be worth further exploration (see section 4.2.2 of the comparative literature review for more details of approaches used in health).
- Managers in comparative sectors appear to have access to more support for change from within their own organisation or force than is the case for headteachers. Support from the corporate centre of organisations in other sectors is sometimes used to sift, interpret and customise the support that is already available from a wide variety of sources. In addition, corporate support is often available to assist with particularly complex aspects of the change process – e.g. large scale project management and consultation activities. In addition, some comparative sectors, particularly health and local government may be better ‘networked’ than the schools sector, facilitating more easily the sharing of experience and best practice. The TDA might wish to consider if it can do more to help synthesise available support material and create more structured opportunities for senior teachers to share experiences and learning about change and specific

changes in particular. The comparative literature review provides some examples of networking and learning opportunities that are being offered in other sectors. (See, for example, section 6.2.5 for some information about networks, action learning and whole systems events in health.)

- Managers in all four sectors identified staff resistance as a major barrier to change and regarded understanding of how to read and respond effectively to this as a key leadership task. Within comparative sectors, securing the buy-in of professionals and middle managers was thought to be particularly critical; greater involvement of these groups and, possibly, additional targeted support on change management for newly trained professionals and front line and middle managers might prove helpful in building organisations' change capacity for the future.

4. Conclusions and key findings

The study carried out here provided a useful opportunity to explore change engagement in schools, and to compare school leaders' experiences of change management with those of leaders in other public sector organisations. This study has enabled researchers to approach respondents directly about the topics of planning for, dealing with, obtaining support for, and sustaining change. In this respect, the findings from the study present a current baseline about schools' capacity to engage with and manage change and provide a useful source of evidence to inform the TDA's approach to further building the capacity of schools to manage change effectively.

The NFER/OPM research team has identified twelve 'key messages' from this project:

- 1. School staff generally have positive attitudes towards change and are confident about their (and their school's) capacity for change, suggesting a high degree of receptivity to change.**

This research has highlighted the fact that senior leaders, teachers and support staff in schools were, on the whole, positive towards change and the way in which it is managed. There was evidence of weariness with the number of initiatives in recent years and with what are often perceived to be competing or clashing central agendas for change that are difficult to 'join up' and deliver locally. However, despite this, school staff appeared to be resilient and remained convinced of the need for change and positive about the impact of change on their institutions. Change is now seen as part of the fabric of everyday life in schools. The main implication of this is that it seems that a positive environment exists for change implementation and management in schools and the opportunity is there for the TDA to build upon this.

- 2. Staff involvement is a critical success factor in implementing and sustaining change. Involving staff, beyond the SLT, is also a way of releasing additional capacity to manage change effectively.**

Effective, timely, and appropriate staff involvement has been identified as a critical success factor in managing change, however, the research also revealed some interesting differences in the perceptions of school leaders and staff in this area. SLT consistently reported higher levels of staff involvement in change than staff did themselves. There is a clear message in the research about the need for leaders to communicate and involve staff at all levels to a greater extent than they themselves might think necessary, and to be very clear about the parameters for this involvement.

There is evidence to suggest that the existence of a change management team can help to ensure that staff at all levels feel involved and engaged with change processes. In addition, having a CMT seems to have a positive effect on a school's perceived capacity to change. It is clear from the research that change needs to be led by SLTs, and that many SLTs see this as their day job; but at the same time there is desire to see middle managers in particular more involved in leading change and to ensure that change processes are - and are seen to be - inclusive. It may be helpful, therefore, for the TDA to consider further how CMTs below SLT level can work for different types of change. This may be particularly important for larger schools and for secondary schools, where staff seem to be less confident about change capacity.

3. Monitoring and review of change initiatives and celebrating success are also critical aspects of the change process. There is evidence of some positive practice in these areas, but these remain priorities for improvement in future.

Ten or fifteen years ago schools were using considerably less data than they are now, and even where data was used there was a confusing range of data packages available for looking at school effectiveness and school improvement. There was no single, consistent approach, to monitoring and evaluation and even within a local authority a mixture of approaches could be found. In recent years, however, a shorter inspection process has been introduced with a clear standard framework, and school leaders have been encouraged to complete a Self-Evaluation Form (SEF). It may well be that these and other developments have helped to consolidate and streamline schools' approaches to monitoring and evaluation, and for many schools these processes, along with school development planning are a key driver for change.

Perhaps reflecting these developments, in this study, school leaders reported more positive practice in relation to review and evaluation of change initiatives than managers in other sectors. However, this was still recognised as an area of relative weakness in comparison to other aspects of the change process. Managers in all four sectors recognised that lack of evaluation and review undermined the evidence base that could be used to celebrate success (seen as critical to sustaining energy and enthusiasm) and to make the case for further change in the future.

4. School leaders (and managers in other sectors) were aware of a variety of change models and tools, though regular use of these does not seem to be common. Awareness of the TDA's change management tools and models was generally low, though this might be partly explained by the way in which these were delivered to schools via local authorities.

While there was evidence that a structured process for managing change was often used, it seems that in schools, as in other public sector organisations, there is no single, widely-used approach or model for change management. Rather, leaders in all sectors tend to apply principles, drawn from their own personal experiences (or that of colleagues), and select elements of models or tools (including, for school leaders, TDA resources) that are appropriate for the particular changes they are trying to implement. This is a practical, pragmatic, and experiential approach to change management, rather than a theoretical, model-driven one, and it is an approach that is consistent with the picture of confidence about capacity to manage change highlighted above.

Awareness levels of the TDA models and tools were generally low. This might be partly explained by the fact that usually local authority advisors delivered change management-related training, after they had been trained themselves by TDA personnel, so the TDA 'badge' was not necessarily evident to respondents. If the TDA considers it important that schools should recognise that these models and tools come from the Agency, then it might wish to consider further how they are branded, publicised and disseminated to improve awareness. This might need to extend beyond availability on the web to, for example, e-newsletters or paper newsletters.

Future assistance for change management also needs to take account of the plethora of existing types of support available from a diversity of sources, and it seems that more 'joining' up is possible. This research suggests that the models, tools and approaches that often receive most attention are those that are proposed by central government (across sectors) or transmitted by local authorities (schools). Given this finding, the TDA might wish to consider further how it networks and links up with DCSF and with other key agencies and with local government to ensure that change materials are cross-linked, mutually reinforcing, and reach the end user by a variety of channels.

5. School (and other public sector) leaders seem to have an increasingly sophisticated understanding of change and thought now needs to be given as to how to develop the next level of change support.

Findings from this study suggest that managers in all sectors seem to have an increasingly sophisticated understanding of change and are able to reflect on, and articulate, their approach and the principles which underpin it. Leaders report that their approaches to managing change have developed in recent years: in particular, they are now more aware of the need to consult widely and adopt a more professional, planned, approach to change. In addition, findings highlight that leaders are now more sophisticated in how they select change processes for instigating and implementing particular changes and are aware of the need to flex processes in light of local circumstances, rather than sticking rigidly to a planned approach.

In this context, it seems that leaders' needs may have moved on from basic models and tools. What seems to be required now is further professional development to achieve a 'next step' in change 'managements practice'. Leaders want more in-depth and specific assistance with *certain aspects* of the change process. For example, although leaders do engage with making judgements about how to handle the emotional and political aspects of change (this applies across schools and comparative sectors) they also recognise a need for further assistance in this area. Handling complex consultation around change seems to be another potential area where more advanced support might prove useful. This is 'master class' type territory, and would be best handled face to face. This study has also identified that leaders continue to have a desire for help in managing *particular* changes - for example, how to deliver social outcomes or work in partnership more effectively - involving the sharing of best practice.

6. This study suggests awareness that 'change is everybody's job now' and highlights a need for greater levels of understanding of change at all levels within organisations.

Whilst leadership from SLT (and senior managers in other sectors) is critical, there is a strong case to be made that for change to be successful, it increasingly needs to involve a wider range of staff at all levels. With drives to distribute leadership and harness more effectively the skills and capacity of front line staff, schools (and other sectors) will need to find ways to increase the general level of change awareness and change skills at all levels within their institutions. There is a case for arguing that change management development support now needs to be aimed at people earlier in their careers – for example through initial teacher training and/or continuous professional development activities. In schools, support might be delivered internally or by sending support staff and teachers (possibly members of the change management team) on, for example, training courses or to conferences. Local authority sessions for support staff and teachers might also be used to similarly support schools.

7. Different types of schools face different challenges. It appears that many schools would benefit from a more 'bespoke', differentiated, and mainly face-to-face, approach to change management.

This study revealed a number of interesting differences in the way that different types of schools engaged with and managed change. For example, staff in smaller schools appeared to be more involved in change and more successful schools (that is those with higher contextual value added scores or grammar schools) revealed a stronger association with a less structured approach to change management, whereas larger schools displayed the need for clear direction and focus with regard to the way that change is managed and led by SLT.

Although schools face many similar challenges, different types of schools, operating in different contexts, have their own specific needs for change support. The study identified a strong desire for more flexible, differentiated, support as part of the next stage of change management assistance (though this clearly might have resource implications for the TDA and local authorities). The findings indicate the need for more face-to-face contact, where change advisors would provide assistance tailored to the needs of not only the school, but also the individual.

8. Networking between schools (and other organisations) in similar contexts, facing similar challenges, remains a critically important mechanism for reflecting on practice and learning about change.

The research revealed a need for more relevant networking between schools with the same context and facing similar challenges, on paper, or better still in person. There was a belief that ‘reinventing the wheel’ should be avoided and that schools could learn from each other: the value of interaction and the exchange of ideas and experience, at different levels, was perceived to be of potential benefit to all stakeholders.

This study suggests that in health and local government, in particular, practitioners tend to be quite well networked (with other senior staff in their own organisations) and through sector wide networking arrangements. The TDA may wish to consider whether schools have the same access to these kinds of opportunities to reflect on practice and learn from others.

Ideally, networking provides opportunities for school leaders and staff to meet in person – through school visits, action learning and conferences, etc. However, school leaders also felt that networking could be facilitated electronically. Some expressed a view that they would like to have, for example, a DVD with examples of small changes, including set backs and how they have been overcome, with contacts and links to electronic forums where issues could be discussed.

9. School leaders have more of a perception of ‘control’ over change than leaders in other sectors, and this presents opportunities for schools, especially those that have a strong sense of purpose and direction and are already high performing.

This is a complex finding, but school leaders tended to report a higher degree of confidence about their ability to control and shape the way that change affected their schools and to be selective about the change drivers that they focused on, than was the case for managers in other sectors. This can probably be linked to the stronger institutional independence and identity of schools, although usually being under the aegis of a local authority. However, being able to actively shape change and make decisions about which changes were appropriate for their pupils and staff was also linked to having a strong school

vision and ethos. Those schools where leaders have a robust strategic understanding of where they are now and where they want to go in future, and are able to select the changes to implement, along with associated change processes, seem to be in a stronger position. What seems to be required is clarity about the end goal, but flexibility about the means of achieving it.

The research also highlights that ‘success breeds success’ at several levels: as in other sectors, confident leaders and successful schools seem better able to choose their own changes and set their own pace for change; successful processes lead to sustainable change; success in sustaining one change means people are more prepared to engage with further change.

10. There is a considerable degree of similarity in change challenges and priorities across the different sectors, despite clear differences in terms of function, degree of autonomy of local organisations, and roles. Despite some clear differences across sectors, the research revealed that many change drivers, challenges and success factors are common across all four sectors.

11. Despite these similarities, managers in comparative sectors report having made more progress in some areas, particularly in working with partners to achieve major change. Although partnership working clearly takes place between schools, working with other services may be a growing change driver for schools, and an area in which schools could learn from other sectors.

The research highlighted that the current change agenda for schools is moving on; schools are reporting having made considerable progress with remodelling, and meeting the need for the personalisation of learning is now experienced as the most pressing driver for change. This is closely related to delivering ‘joined-up outcomes’ which, by necessity, involves collaboration with staff from other agencies. While there is evidence that a majority of schools are successfully engaging with the multi-agency demands of the ECM agenda, there is also a minority of schools that still seem to operate to some degree as isolated units.

Partnership working has been higher up the list of priorities for longer for comparative sectors. The TDA might consider what learning could be taken from these sectors (information about models, frameworks, and sources of support being used in other sectors and which TDA might find helpful is given in the literature review which accompanies this report).

12. Managers in comparative sectors are experiencing considerable pressure to deliver efficiencies: this may be another area where schools could face further challenges in the future and could learn from other sectors.

HM Treasury's Efficiency Programme has set ambitious targets for efficiency gains by this year, and CSR07 has kept up the pressure on efficiency for the next few years. In health and local government, in particular, where the pressure to create efficiencies has been particularly pressing, this has driven some creative thinking about how to 'do more with less' and whole services and key processes have been redesigned to cut out waste. Although few members of SLTs cited efficiency as a key driver for change in the schools environment at the present time, the TDA may wish to consider if learning from other sectors could be used to promote more efficient use of resources in schools in future. The comparative literature review identifies some models and approaches that have been used to support change in this area.

Appendix A Factor and regression analysis

This technical appendix presents:

- an explanation of factor analysis
- an explanation of regression analysis
- detailed explanations of the outcome analysis and the regression findings.

A1 An explanation of factor analysis

After frequencies had been produced for all questions, factor analysis was carried out to produce outcomes for use in the regression. This analysis grouped suitable questions that, together, covered similar issues based on their correlation with each other. The questions to be entered into each of the factor analyses were selected by the research team in conjunction with TDA and corresponded to the themes covered in parts of the report.

A number of items from the questionnaire were included in the factor analyses. Some questions were appropriate as they stood, specifically those on some form of Likert scale. Other questions required some manipulation to put them on a suitable scale for inclusion.⁷

The analyses were carried out on the whole dataset including all types of staff with an exploration of any differences between staff and school types within the regression analysis. The factor analyses produced a range of outcome factors and the research team designated the outcomes using the following reader-friendly themes:

- confidence in organisation's capacity to deal with change (Table A1.2)
- attitude towards the need for change (Table A1.3)
- attitude towards the usefulness of change (Table A1.4)
- attitude towards using a structured process to manage change (Table A1.5)
- attitude towards the need to flexibly manage change (Table A1.6)
- perceptions about the effectiveness of TDA change management tools (Table A1.7)
- the impact of change on motivation/morale (Table A1.8)

⁷ So that readers can understand the analysis that makes up each of these themes, a full explanation of regression analysis can be found in Section A2 and detailed explanations of the analysis used for each of the themes are provided in Section A3.

- the impact of change on quality (Table A1.9)
- resources as a barrier to the implementation of change (Table A1.10)
- non-teaching staff as a barrier to the implementation of change (Table A1.11)
- teaching staff as a barrier to the implementation of change (Table A1.12)
- parents and pupils as a barrier to the implementation of change (Table A1.13)
- confidence about being able to successfully sustain change (Table A1.14)
- resources as a barrier to sustaining change (Table A1.15)
- external stakeholders as a barrier to sustaining change (Table A1.16)
- the whole school community as a barrier to sustaining change (Table A1.17).

A2 An explanation of regression analysis

The basic analysis enables us to look at the responses overall and then broken down by key variables. However, the cross tabulations do not allow us to establish whether a relationship between two variables ceases to exist once other variables are taken into account. For example, it may appear that males had a more positive attitude towards change capacity, but if we controlled for age we may find that we no longer have a relationship between gender and capacity because actually what the data is showing us is that men at a particular end of the age range rate their capacity differently to those at different ages. The relationship therefore exists not between gender and capacity but between age and capacity. Regression is a technique that helps to address this problem by predicting the values of some measure of interest given the values of one or more related measures. In our case the regression analysis allowed us to build on the basic descriptive work by considering the effect of background variables on each of the factor scores (or outcomes) once other background variables had been controlled for.

Each of the factor analysis outcomes (previously listed) was used as an outcome in the regression analysis, so in total 15 regression models were run controlling for a number of staff- and school-level variables. A full list of background variables and the details of which questions fed into each of the factors is given in Table A1.1 (see next page).

Table A1.1 Regression variables

Predictor variables	Comparators
Primary school size	Larger compared to smaller
Secondary school size	Larger compared to smaller
Secondary schools	Primary schools
Boys school	Co-educational school
Girls school	
Grammar schools	Non-selective schools
% of pupils eligible for FSM	Higher compared to lower
% of pupils with SEN	Higher compared to lower
% of pupils with English as an additional language	Higher compared to lower
Metropolitan Authorities English Unitary Authorities London Boroughs	Counties
North Midlands	South
BME	White (all types)
SLT Support staff	Teachers
SLT Age bands 35-44 45-54 55 and over	Below 35
Teacher and Support staff age bands 30-39 40-49 50 and over	Below 30
Males	Female respondents
Less than 2 years in current workplace 2 to 3 years in current workplace 4 to 5 years in current workplace 6 to 10 years in current workplace	Over 10 years experience
No formal CMT Don't know about CMT	Have a formal CMT
KS2 performance and GCSE point scores - 2006 2nd lowest quintile achievement middle quintile achievement 2nd highest quintile achievement Highest quintile achievement	Lowest quintile achievement
Deprivation measures (measures % of households not deprived in any dimension)	Below & above average
VA of Primary schools	Higher compared to lower
CVA of Secondary schools	Higher compared to lower

Outcome factors	Higher compared to lower
School's score of consistency of inclusiveness	Higher compared to lower
TDA guidance/toolkits (at SLT level) Very effective/effective Unaware or too early to say	Not very effective/not at all effective

For each outcome the analysis looked at both the strength of relationships between various background variables and the outcome and the relative change in the outcome for a change in the background variable. In the regression analyses there are two types of values of interest - the Beta and B values (see Tables A1.2 to A1.17). B values indicate the change in the outcome for a change of one unit in the background variable. Therefore larger B values (both negative and positive) indicate the background variables that result in the greatest change in the outcome.

The B scores are then standardised, that is the variation around the variable is considered, and the resultant figures are called standardised coefficients or 'Beta' values. The Beta values show which predictors are most closely associated with the outcome. The Beta values can be interpreted in a similar way to the B values. The larger the Beta value (either positive or negative), the stronger the relationship is between the background variable and the outcome. In the findings presented below, each significant outcome factor has a comparator, for instance male compared to female. Table A1.1 provides a comprehensive list of outcomes and their comparators. For ease of presentation, the findings presented below do not repeat the comparators exhaustively, just the significant outcome.

A3 Regression findings

In this section we present the regression for each of the outcome factors previously listed. For each factor the following is presented:

- an explanation of the factor (researcher-defined theme)
- a tabular presentation of the findings
- a detailed summary of all the findings.

Confidence in organisation's capacity to deal with change

Factor analysis used responses of **all staff** to questions 2, 3 and 4 and respondents who disagreed with one statement in question 5: '*this institution is not well-equipped to deal with change*'. Bringing the responses together, factor analysis produced an overall 'organisational capacity to deal with change' score and regression analysis then explored whether there were relationships between a range of factors and this score (see Table A1.2, next page).

Table A1.2 Confidence in organisation's capacity to deal with change

Variables	Standardized coefficients Beta	Significance
Reported improved motivation/morale	0.34	0.00
Reported that they could successfully sustain change	0.23	0.00
SLTs	0.08	0.00
Size of secondary school	0.06	0.00
VA (primary schools) and CVA (secondary schools) score (KS2 to KS4)	0.03	0.01
SLTs aged 55 and over	0.03	0.03
Not supportive of usefulness of change	-0.07	0.00
Secondary school staff	-0.07	0.00
In current workplace for 4 - 5 years	-0.05	0.00
Not supportive of the need for change	-0.05	0.00
Supportive of a structured change management process	-0.04	0.00
Reported no CMT	-0.04	0.04

Regression analysis revealed that respondents who belonged to the following groups had a significantly higher confidence in their organisation's overall capacity to deal with change:

- those who thought that change had improved motivation/morale
- those who were confident that successful change could be sustained
- SLTs
- staff at larger secondary schools
- staff at secondary schools with a higher contextualised value-added (CVA) score and primaries with higher value-added (VA) scores
- SLTs aged 55 and over compared to younger SLTs.

Analysis also revealed that respondents who belonged to the following groups had a significantly lower confidence in their organisation's overall 'capacity' to deal with change:

- those who were less supportive of the usefulness of change
- staff from secondary schools
- staff who had been at their current workplace for 4-5 years
- staff who were less supportive of the need for change
- staff who were more supportive of a structured process for managing change
- staff who said their school did not have a change management team.

Attitudes towards the need for change

Factor analysis used responses from all staff to the following statements:

- ‘continuous change is not necessary’
- ‘change should be kept to a minimum’
- ‘we need less change and more consolidation’
- ‘most of the changes we have experienced have not been for the better’.

Bringing the responses together, factor analysis produced an overall ‘attitude towards the need for change’ score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.3 Attitudes towards the need for change

Variables	Standardized coefficients Beta	Significance
Not supportive of the usefulness of change	0.28	0.00
Teachers aged 50 and over	0.12	0.00
SLTs aged 55 and over	0.11	0.00
SLTs aged 45 - 54	0.09	0.00
Teachers aged 40 - 49	0.08	0.00
Supportive of a structured change management process	0.04	0.00
BME	0.03	0.01
Support staff aged 50 - 59	0.03	0.02
Teachers aged 30 - 39	0.03	0.02
Males	0.03	0.04
Reported improved motivation/morale	-0.28	0.00
Secondary school staff	-0.14	0.00
In current workplace for 2 years or less	-0.11	0.00
In current workplace for 2 - 3 years	-0.08	0.00
In current workplace for 4 - 5 years	-0.08	0.00
Organisation has strong change management capacity	-0.06	0.00
In current workplace for 6 - 10 years	-0.05	0.00
Support staff aged 30 - 39	-0.05	0.00
Size of primary school	-0.04	0.00

Regression analysis revealed that respondents who belonged to the following groups were significantly more supportive of the need for change:

- those who said change had improved motivation/morale
- staff from secondary schools
- those with 10 years and less in their current workplace (and overall it should be noted that the shorter time in post the more supportive staff are)

- those who were confident in their organisation's capacity to deal with change
- support staff aged 30 to 39 years of age
- staff from larger primary schools.

Analysis also revealed that respondents who belonged to the following groups were significantly more sceptical about (were less supportive of) the need for change:

- those who were less supportive of the usefulness of change
- all teachers aged 30 and over
- staff who said that they preferred a more structured process for the management of change
- black and minority ethnic staff (BME)
- support staff aged 50 and over
- men.

Attitudes towards the usefulness of change

Factor analysis used responses from all staff to the following statements:

- 'no one from outside can help us deal with change'
- 'if change is needed it will just happen'
- 'change is not going to solve problems'
- 'change tools provided by external organisation are not helpful'.

Bringing the responses together, factor analysis produced an overall 'usefulness of change' score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.4 Attitudes towards the usefulness of change

Variables	Standardized coefficients Beta	Significance
Not supportive of the need for change	0.32	0.00
Support staff	0.12	0.00
Staff from Grammar schools	0.04	0.01
Teachers aged 50 - 59	0.03	0.02
Percentage of pupils with SEN	0.03	0.04
Supportive of a structured change management process	-0.13	0.00
Organisation has strong change management capacity	-0.08	0.00
Staff from secondary schools	-0.07	0.00
Males	-0.04	0.02
Size of secondary school	-0.03	0.03

Regression analysis revealed that respondents who belonged to the following groups said, that they thought change was useful:

- those who were supportive of a structured change management process
- those who were confident in their organisation's change management capacity
- staff from secondary schools
- men
- staff from larger secondary schools.

Analysis also revealed that respondents who belonged to the following groups did not think that change was useful:

- those who were not supportive of the need for change
- support staff
- staff from grammar schools
- teaching staff aged 50 and over.

Attitudes towards using a structured process to manage change

Factor analysis used responses from all staff to the following statements:

- 'it is helpful to follow a clearly defined process when managing change'
- 'successful change requires clear direction and focus'
- 'change is best when a clearly defined process is followed'.

Bringing the responses together, factor analysis produced an overall ‘attitude towards the need for a structured process’ score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.5 Attitudes towards using a structured process to manage change

Variables	Standardized coefficients	Significance
	Beta	
Reported improved quality	0.11	0.00
Staff from secondary schools	0.08	0.00
Not supportive of the need for change	0.07	0.00
Percentage of pupils with EAL	0.06	0.00
BME	0.04	0.02
SLTs	-0.34	0.00
Not supportive of the usefulness of change	-0.16	0.00
Organisation has strong change management capacity	-0.06	0.00
Males	-0.05	0.00
Percentage of pupils with FSM	-0.04	0.02
Secondary schools’ CVA score and primary schools’ VA score (KS2 to KS4)	-0.03	0.03

Regression analysis revealed that respondents who belonged to the following groups were supportive of using a structured change management process:

- those who said that change had improved the overall ‘quality’ of their school
- staff from secondary schools
- those that were not supportive of the need for change
- staff from schools with higher proportions of pupils with English as an additional language (EAL)
- staff from BME groups.

Analysis also revealed that respondents who belonged to the following groups were significantly less supportive of a structured change management process:

- SLTs
- those who did not think change was useful
- those who were confident in their organisation’s change capacity
- men
- staff from schools with higher levels of pupil eligible for free school meals (FSM)

- staff from secondary schools with higher CVA scores and from primary schools with higher VA scores.

Attitudes towards the need to flexibly manage change

Analysis used the responses from **all staff** to one statement: *the approach to change should be adapted depending on the change being implemented*. Regression analysis then explored whether there were relationships between the responses to this statement and a range of factors.

TableA1.6 Attitudes towards the needs to flexibly manage change

Variables	Standardized coefficients Beta	Significance
Supportive of a structured change management process	0.23	0.00
In current workplace for 2 years or less	0.04	0.02
Males	0.03	0.04
Secondary schools' CVA score and primary schools' VA score (KS2 to KS4)	0.05	0.00
Support staff	-0.06	0.00
Percentage of pupils with SEN	-0.04	0.01

Regression analysis revealed that respondents who belonged to the following groups were supportive of a needs-based flexible approach to change:

- those staff who were supportive of a structured change management process
- staff from secondary schools with higher CVA scores and from primary schools with higher VA scores
- those staff with two years or less in their current workplace
- men.

Analysis also revealed that respondents who belonged to the following groups were not supportive of a needs-based flexible approach to change:

- support staff
- staff from schools with higher proportions of Special Educational Needs (SEN).

Perceptions about the effectiveness of TDA change management tools

The responses from **only SLT** staff about how effective they perceived TDA change management tools to be were used (question 25). Regression analysis then explored whether there were relationships between their responses and a range of factors.

Table A1.7 Perceptions about the effectiveness of TDA tools

Variables	Standardized coefficients	Significance
	Beta	
Reported that they could successfully sustain change	0.08	0.00
Supportive of a structured change management process	0.06	0.01
Organisation has strong change management capacity	0.06	0.04
Staff from schools in the midlands	0.05	0.03
Males	-0.10	0.00
No CMT	-0.08	0.00
SLTs aged 45 - 54	-0.08	0.00
Resources are barrier to implementing change	-0.07	0.01
SLTs aged 55 and over	-0.06	0.04
Staff from grammar schools	-0.05	0.04

Regression analysis revealed that SLTs who belonged to the following groups reported that the TDA change management tools were effective:

- those who were confident that change could be sustained
- those who were supportive of a structured change management process
- those who were confident in their organisation's capacity to deal with change
- staff from schools in the Midlands.

Also, regression analysis revealed that SLTs who belonged to the following groups reported that the TDA change management tools were not effective:

- men
- those who said resources were a barrier to the implementation of change
- those who said they did not have a CMT
- SLTs who were aged 45 and over
- those from grammar schools.

Perceptions about the impact of change on motivation/morale

Factor analysis used responses from **all staff** about what they thought had been the impact of change on the motivation/morale of SMT, teaching staff, support staff, governors, pupils and parents (and on staff retention). Bringing the responses together, factor analysis produced an overall ‘motivation/morale’ score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.8 Perceptions about the impact of change on motivation/morale

Variables	Standardized coefficients Beta	Significance
Reported improved quality	0.63	0.00
SLTs	0.19	0.00
Organisation has strong change management capacity	0.16	0.00
Reported that they could successfully sustain change	0.07	0.00
SLTs aged 55 and over	0.03	0.00
BME	0.03	0.00
Not supportive of the usefulness of change	0.03	0.00
Males	0.02	0.02
Not supportive of the need for change	-0.13	0.00
Staff from secondary schools	-0.07	0.00
Staff from grammar schools	-0.02	0.04

Regression analysis revealed that respondents who belonged to the following groups had reported that change had improved motivation/morale:

- those who reported that change had improved quality at their school
- those who were more confident in their organisation’s capacity to manage change
- those who were more confident about being able to sustain change
- SLTs
- staff who did not think that change was useful
- SLTs aged 55 and over
- BME staff
- men.

Analysis also revealed that respondents who belonged to the following groups did not think that change had improved motivation/morale:

- staff who were not supportive of the need for change
- staff in secondary schools
- staff in grammar schools.

Perceptions about the impact of change on school quality

Factor analysis used responses from **all staff** about what they thought had been the impact of a range of factors grouped under the theme ‘quality’: these were collaboration, school ethos, attainment, quality of teaching, school infrastructure and ECM outcomes. Bringing the responses together, factor analysis produced an overall ‘motivation/morale’ score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.9 Perceptions about the impact of change on school quality

Variables	Standardized coefficients Beta	Significance
Reported improved motivation/morale	0.68	0.00
Reported that they could successfully sustain change	0.20	0.00
Supportive of a structured change management process	0.04	0.00
In current workplace for 2 - 3 years	0.03	0.00
Staff from grammar schools	0.02	0.04
Staff from schools in metropolitan authorities	0.02	0.02
Not supportive of the usefulness of change	-0.03	0.00
SLTs aged 55 and over	-0.03	0.00
BME	-0.02	0.01
Staff from schools in English unitary authorities	-0.02	0.04

Regression analysis revealed that respondents who belonged to the following groups had reported that change had improved quality:

- those who reported that ‘motivation/morale’ had improved at their school
- those who were confident that change could be sustained
- those who were supportive of a structured process for managing change
- staff who had been in their current work place for 2 to 3 years experience
- staff from grammar schools
- staff from schools in metropolitan authorities.

Regression analysis revealed that respondents who belonged to the following groups did not think that change had improved quality:

- those who did not think change was useful
- BME groups
- staff from schools in unitary authorities.

Barriers to the implementation of change - resources

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme ‘resources’. These included:

- lack of time to plan effectively
- fear of overburdening staff
- lack of rationale for change
- too many initiatives
- lack of funding.

Bringing the responses together, factor analysis produced an overall ‘resources’ barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.10 Barriers to the implementation of change - resources

Variables	Standardized coefficients Beta	Significance
Resources are barrier to sustaining change	0.80	0.00
Not supportive of the need for change	0.08	0.00
Non-teaching stakeholders are a barrier to implementing change	0.16	0.00
Males	0.04	0.01
Staff from girls’ schools	0.03	0.03
External stakeholders are a barrier to sustaining change	-0.13	0.00
Staff from boys’ schools	-0.03	0.03

Regression analysis revealed that respondents who belonged to the following groups reported that resources were a barrier:

- those who said resources were a barrier to sustaining change
- those who said non-teaching stakeholders were a barrier to implementing change
- those who were not supportive of the need for change
- staff from girls’ schools.

Analysis also revealed that respondents who belonged to the following groups reported that resources were not a barrier:

- those who were confident that they could sustain successful change
- staff from boys' schools.

Barriers to the implementation of change – non-teaching stakeholders

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme 'non-teaching stakeholders'. These stakeholders were:

- school governors
- local authority non-school staff
- professional association staff
- partner institutions
- change consultants/regional advisors.

Bringing the responses together, factor analysis produced an overall 'non-teaching stakeholder' barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.11 Barriers to the implementation of change – non-teaching stakeholders

Variables	Standardized coefficients Beta	Significance
External stakeholders are a barrier to sustaining change	0.73	0.00
Resources are a barrier to implementing change	0.19	0.00
School staff are a barrier to implementing change	0.17	0.00
Parents and pupils are a barrier to implementing change	0.13	0.00
Staff from schools in the Midlands	0.03	0.04
Resources are a barrier to sustaining change	-0.17	0.00
Whole school community is a barrier to sustaining change	-0.10	0.00
Reported improved quality	-0.05	0.00
Percentage of pupils with SEN	-0.03	0.03

Regression analysis revealed that respondents who belonged to the following groups reported that non-teaching stakeholders were a barrier:

- those who said that external stakeholders were a barrier to successfully sustaining change
- those who said resources were barrier to implementing change
- those who said school staff were a barrier to implementing change
- those who said that parents and pupils were a barrier to implementing change
- staff from schools in the Midlands.

Analysis revealed that respondents who belonged to the following groups reported that these stakeholders were not a barrier:

- those who said resources were a barrier to successfully sustaining change
- those who said the whole school community was a barrier to successfully sustaining change
- those who said that change had improved the quality of their school
- staff from schools with higher proportions of pupils with SEN.

Barriers to the implementation of change – school staff

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme ‘school staff’. These included:

- SMT
- teaching staff
- support staff.

Bringing the responses together, factor analysis produced an overall ‘school staff’ barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.12 Barriers to the implementation of change – school staff

Variables	Standardized coefficients Beta	Significance
Whole school is a barrier to sustaining change	0.57	0.00
Non-teaching stakeholders are a barrier to implementing change	0.27	0.00
Staff from secondary schools	0.09	0.00
External stakeholders are a barrier to sustaining change	-0.29	0.00
Organisation has strong change management capacity	-0.18	0.00
Staff from schools in the Midlands	-0.05	0.01
In current workplace for 6 - 10 years	-0.04	0.02

Regression analysis revealed that respondents who belonged to the following groups reported that school staff were a barrier:

- those who said that the whole school community was a barrier to sustaining change
- those who said non-teaching stakeholders were a barrier to the implementation of change
- staff from secondary schools.

Analysis also revealed that respondents who belonged to the following groups reported that school staff were not a barrier:

- those who were confident in their organisation's change management capacity
- those who said that external stakeholders were a barrier to sustaining successful development
- staff from schools in the Midlands
- those who had been in the current place of work for 6 to 10 years.

Barriers to the implementation of change – parents and pupils

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme 'parents and pupils'. Bringing the responses together, factor analysis produced an overall 'parents and pupils' barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.13 Barriers to the implementation of change – parents and pupils

Variables	Standardized coefficients Beta	Significance
Whole school is a barrier to sustaining change	0.52	0.00
Non-teaching stakeholders are a barrier to implementing change	0.23	0.00
Percentage of pupils with FSM	0.09	0.00
Staff from schools in English unitary authorities	0.05	0.01
External stakeholders are a barrier to sustaining change	-0.13	0.00
Staff from schools in metropolitan authorities	-0.06	0.01
VA score (KS1 to KS2)	-0.04	0.04

Regression analysis revealed that respondents who belonged to the following groups reported that parents and pupils were a barrier:

- those who said that the whole school community was a barrier to sustaining change
- those who said non-teaching stakeholders were a barrier to the implementation of change
- staff from schools with higher proportions of pupils with FSM entitlement
- staff from schools in unitary authorities.

Analysis also revealed that respondents who belonged to the following groups reported that parents and pupils were not a barrier:

- those who said that external stakeholders were a barrier to sustaining successful development
- staff from schools in the metropolitan authorities
- those staff from primary schools with higher VA scores.

Confidence in being able to sustain change

Factor analysis used responses from **all staff** about how confident they were that change could be sustained in relation to each of the four change drivers. Bringing the responses together, factor analysis produced an overall ‘sustainability of change’ score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.14 Confidence in being able to sustain change

Variables	Standardized coefficients Beta	Significance
Reported improved quality	0.33	0.00
Organisation has strong change management capacity	0.21	0.00
Reported improved motivation/morale	0.14	0.00
Size of primary schools	0.05	0.00
VA score (KS1 to KS2)	0.05	0.00
Staff from secondary schools	0.05	0.00
Consistency of inclusiveness	0.04	0.00
Secondary schools' CVA score and primary schools' VA scores (KS2 to KS4)	0.03	0.03
Percentage of pupils with FSM	0.03	0.04
In current workplace for less than 2 years experience	-0.09	0.00
In current workplace for 2 - 3 years	-0.05	0.00
In current workplace for 4 - 5 years	-0.05	0.00
No CMT	-0.05	0.00
SLTs aged 35 – 44	-0.03	0.02
Males	-0.03	0.04

Analysis revealed that respondents who belonged to the following groups were more confident that change could be sustained:

- those who reported that 'quality' had improved at their school
- those who were confident in their organisation's capacity to manage change
- those who reported that 'motivation/morale' had improved at their school
- staff in larger primary schools
- staff from primary schools with higher VA scores
- staff from secondary schools
- staff from schools with higher proportions of pupils eligible for FSM
- those who were from schools with a higher consistency of inclusiveness.

Analysis also revealed that respondents who belonged to the following groups were less confident that change could be sustained:

- staff who had five years or less in their current workplace
- staff who said their school did not have a change management team

- SLTs aged 35 - 44
- men.

Barriers to successfully sustaining change – resources

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme ‘resources’. These included:

- lack of time to plan effectively
- fear of overburdening staff
- lack of rationale for change
- too many initiatives
- lack of funding.

Table A1.15 Barriers to successfully sustaining change – resources

Variables	Standardized coefficients	Significance
	Beta	
Resources are a barrier to implementing change	0.79	0.00
External stakeholders are a barrier to sustaining change	0.19	0.00
Whole school community is a barrier to sustaining change	0.05	0.00
Supportive of the need to flexibly manage change	0.04	0.00
Not supportive of the need for change	0.03	0.02
Non-teaching stakeholders are a barrier to implementing change	-0.14	0.00
In current workplace for 4-5 years	-0.03	0.02

Bringing the responses together, factor analysis produced an overall ‘resources’ barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Regression analysis revealed that respondents who belonged to the following groups reported that resources were a barrier to sustaining change:

- those who said resources were a barrier to implementing change
- those who said that external stakeholders were a barrier to sustaining change
- those who said the whole school community was a barrier to sustaining change
- those who were supportive of a flexible approach to change management
- those who were not supportive of the need for change.

Analysis also revealed that respondents who belonged to the following groups reported that resources were not a barrier:

- those who said that non-teaching stakeholders were a barrier to implementing change
- those staff who had been at their current place of work for 4 to 5 years.

Barriers to successfully sustaining change – whole school community

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme ‘whole school community’. These included:

- SMT
- teaching staff
- support staff
- governors
- parents
- pupils.

Bringing the responses together, factor analysis produced an overall ‘whole school community’ barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.16 Barriers to successfully sustaining change – whole school community

Variables	Standardized coefficients	Significance
	Beta	
External stakeholders are a barrier to sustaining change	0.41	0.00
School staff are a barrier to implementing change	0.40	0.00
Parents and pupils are a barrier to implementing change	0.33	0.00
SLTs aged 35 - 44	0.04	0.02
Supportive of the need to flexibly manage change	0.03	0.03
Non-teaching stakeholders are a barrier to implementing change	-0.13	0.00
Reported confident that change was sustainable	-0.07	0.00
Reported improvement in motivation/morale	-0.06	0.00
Not supportive of the need for change	-0.04	0.03

Regression analysis revealed that respondents who belonged to the following groups reported that the whole school community was a barrier:

- those who said external stakeholders were a barrier to successfully sustaining change
- those who said that school staff were a barrier to implementing change
- those who said parents and pupils were a barrier to implementing change
- SLTs aged 35 to 44
- those who said they supported the need for a flexible approach to managing change.

Analysis also revealed that respondents who belonged to the following groups reported that the whole school community was not a barrier:

- those who said that non-teaching stakeholders were a barrier to implementing change
- those who were confident that change was sustainable
- those who said that change had improved motivation/morale
- those who were not supportive of the need for change.

Barriers to successfully sustaining change – external stakeholders

Factor analysis used responses from **SLTs only** about barriers that they identified, grouped under the theme ‘external stakeholders’. These stakeholders were:

- local authority non-school staff
- professional association staff
- staff from partner institutions
- change consultants/regional advisors.

Bringing the responses together, factor analysis produced an overall ‘external stakeholders’ barrier score and regression analysis then explored whether there were relationships between a range of factors and this score.

Table A1.17 Barriers to successfully sustaining change – external stakeholders

Variables	Standardized coefficients Beta	Significance
Non-teaching stakeholders are a barrier to implementing change	0.67	0.00
Whole school community is a barrier to sustaining change	0.34	0.00
Resources are a barrier to sustaining change	0.21	0.00
Reported improvement in motivation/morale	0.03	0.03
School staff are a barrier to implementing change	-0.17	0.00
Resources are a barrier to implementing change	-0.11	0.00
Parents and pupils are a barrier to implementing change	-0.07	0.00

Regression analysis revealed that respondents who belonged to the following groups reported that external stakeholders were a barrier:

- those who said that non-teaching staff were a barrier to implementing change
- those who said the whole school community was a barrier to successfully sustaining change
- those who said resources were a barrier to successfully sustaining change
- those who said change had improved motivation/morale.

Analysis also revealed that respondents who belonged to the following groups reported that external stakeholders were not a barrier:

- those who said that school staff were a barrier to implementing change
- those who said resources were a barrier to implementing change
- those who said parents and pupils were a barrier to implementing change.

Appendix B Sample profile

Characteristics of the school leadership team (SLT) respondents

Which of the following best describes your current job role?	%
Head of department, subject, year or key stage	15
Assistant Head	21
Deputy Head	24
Headteacher	33
No response	7
Length of time at current workplace	
Less than 2 years	14
2 to 3 years	11
4 to 5 years	15
6 to 10 years	23
over 10 years	35
No response	2
Gender	
Male	37
Female	61
No response	2
Age	
Below 35	11
35-44	25
45-54	41
55 and over	22
No response	2
Ethnicity	
Bangladeshi	<1
Black African	<1
Black Caribbean	<1
Black Other	<1
Chinese	<1
Indian	<1
Pakistani	<1
White British	79
White Irish	2
White European	14
White other	2
White and Black Caribbean	<1
White and Black African	<1

White and Asian	<1
Other	<1
No response	1
Do you consider yourself disabled?	
Yes	1
No	94
No response	5
<hr/>	
N = 1,537	

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 1537 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008

Characteristics of staff respondents

Which of the following best describes your current job role?	%
Class or subject teacher	24
Class teacher with special curricular or non-curricular responsibilities	35
Learning Support Assistant	9
Higher Level Teaching Assistant	10
Teaching Assistant	13
No response	8
Length of time at current workplace	
Less than 2 years	18
2 to 3 years	15
4 to 5 years	19
6 to 10 years	24
over 10 years	23
No response	1
Gender	
Male	17
Female	79
No response	4
Age	
Below 30	19
30-39	24
40-49	30
50 and over	24
No response	3
Ethnicity	
Bangladeshi	<1
Black African	<1
Black Caribbean	<1
Black Other	<1
Chinese	<1

Indian	1
Pakistani	<1
White British	78
White Irish	1
White European	12
White other	3
White and Black Caribbean	<1
White and Black African	<1
White and Asian	<1
Other	1
No response	1
Do you consider yourself disabled?	
Yes	1
No	92
No response	8

N = 2,568

A series of single response items

Due to rounding, percentages may not always sum to 100

A total of 2,568 respondents answered at least one item in this question

Source: NFER change engagement school survey 2008