Leadership of Academy Schools in England: Sponsors and the Realisation of the Ethos and Vision

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Abstract

This study involved exploring the leadership of sponsored academy schools, in particular sponsorship and the realisation of the ethos and vision. The research focused on: the motivations of sponsors; the roles of sponsors and academy principals and how the ethos and vision have been realised in their academies.

This is a nested case study of five nests of differing sponsored academy types. It is a qualitative study which adopted a nested case study methodology and the semi-structured interview as a method. Nineteen key actors were interviewed from ten academies including sponsor representatives and principals.

The findings show that there were a range of motivational factors for the motivations of sponsors. These varied from the holding of deep philosophical beliefs on the nature of education, to a philanthropic 'giving back to the community' and, for international sponsors, the status from joining the state education in England. The roles of academy sponsors and relationships with principals varied across the sample. Some sponsors have greater day to day involvement than others, they were more prescriptive in their relationship with the academy principal. There appears to be a relationship continuum for the principal and academy sponsor which varies from autocratic to laissez faire. The final research question explored how the leadership of academies has sought to realise their ethos and vision. The emergent themes of leadership, branding, buildings (BSF), educational values, sponsor vision and high aspirations were evident in all nests.

The data suggests an academy journey from initial vision creation to realisation with similar paths across all nests. A diagrammatic model of this journey is suggested in the analysis and

discussion of the data. The journey across cases has similar lines with key moments of sponsor vision, principal appointment, principal induction and a period of the principal acting as a conduit of the sponsor.

The leadership of sponsored academy schools and the realisation of the ethos and vision is more complex than that of maintained schools with the additional agency of sponsorship.

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List of Abbreviations

AAA	Anti-Academies Alliance
AET	Academies Enterprise Trust
ARK	Absolute Return for Kids
ASCL	Association of School and College Leaders
BEI	British Education Index
BELMAS	British Educational Leadership, Management and Administration Society
BERA	British Educational Research Association
BSF	Building Schools for the Future
CPD	Continuing Professional Development
CTC	City Technology College
DCSF	Department for Children, Schools and Families (2007 - 2010)
DfE	Department for Education (1992 – 1995 and 2010 - present)
DfES	Department for Education and Skills (2001 – 2007)
Ebacc	English Baccalaureate
ECSWE	European Council for Steiner Waldorf Education.
EoI	Expression of Interest
ERIC	Educational Resource Information Center
ESF	Emmanuel Schools Foundation
ESI	Education Services Industry
GCSE	General Certificate of Secondary Education
ISSP	Independent State School Partnerships

LA	Local Authority
LEA	Local Education Authority
NC	National College
NCSL	National College of School Leadership
OCL	Oasis Community Learning
Ofsted	Office for Standards in Education, Children's Services and Skills
PwC	PricewaterhouseCoopers
RSA	Royal Society for the encouragement of Arts, Manufactures and Commerce
SLT	Senior Leadership Team
TES	Times Educational Supplement
TUC	Trades Union Congress
UCST	United Church Schools Trust
UK	United Kingdom
ULT	United Learning Trust

Chapter One: Introduction

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1.1 Introduction

Poor quality educational leadership is to blame for poor pupil results in schools according to Ed Balls, the then Schools Minister (Frean, 2009). Balls believes that schools ought not to blame other factors such as poverty. This view is corroborated by the National College for School Leadership, citing research that indicates headteacher leadership is so significant evidence supports the first of seven strong claims that, "school leadership is second only to classroom teaching as an influence on classroom learning" (Leithwood, Day, Sammonds, Harris and Hopkins, 2006a p.4).

Sponsored academy schools in England are independent state-funded schools that are a controversial element of the post 1997 Labour and subsequent governments. They have often been created in inner city areas where there is low achievement and often replace existing schools. Academies are "established and managed by sponsors from a wide range of backgrounds" (PricewaterhouseCoopers, 2008 p.22 (PwC)).

The educational landscape in England has changed significantly during the period of this research project. It focuses on one type of school, academy schools. When the initial work began in early 2010 there were few academy schools, in the region of 200, there were all sponsored academies and only occupied the secondary sector. The last four years has seen converter academies occur in addition to sponsored academies and the creation of other types of schools such as Free Schools and University Technical Colleges. Academies also now exist across all age sectors. The first academy opened in 2002, the initial vision was for 400 academies, in February 2014 there were 3,657 (Department for Education, 2014) open academies. Sponsored academies are however still a minority, 1,014 (Department for Education, 2014) and the research in this thesis has contemporary relevance; the leadership of

academies, in particular the role of sponsors and the realisation of the ethos and vision, are important in the life chances for youngsters who attend them. In this thesis all references to 'academies' are referring to sponsored academies.

There is mixed information on leadership of academies. PwC (2008) cite Office of Standards in Education, Children's Services and Skills (Ofsted) inspections to conclude that leadership is generally good however, there is a paradox in the Report whereby it also points out that "leadership...was the most frequent 'worst academy feature' identified by staff" (PricewaterhouseCoopers, 2008 p.125) and that "there is a high turn-over of principals in several of the early academies." (PricewaterhouseCoopers, 2008 p.125). No discussion is held on these seemingly incongruent findings. Publicity is not always favourable, one newspaper article pointing out that the biggest sponsor loses over half its principals in under two years (Marley, 2009).

There has been a change in the Academies Programme from the Conservative-Liberal Coalition Government with the Academies Act 2010 (Academies Act, 2010). In this Act all schools rated as Outstanding by Ofsted could apply to become an academy, including primary schools. Academies, originally, were typically those that were rated as Inadequate by Ofsted; this is a significant change.

Leadership of academies is also of interest in that they are "expected to have innovative leadership structures to help them drive up standards" (National College, 2009a p.5). There is an increasing range of models (Bush, 2011) of school leadership from Transformational (Leithwood and Jantzi, 2009) to Distributed (Harris, 2010) to System Leadership (Hopkins, 2007) and those that are learning centred (Southworth, 2009), each having their strengths, weaknesses and potential for the future of leadership. Academies are often referred to being

at the forefront of different models of leadership (Davies and Macaulay, 2006; Hill, 2010; Leo et al, 2010).

1.2 Focus of Thesis

There is a need for research into leadership of academies. The role of sponsors and the leadership of academies are two areas suggested that further research is required (Woods and Woods, 2009). Some research is compliant in that it does not critically analyse the leadership role of sponsors (Hill, 2010; Leo, Galloway and Hearne, 2010; National College, 2011). Sponsored academies are unusual in state education in that they have a sponsor and some have different leadership models from the traditional one (National College, 2011; Hill, 2010). This thesis aims to investigate leadership in academies, in particular the motivations of sponsors, the roles of the sponsor and principal within the leadership model they create and how they realise their ethos and vision.

The Research Questions are

1. What motivates Academy Sponsors?
2. What are the leadership roles of the Sponsor and the Principal in an Academy?
3. How are the Ethos and Vision realised in Academies?

The first research question seeks to gain information about motivation of sponsors, there is little in the literature on this issue; given a rising amount of sponsors and their power it is an important question to answer. There is a typology of sponsors that will be discussed in the literature review (PricewaterhouseCoopers, 2008). Some sponsors sponsor more than one academy, the largest Academies Enterprise Trust (AET), as of March 2013, sponsors 54 academies. Is there a different motivation depending upon the type of sponsor or are there

generic reasons? The original academies required a £2 million endowment, is sponsorship motivation different for these sponsors?

The second question investigates the leadership roles of the academy principal and sponsor. It is clear that the sponsor in an academy has considerable power (Curtis, Exley, Sasia, Tough and Whitty, 2008), it is more than governance in a maintained school. They can affect the curriculum and the ethos and vision of the academy (PricewaterhouseCoopers, 2008; Pike 2009). It will be interesting to explore the roles of the sponsor and the academy principal, some of these sponsor roles are traditionally headteacher roles in schools in England. The sponsor sets the ethos and vision for the academy (PricewaterhouseCoopers, 2008), this is a leadership role (Bush and Glover, 2003). It will be of interest to discover how the ethos and vision for the new academy have been generated and then realised; this is the third research question.

These questions are important as there is limited research in this field, primarily due to academies being recent institutions. It is important to me as I serve as part of a senior team in a maintained school that will close and be replaced by an academy.

1.3 Antecedents of the Study

Academies are recent institutions and therefore there is not a large base of research to draw upon. Some of the writing is polemic (Beckett, 2007; Titcombe, 2008; Chitty, 2009) as academies are seen as a political issue. The very titles of these indicate the authors' stance: The Great City Academy Fraud; How Academies Threaten the Comprehensive Curriculum and The Privatisation of Education respectively. However, it is an emerging field with one journal devoting a special issue to the topic (Management in Education Vol 23 issue 3). The major academic works on academy schools are the longitudinal study that generated the PwC

Annual Reports (PricewaterhouseCoopers, 2008), The Sutton Trust Report (Curtis, et al., 2008), and work that addresses academies in the context of educational reform (Leo et al., 2010; National College, 2011). In addition to this there has been several pieces published by the The National College that are highly relevant (National College, 2011; Macaulay, 2008; Hill, 2010). Macaulay's work is specifically about leadership of academies, in particular the leadership skills of academy principals and was developed from an earlier work (Davies and Macaulay, 2006). Leo et al. (2010) is a significant study in its scope, addressing a host of issues on academies and their effect on school leadership. The other works are commissioned Reports reflecting on a host of academy issues including leadership and sponsors. One difficulty researchers have is access to academies. Macaulay's premise is that academy principals' work is in a large spotlight, often with unfavourable publicity. It is for her, working 'Under the Microscope: Leading in a climate of close public scrutiny'. Many academy principals and sponsors may well be reticent to take part in academic research on their institution.

School leadership research is well documented. There are a wide variety of writings here from Reports such as PwC Independent Study into School Leadership (PricewaterhouseCoopers, 2007b) and Leithwood's et al.'s (2006a) summary to the work of individuals such as Fullan (Fullan, 1992; 1993; 1999; 2001; 2003). This thesis is particular concerned with one aspect of school leadership, the creation and realisation of vision and ethos. It is documented that these are aspects of leadership (Bell and Harrison, 1995; McLaughlin, 2005; Bush, 2003; McKinsey and Co, 2010) but the term 'ethos' is difficult to define and is often interchanged with culture and climate (Glover and Coleman, 2005).

1.4 The Context

The exploration of the context of leadership of academy schools is undertaken in three sections; the origin and rationale of academies, school leadership and ethos and vision.

1.4.1 Academy Schools in England: Origin and Rationale

Sponsored academies are state funded independent schools established by a variety of sponsors. They differ from maintained schools significantly in that they are outside of the Local Authority (LA) control and do not have the same constraints such as the National Curriculum in full as do maintained schools and have greater control over their finances. Generally, they "replace existing schools facing problems of low achievement" (PricewaterhouseCoopers, 2007a p.1). The belief is that academies could enjoy the same freedoms that Independent Schools enjoy; to run their own school away from the restrictions of local bureaucracy. The two main objectives of the Academies Programme were:

- Challenging the culture of educational under-attainment and delivering real improvements in standards to academies and their local family of schools and

- Increasing choice and diversity by creating a new type of local school that provides a good standard of education. (PricewaterhouseCoopers, 2007a p.1).

There is a debate about the relative success of academies against these objectives. Gorard (2005; 2009) argues that they have not delivered real improvements but rather the proportion of socially deprived students on roll has changed. The PwC Report however indicate that attainment in academies is improving at a faster rate than in comparable schools (PricewaterhouseCoopers, 2007a). MPs on the public accounts committee warned that rising standards may be due to academies having more money, new improved buildings and "some

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of the best headteachers in the country" and that this may not last when the excitement in each school wears off (Curtis and Lipset, 2007). This thesis is not investigating the success of academies against these objectives, but rather how leadership occurs within them. It is not an evaluation.

The Academies Programme began in 2000 but its roots are earlier. The City Technology Colleges (CTCs) in the 1980's were instigated by the Conservative government of Margaret Thatcher. They had private sponsors and many have subsequently become academies. There is a political irony here as New Labour has taken one of the most controversial Thatcher education policies and enlarged it. Teaching unions are generally opposed to academies perceiving them as undemocratic and not under the control of a locally-elected council.

The existence of private entrepreneurs as sponsors is controversial. Many have little or no experience of running schools. Originally sponsors were required to provide 10% of the capital costs (or £2 million which ever was the lower). This has subsequently changed to the extent whereby no capital is now required. This was to ensure LAs and universities could sponsor. Religious groups were particularly prominent in academy sponsorship initially. Large sponsor groups such as the United Learning Trust (ULT) and Oasis Community Learning were founded by Christian Churches; some of the entrepreneurs who sponsor academies also have strong Christian beliefs for example Sir Peter Vardy with his Emmanuel Foundation and Bob Edmiston with his Grace Academies.

Academies are non-homogeneous; there is a typology of sponsors. Sponsorship can be classified into philanthropic sponsorship, high achieving school sponsorship, multiple academy sponsorship and group sponsorship (PricewaterhouseCoopers, 2008). It would be

useful to know the motivations of sponsors; are there common themes across different types of sponsors?

Academies are different then, in terms of governance and leadership, from other state schools. For Curtis (2009) they remain "unique among English secondary schools" due to their "independence from the LA and the related power of the sponsor" (Curtis, 2009 p.116). This in itself is a reason to research further.

1.4.2 School Leadership

There are a variety of definitions of school leadership and Yukl (2002) believes that for leadership the "definition is arbitrary and very subjective. Some definitions are more useful than others, but there is no 'correct' definition" (Yukl, 2002 p.4). Bush and Glover (2003) however, define leadership as

> "...a process of influence leading to the achievement of desired purposes. Successful leaders develop a vision for their schools based on their personal and professional values. They articulate this vision at every opportunity and influence their staff and other stakeholders to share the vision. The philosophy, structures and activities of the school are geared towards the achievement of this shared vision" (Bush and Glover, 2003 p.5).

The key words of this definition are vision and influence. Effective leaders have a vision and have influence over others. In most maintained schools the key leader would be the headteacher, although a governing body have a legal responsibility for the school it does not directly shape the vision of the school. This may be different in an academy whereby the *Expression of Interest* (EoI) contains the "ethos and vision" of the new academy and is created before the academy is formed. It is the product of the sponsor and, by definition, the academy will not have a principal at this point. The principal could not have formed the

vision; there appears to be leadership elements to sponsorship. Part of this research is to investigate the leadership roles of the principal and the sponsor.

The Bush and Glover definition of leadership is similar to those conceptualized by others (Davies and Davies, 2004; Earley and Weindling, 2004; Leithwood et al., 2006b; Southworth, 2009) but differs to ones offered by others such as Gunter (Gunter, 2001; 2005; 2012). For Gunter leadership is about "knowledge production: who does it, what they do, how they do it and why they do it?" (Gunter 2001 p.5). Educational leadership "is not just the must of delivering efficient and effective organisations, but is also about challenging the power structures and cultures that are inherited and can act as barriers to democratic development" (Gunter, 2005 p.181). The notion of power is significant and definitions such as Bush and Glover's, for Gunter, place the emphasis on the leader as the "repository of effectiveness" (Gunter, 2012 p.50) and ignore the concept of leadership as a power process. The conceptualization of leadership in this thesis follows that offered by Bush and Glover.

1.4.3 Ethos and Vision

According to Leithwood et al. (2006b), "Recent syntheses of evidence collected in both school and non-school contexts provide considerable evidence about four sets of leadership qualities and practices in different contexts that accomplish this goal" (Leithwood et al., 2006b p.6) [of successful leadership]. The first of these four is 'building vision and setting goals'. This is about establishing a shared purpose as a "basic stimulant for one's work" and it "carries the bulk of the effort to motivate leaders' colleagues" (Leithwood et al., 2006b p.6). Vision is an essential component of leadership in effective schools. For Fullan (1995) "Vision–building ...permeates the organisation with values, purpose and integrity for both the

what and how of improvement" (Fullan, 1995 p.81) whilst Stoll (1994) found that "more effective growth planning occurred in schools where the principal had a clear vision for a better future for the school that was not imposed on staff but filtered through by a process of engagement and discussion of beliefs and values such that it became a shared vision" (Stoll, 1994 p.133). It has also been found that high performing teams have a number of key characteristics, shared vision being one (Woodcock, 1979). As Brockley and Moorcoft (1999) so succinctly put it, "If you don't know where you are going, you will probably end up somewhere else" (Brockley and Moorcroft, 1999 p.15). More work also points to the importance of vision in leadership (McKinsey and Co, 2010). It is of interest here to note that Hoyle and Wallace (2005) state, "we are not aware of knowledge-for-understanding research into vision-building in UK schools" (Hoyle and Wallace, 2005 p.139). This thesis may contribute to that knowledge base.

Sponsors of academies are required to set the ethos and vision of the academy. Ethos is a "nebulous term" used "to describe the distinctive range of values and beliefs, which define the philosophy or atmosphere of an organisation" (Donnelly, 2000 p.134). Donnelly continues, "in spite of considerable academic debate stressing the centrality of ethos to our understanding of social and organisational life, however, there have been relatively few conceptualisations or theoretical discussions of it" (Donnelly, 2000 p.134). Solvason (2005) decided that when she began her investigation on 'ethos' it became clear to her that she was actually investigating 'culture'. In an international literature review Glover and Coleman (2005) concluded that the terms, 'Ethos', 'Climate' and 'Culture' are generally used interchangeably in the academic literature. The definition used here will be the one postulated by McLaughlin (2005) as 'the prevalent or characteristic tone, spirit or sentiment informing an identifiable entity involving human life and interaction' (McLaughlin, 2005 p.311).

1.5 Design

In order to answer the research questions, the methodology was a Nested Case Study (Thomas, 2009). Semi-structured interviews with sponsors and principals gained data in order to address the research questions. A more thorough exploration of the design is undertaken in Chapter 3.

The interviews were paired, were possible, within an academy: a sponsor's representative and a principal. This allowed a more diverse picture to emerge from different perspectives, creating thick descriptions. The data gained is not generalizable to other schools and academies as a whole as they are non-homogenous.

There is an issue surrounding the reliability of interviews, interviewees may not say the truth. In the context of this research interviewees may give answers that are the agreed school policy rather than the truth. Semi-structured interviews, of approx. an hour, gave the opportunity for the researcher to ask deeper searching questions and, by interviewing a representative from a range of academies, gave the opportunity to search for similar patterns in answers.

1.6 Ethics

There are some significant ethical issues within this research. Cohen, Manion and Morrison (2007) suggest three main areas of ethical issues surrounding interviews: informed consent; confidentially and the consequence of interviews (Cohen et al., 2007 p.382). The introduction stated that academies are controversial and we know from Macaulay's work (Macaulay, 2008) that principals feel they are leading in a world of public scrutiny, under the microscope as she refers to it. I was acutely aware that interviews must be sensitive to their concerns. There is also my own position, being employed by an academy, and a need to be sensitive to the employer's sensitivity to anything written. My own position, as a senior leader in an academy,

was part of the justification and motivation for the study. The search for this information was, in part, motivated by a professional desire to improve my own knowledge of colleagues work in other academies.

The British Educational Research Association guidelines on research ethics (BERA, 2004; 2011) have been followed, all participants signed a consent form (Appendix 1) which informs them of their right to withdraw.

This research was scrutinised by the University of Birmingham Ethics Committee who have endorsed it. There is a further exploration of the ethical issues involved in this work in Chapter 3.

1.7 Thesis Structure

Academies are unique; their governance and leadership is different to maintained schools (PwC, 2008). The number of academies is growing and there is a small but growing research base on them. If leadership in schools is as significant as Leithwood *et al.* (2006a) suggests then it is essential that there is research into academy leadership; there is little research into their leadership.

This opening chapter has been an introduction to leadership of academy schools: sponsors and the realisation of the ethos and vision. The rest of this thesis is divided into chapters. In Chapter 2 I explore the literature on the subject whilst Chapter 3 discusses the research design. Chapter 4 is a presentation of the empirical evidence; it is the interviewee's voice. This empirical evidence is placed in the context of the literature and emergent themes are discussed in Chapter 5. Finally, Chapter 6 concludes the study offering recommendations and areas for further study.

Chapter 2: Literature Review

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2.1 Introduction

> "This **controversial** and **compelling** book exposes the government's city academies project: the ways in which companies and **rich** individuals have been persuaded to sponsor academies, their real reasons for sponsoring them, the **lies** that have been told in support of the academies project, and the **disastrous** effect it will have on Britain's schools...a picture of a **deeply flawed** idea, which is educationally **destructive** and inherently **corrupt"** (Beckett, 2007) cover blurb. [His emphasis]

The above quote, from campaigning journalist Francis Beckett, typifies the coverage that academy schools have gained in both popular and quality press over the last decade. Academies are displayed as privatisation of the state system, removal of local control, corrupt.

The focus and purpose of the discussion are to examine leadership, particularly aspects of vision and ethos in the context of academy schools and is arranged thematically. This Literature Review is arranged in four distinct sections, although there is overlap within them. First of all an explanation of academy schools which is followed by an insight into sponsors and sponsorship. A third theme is that of educational leadership and finally an examination of the literature on school vision, ethos and culture is undertaken. The discourse around academies is relevant to the discussion of academies as their leadership operates within this context, as Macaulay (2008) puts it, leadership under the microscope. Academy leadership does not operate in a policy vacuum. This requires a range of sources, including policy documents and press reports in addition to academic work in order to gain a more extensive picture of each theme.

For an understanding of the leadership of academy schools it is essential to appreciate an explanation of the background to them, how they arose and their context. This involves the development from City Technical Colleges (CTCs) in the 1980's and US Charter Schools in the 1990's. This theme will explore the concern over them, particularly from the political left

and how academies have changed over the decade since their creation. Ball (2007) puts them in the context of a large scale privatisation of education, Hatcher (2006) refers to them being agents in the re-agenting of education.

A strong aspect of this thesis is sponsorship of academy schools. The concept of sponsorship is placed in a historical perspective; this is rarely undertaken in the literature. In the longer term philanthropic sponsors and the Churches have always sponsored schools prior to 1870 and State provision. Although academy sponsorship is different to say Shaftesbury and The Ragged Schools or the Carnegie foundation nonetheless this view does temper some concerns expressed by writers such as Beckett (2007). The review will continue to explore the typology of sponsors and the phenomenon of "chains". There is a lack the sponsors voice in the literature, which concerns itself with a sociological perspective or a biographical account of individual sponsors. This literature review analyses the ethos and vision of the major academy sponsors.

The penultimate section is that of school leadership; what it is and how is it operated within an academy. Good leadership is important to school success. This theme will explore different aspects of leadership, particularly vision sharing and ethos generation and realisation. The leadership challenges specific to academy schools will be explored.

The final section examines the literature on school ethos and culture, its importance in leadership and the difficulties in definitions of terms. This section concludes with a discussion of the models of school culture.

To undertake this Literature Review, web based search engines (Educational Resource Information Center (ERIC), British Educational Index (BEI)) were interrogated for key articles and authors, using "Academies", "Sponsorship", "Leadership of schools". The

reference list in these articles were then searched. Scholar Google (http://scholar.google.co.uk/) became fruitful as it produced how often a given article has been cited and these citations can then be followed. Academies are very newsworthy and are the subject of press articles and political think tank group work which may not be referred to in academic work. The Times Educational Supplement (TES) archives were searched online (http://www.tes.co.uk/publications.aspx?navcode=91). Keywords were "academies" and "sponsors" again. This provided contemporary arguments on academies year by year from 2002. It also gave some voice to the sponsors of academies. Finally, key web sites were also searched such as the National College (http://www.nationalcollege.org.uk/) and sponsors own web sites for their publications.

2.2 Academy Schools and their Context

Analysis of academy schools needs to be addressed within the context of the history of school education, governance and educational policy. Academy schools have different governance to maintained schools and have a lineage of governmental policy. The governance of schools in England was referred to being in a "process of virtual continuous change...and arguably conflict" over the past 20 years in 2002 (Meredith, 2002). The changes have gained momentum in more recent years. From the 1944 Education Act school governance was conceived as a balanced partnership between central government and Local Education Authorities (LEA) who had a strong strategic role. However, continuous actions by various governments, both Conservative and Labour, reduced the role of the LEA (Meredith, 2002). A range of neo-liberal accountability measures has subsequently dominated school governance (Ranson, 2003). The New Labour administration extended, rather than replaced, the Conservative reforms of choice and marketisation encouraging a wider range of providers and ways of delivering services in the market such as parents and federations which sought to

reconfigure governance (Ranson, 2008). There was a fundamental restructure of the governance of education occurring from the 2010 Coalition Government. Schools have become "governed by a new partnership of the Secretary of State and the corporate sector (typically the private sector and churches)" (Ranson, 2012). This all poses questions about the purpose and models of school governance (Jones and Ranson, 2010). For Ranson (2011) the concept of governors being democratic stakeholders is key, "the purpose of governance is to develop the public goods of learning and citizenship, and to mediate differences so as to secure public agreement about those goods of educational opportunity. A public education cannot be left... to the interested decisions of a corporate club or association" (Ranson, 2011 p.411). This is all in the context of a shifting of the power of education policy. The power of policy is becoming more focused and more dispersed – more focused for example in the power of the Secretary of State and more dispersed both locally nationally and internationally by such actors as parental groups and academy chains (Ball, 2013).

In her review of Leo, Galloway and Hearne (2010), Gunter (2011a) describes the literature on academies falling into four main categories (though of course some may straddle more than one category):

- Promotional-which are often insiders accounts supporting the programme;

- Functional-evaluations like PwC that have compliance as their remit;

- Critical-evaluating claims of the programme;

- Socially Critical-a macro socio-political evaluation.

This thesis is primarily the voice of insiders; it accepts that academy schools exist but it is critically analytical of the work that leaders of these schools have undertaken. However, it

does not attempt to evaluate the claims of the programme itself. It is not socially critical in the macro political context; the work is operating at a micro level, examining how ethos and vision have been created and realised in academy schools and the interplay between academy principals and their sponsors.

Although the development of academies has not been a rational, linear, planned policy there has been approximately three phases. The initial phase of new academies requiring a £2 million trust, often from philanthropic businessmen. The second phase being the lowering, then removal of the £2 million and the involvement of public sector sponsors and the creation of sponsorship chains. The final phase was following the 2010 Academies Act and the creation of converter academies. The literature at times finds difficulty with being able to reflect changes of such rapid pace but nonetheless critical discourse centres around the different concerns emerging from the different phases.

Early writings on academies centred around concerns over that original academies are part of the inclusion of private business in state education (Chitty, 2008), that they give too much power to private interests (Benn, 2008) and that academies pose a real threat to state education in that their governance is undemocratic (Chitty, 2009). Early concerns also challenged the claim of the Academies Programme to improve academic outcomes (Gorard, 2005; 2009). Titcombe (2008) argues, with evidence, that academies have replaced mainstream subjects in their curriculum with vocational counterparts. These have "disproportionate and unjustifiable" equivalence to GCSE (Titcombe, 2008 p.49) and that this technique has been used to massage outcomes in performance tables. This article though was written prior to the requirement for schools to indicate their performance including English and mathematics GCSEs which would negate this criticism to some extent. A thorough discussion of academic outcomes was undertaken by the National Audit Office (Bisset, Clark,

Hands and Mackay, 2010). Gillard (2008) summarises early concerns: the imposition of academies against the will of parents; the involvement of faith groups; selection by stealth; increasing amount of pupil exclusions; use of state funding; lack of local control and support; a potential two-tier education system and teachers employed on different pay and condition contracts. Whilst as public sector sponsors, such as LAs, were allowed to become involved in the second phase this was perceived by some as recycling public sector money and not extra resources as originally planned and due to the decline in philanthropic businessmen prepared to invest in academies (Beckett, 2008).

Some of the work that specifically mentions leadership and academies falls into Gunter's functional and promotional category; they are coaxed in a narrative of compliance (Macaulay, 2008; PricewaterhouseCoopers, 2008; Hill, 2010; Leo et al., 2010; National College, 2011).

Academies had the freedom to create new employment contracts for workers. This was a concern for the Trades Union Congress and teaching unions whereby academies gave unaccountable power to sponsors and removed schools from democratic LA control. Workers in schools had new contracts and different conditions of service (Rogers and Migniuolo, 2007; Hatcher, 2008). This is countered by a politically right wing think tank arguing against restrictions in creating new schools with existing employment legislation that ensures the same teachers are re-employed by the new academy (Fazackerley, Wolf and Massey, 2010).

There have been parental and pressure group concerns over the creation of academies. This has resulted in organised campaigns to reject proposed academy status. Such campaigns have been documented by Hatcher (Hatcher, 2011b; Hatcher and Jones, 2006; Hatcher, 2009; 2011a). A case study of an academy in Southampton reveals that parents could not use the

normal means of expressing concern through their LA as it was not an LA school (Harris, 2009).

The major critical work on academies though falls into Gunter's fourth category, Socially Critical (Gunter, 2011a; Gunter, 2011b). I use the term macro to indicate that the socially critical work takes into account the larger picture, the social and political context in which academies have been created and are operating. The original Academy Programme was particularly linked with the Blair Government's philosophy of involving the private sector within a variety of state providers.

This has been further enhanced by the 2010 Coalition government and the creation of converter academies. By November 2011 there were more open converter than sponsored academies, 1100 converter as opposed to 319 sponsored, although sponsor chains such as E-ACT also had converter academies in their portfolio (Department For Education, 2011). Stevenson (2011) argues that there is nothing new in the 2010 Coalition government's education policy. It is "latest and decisive phase of a neo-liberal restructuring of state education in which the long-term aim has been to dismantle a publicly provided system accountable to local communities, and replace it with a state-subsidised market dominated by private providers" (Stevenson, 2011 p.178). He advocates that there has been a privatisation of the school system, which in effect with the diversity of academies, free schools etc becomes a state-subsidised market-led private schooling system. It is for Stevenson, the end of the '1988 Project'; a cumulative transition that started with the 1988 Education Reform Act.

This notion of private providers entering the state-funded education system has been further developed by Hatcher (2006). Here the sponsors of academies are new agents and are part of

the re-agenting of the school system, "the replacing of older forces for change by new agents capable of driving the government's agenda" (Hatcher, 2006 p.614). One which for Hatcher is less accountable and undemocratic. This has led to a marketisation of the school system in England, one whereby the private competitive agents are perceived, by the Coalition government, along with groups such as parents, as having greater autonomy and being able to respond to parental choice. Parental choice becomes the market driver (Hatcher, 2010). The subsequent governance of academies is then seen as undemocratic (Chitty, 2009; Hatcher, 2011a), there is a lack of staff, elected local representatives and parents on governing and trust bodies. The sponsor has an inbuilt majority. The process of academy policy making is undemocratic in that public assets (schools) are being turned into privately owned property with no public accountability, there is a lack of community voice (Hatcher, 2011a). Wilby (2009) concludes that the debate on academies has been wrongly focused on public examination results, "If democratic institutions are failing, the answer is to improve them, . . . not to create privately controlled, non-accountable institutions. That, and not exam results, is what the Academies argument should be about" (Wilby, 2009).

Questions could be posed seeking to know whether public goods require legitimacy via public consent? Do academies remove the area of public legitimacy due to their lack of consent and accountability? If state money is used to fund, will the tax-payer eventually question the use of resources? One of the original arguments for creating academies was to introduce diversity into the school system but is diversity intrinsically worthwhile? Why should diversity be good in itself, let alone necessary? This drive for diversity has led to at least two sponsors from international educational organisations in Steiner-Waldorf (Avison, 2008) and Kunskapsskolan sponsoring academies in England. This produces a series of other questions over control and even the concept of global marketisation in addition to different cultures and

ethoi in schools in England. Kunskapsskolan is Sweden's largest education company (Ball, 2007 p.55) and is profit-making. How will they operate in England? Will such a company use the tax payers' money to seek profit? What values do they express? Is a profit-making company legitimate to run a school in England?

Some of the major socially critical writings are from Ball (2007; 2008; Ball, 2009b; a; 2011). Ball coins the term Education Services Industry (ESI) and documents at length the areas of private sector involvement in state education. Whether this is school administration, the Building Schools for the Future (BSF) programme, whole LA provision, school services such as Continuing Professional Development (CPD), services such as school meals and cleaning, it all adds to the ESI. This is becoming a significant market. Privatisation of state assets is not simply a technical change, it brings with it a different value,

> "...it involves changes in the meaning and experience of education,... It changes who we are and our relation to what we do, entering into all aspects of our everyday practices and thinking.... This is not just a process of reform; it is a process of social transformation." (Ball, 2007 p.186).

In a later paper Ball (Ball, 2009b) expands on this theme, explaining that the privatisations are complex (Ball, 2009b p.83) and take place 'of', 'in' and 'through' education. Ball (Ball, 2009a) argues coherently and cogently that the academy programme is part of the reformation of the public sector into state funded private operations. Academies are private schools using public funds, the state contracts and monitors rather than directly delivering the service. They become an experiment in state provision including organisational changes such as governance arrangements and that they "drastically blur the welfare state demarcations between state and market...they introduce and validate new agents...within policy" (Ball, 2007 p.171). However, unlike Hatcher, Ball does not hold the view that the state is the better provider, that there was a golden age where the state provided quality educational services.

In reviewing Leo *et al.* (2010) Gunter (2011a) believes that they have omitted a serious issue, "the failure to ask socially critical questions about social justice issues means that *the* key point about the Academies Programme has been missed" (Gunter, 2011a p.638) [my emphasis]. She states that, "the Academies Programme is more about capital accumulation and the dominance of private interests, than giving children opportunities for a better education. That is a smoke screen" (Gunter, 2011a p.638). With Woods and Woods, Gunter also comments that the Academies Programme is blurring boundaries between public and private and creates "challenging contexts and implications for how and where educational decisions are made" (Woods, Woods and Gunter, 2007 p.237). They conclude that:

> "Many questions are raised. More needs to be known about the actual, developing relationships of sponsors to their academies and the nature and degree of their influence. To what extent is private sponsors' influence moderated or shaped by the professional perspectives of principals and other teaching staff and by local communities and other stakeholders?" (Woods et al., 2007 p.254).

The issue raised here directly links to this thesis, the actual relationship of sponsors to their academies. This is where the macro social-political becomes the micro; what is the relationship between sponsor and academy? Where is the demarcation in leadership?

Academy schools have a social policy context in which they have developed; they are part of a re configuration of schooling in England that has occurred over the last decade and more. This has seen a change from LA to sponsors as providers of state-funded education. There are concerns expressed over the ramifications of this change and it blurs the boundaries of public and private provision.

This thesis is operating at the micro, as opposed to the macro, level. However, it would be naive and simplistic to research out of the macro context; the macro sets the micro, it sets the

value-laded context that generates the ethos and vision of academies. Academies have been born out of a political social policy with all its implications; how does this context affect the school's ethos and vision?

2.3 Sponsors and Sponsorship

This section involves a discussion on school sponsorship, placed in an historical perspective; literature from sponsors is used to illuminate the discussion particularly around vision and ethos. Space does not allow for a systematic critique of academy visions.

2.3.1 A historical perspective of sponsorship

In England the state provided free elementary education for all with the Forster Act of 1870, although compulsory attendance arrived a decade later. Until then the provision of school education was fee paying or charitable education for the poor. Prior to the 19th century there were very few schools in England, the main provider being the Church of England. The Church resisted early attempts for the state to provide secular education, and church schools are still an integral part of the state school system. The Church and philanthropy, significant players in 21st century Academy Sponsorship, were at the forefront of pre-1870 schooling in England.

The largest groups of non-fee paying schools were the Sunday Schools and the Ragged Schools. The English Sunday School movement is usually associated with Robert Raikes of Gloucester (1735-1811), the founder of the Sunday School Union. The classes were provided for children of the poor who were in employment for the rest of the week. By 1831, Sunday Schools in Great Britain was ministering weekly to 1,250,000 children, approximately 25% of the population. Three quarters of working class children were attending such schools in 1851 (Laqueur, 1976 p.44). This was popular provision on a massive scale.

Smith (2001) argues that Ragged Schools were *"one of the great movements of Victorian philanthropy"*. Ragged Schools provided for children and young people who were "excluded by virtue of their poverty from other forms of schooling". These schools were organised by philanthropists who believed that poor children should have education free of charge. Initially they were in stables, disused warehouses, covered railway arches before specific schools were built. It is estimated that around 300,000 children went through the London Ragged Schools alone between the early 1840s and 1881 (Silver, 1983 p.20).

Lord Shaftesbury founded the Ragged School Union in 1844. The movement grew out of a recognition that the church Sunday Schools did not provide enough places for the inner city poor. Wealthy individuals such as Angela Burdett-Coutts made large monetary donations to the Ragged Schools Union. The success of these schools indicated that there was a desire for education among the working classes. Following the 1870 Act and the creation of school boards the Ragged Schools were absorbed into the state system. It is relevant for this thesis that Smith (2001) perceives them as "institutions of evangelism". This changed as they became secular state schools. Shaftesbury's perception was that the Ragged Schools became 'occupied' by the secular State. According to Smith, Shaftesbury saw the schools as a "counterbalance to popular secularism". However, it was inevitable that religious instruction and moral guidance would occupy a far less central role. There were tensions between the Ragged School Board and the State.

Historically then we see that the Church and evangelical philanthropists had provided free education prior to the state and that this provision was essentially for the poor. It is unsurprising therefore that these two players are the major sponsors of 21st century Academies. This historical perspective is used in their publicity literature. In January 2010 the largest sponsor of academies was the Church of England. Its educational arm is the National

Society formed in 1811 which originally aimed, according to their web site (www.natsoc.org), "to found a Church school in every parish in England and Wales". This belief then motivates the Church of England's inclusion in the Academies programme,

> "Academies are targeted at the most highly deprived communities with the lowest educational achievement. They are intended to give opportunity (extra opportunity) to young people for whom the journey to learning and to personal achievement is an especially difficult one. Nearly two hundred years ago the National Society set out on a programme of mass education for just the same reasons. As their heirs we must support Academies now" (Whittingham, 2005).

The National Society still sees itself as bringing Church education to the socially deprived, 'young people for whom the journey to learning and to personal achievement is an especially difficult one' and perceives Academies as the route. Whittingham perceives the present National Society as the 'heirs' of the Society from two hundred years ago.

One of the largest academy sponsors is the United Learning Trust (ULT). It is a subsidiary of the United Church Schools Trust (UCST), a charity that provides independent fee paying schools in England. According to the ULT website:

> "When UCST was founded in 1883, it identified a profound area of need - education provision for girls to enable them to enter universities and professions. UCST established schools across the country, making this a national movement and a force for improvement.
>
> In 2001 the Government introduced the idea of re-launching 200 of the nation's most under-performing and socially disadvantaged secondary schools as a new category of independent schools: City Academies. We responded as we believe our Founders would have done.
>
> We stepped forward to support the Government's Academies Programme with the pioneering energy and dedication of our Founders. In 2002 we established the United Learning Trust (ULT) as a wholly-owned subsidiary of UCST" (United Learning Trust, 2006).

In a similar way to the National Society, UCST refer to their past. In this case instead of 'heirs' they refer to their 'Founders'. The motivation of becoming involved in Academies appears for both institutions to be a link with their past and the Church led schooling in inner city areas. It is no surprise that ULT Academies typically are inner city schools in Ofsted categories.

2.3.2 Sponsorship Typologies

The earlier section of this Literature Review explained the context of academies and how they have developed from their original concept. The notion of sponsorship has significantly changed. Most of the earlier academies were sponsored by philanthropic businessmen, this has changed to this group being a minority. Due to the removal of the £2m endowment there is a large range of sponsor types including state-funded bodies such as LAs and universities.

Academies are created by the sponsor with a document entitled, an Expression of Interest (EoI) which is a proposal to the national government for the intended academy. Sponsorship is a "key element of the Academies model for school improvement" and they have "the legal right to determine the vision and ethos of the Academy" (PricewaterhouseCoopers, 2008 p.98). Although there have been sponsors in other types of schools, for example Specialist Schools, the power of an Academy Sponsor is considerable. This includes the right to appoint the majority of the governing body and having ownership of the estate (Curtis et al., 2008 p.6).

PwC analyse sponsorship within their chapter, Sponsorship and governance-an alternative approach to school management. For them the role of sponsors is to do with management and governance, not leadership. The chapter on leadership discusses principals not sponsors.

However, as will be argued later, ethos and vision are essential parts to school leadership therefore it follows, *ipso facto*, that sponsors are involved in the leadership of academies. PwC appear to equate 'leaders' with 'leadership'.

PwC offer a typology of sponsors (PricewaterhouseCoopers, 2008 p.99). They regard this typology as a development and evolution: philanthropic sponsorship; high achieving school sponsorship; multiple academy sponsorship and group sponsorship. PwC analyse the features and challenges of each of these in turn.

Most of the philanthropic sponsors were in early academies and it is discernible that the specialisms were Business and/or Enterprise. "With fewer constraints and policy guidelines, the emphasis on innovation and experimentation was particularly strong for these early Academies" and "they are committed to changing the life chances of young people through innovative programmes for buildings, leadership and teaching and learning" (PricewaterhouseCoopers, 2008 p.100). However, the PwC research uncovered some disillusionment with the academies programme amongst some of these sponsors. This stemmed from pressure to improve rapidly, a change of policy-including curriculum and funding and inclusion in BSF and a perception that sponsorship is less important now that the £2m endowment has been removed. There was also an impact of negative press which sometimes was at a personal level

In recent years there has been an increasing focus within the Academies Programme on engaging high performing schools from the public and private sector as academy sponsors. This often becomes a federated academy model. These were the first group to not be required

to pay the £2m endowment fee (Curtis, 2007). There are two main ways these schools can become involved in the Academy Programme, either setting up and managing their own academy or becoming co-sponsors. This may also involve independent schools converting to academies. The features of these schools are that the successful schools "generally have robust systems across all strategic areas including leadership, governance, resource management, teaching and learning, ethos and pupil and parent relationships" and that "this type of sponsorship enables inclusion of previously disengaged, and sometimes disenfranchised, pupils into a successful, high achieving school" (PricewaterhouseCoopers, 2008 p.103). There are concerns here in that it may be difficult to maintain the academic excellence alongside raising attainment in a failing school, that a high achieving school may not have a range of curricula suited to the new school and may not have experience of potentially different cohorts of children.

There has been a significant change in academy sponsorship with the growth of 'chains' or multiple sponsorship. The chain sponsorship can be philanthropic (Emmanuel, Grace, Harris, ARK Academies) or Faith based academies (Oasis, UCL). One of the distinctive features of these academies is collective governance, there is an overarching umbrella organisation. This type of sponsorship model provides "Educational experience and established infrastructure to provide support" and "there is a community of principals, teachers and pupils, and this provides a wide range of opportunities for learning and sharing across the community of schools" (PricewaterhouseCoopers, 2008 p.106). This model is particularly useful for leadership succession. However, PwC recognise concerns exist that the local community may not be recognised from a central, sometimes national, organisation.

The final type of academy sponsorship within the PwC report is that of group sponsorship. Within this model there is a lead sponsor and co-sponsors. It may involve a LA, university or other businesses. This has also included the working together of the Anglican and Catholic Churches. This allows academies to benefit from each sponsor though it also brings concern of potential further differences to emerge, particularly in managing relationships. One challenge observed by PwC is that "Securing agreement of the vision, ethos and key strategic direction for the school will be a more complex task than for other sponsorship models" (PricewaterhouseCoopers, 2008 p.108).

The PwC typology is to some extent simplistic. Curtis (2009) provides a typology of eight: business entrepreneurs; companies; non-profit organisations; faith-based organisations; 'Successful' schools; further education colleges and universities; Local Authorities and CTC conversions and independent school conversions. He particularly focuses on faith based sponsors, being at the time of writing approximately a third of all academies, "The role of faith-based organisations in the Academies programme cannot be underplayed and they are involved in over a third of open Academies as sponsors or co-sponsors (51/133)" (Curtis, 2009 p.115). This has increased the number of faith designated schools nationally at a time, as Beckett (2007) points out, of declining participation in the church. Often Faith based schooling is replacing secular schools. Beckett feels this has increased the power base of the Church by stealth.

2.3.2.1 Academy 'Chains'

The concept that an organisation may be responsible for the running of more than one school is a new concept in the state sector in England, this is a different concept to that of a Local Authority with different legal powers. There are now several organisations that run 'chains' of

schools, this may vary from two academy schools to the largest sponsor being responsible for 54 (Department For Education, 2013). Over half of open academies are sponsored by chains (Hill, 2010). It is of interest to analyse the ethos and vision of the major chains, what do they say their academies purposes are? In this situation the sponsor is the employer for all workers in each school and creates policy for all the academies. The major work on school chains is Hill (2010). There are several Academy Chains though not all chains are academy based. This is a recent phenomenon in England and is "a highly significant development for English state education" (Adonis, 2008a). Hill refers to business enterprises when he states:

> "A chain-based enterprise is frequently driven by a vision and set of values that are backed up with standardised operating systems and/or a product range that provides the basis of the customer offer. Chains are normally strong on metrics and quality assurance procedures in order to protect the value of the brand" (Hill, 2010 p.10)

School chains, according to Hill, share many of these characteristics, typically they have clear vision and values and a distinct teaching and learning model. Table 2.1 shows the major academy chains in rank order. As this thesis is concerned solely with the secondary phase this sub group is also indicated. According to Rogers (2012) the numbers are set to significantly increase with totals of 66 for AET, 30 for E-ACT and 25 for Oasis respectively. There are 60 different sponsors who sponsor more than one academy.

Table 2.1 Major Academy Chains as of March 2013

Chain	Number of Academies	Secondary Phase
Academies Enterprise Trust (AET)	54	25
E-ACT	28	19

Oasis Learning Trust	22	12
United Learning Trust (ULT)	21	21
Ormiston	19	18
Absolute Return for Kids (ARK)	13	10
The Harris Federation	12	12

Adapted from Rogers (2012)

Some chains are in geographical clusters such as the London-based Harris Federation, others are geographically dispersed such as the Oasis Academies. There are concerns that more geographically dispersed chains may have difficulty in operating practical mutual support, though this may result in sub chain local clusters.

Chains of schools are a relatively new phenomenon in England and they have challenges and issues that are unresolved at the present time. These include: the optimum number of schools in a chain; the economy of scale and the ability to be able to function as a coherent chain if the number is too large; the transparency of the process of school acquisition by chains; the fairness of chain funding; if all chains have a sustainable education and business model; if schools in chains are still committed to working with other local schools; chain accountability and if chains share enough good practice between each other (Hill, 2010).

Hill's work though is supportive of academies and chains; the report does not engage in any critical analysis of their role. Hatcher's (2011b) concern is once again of democratic control of schooling, "The spread of Academies is fuelling the expansion of chains of Academies run by private organisations where strategic power is in the hands of a superordinate board of

directors, often in another part of the country, and with no parent or community representatives" (Hatcher, 2011b p.213).

2.3.2.2 'Successful School' Sponsorship

The terms High Achieving, High Performing and Successful Schools are often used interchangeably (for example see PwC (2008 p.102-3)) when referring to sponsorship of academies. Successful Schools are usually from the private sector (Curtis et al., 2008 p.51). This generates issues on a macro scale, about the role of private and state education in England. For Seldon (2008) "no other country has such a glaring gap between a well-funded independent school system that dominates places at top universities and national life, and a state school system that, however much it improves, is unable to catch up" (Seldon, 2008 p.64). Here we are talking of schools that are elitist in that they are fee paying and/or entry is based on performance in an examination. The concept is that such schools can assist school improvement of inner-city schools by becoming their sponsor when they transfer to academy status.

The literature on this particular type of sponsorship is thin and references here are not from academic writings but rather press reports. Although there are reservations here nonetheless it is worthwhile to utilise these sources in order to gain an insight into the debate on this type of sponsorship. Forging a new link between private and state education is one of two big challenges facing education today, according to Lord Adonis (Adonis, 2011), one of the founders of the academy programme. He believes that every successful private school should sponsor an academy, that they should be "taking complete responsibility for the governance and leadership of an academy" (Adonis, 2011) and that this will help develop a world class education in England creating 'one nation'. The elite private schools, Eton, Westminster,

Harrow, Charterhouse were all originally designated as non-fee schools aimed at 'poor scholars'. Adonis believes that the governors of these schools should "look honestly to their charitable purposes. If they do, I believe it is hard for them to conclude that a few more bursaries here and there are enough, when they could be running new schools serving the very missions for which their assets were intended in the first place" (Adonis, 2011). This call has been reinforced by the Prime Minister (Paton, 2011), the Education Secretary (DfE, 2011) and for Education Minister, Nick Gibb, private schools have a moral purpose to run academies. They can bring their "unique ethos, culture and thinking" to children from deprived families (Jones, 2011).

The debate surrounding such school sponsorship has centred around the charitable status of independent schools. Under charitable status, independent schools can pay lower business rates and avoid tax on trading surpluses and they can also use gift aid to reclaim tax on donations (Hough, 2012). Independent schools ought to have this status removed if they refuse to sponsor an academy, according to Alan Milburn, the government's reviewer of social mobility. For Milburn independent schools do not give enough back, "frankly the tax break shouldn't be given just because on occasions the private school opens its playing field to the state school. It's got to go beyond that" (Sylvester, Thomson and Hurst, 2012 p.13). Political commentators, such as Matthew Parris (Parris, 2012) go further by suggesting that there isn't any public benefit in reinforcing the class divide, private schools must change or lose their charitable status. However, there has been little interest from the private sector for sponsoring academies. Dr Helen Wright, president of the Girls' Schools Association, disagrees with government's policy of independent schools sponsoring academies. She's quoted in The Guardian as stating, "the government must be careful, I believe, in drawing us in the independent sector to bolster their new academies or to prop up other failing schools.

This might curry favour in some political quarters but who will really benefit if we are forced to provide the teachers, classrooms and the expertise that should have been provided by successive governments?" Wright believes it is the government's responsibility not theirs, "Why should our parents – most of whom struggle hard to pay the fees to educate their children – prop up the state system and so effectively pay twice?" (Vasagar, 2011).

These links are not new. The Independent State School Partnerships (ISSP) programme was set up in 1998 by the Department for Education and Skills (DfES) in conjunction with the Sutton Trust, with the aim of providing structure and funding for the co-operation between the sectors. The partnerships have had several aims, including the breaking down of barriers between the sectors, the sharing of professional expertise and the raising of any standards (Sutton Trust, 2012). However, this programme was connecting partnerships, not governance. Most school networks, argues Hatcher (2011b) do not involve joint governance. "Governance remains located principally at individual school level. Networks do not tend to involve governors or parents" (Hatcher, 2011b p.216).

Glatter (2010; 2011; 2009) argues that the state sector should not try and copy the governance of the private schools. Such schools have a different, self-selected, intake and are accountable to themselves and their trustees. Public funded schools have a wider range of responsibilities and accountabilities, to the wider community and to, for example, work with other schools in the locality. Autonomous schools may not act in the general public interest. Here Glatter is referring to how academies in general are being talked of as 'independent state schools' and that their model of governance is based around private schools as opposed to private schools acting as sponsors. This disparity, for Glatter, brings about an uneven and unequal educational

experience for different groups of children, there is a lack of system coherence and the schooling system should be considered more holistically.

There is little empirical work in this field, significant work such as PwC (2008) and Leo, Galloway and Hearne (2010) each only have a single case of successful school sponsorship in their sample. For Leo et al., (2010) the two headteachers of the successful school and the academy are the key people. Both were extremely positive about the union, but there is a warning of potential tensions in their relationship. "in practice the key people in leading or coordinating the sponsoring school's influence on the academy will be the two heads; the formal governance arrangements are not likely to play a critical part in the chemistry between them" (Leo et al., 2010 p.81).

For Leo et al (2010) the motives of independent schools sponsoring academies are two fold – genuine altruism, back to their historic roots of educating the poor and changes in charitable status law. Independent schools enjoy charitable status which allows them tax advantages. The changes in the law require charities to show that they have a wider public benefit.

Table 2.2 indicates pointers to the features and challenges of such academy sponsorship (PricewaterhouseCoopers, 2008):

Table 2.2 Features and Challenges of Successful School Academy Sponsorship

Features	Challenges
Successful school acts as sponsor or co-sponsor and offers educational expertise	These schools may not have the curriculum experience that's appropriate for academy

	school
Successful schools generally have robust systems of leadership, governance, ethos and parent pupil relationships	Competition for places likely to be high, some groups of students may not gain access
Enables previously disenfranchised and disengaged pupils into high achieving school experience	Concern from staff in successful school
Pupils with low aspirations can attainment can benefit from being in a school with pupils who have high aspirations and attainment and positive attitudes towards school.	
High achieving pupils in underperforming schools will have a broader peer group with which to engage, contributing to a more diverse pupil population by integrating pupils from all socioeconomic and ethnic backgrounds.	

Adapted from PwC (2008 p.103)

The inference here is that pupil sharing will take place, the comments are about a comprehensive ideal. This may not be the model in all academies of this type. For example, an early academy of this type, The Wellington Academy sponsored by the private Wellington

College caused a change in the predecessor school's intake; it was no longer to be solely serving the local community but rather a boarding school with 100 boarders (Seldon, 2008). Data emanating from this project is discussed elsewhere (Gibson and Bisschoff, 2014).

2.3.2.3 Faith based Sponsorship

The rise of faith based schooling is of interest. In the early years of sponsored academies there was a significant rise in schools being designated Faith Schools. However, this has declined in recent years although it is difficult to track due to incomplete information in the public domain. In January 2010 there were 203 open academies (Department for Children Schools and Families, 2010 (DCSF)). There were 54 (27%) designated Faith Schools, however this did not take account of some sponsors who are faith motivated but their academies are not faith designated e.g. Bob Edmiston's Grace Academies and two of Sir Peter Vardy's Emmanuel's Foundation. The naming of these schools is significant. However, Faith School designation is no longer stipulated in the online spreadsheet, making it difficult to research.

Lord Adonis, as parliamentary Under Secretary of State at the DCSF, was responsible for the Academies Programme. In 2008 he gave an outline of the fundamental role of the sponsor:

> "The insight that a strong ethos, underpinned by positive values and aspiration, enables a school, its staff and its pupils to unite with pride behind a common sense of purpose, lies at the heart of the academies concept. Setting a mission and vision is a key role of the Academy Sponsor, essential to establishing a culture of ambition to replace the poverty of aspiration that was generally there before" (Adonis, 2008a p.15).

For Curtis et al. (2008) this "posits a successful sponsor as someone who can overturn a culture of under-aspiration" (p.26).

One of the largest chain of sponsors is the United Learning Trust (ULT). It sponsors 21 Academies. It is Christian based although not all of its academies are faith-designated. It is

non-denominational: and 'welcome pupils of all faiths and none to our schools'. UCST was founded in the Church of England on the principles of respect, service and compassion.

ULTs literature (United Learning Trust, 2006) promotes its stance, "Our mission is straightforward: we aim to bring out the best in everyone by creating centres of educational excellence in the country's most disadvantaged areas" and they are to "focus on helping those children in socially and economically deprived areas" (United Learning Trust, 2006 p.5). "These Academies are replacements for failed or poorly performing schools in disadvantaged communities where educational standards have been low and results in decline. An extremely high percentage of students in our schools have a dysfunctional, dislocated background, with the number of children being cared for by the local authority being 41% higher than the national average" (United Learning Trust, 2006 p.6).

The ULT's Core Values are expressed as "bringing out the best in everyone". This phrase is used throughout their literature. The Core Values are expressed as bringing out the best in everyone through academic excellence, pastoral care, healthy competition, encouragement of the arts and a sense of community (United Learning Trust, 2010). The ULT Academies do not have a common Specialism, there is a large range depending upon the school. It appears as though ULT is missionary in its belief to assist the learning in socially deprived areas of England.

Concern has been expressed about the leadership of ULT Academies. More than half of the principals at schools sponsored by the United Learning Trust have been replaced within two years of the academies opening (Marley, 2009). Eight principals out of 15 academies at the time had left their post. John Dunford, general secretary of the Association of School and College Leaders (ASCL), is quoted as stating "The rate of turnover in these academies is

extremely worrying and suggests either that the appointment process has shortcomings or, more likely, that there are unrealistic expectations of what the principal can achieve in a short time". This headline is often quoted but ULT point out that taking retirement and promotions into account, only four principals had left to work for a different organisation. This rate of change may not be untypical; Marley also cites ASCL releasing data that indicates a 'five-fold increase in the number of heads being forced from their jobs in the past four years'. It has been reported that following a second ULT Academy to be categorised as Inadequate by Ofsted then ULT has been prohibited from applying for further Academies until the organisation had raised standards in its present academies (Curtis and Hackett, 2009).

Oasis Community Learning (OCL), which sponsors 11 Academies in January 2010, is an evangelical Christian organisation founded by the television minister, Steve Chalke. All of its academies are called Oasis Academy. Its vision and values are more clearly faith based than ULT. Once again there is a range of specialisms. In its education charter, Oasis makes clear its evangelical vision of education, "Oasis' identity or organisational behaviours are rooted in, and flow from the Christian faith. Oasis' work is motivated by the life, message and example of Jesus Christ" (OCL, 2009 p.7). Oasis define an ethos as "about *who* an organisation is and the *way* it achieves its purpose and delivers the mission" (OCL, 2009 p.7). The Ethos section of the Charter continues:

> "The following statements represent a few examples of Oasis' core beliefs:
> • Each individual is made in the image of the God who created all of us, making us all equal and different.
> • God is love. Love is not simply one of God's attributes, but rather the very essence of his nature. This love pervades the universe and is unconditional rather than earned.
> • God became human in the person of Jesus Christ. He came to where we are. He shared our experience of life. He felt joy and pain. He engages with us and understands us.

• Jesus served others rather than expecting to be served and willingly sacrificed his life through the cross.
• Jesus rose from the dead. Death is not the end. There is resurrection and hope*"* (OCL, 2009 p.7).

As "Oasis behaviours cannot be separated from its beliefs; they are integral to one another" it

follows that

> "Oasis will behave by:
> • Seeking to serve all people equally, respecting their differences and aspiring to meet the needs of the whole person and the whole community because each person is valuable to God.
> • Accepting others for who they are because they are accepted and loved by God.
> • Engaging in the whole life of the communities we work in.
> • Sacrificially serving both the individuals and the communities with whom we work.
> • Living with the hope that transformation is always possible because the resurrection of Christ shows that even the darkest situation can be overcome" (OCL, 2009 p.8).

It is of interest to this Thesis to see how Oasis will realise this ethos and vision within the

Academy. What will be the roles of the sponsor and principal? Does for example, the

curriculum reflect this ethos or is it the way in which students are taught rather than what they

are taught? The OCL Education Charter gives some indication of the role of the Sponsor in

leading this issue

> "Oasis Community Learning will also be producing
> • statements that explain our understanding of key concepts like 'knowledge', 'truth' and 'transformation'
> • 'think pieces' for staff development, and other interested individuals, that will explore issues like the relationship between Christian distinctiveness and an inclusive approach to the whole community; the implications of a Christian world view for curriculum design; the science v. Faith debate
> • Resources to develop the Oasis ethos in our Academies based on the behaviours identified in Steve Chalke's Apprentice: walking the way of Christ - journeying; longing; believing; questioning; belonging; serving; persevering; forgiving; listening; engaging" (OCL, 2009 p.8).

There is significant scope for research in these statements. It appears as though the Sponsor will lead on the way the school operates and the actual curriculum that is taught.

Harris (2009) is a case study of the issues concerned with the creation and early leadership of The Oasis Academy (Mayfield) in Southampton. The problems of creation, lack of community consultation and management on a spilt site culminated in local newspaper headlines of 'Dozens of Pupils on School Rampage' (Harris, 2009 p.210). Harris expresses concerns over Oasis being led from London rather than locally, and that the LA had no jurisdiction over an Academy when parents raised concerns locally.

Evangelical Christianity appears to be the motivation of some philanthropic sponsors. Sir Peter Vardy's Emmanuel Schools Foundation (ESF) and Robert Edmiston's Grace Academies each consist of three Academies in their 'chain'. Both of these chains, according to Beckett (2007) teach creationism. There were several press reports in the early years of Emanuel Foundation Academies concerning the teaching of creationism. Clancy (2002b) reports on concerns over the appointment of a principal at King's Academy in Middlesbrough, part of the ESF, who questions the theory of evolution. Teaching itself in Emmanuel College, a CTC but part of the ESF, came under scrutiny when several staff, including the Principal and Head of Science wrote supporting creationism as a theory (Clancy, 2002a). The college's website was reported to contain a document, Christianity and the Curriculum, which stated that Biblical truth must play a vital part in the teaching of the whole curriculum, (Stewart, 2004). Sir Peter Vardy himself is quoted as "New earth creationism is not being taught in the college. I didn't even know what it was until this hullabaloo blew up" (Clancy, 2002a).

Green's (2009a) study is an ethnographic analysis of ethos in an academy foundation. The sponsor has a Protestant Christian faith and study showed that the "The mission statement of

the sponsoring foundation is officially operationalised via core values. These consisted of seven values: honourable purpose, humility, compassion, integrity, accountability, courage and determination" (Green, 2009a p.137). Students carried a card on which these core values were printed. These are not expressed in religious terms but were according to the sponsor linked to his faith and biblically founded but they were also 'basic good values that everybody should live by' (Green, 2009a p.137).

Pike's article is one of the few academic works which interview academy sponsors. In it he wishes to ascertain the motivation for a philanthropic academy sponsor, which for Sir Peter Vardy was the ability to be able to make change fuelled by his Christianity. Vardy improved car dealerships, took over failing ones and made them successful. He wishes to replicate this in schooling. Vardy is quoted as saying, "I haven't been involved in the education bit because I'm not a teacher so it's no use me coming in and telling them how to teach English, you know, that isn't what it's about" (Pike, 2009 p.140). He employs an educational consultant, former headteacher, Sir John Rowling. Pike demonstrates the similarities of the Vardy Values of the business and the core values of the Emmanuel Schools Foundation. There is a high push for these core values to the extent where the Vice Principal and Principal both indicated that the values were the most important aspect of the Academy and that academic success will then follow. The Core Values for ESF are "honourable purpose, humility, compassion, integrity, accountability, courage and determination" (Pike, 2009 p.141). There are for Vardy clearly transferable situations where the values will generate success. Pike believes that "Trinity Academy's core values are clearly inspired by the life, work, ministry and example of Jesus Christ, that also provides the motivation for Sir Peter Vardy to sponsor schools" (Pike, 2009 p.142). Vardy is quoted, "As a Christian myself I feel a responsibility to help others and to put something back, and there are a whole range of things that we could do but

education is so important to give the children the best possible start in life. You know, the Christians of old have looked after a lot of the education that's been done, feeding the hungry, looking after the poor, all of the things that the Lord commanded us to get involved with" (Pike, 2009 p.142).

These two studies are examples of work that seek to address what motivates academy sponsors and how an academy realises its ethos and vision. Green argues that the theological position, stemming directly from the sponsor, "translates in practice into a set of corporate features... in the Academies. Underpinning the social and cultural entrepreneurial goals of the sponsor are ...basic assumptions about values, morality or the good life which stem from a particular theological position." (Green, 2009 p.138). And Pike refers to the Christian ethos and core values in the academy which can be attributed directly to the sponsor. It appears that such sponsors may be operating in an autocratic style. What are the roles of principal and sponsor? The sponsor appears to be creating the vision and the principal implementing it. Does the vision drive the curriculum and its delivery? Is the motivation of Faith based sponsorship proselytism?

2.3.2.4 Public Sector Sponsorship

The original concept of academy schools was to be independent from the Local Authority (then Local Education Authority), the belief was that the school was unsuccessful and that the LA had failed it. Therefore, it was to some, quite bizarre that LAs were to be involved as co-sponsors often in association with other public sector bodies such as Further Education colleges and local Universities. There is little academic literature on this theme, although some groups such as the Trades Union Congress welcome the inclusion of the public sector in

academy sponsorship (Rogers and Migniuolo, 2007). Leo *et al.* (2010), suggest three reasons why a university may sponsor an academy: widening access; strengthening contacts with local communities; and extending opportunities for students (Leo et al., 2010 p.68). They also acknowledge that universities sponsoring academies in inner city areas as part of widening access may have conflict with their aims of improving status in published performance tables, one criteria of which is entry A level grades of students. The universities will improve their ranking if the entry grades are higher so may not wish to draw students form disadvantaged backgrounds (Leo et al., 2010 p.164). The position of LA's changed during the development of the Academies Programme. They moved towards a more inclusive approach to all schools, including the academies especially with the onset of BSF and 14-19 agenda whereby collaboration was seen as a key to success. Some may argue that university involvement may well be to do with self-protection in that they can advertise their services to a captured audience. This is not raised by Leo et al. It would be of interest to know why such sponsors have engaged in sponsorship and what their vision is for their academy.

2.3.2.5 International Sponsorship

Academies were launched by David Blunkett, the Education Secretary, in 2000. One of the three ultimate goals of the programme was to "form part of local strategies to increase choice and diversity in education. Academies have innovative approaches to one or more of governance, curriculum, staffing structures and pay, teaching and learning structure of the school day and year using Information and Communication Technology (ICT)" (PricewaterhouseCoopers, 2008 p.22). Furthermore, "Academies form an important element of School Diversity, through which the education system enables schools to differentiate themselves according to their individual ethos, special character and areas of specialist expertise" (PricewaterhouseCoopers, 2008 p.70).

There are two educational organisations that are European based that have sponsored academies in England: the Steiner Waldorf movement and Kunskapsskolan (which translates into English as 'knowledge School'). These two providers were to contribute to choice and diversity offering different schooling to the maintained sector. Although curriculum and ethos diversity was seen as an original goal in the academy programme, sponsors that are creating schools under this banner did not appear in previous typologies (Curtis et al., 2008; Curtis, 2009). Leo (2010) refer to innovation but not diversity. Innovation in terms of curriculum reform, attendance, and pupil's voice but all within the context of an academy being similar in many ways to a maintained school. Leo et al. (2010) do not address the issue of innovation and diversity in terms of offering a significantly different educational experience as part of choice for parents. Both of these educational organisations have different pedagogical models and different leadership structures to the typical state sector school in England. Both providers have 'chains' of schools with similar ethos and vision. The Steiner Waldorf movement is a German-based schooling system which has schools across northern Europe. It opened its first school in Stuggart in 1919 and the schools base their philosophy upon the teachings of the first school founder, Rudolf Steiner. There are more than 900 schools worldwide that follow this practice of education, and this form of education is large across Europe, with 711 schools in 27 nations (ECSWE, 2012). There are examples of where these schools are fully funded by the state, part funded and totally private as in the UK. There are 36 schools of this nature in the UK but none in the state sector until the first academy opened in 2008 (Avison, 2008). Steiner Waldorf schools contrast with the maintained state sector in England. They differ from the rest of the state sector which has an emphasis on outcomes, terminal assessment, accountability and league tables. Such educators have "never been enthusiastic advocates for

testing regimes" (Burnett, 2009 p.130). The difference from maintained schools in England and this type of schooling extends to their leadership and management. Leadership is these schools is not hierarchal, it is fully shared responsibility of all. The role of a principal or headteacher is not recognised; they prefer a collegial structure (Woods, Ashley and Woods, 2005; Woods and Woods, 2006). It would be of interest to see how they have adapted to the state sector where the role of a headteacher is mandatory. Woods et al. (2005) commented that discussions between the Steiner Waldorf movement and the then Department for Education and Skills (DfES) had taken place through the Academy Programme, under the DfES' Diversity policy (DfES, 2001). The DfES believed that "a decisive advance from the outdated argument about diversity versus uniformity" (DfES, 2001 para 1.5) and new agents, such as Academies, "can benefit pupils by bringing fresh ideas and perspectives and particular skills and expertise to schools" (DfES, 2001 para 5.22).

Kunskapsskolan is the largest chain of independent or "free" schools in Sweden, which make up 10% of schools. They are state funded, but not state-controlled, and free for students. These schools are highly personalised. Students have weekly targets but have a choice on how to meet them. The school is described as having "no timetable, no set lessons and little sense of a traditional classroom" (Curtis, 2008). All of the curriculum is available on a web based portal. These schools have no corridors and are designed to use the space more appropriately for individually tailored learning (Eiken, 2011). This maximises the space for learning. Such design will bring a unique ethos, culture and vision to the school environment, though others express concern over using an untried methodology in the teaching of GCSE examinations and asking for an independent review of its methods (Alen, 2008). Kunskapsskolan is a with-profits educational company. The acceptance of the Swedish

company into English state schools raises the issue of profit making from schools in England. An Ipsos Mori poll conducted in April 2010 found that the general public oppose the involvement of profit-making firms in running schools (Gillie and Bolton, 2010 p.12). Presently this is prohibited, though it has advocates such as the right wing think tank, The Adam Smith Institute (Croft, 2010). There are a small number of proprietorial, or with-profit, private schools in the UK (485 nationally). These are generally small schools, average size 205 pupils (Croft, 2010). Croft (2010) believes this is an untapped model and that the focus on small margin profit ensures quality educational outcomes. Tiger (2005) also celebrates the entrepreneurial spirit within a free market believing that such practice focuses on outcomes and the raising of educational achievement. I have written a fuller exploration of this type of sponsorship elsewhere (Gibson, 2013).

2.3.3 *Sponsors' Motivations*

The motivations of sponsors, particularly early philanthropic ones have been covered to some extent by Hatcher (2006) when he states that "An analysis of the companies and business entrepreneurs sponsoring Academies and specialist schools confirms the view, I would argue, that they have no interest in taking over and running them for profit" (Hatcher, 2006 p.308). He points out that only 1 of the first 57 Academies sponsors is from the 'edubusiness', that is business that is involved directly with education. The other businesses do not have a vested interest in gaining profit from the sponsorship. Hatcher believes that philanthropic sponsorship is about 'giving something back'. The earlier section of this Literature Review though covered some concerns over lack of payments from sponsors to their academies (Mansell, 2009) and that sometime the payment was to their own business (Beckett, 2007; Shaw and Paton, 2005).

There was initial media interest in the early days of academies in the motivations of sponsors. Two newspaper articles involved interviewing sponsors about their motivations (Henry and Thornton, 2002; Whittaker, 2006). The nouveau philanthropists, as Whittaker (2006) refers to these Academy sponsors, are engaged in education for a variety of reasons. Whittaker (2006) interviews several original Academy sponsors in a newspaper article. There was a feelgood factor for motivation, Peter Shalson, sponsoring the Barnet Academy is quoted as, "I hope to get a tremendous sense of satisfaction in years to come as the school becomes an example of excellence. I can afford it. I don't think what I am doing is very different from many successful people before me" and "We are going to help children who are very bright but perhaps feel stifled by the existing curriculum. There is a tremendous feelgood factor in this". Barry Townsley is "delighted to be involved in giving young people the opportunity to develop skills at school that will help them gain jobs." David Garrard "expects to get personal satisfaction from giving something back" whilst Alec Reed says "I went to school in Ealing myself and I feel privileged to be in a position to put something tangible back into the community. It's not about creating hundreds of Richard Bransons. I want to improve education so that ordinary children have a better life" (Henry and Thornton, 2002).

There is a possible cultural issue in understanding and appreciating the motives of philanthropy. Shaw (2005) cites Rona Kiley, chief executive of the Academy Sponsors Trust in 2005, an American, as stating "My value system was believing that philanthropy was good," she said. "I have learned that isn't always accepted here"(Shaw, 2005). Kiley appears to feel that some cultural aspects of UK life such as the media are sceptical about the altruistic motivations of philanthropists.

The Royal Society for the encouragement of Arts, Manufactures and Commerce (RSA) is a charity which "seeks to develop and promote new ways of thinking about human fulfilment and social progress" (RSA, 2010). On its web site it describes itself as "been a cradle of enlightenment thinking and a force for social progress for 250 years" and that their "projects generate new models for tackling the social challenges of today" (RSA, 2010). They have had a history of producing innovative curricula for schools. The Open Minds Curriculum is followed at The RSA Academy at Tipton, West Midlands. This curriculum focuses on "competencies" including teamwork, thinking skills and citizenship (Marley, 2008). It is of significant interest here that in this newspaper article the head of education at the RSA, Lesley James, speaks about the curriculum reform. She believes that traditional subject content is still covered, but in a way that is more engaging and indicates that an RSA survey found that 78 per cent of schools using its approach have had their curriculum graded as good or outstanding by Ofsted. The Academy Principal is not interviewed about the school curriculum but Marley (2008) refers to the issue of the sponsor leading on curriculum reform, "Ms James admits there was some resistance from teachers to the opening minds curriculum when they found out that their approach to teaching would have to be radically overhauled to cope with such long lessons. But staff received training over the year before the academy opened in September" (Marley, 2008). Matthew Taylor, RSA chief executive, believes "The academy gives us the opportunity to apply the principles across the school. We believe we need to radically rethink schooling for the 21st century" (Marley, 2008).

Here the sponsor appears to be leading on the actual curriculum, what is being taught and how it is being taught. This would be the realisation of their ethos and vision.

Leo *et al*. (2010) investigated the motivation of academy sponsors. The motivations differed depending upon the type of sponsorship. For philanthropic sponsorship motivations included improving the quality of the education the children received and meeting personal needs via a charitable 'give back'. Where High Achieving Schools are used as sponsors the motivations included returning to an institution's roots of providing education for the poorer members of society. The claim of altruism may be mixed with self-protection of charitable status. Such institutions as private school sponsors may need to demonstrate that they are using their charitable status to public good, otherwise they could lose the status and its tax benefits. Leo *et al*. (2010) dismiss this potential claim as these institutions could demonstrate public good in easier ways than sponsoring academies (Leo et al., 2010).

The motivations of church groups for sponsoring academies fall into three categories: academies provide an unconditional service to all children; academies can give priority to children of the sponsor's faith and they also provide philanthropic individuals who have religious beliefs themselves which they wish to transmit (Leo *et al.*, 2010 p.66).

Leo *et al*.'s (2010) work is significant in that it takes a wider picture of the academies programme interviewing architects, a former Director of Education in a LA and Lord Adonis in addition to principals and sponsors. However, of the twenty-six interviews only six principals and nine sponsors (of seven academies) were conducted. This is smaller than the sample in this thesis.

Sponsor motivations within the literature vary including an altruistic 'giving back' of philanthropy, providing education for the poor (organisation roots), potential retaining charitable status of organisation, transmission of faith and creating different curricula.

To summarise the literature on sponsors and sponsorship of academy schools, sponsorship of schooling has a historical context in England, there is a typology of academy sponsors, and increasingly new academies are forming chains. This review particularly addressed the nature of different types of academy sponsorship such as 'successful' school sponsorship, faith based sponsorship, public sector and international sponsorship respectively. Each of these has issues that affect vision and ethos creation and maintenance; there is a particular question to be addressed here in the role of the sponsor.

2.4 Educational Leadership, Vision and Ethos

2.4.1 Leadership

Bush and Glover (2003) define leadership as

> "...a process of influence leading to the achievement of desired purposes. Successful leaders develop a vision for their schools based on their personal and professional values. They articulate this vision at every opportunity and influence their staff and other stakeholders to share the vision. The philosophy, structures and activities of the school are geared towards the achievement of this shared vision" (Bush and Glover, 2003 p.5).

Vision then is key to leadership. Vision is often linked with values, ethos, culture generation and mission. Unfortunately, these terms are sometimes seen as synonymous and are often not clearly defined in the literature (Hallinger and Heck, 2002; Solvason, 2005; Glover and Coleman, 2005).

The literature often refers to transformational or charismatic leadership. This type of leadership is typified by leaders' influence over colleagues and a leader-follower relationship. "Typical of both forms of leadership are such behaviours as communicating a compelling vision, conveying high performance expectations, projecting self-confidence, role modelling,

expressing confidence in followers' abilities to achieve goals, emphasizing collective purpose and identity" (Leithwood et al., 2006b p.29). The Transformational Leadership agency has been categorised as four Is: Inspiration; Individualism, Intellectual stimulation and Idealised influence (Gronn, 1996). Table 2.3 illustrates a summary of transformational leadership behaviours

Table 2.3 Transformational Leadership (Gunter, 2001 p. 70)

Dimensions	Outcomes
Direction Setting • Building a shared vision • Developing consensus about goals • Creating high performance expectations	Charismatic school leaders are; • Highly respected • Trusted • Symbolise success
Developing People • Providing individualised support • Creating intellectual stimulation • Modelling practices and values important for the school	People are central to an organisation. Structures and tasks cannot be understood except through people
Redesigning the Organisation • Culture building • Creating and maintaining share decision-making structures and processes • Building relationships with the community	Collaboration is central to outcomes

Transformational leadership is often contrasted with transactional leadership. Transactional leaders focus on motivation through rewards as a basis for management. The leader will engage in a transaction with followers in order to gain compliance. It has been suggested that transformational leadership is of a higher moral order and that such leadership is more effective (Bass and Avolio, 1994).

In a small scale study, Smith and Bell (2011) investigated the frequency of use of transactional and transformational leadership by headteachers in schools in challenging circumstances. They found that the headteachers used both approaches to leadership but believed that transformational leadership is far more effective in sustained change. Headteachers were more likely to use transactional leadership when dealing with external pressures, where they were accountable but lost some autonomy. All used transactional leadership with reluctance. All of the interviewees also used transformational leadership, particularly when wishing to move the school forward; they placed great emphasis on core values. There was some evidence that more experienced headteachers were less reliant upon transactional leadership. Smith and Bell (2011) note that:

> "Higher levels of success can only be achieved by embedding transformational leadership in order to develop strategies which will increase motivation and staff development, providing a workforce which is both inspirational and aspirational. Head teachers in this study argued that while transactional leadership contributes little to the overall development and success of their schools it limits the extent to which they can act autonomously and be guided by their own values. It is the transformational leadership activities that largely facilitate long-term improvements in pupil attainment" (Smith and Bell, 2011 p.61).

The headteachers report that they use transactional leadership in response to external, often national policy pressures. This, for the authors, is a policy paradox, whereby the national policy context requires transformational leadership but actually creates the greater use of transactional leadership.

The leadership of academies is often portrayed as transformational (Davies and Macaulay, 2006; National College, 2011; Leo et al., 2010). Creating and communicating a vision is a key element of transformational leadership, these areas will be developed in this section of the review.

2.4.2 Leadership Styles and Relationships

Early and Weindling (2004) suggest a chronology of leadership theory in five headings based around human behaviour: trait; style (Lewin, Lippitt and White, 1939; McGregor, 1960); contingency (Hersey and Blanchard, 1977); power and influence (Leithwood, Jantzi and Steinbach, 1999) and personal trait theory (Forde, Hobby and Lees, 2000; Goleman, Boyatzis and McKee, 2002). They see the journey as returning to some of the original concepts around leaders' personal traits. Lewin et al (1939) describe three main leadership styles autocratic, democratic and laissez faire. An autocratic style involves keeping control over followers by ensuring that they have regulation on policies and procedures of the organisation whilst democratic style leaders share decisions through discussion and promote members of the group to enable them to participate in the decision making process. A laissez faire style offers a high degree of autonomy and decision making, with followers gaining advice when they seek it.

Although Lewin's work has been developed through McGregor (1960) with Theory 'X' and 'Y', Goleman's concept of emotional intelligence and the Hay Group (Forde et al., 2000) who move to six styles, nonetheless it can prove a useful analytical tool. Fundamentally these theories are about relationships between leaders and followers.

There are established key behaviours and characteristics that underpin effective school leadership. Leithwood's seven strong claims are based on an overview of the literature nationally and internationally in this field (Leithwood et al., 2006a). Further to this teachers and support staff views show that effective leaders operate certain behaviours such as adopting an open, consultative approach, distributing leadership responsibilities effectively (PricewaterhouseCoopers, 2007b).

There are alternative views that may contest the role of leadership and management as being a crucial factor in educational success. Hattie (2012) creates a synthesis of meta-analyses of 800+ research articles exploring the attributes that make a difference to school learning. He subsequently produces effect sizes for differing attributes, ranking their effectiveness; 'principals/ school leaders' is ranked 73rd (Hattie, 2012 p.252). An effect size is an "estimate of the scale of the impact that interventions make" (Newby, 2010 p.577) and Hattie describes the "hinge point" (Hattie, 2012 p.3) as an effect size of 0.4, below that are interventions that make below average gain in improvement. Hattie suggests 'principals/ schools leaders' have an effect size of 0.39. However, he also states that he has not "written a book about school leaders" (Hattie, 2012 p.viii). He also discusses further work that looks at differences in the effect of different leadership models (Robinson, Lloyd and Rowe, 2008). Here the effect size varies between 0.11 for transformational leadership and 0.42 for instructional leadership. Further, larger effect sizes were noted for differing aspects of leadership with promoting and participating in teacher learning and development being the highest of 0.84. One of the issues surrounding such analysis is how indirect effects of leadership can be quantified into direct effect on achievement.

There are others, such as Flint & Peim (2012), who seek to deconstruct the discourse surrounding the leadership and management literature of school improvement. The improvement agenda is, for them, enframed in a narrative that change is necessary and natural, that the language used is of military imagery ('strategic', 'attack', 'struggle') and turbulence and it posits leaders in a space that is essentially managerialist.

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2.4.3 The Importance of Vision in Leadership

All successful schools are built around a clear sense of vision and purpose; vision is the starting point for a successful school (Holmes, 1993). For the school leader, "vision is, at its simplest, the mental image of the kind of school you are trying to build for the future" (Holmes, 1993 p.16) or more generally, as "a realistic, credible, attractive future for your organisation" (Nanus, 1992) and is *felt* rather than described (Tope, 1999). To work it needs to be expressed in simple terms, it is a reference point for others. At its best, argues Holmes (1993), "a school's vision gives everyone connected with the school a reason for wanting to do things well and for feeling real pride in what the school is achieving" (Holmes, 1993 p.16). Setting the vision for a school is one of the biggest contributors to success across schools globally (McKinsey and Co, 2010). All successful leaders then can relate the vision to regular tasks and challenges they face in school leadership.

More effective growth planning occurs in schools where the Headteacher has a clear vision and this is shared by the staff (Stoll, 1994), a shared vision is a key characteristic of high performing teams (Woodcock, 1979) and Locke (2002) argues that formulating a vision for the organisation is a core task for senior leaders. Harris and Chapman's (2002) qualitative study of effective leadership in schools in England facing challenging circumstances states that:

> "Of central importance … was the cooperation and alignment of others to [the leader's] set of values and vision … Through a variety of symbolic gestures and actions, they were successful at realigning both staff and pupils to their particular vision" (Harris and Chapman, 2002 p.6).

Building vision and setting directions is one of four sets of leadership qualities (Leithwood et al., 2006a) that are part of the common repertoire across all successful leaders. This is, for

Leithwood *et al*. (2006a), one of the seven strong claims about successful school leadership. This area carries the "bulk of the effort to motivate leaders' colleagues...it is about the establishment of shared purpose as a basic stimulant for one's work" (Leithwood *et al.*, 2006a p.6). The role of vision is particularly emphasised in Transformational and charismatic leadership. Here there is a high level of influence over leaders' colleagues, emphasising collective purpose and identity (Leithwood *et al.*, 2006b). The theme has been developed into eight, as opposed to four, key dimensions of successful school leadership. Setting values and vision is seen as the first of these eight (Day, Sammonds, Hopkins, Harris, Leithwood, Gu and Brown, 2010). To lead change effectively a Headteacher needs to be able to communicate a core vision (National College, 2009b; McKinsey and Co, 2010). As Brockley and Moorcroft (1999) so succinctly put it, "If you don't know where you are going, you will probably end up somewhere else" (Brockley and Moorcroft, 1999 p.15).

Vision is central to transformational leadership. Personal vision refers to the "values that underlie a leader's view of the world...a vision enables one to see facets of school life that may otherwise be unclear, raising their importance above others" (Hallinger and Heck, 2002 p.13). Vision has been found to be an important part of creating successful change (Mayrowetz and Weinstein, 1999).

The use of the word *vision* is not accidental. The "foundation of vision is moral or spiritual in nature" (Hallinger and Heck, 2002 p.13). The concept here is that education itself is a moral enterprise. Words that appear to have roots in religious practice are used in describing education: vision; ethos; spirituality; morality, values. It is about *why* we are educating, what the *purpose* of education is and is aligned almost with a church priest or preacher from a

pulpit motivating the congregation. For Hallinger and Heck (2002) "a vision, by its nature is a source of inspiration for one's life work. It is not by nature measurable or bound to a timeline. It draws its power as a well-spring of personal motivation that can act as a catalyst to action for oneself and potentially for others" (Hallinger and Heck, 2002 p.13). The use of vision is in motivation, in energising colleagues. Vision provides not only a focus but a reason, a purpose for all of the staff actions and, when shared by others, becomes a catalyst for transformation.

Leadership is value-laden. Choices are made about *what* to do as opposed to the management of *how* to do it. Selling the purpose of the school is an essential part of leadership. Fullan (2003) believes there is a moral imperative of school leadership, whilst the difference between management and leadership has been briefly defined as, management is about doing things right; leadership is about doing the right thing (Bennis and Nanus, 1997).

Ungoed-Thomas (1997) develops the theme of linking a 'good school' with a 'good society'. Schools serve the society in which they are placed in order to make the society 'good'. This is a personal account of what a good school is, notably though this vision did not "come to me, as visions are conventionally supposed to, in a moment of sudden illumination...Little by little, over time, jigsaw-like, a notion of a good school has gradually crystallized and taken form in my mind" (Ungoed-Thomas, 1997 p.2). He sees a vision as "a working hypothesis" and is a "model whose real worth and visibility can only be properly tested in debate and practice" (Ungoed-Thomas, 1997 p.3). It would be of interest here to research how Academy visions have developed. Are they sudden illuminations or jigsaws?

Schools reflect values in society, indeed they "owe their existence to the fact that society values education" (Halstead, 1996 p.3). Values in society are not uniform and different groups may have different values but have legitimate claims to impose their values on education eg teachers, parents, employers, governments. These values are wide ranging and may often be in conflict. The values of a school are reflected in such things as its curriculum and discipline procedures as well as relationships. Halstead believes there is "much disagreement about the term 'values'" (Halstead, 1996 p.5) but defines them as:

> "principles, fundamental convictions, ideals, standards or life stances which act as general guides to behaviour or as points of reference in decision-making or the evaluation of beliefs or action and which are closely connected to personal integrity and personal identity" (Halstead, 1996 p.5).

The question then is whose values does the school promote? One assumes the leader's values. There is empirical, albeit small scale, evidence that Headteachers' expectations for pupils and staff are framed by their own educational values (Campbell, Gold and Lunt, 2003). Halstead rhetorically raises the question of whether the values which we judge as worthwhile are "subjective or objective, relative or absolute" (Halstead, 1996 p.5)? There is a difference here between the values and the operational context of them that Halstead does not observe. The values themselves must be subjective and relative in that the school has made a choice of what it values, however in operation the values may be perceived as, and operationalised as, absolute and objective. The school may operate as though these values cannot be questioned, "it is not optional for teachers as to whether they can justify and explicate what they do in the classrooms with reference to purposes, assumptions about children's learning and underlying values or vision; it is an obligation" (Holmes, 1993 p.35). It will be of interest to know if there are any shared values in the vision of different academies; if there are a set of values that

are perceived to be absolute across a range of academies. In the context of academies who sets these values, the principal or the sponsor?

The leader themselves should appreciate their own values; what they perceive as important. In order for leaders to identify the '*what*' that needs to be done in a school and the '*how*' it will be done then the '*why*' it should be done needs to be established. Leaders will need to ensure that they know their own values that underpin their motivation (Bell and Harrison, 1995). However, the success of the implementation of the values requires the support of others; "managers quickly learn that it will never be sufficient for the vision, the dream, to remain at the level of personal belief, without shared commitment and workable structures to enable it to be achieved" (Bell and Harrison, 1995 p.2). The implementation of these values is often referred to as school Culture or Climate and this will be discussed later in this section. How schools share their vision is often with a Mission Statement.

2.4.3.1 Sharing the Vision: from Vision to Mission

This next section seeks to explore how vision is shared in schools, how leaders aim to enact their vision within others. This includes a critique of the role of vision and mission in schools.

Although there is a lack of empirical evidence to support or quantify the position, it is not unreasonable to suggest that many schools in England create a Mission Statement which sets out to clarify their vision. Mission statements are often brief in nature, varying from one or two sentences to maybe a couple of paragraphs; their brevity is a strength and a weakness. Once again the language is symptomatic of religious zeal: vision; mission. It is as though the leader is wishing to convert those who do not perceive the true righteous vision and the subsequent path to follow.

Strategic long-term planning commences with the vision (Conger, 1989). Clarifying the vision is an important part of strategic analysis and is important in directing the implementation of school change (Peake, 1994). Mission generation and maintenance aids planning, self-evaluation and provides a useful tool for marketing. From the onset mission planning ought to take all the opportunities and constraints that an institution brings in order to provide a "framework for planning and a vehicle for action" (Bell and Harrison, 1995 p.6). Vision building, in such things as mission statements, "permeates the organisation with values, purpose and integrity for both the what and how of improvement" (Fullan, 1995 p.iv).

The empirical work in this field are case studies which are often ethnographic in nature. The researchers are actively involved in creating and maintaining a vision. Typical are Brockley and Moorcroft (1999) and Bates (1999). Here the authors are reflecting on their own perceptions, it is their version of events when they were the key player in the action. Brockley and Moorcroft (1999) describe how their vision was developed through a stakeholder survey and subsequently the principles were embedded in the school's Development Plan. Bates (1999) describes her year as headteacher of a failing comprehensive. She cites the importance of vision to transformational change. "A vision must be based on the values of the school and incorporate beliefs of the fundamental nature of the school" (Bates, 1999 p.89). In explaining her actions she highlights how staff had a shared value of the importance trying to close the gap of social disadvantage experienced by many of their pupils. The school also possessed a strong ethos of equality of opportunity. These strengths were a starting point for the formulation of a vision for the school. The subsequent vision used these values as a basis for transforming the school.

2.4.3.2 Critique of Vision and Mission

There are researchers who are critical of the role of vision and the use of mission statements. Some question the ethics of value-imposition and urge restraint, seeking to clarify if leadership is about the imposition of values, "does an organisation have the right to manipulate individuals through imposed visions, to achieve its goals" (Bottery, 1994 p.128)? Here these questions become a Pandora's box for Bottery. However, Bottery's work compares organisations of business with educational institutions. Schooling is fundamentally about values. Others are sceptical about vision, particularly when the goal for subsequent planning is unclear, "conditions are ripe for policy pathos if visionary leadership becomes perceived as just another instrumental, externally-imposed, and unnecessary requirement" (Hoyle and Wallace, 2005 p. 139).

Hoyle and Wallace (2005) are particularly critical of mission statements. They believe that mission statements are of little use, that they exist more for compliance with external authority such as Ofsted than with true vision, "the discipline of brevity for vision statements forces them to be so general that most mean all things to all people and so challenge nobody's educational values" (Hoyle and Wallace, 2005 p.140). The examples they show are bland, can have many interpretations and maybe seek to bring universal agreement rather than adherence to the vision of the school, "we wonder whether the implicit goals of vision building.....offer at most..a rhetorical statement for OFSTED inspections" (Hoyle and Wallace, 2005 p.140). Such vision statements for Hoyle and Wallace are too vague and do not show how the vision is operationalised. Mission statements allow too much manoeuvre from staff and do not cause conflict, in fact they may be counterproductive in that staff may feel that time is best spent on other, more pressing, issues; "the very brevity of vision statements means that they are in effect a collection of slogans, their meaning assumed rather than defined, and so they appear

trite and unconvincing to staff who are expected to adopt them" (Hoyle and Wallace, 2005 p.141).

The Hoyle and Wallace examples are of poor mission statements, but their critique is seemingly of mission statements *per se*. One should not go from the specific to the general. Not all mission statements are 'trite', some may galvanise staff; they create a simple and easily cited purpose for the institution that they all belong to. Mission has been found to be a contributing factor to school success (Leithwood, 2005; Hallinger & Murphy, 1986). Successful reform though does not always begin with a clear aim and mission.   For Fullan (1993) the mission needs to be broad based and shared, however it may not always be at the beginning of change but developed along the journey.

Mission statements can bring a sense of belonging and service to the institution, though Holmes (1993) notes that a mission statement without a heart and soul is not a mission, "A school's vision is not simply about mission statements, about simple slogans. If the more profound sense of purpose is missing then the mission statement has "no meaning" (Holmes, 1993 p.18). There is a clear link here between vision and mission, it is the 'profound sense of purpose' (Holmes, 1993 p.18). The quality of school outcomes are particularly affected when the mission is aligned with school structures such as the curriculum and academic standards (Hallinger, 2003; 2011) and mission affects teacher and student behaviour and the learning climate (Murphy, Yff & Shipman, 2000).

Hoyle and Wallace go further in not seeing a useful role for vision in school improvement. They question the role of vision in school improvement, "vision-building in the UK school context seems hardly necessary as a starting point for improvement planning and action"

(Hoyle and Wallace, 2005 p.140). This is in contrast with others in the field. They see vision building as a distraction and potentially counter-productive.

The use of mission statements by staff can lead to career fuelled insincerity and a designed-in "disjunction between the lofty aspirational rhetoric and the more humdrum organisational reality that is experienced" (Wallace and Hoyle, 2005 p.5). The unintended function of the mission statements then becomes one of creating a gap between ambitions and reality, there becomes a degree of organisational pathos where goals promise more than is experienced (Wallace and Hoyle, 2005). State education is, argue Wallace and Hoyle, essentially a conservative institution for social reproduction and cannot therefore transform society. School leaders are being asked to be engaged in *transmissional*, rather than transformational leadership. There is a limited capacity for any public service to "spearhead radical social change" (Wallace and Hoyle, 2005 p.11) due to more powerful forces that resist social change such as structural and economic ones. Here Wallace and Hoyle appear to see transformational leadership as transforming society as opposed to transforming a school. The notion of transmissional leadership is supported by Bush (2008) when he states that "governments would like schools to have visionary leadership as long as the visions do not depart in any significant way from government imperatives" (Bush, 2008 p.2).

External influences on schools do not negate the importance of vision. "The fact that changes have been imposed on institutions in no way reduces the need for vision because, without it, planning becomes haphazard or disappears under the weight of day-to-day burdens" (Bell and Harrison, 1995 p.5). Wallace and Hoyle do not appear to appreciate the power of collective coherence to a single theme in creating change. There is significant momentum in adherence to a shared vision and mission. There is a spiritual element here that motivates the staff beyond the immediate, beyond managerial targets, particularly when there is difficulty in

progress. Mission reaches into the hearts and minds of staff: "in education, it is not uncommon for teachers to feel a "calling" to their work, again connoting a mission or moral challenge" (Hallinger and Heck, 2002 p.17). It is relatively easy for leaders to ensure staff comply with rules and procedures through threat or for reward and adherence to authority, but shared vision and mission appeals to a higher moral order that creates sustained improvement. The motivation becomes self-motivation, as the staff adopt the vision, which will continue even in the absence of authority. Holmes (1993) believes that mission statements are relatively meaningless. They are presented as the vision or aims of the school but have a different function. They provide reassurance and are necessary just as "fire regulations" are necessary. They do not represent educational vision. For Holmes it is the importance of the relationship between vision and values that is the key. The blockage in arriving at a clear sense of vision is due to a difficulty with education values. These may be dormant, or avoided but a leader in these situations will need to highlight them and use them to inspire the school. Values shape actions.

The vision and mission in an academy are expressed in the original Expression of Interest (EoI) from the sponsors to the relevant government department. This document states what the sponsors value. It sets out the vision, as the sponsors define it, for the academy. There is a whole section on ethos and vision within the template which sponsors complete. It is interesting to question if academies are involved in transmissional leadership as they require the formal consent of the government of the day. However, there are a whole range of values from different types of sponsors. Sponsors that range from philanthropic business people who believe in the importance of enterprise and that schools should serve it, to church groups to organisations such as the Co-operative Society. These groups will have different values and

different visions of a school. They do not appear to be transmitting governmental political values of the day.

Like Hoyle and Wallace, Stott and Walker (1992) question the use of mission statements which they describe as "endless and confusing lists of worthy aims, ideals and optimistic intentions, all based on a set of rather spurious educational aspirations" (Stott and Walker, 1992 p.50) and are of little use in planning. Although writing about Singaporean schools their research is valid in the context of English schools and, after empirical analysis, concludes that, "the issue of mission statements and their real benefit to schools is in a confusing state" (Stott and Walker, 1992 p.56). They see a purpose for mission statements and recommend regular review of them, this contrasts with Hoyle and Wallace who question what happens when a new leader is appointed, does the vision change?

All of the Headteachers interviewed in the landmark Headship Matters (Ribbins and Marland, 1994) talked "a good deal of their efforts to achieve a shared vision for the school" (Ribbins, 1995 p.260). Brian Sharratt talks of how, as Headteacher, he endlessly expresses the vision and values for the school and how teachers are unconcerned and wish to talk of greater practicalities.

> "They tend to say 'That's philosophy, it's nothing to do with....the realities of the job'; but it can be, and if they can see the principles which drive the way the institution wants to do things, and if this can be broken down into the things they do in the classroom and the yard...they will accept that this stress on values can be helpful" (Ribbins and Marland, 1994 p.170).

Here a Headteacher believes that the vision leads to ethos and culture creation. It is important for him to constantly reaffirm his beliefs and values to ensure the school is transformed, Ribbins believes that for Sharratt such daily action was "absolutely crucial" (Ribbins, 1995 p.260) in changing the school.

The literature on educational leadership and vision can be summarised by appreciating the role of vision in leadership from its definition: it is fundamental. Although there are concerns expressed in the literature on the effectiveness of vision and mission statements, nonetheless vision is seen as essential in strategic planning for the school. There are different definitions of leadership and the one accepted here includes the words, 'vision' and 'influence' over others. The literature includes work that analyses leadership-follower relationships as extremes of 'autocratic' and 'laissez faire'; these concepts may be useful in discussing academy principal-sponsor relationships.

2.5 School Ethos and Culture

2.5.1 School Ethos

The literature on the issues of school ethos and culture refer to its importance in school effectiveness. Typical is the then Department For Education and Employment's, *Schools Building on Success* (Department For Education and Employment, 2001) which states that, "… evidence suggests that schools with a strong sense of identity or ethos perform best" (Department For Education and Employment, 2001 p.17) though the evidence isn't directly cited. Hopkins (1994) believes that school culture is the vital, yet neglected, dimension in the improvement process, blaming the failure of school improvement initiatives on ignoring the culture of the school in favour of concentrating on discrete projects with measurable outcomes. There is a value in understanding a school's ethos because it isolates the factors which are likely to foster school effectiveness (Donnelly, 2000). There is a sense that ethos and culture are important but there is a lack of empirical research to qualify what ethos and culture actually are let alone quantify their impact.

The studies of school ethos and culture are blighted by a lack of definition of terms, this is compounded by several different terms used in the literature. The terms ethos, culture, and climate are all frequently used, as Solvason puts it, "the terms ethos, spirit, climate, ambience and culture are often used interchangeably, or without appropriate definition" (Solvason, 2005 p.85). One article does not define 'ethos' yet uses it throughout the article and in the title; the authors appear to believe that we all know what it is (McNamara and Norman, 2010).

The notion of ethos is "notoriously difficult" to focus upon in schools and perceive its effect upon teaching and learning (McLaughlin, 2005 p.306). Despite this McLaughlin attempts a definition:

> "an ethos can be regarded as the prevalent or characteristic tone, spirit or sentiment informing an identifiable entity involving human life and interaction (a 'human environment' in the broadest sense) such as a nation, a community, an age, a literature, an institution, an event and so forth. An ethos is evaluative in some sense and is manifested in many aspects of the entity in question and via many modes of pervasive influence. The influence of an ethos is seen in the shaping of human perceptions, attitudes, beliefs" (McLaughlin, 2005 p.311).

It appears that ethos is felt rather than described. It is to do with the interaction of people; it is to do with interpersonal relationships. There is an intended or sometimes aspirational ethos and an ethos that is experienced. There are in-built tensions between these two sets of ethoi (McLaughlin, 2005; Donnelly, 2000). The role of the leader is to ensure that the experienced is the intentional. "An ethos must be in some sense substantive..... it exerts its influence in an indirect and sometimes non-transparent and even unconscious way" (McLaughlin, 2005 p.321). Its educative importance for McLaughlin is manifest. Too often ethos statements that exist in professional contexts are superficial and a greater critical exploration and justification

of the meaning of ethos in a classroom context and its effect upon educational achievement and influence is required.

The definition of ethos can fall into two camps (Donnelly, 2000). The first is that there is a social reality and ethos exists independently of the people. An organisation sets an ethos and can subsequently change it. The second camp perceives ethos as something which is more informal, emerging from social interaction and process. In this definition ethos is not independent from the organisation but is a product of it and may take a period of time to create. This difference will affect how a school creates and realises its ethos.

In the situation of academies, the ethos is initially generated by the sponsors and it therefore must be the former definition, it may not be a product of the school members in the same way. The school members' role may become one of internalising the ethos, reinforcing it and implementing it, not generating it. It will be of interest to discover to what extent the academy sponsor dictates an ethos.

Donnelly fails to realise here that ethos change has many players. When she refers to ethos existing independently in reality she is referring to schools with an established, long-holding, ethos. This does not mean that it cannot be changed. There are many actors who may affect the ethos, the task for ethos change is knowing who changes what and when.

Solvason (2005) believes that 'ethos' is about the 'feeling' of the organisation its 'character' and that when people refer to 'ethos' they often mean 'culture', "culture is the basis on which the day-to-day life at the school is built" (Solvason, 2005 p.85). The ethos then becomes a product of the culture which is "deeply embedded in its history: beliefs, values, choices made, traditions" (Solvason, 2005 p.86). School culture is tangible but ethos is nebulous. For

Solvason we "recognize and comprehend the school culture, whereas we experience the ethos" (Solvason, 2005 p.87). Though of course in academies the EoI, with its Vision and Ethos section, is created before the academy opens; the ethos is predating the culture. Are the sponsors setting the culture as opposed to ethos?

For the purpose of this study ethos is defined using the definition from McLaughlin (2005), being a "characteristic tone, spirit or sentiment informing an identifiable entity involving human life and interaction". In this situation the 'identifiable entity' being a school; it is to do with Solvason's (2005) 'feeling' and 'character' of the school.

2.5.2 School Culture

For the purpose of this study school culture is defined as:

> "the underground stream of norms, values, beliefs, traditions, and rituals that has built up over time as people work together, solve problems, and confront challenges. This set of informal expectations and values shapes how people think, feel and act in schools. This highly enduring web of influence binds the school together and makes it special" (Peterson and Deal, 1998 p.28).

This can be recognised and can be perceived within a school. It is more unseen, though for Prosser (1999) it is "[the] unobservable force behind school activities, a unifying theme that provides meaning, direction, and mobilisation for school members" (Prosser, 1999 p.13). These values and beliefs are operational but may not be overtly stated. Peterson and Deal appear to perceive culture as a single coherent entity. It is appropriate to see culture as a much more complex and dynamic set of relationships than is offered by the terms climate or ethos (Glover and Coleman, 2005; Bell and Kent, 2010).

It is difficult to comprehend 'sub-ethos' and clearly there are different sets of values and norms that people operate within a school; there are sub-cultures. This thesis agrees with Solvason when stating that often people are referring to culture when they use the term ethos. Glover and Coleman (Glover and Coleman, 2005) in their review of the terms culture, climate and ethos conclude that, within the context of national boundaries, there is a tendency to use climate when objective data is being analysed, ethos when subjective information is being considered and culture when the two are brought together in a single entity.

Culture, "defines reality for those within a social organisation, gives them support and identity and creates a framework for occupational learning. Each school has a different reality or mindset of school life, often captured in the simple phrase 'the way we do things around here'" (Stoll, 1998 p.9). A school culture can support or inhibit school improvement.

Research has attempted to clarify how culture can be observed in a school context. MacGilchrist, Reed and Myers (2004) identify three ways in which school culture is expressed in day to day life. The first of these are professional relationships, the way in which teachers interact and relate with each other and with pupils, the second is to do with the organisational arrangements and procedures and policies. The third way is the school curriculum in its widest sense, including the opportunities it creates. These observations though are fraught with observer-led judgments that may mean the research becomes less valid.

Bell and Kent (2010) propose a significantly improved model of school culture one which "recognizes the dynamic and the importance of both external and internal organisational

forces in shaping the culture of schools" (Bell and Kent, 2010 p.12). The model consists of five key elements that makes this model sophisticated and can be applied to different situations. The five key elements of school culture are:

- the internal organisational culture of the school; its values and ideals;
- the existence of subcultures and the relationship that develops between the central, prevailing culture and those that diverge from it;
- the dynamic relationship between leadership, learning and culture;
- the external culture—the ways in which society outside the school influences the development and formation of culture within the school;
- the impact of cultural change. Culture change can inhibit school improvement in addition to creating it.

Figure 2.1 shows a pictorial representation of the jigsaw puzzle model.

This model, unlike others (Stoll, 1998; McLaughlin, 2005; MacGilchrist et al., 2004; Peterson and Deal, 1998) recognises the importance of external factors and the competing conflicts of school subcultures. Bell and Kent propose a jigsaw puzzle model which they believe challenges the assumptions of the 'school improvement movement' that leaders have the ability to transform the culture of schools. They believe that their research "shows that the relationship between leaders and transformation is much more problematic than writers...appear to assume" (Bell and Kent, 2010 p.30). Analysis based on the jigsaw puzzle model shows that a complex relationship exists between leaders and transformation. "The ability of leaders to transform culture is limited" (Bell and Kent, 2010 p.31).

Figure 2.1 The Jigsaw-puzzle model of school culture (Bell and Kent, 2010 p.13)
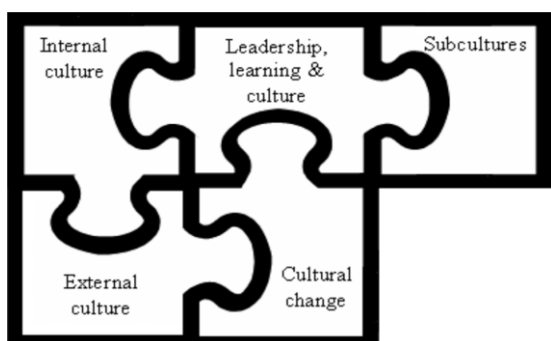
Bell and Kent make large claims for what is a small scale study, one boys-only grammar school with a shared girls 6th form (n= 240 for questionnaire, 4 for interview). The study only involved 6th form, academically-able, students. Their perception could be different to other, less able students; a generalisation has occurred from a skewed sample. It is also the students' perceptions of the culture. However, they may not be fully aware of who influences certain events. Nevertheless, the research is important for the theme of this thesis; it gives empirical evidence that indicates culture is multifaceted and that the leader's role is only one of many players. The belief that a leader can simply change a school culture may well be naive. For effective cultural change the leader needs to aware of who are the key players in this culture-building and how they can contribute to the change required. The jigsaw-puzzle model is one that builds on previous work, is intellectually sound and of direct relevance to those who wish to change a school culture. However, the pictorial representation in Figure 2.1 appears to show that each contributing factor in school culture is equally weighted. Bell and Kent do not attempt to indicate any weightings on the influence, except to indicate that there are many gatekeepers to cultural formation and that they are not confined to members of the organisation. Leaders can still influence change but there are many factors that they may have restricted effect upon. "Leaders have the *main* responsibility for generating and sustaining

culture and communicating its core values and beliefs both within the organisation and to external stakeholders" (Bush, 1995 p.138) [my emphasis]. Bell and Kent's model does not negate the potential impact of leadership in school cultural change, but rather adds to the complexity in achieving it. This model, in its text components, rather than its pictorial representation can be used as an analytical tool for the data; it is an intellectual framework with which to compare and contrast my data.

We are clear now that vision, ethos and culture are all important aspects of school leadership. Although there are problems with definition and quantifying their effects, nonetheless most of the literature perceives these aspects as significant in building and sustaining an effective school. Therefore, the realisation of school vision, ethos and culture is an important research area.

2.5.3 Realisation of ethos, vision and culture

Often the research in the field of realisation of vision, ethos and culture is case study in nature, particularly author-led and not independently verified nor attempting at being objective. It is sometimes self-reflective. It may be even polemic, management-led directive as opposed to empirical research. This study agrees with Solvason (2005) that we "recognize and comprehend the school culture, whereas we experience the ethos" (Solvason, 2005 p.87), however the terms culture, ethos and climate are often interchangeable (Solvason, 2005; Glover and Coleman, 2005) so therefore for the purpose of this study the terms culture, climate and ethos may be taken as a single concept when analysing literature.

Moos (1979) defines school climate as the social atmosphere of the learning environment in which students have different experiences according to the protocols set up by teachers and administration.

Although the three terms, ethos, culture and climate can be shown to have different definitions, often in the literature there are used interchangeably. This is particularly problematic with investigating the operational changes in ethos, culture and climate by school leaders. For the purposes of this thesis, therefore I am using ethos, culture and climate as a single concept defined as:

> A social atmosphere, characteristic tone, spirit or sentiment informing an identifiable entity involving human life and interaction. It involves norms, values, beliefs, traditions and rituals. Ethos, culture and climate shapes human perceptions, attitudes, beliefs on how people think, feel and act within a school (following Moos (1979), Peterson and Deal (1998) and McLaughlin (2005)).

To not take these as a single concept, when investigating and analysing data, may result in lost information. Participants may not refer to salient data due to a misunderstanding of terms. A single concept allows for greater detail in the data collection creating a rich description. Equally the literature, for assistance with analysis, may be too restrictive if this single concept is not held. If participants in this study, or in the literature, are actually referring to culture for example when asked about ethos, as Solvason suggests, then it is important that empirical work, such as this thesis, acknowledges this issue.

The involvement of a large group of staff is key to change in some studies (Brockley and Moorcroft, 1999; Wood and Millichamp, 2000). Here the headteacher will lead to all staff and the vision and values are embedded into the School Development plan; steps are planned and managed. Green (2009b) describes how a CTC school with 'bible-based Christian ethos' was

operationalised through a set of seven Core Values such as 'honourable purpose' and 'humility'. These values are not specifically Christian and as Green notes this is "surprising" (p.201), they are general values that could find themselves in non-Christian schools. Senior staff at the CTC supported the concept of ethos generation through the seven core values. Pupils at the school were given cards to carry in their pockets that contained the seven values.

In describing his quest for implementing his vision, Barker (1999) comments "in awe of our vision, we forget how much depends on sustained hard work, careful organisation and boring attention to detail" (Barker, 1999 p.77). He is reflecting on how vision creation requires significant management time; it is not a straightforward task. If "vision-building permeates the organisation with values, purpose and integrity for both the what and how of improvement", (Fullan, 1995 p.81) this is surely a significant workload task.

Fullan's work is often punctuated by small scale practical empirical references though the feel is sometimes of the anecdotal. He emphasises the role of teacher change to sustain a culture of learning amongst the students. It is about a much bigger picture of working conditions and structure. It is about hearts and minds (Fullan, 2007). Vision building is interactive; it's a two-way process heavily dependent upon empathy and listening. It should be something lofty but also have a concrete base (Fullan, 1992) although he warns, through examples, where vision alone is not enough, where principals have avoided conflict showing moral neglect (Fullan, 2003).

Practical strategies have been suggested for maintaining the vision in management-led books. Sometimes this is in a list formation of didactic advice, for example: leaders should question

themselves frequently; they should articulate the explanation of why any change is occurring and where that fits with the assumptions of what the school stands for; it's necessary to be clear which requirements are non-negotiable; leaders should welcome and encourage debate about values and vision in their school; the new vision should be embedded in writing and leaders should ensure no one is in any doubt what the school stands for (Holmes, 1993 p.34).

In the case of Holmes this is from the author's own experience in leading change but not based on empiricism. The key factor in turning a vision into a reality is getting the culture right (Wasserberg, 1999), this is an "endless and complicated process" (Wasserberg, 1999 p.164). Wasserberg continues to suggest four key elements for shaping the culture: the quality of relationships at all levels of the school; a clear focus on the quality of learning; the personal involvement and example of senior staff; and seeing leadership and management as organisational qualities to be encouraged in all members of the school.

These are important tasks for the senior leadership, Sergiovanni (1984) claims that the cultural maintenance is the most important aspect of leadership, more significant than the technical, human and educational aspects of leadership.

The marketisation of schools has occurred as they have shifted from an inward focus to one that is external, accountable and increasingly competitive (Foskett, 2002) as open enrolment and per capita funding has encouraged schools to compete. The leadership and management implications of this are that schools focus on the scrutiny of their performance as measured by such external agency as Ofsted inspections and examination results. Gerwirtz, Ball and Bowe (1995) describe the move from 'comprehensive values' to 'market values' and responding to the perceived market becomes part of the strategic planning of leaders (Davies and Ellison,

1998). Branding involves far more than visual signs such as logos and web sites it is about creating an identity in the mindset of the potential customer (Cucchiara, 2008). Branding creates an emotional connection with lifestyle and identity (Greenberg, 2000). Schools that have poor local status may need to re-brand themselves in order to increase their 'market share' of children. Cucchiara (2008) describes how schools in downtown Philadelphia attempted to re-brand themselves in order to increase the proportion of children from professional families. The concept of re-branding may be applicable to sponsored academy schools.

Solvason (2005) believes that 'ethos' is about the 'feeling' of the organisation its 'character' and that when people refer to 'ethos' they often mean 'culture'. The literature informs us that the terms, ethos, culture and climate are often used interchangeably. The terms ethos, culture and climate will be taken as a single concept for analysis and discussion. The jigsaw model of school culture could be used to enlighten the findings in this research. The idea of school branding has occurred from the marketisation of schooling and competition for pupil numbers. It may be useful to analyse the data in this research in light of branding and re-branding concepts.

2.6 Leadership of Academy Schools

From the outset the importance of leadership in academies was seen as a key to their success, Lord Adonis, a key architect in the early academy movement believed that, "independent management is vital to their success, generating ambitious school leadership and sponsorship - from within and beyond the existing state system - and with it a vision and ethos focused on rapid success" (Adonis, 2008b).

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There are six works that specifically refer to the leadership of academies (Davies and Macaulay, 2006; Macaulay, 2008; PricewaterhouseCoopers, 2008; 2011; National College, 2011; Leo et al., 2010). The belief is that academies are focused on Transformational Leadership and, for Davies and Macaulay (2006), "most significantly, transformation is about organisational culture" (Davies and Macaulay, 2006 p.5). A key issue from this research is for principals to be able to "re-engineer the organisational culture and the physical surroundings to 'create a sense of place' where learning can flourish" (Davies and Macaulay, 2006 p.16). Academy principals are quoted in the methods they used to create a transformational culture: changing teaching and learning; changing procedures and policies, changing the buildings. This cultural change is also about changing the expectations of pupils and the community, "this change in culture is also about linking the wider community" (Davies and Macaulay, 2006 p.16). The cultural change is also facilitated by the sponsors who "bring a number of assets and attributes" (Davies and Macaulay, 2006 p.17). One Principal describes how his sponsor brings an "outward looking perspective and a confident expectation that what he does can and should succeed. There is a genuine hunger and an expectation for success. This is what these kinds of people are used to in business which is why they are so successful themselves.....you know, we've got significant people from the world of sport and the arts as well as people with serious business and project management experience and I learn from all of this and have become more entrepreneurial in my approach as a result" (Davies and Macaulay, 2006 p.16). This exploration of cultural change is more in fitting with Bell and Kent (2010), in that it is multifaceted and dynamic.

Macaulay (2008) interviewed twelve academy principals. She was concerned with investigating issues in leading that were specific to academies, what specific problems had

new principals faced and what skill set was required to address them? Macaulay found that all the principals had unwelcome attention from the media and that they need to be politically aware at a micro and macro level. Political and entrepreneurial leadership skills were more marked that in maintained schools. Macaulay, an academy principal, focuses on the leadership role of the principal. She is somewhat dismissive of the influence of sponsors, "the reality is that, in most cases, academy principals are also the chief executives of the academies they lead and have full, devolved powers to run the schools, whilst the role of the sponsor(s) is typically to offer support and expertise in areas pertaining to their personal field of specialism" (Macaulay, 2008 p.5). Macaulay cites no evidence for this statement. This work, written in the summer of 2007, refers to early academy principals, in particular pre-chain academies. All of the academies had been open for at least three years at this stage. These principals, all of whom had been headteachers in previous schools, may well have been offered greater autonomy. Macaulay's research does not investigate the interplay between the sponsor and the principal nor the development of ethos and vision.

The development of the academy programme has affected the conceptualization of leaders and leadership of education. The original academies were often sponsored by philanthropic businessmen and were Business Specialist schools (Curtis, 2009). Writing from a perspective of the United States, Hentschke (2009) refers to entrepreneurial leadership and entrepreneurial leader characteristics such as risk taking increasing in the education system. There are a variety of forces that are increasingly favouring entrepreneurial leadership which is increasing the number of forms of schooling, such as Charter Schools. There is a desire to increase the level of entrepreneurialism in all schools in England (Woods & Woods, 2009). Woods, Woods and Gunter (2007) created a typology of entrepreneurialism in academies, with four types. This was further tested in a case study (Woods & Woods, 2009). Here the concept of

entrepreneurialism is being redefined, away from the business model of individualistic business related model to a "wider conception that incorporates ethical concerns, social issues and student participation" (Woods & Woods, 2009 p.129). The articles by Green (2009) and Pike (2009) both indicate an academy which has a large input into its ethos from the sponsor, indicating a role in leadership.

In the early academies the autonomy that principals had was perceived as a strength. Academies have freedoms in leadership that the autonomous nature of academies brings (Curtis et al., 2008). However, the irony here is that increasingly, with the development of chains, this autonomy may well be restricted for a given principal. Early academy sponsors, particularly those with a business background, contributed a network that only powerful business people in the community could bring that would benefit the school. Leo *et al.* (2010) report that principals of academies see themselves as having a greater freedoms compared with headteachers in maintained schools as long as there are no concerns, otherwise their post is under threat. The multifaceted leadership of academies is summarised in Figure 2.2

Figure 2.2 Analytical Model of Academy Leadership (National College, 2011 p.4)
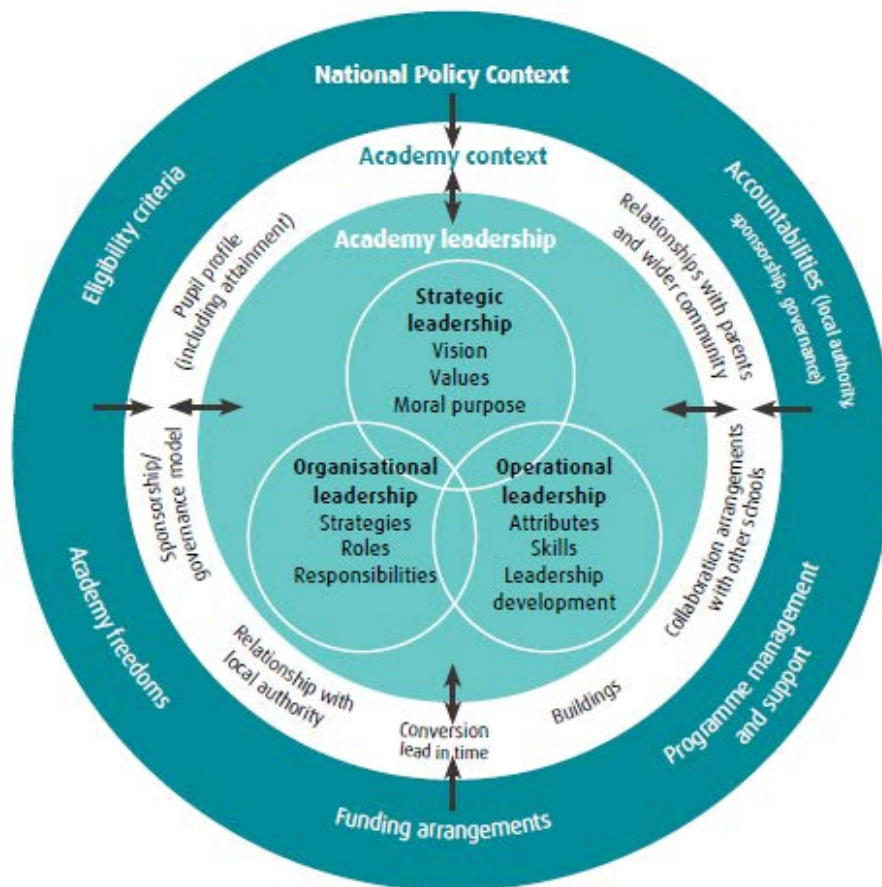
This model pulls together a variety of leadership aspects: strategic; organisational and operational. They overlap and draw on and are influenced by a whole host of external factors such as finance, buildings, the pupil profile and relationships with the community. This model contrasts with a more simple one in Figure 2.3 from Day *et al.*. In Day *et al.*' s (2010) work such facets as restructuring the organisation are peripheral and do not appear on the diagram reproduced as figure 2.3; academies could well be more complex institutions to lead.

Figure 2.3 The dimensions of successful leadership (Day *et al.*, 2010 p.4)

Most respondents in a National College survey (National College, 2011) indicated that the sponsor contributed to the academy. 71% believed that sponsors gave access to new networks, whilst 70% felt they contributed to the ethos and values of the academy (National College, 2011 p.5). The Governors of the Academy "played a key role in both setting and communicating the new vision and ethos of the school" (National College, 2011 p.6). Although the sponsors have the legal right to determine the ethos and vision in an academy it appears that their role diminishes with time. The number of staff who agree that the sponsors

have the main say in establishing the academy's vision fell from 42% to 30% over a five year period (PricewaterhouseCoopers, 2008 p.115).

The opportunity to rethink a school's vision and ethos was a prime motivator for principals taking up posts (National College, 2011). The values and vision of an academy reflected the school's reasons for becoming an academy. The primary aim of sponsored academies was raising pupil attainment, though most leaders (68%) referred to this as their biggest challenge (National College, 2011 p. 55). The subsequent challenges for these leaders is to revisit the strategic direction of the school, its policies and realigning leadership structures (National College, 2011 p.34), the focus being one of developing and delivering a transformational vision for the academy.

Research has indicated that leadership structures in converter academies were more traditional whilst in sponsored academies there were a range of leadership models (National College, 2011). The leadership model appeared to be based on the academies context, "in relation to organisational leadership, the research confirmed that the leadership model in sponsored academies was influenced by the sponsorship model; in particular, whether the academy was operating as part of a chain, or was a free-standing academy trust" (National College 2011 p.74). Models occurring range from system leadership to those of a collegial nature.

System leadership is an example of a formal leadership model (Bush, 2011). Such models treat organisations as hierarchal, heads or principals have authority due to their position. In a system the sub units of the organisation have links to each other e.g. departments within a school. System models emphasize the unity and coherence of the organisation as a whole and how the interaction of components work together. For Bush (2011), there are closed and open

systems depending upon the boundaries with the organisations' environment. Networks and federations of schools would be open systems with staff working on common objectives. Bush (2011) though offers caution that schools are not "highly developed machines" but rather "complex human organisations" (Bush, 2011 p.47). School system leaders can be defined as those who work beyond their own school with an increasing number of differing leadership roles occurring from executive headteacher, to a School Improvement Partner, to national and local leaders of education (Hill, 2011).

The concept of collegiality is one whereby leadership is shared and policy is arrived at through "discussion leading to consensus" (Bush, 2011 p.72). These models are more apparent in primary schools than secondary (Bush, 2011) and particularly have common agreed goals and structures such as working committees to enable consensus. Two particular models of leadership, Transformational and Distributed have "links to collegiality" (Bush, 2011 p.84). Transformational models involve building vision, establishing goals, modelling best practice, having high performance expectations and developing structures to foster participation in school decisions (Leithwood, 1994). Some concerns arising from the transformational model though include the idea that it is too hierarchal for contemporary society and has an ethical deficit (Woods, 2005) and that the notion of too much power rested in the headteacher with the possibility that leadership becomes 'despotic' (Allix, 2000). The concept of distributed leadership has gained ground in the early years of the 21st Century, representing "one of the most influential ideas to emerge in the field of educational leadership in the past decade" (Harris, 2010 p.55). Harris (2010) characterises distributed leadership as a "form of collective leadership" (Harris, 2010 p.14) and that collegiality is at its "core" (Harris, 2010 p.15). For Bush (2011) it involves both lateral and vertical dimensions of leadership practice whilst Woods (2005) believes that it "acts as a conceptual counterweight to the over-

reliance of the 'heroic' leader...(and) gives impetus to opening the boundaries of leadership beyond those in formal leadership positions" (Woods, 2005 p.23).

To summarise the leadership of academy schools in the literature is sometimes portrayed as transformational, however system leadership and the concept of collegiality all appear to be discussed. It will be useful to look at the data in light of these concepts.

2.7 Chapter 2 Conclusion

This Literature Review has concentrated on four aspects of academy schools. Following an explanation of academy schools, I undertook an exploration of sponsors and sponsorship. The final two aspects were those of educational leadership and the literature on school ethos, vision and culture. This was put into the context of academy school leadership.

There are a wide variety of sponsors of academies, these have changed over the decade of the initiative. The PwC typology of sponsors is insufficient, a more refined one is offered by Curtis (2009). There is now a reduction of philanthropists in the proportion of sponsors, although some new academies have philanthropic sponsors. Faith organisations are the largest single group (solely Christian) of sponsors. There has been a growth in academy Chains. Chains are run by philanthropists and Faith groups, though philanthropists may have a faith background (Emmanuel, Grace). There is also an increase in co-sponsorship where two or three sponsors combine.

The nature of sponsors further changed with the removal of the £2m endowment. Institutions such as Universities, FE Colleges and even LAs themselves are now sponsors or co-sponsors. The proportion of such sponsorship is increasing. However, fundamentally the bidding

process has not changed, the sponsors still create the academy initially and set its aims, ethos and vision: they appoint the principal.

The motivation of sponsors varies, from "giving something back", to evangelical Christian beliefs. Some argue that the nature of academies has fundamentally changed due to the change of sponsors. The literature on sponsorship tends to focus on philanthropists or faith based groups. There is little, if anything, referring to state-funded sponsors.

Historically schools in England have not been led and managed by the state. Churches and Philanthropists organised schools, particularly no-fee schools. Although the Education Act of 1870 provided free state education, the state wasn't the main provider until into the 20th Century.

The literature review increases further questions that can be posed; there is a lack of academic research on the area of academy sponsorship.

What motivates sponsors? Are there similar themes within the typology, or do each type have their own, unique, motivation? To what extent are sponsors involved in ethos and vision? To what extent are sponsors involved in the curriculum- how is the curriculum shaping the vision? How does the sponsor perceive the working relationship between the sponsor and principal? These questions are some of the areas that are developed in the later sections.

We have seen then that vision is an important part of school leadership; it is a key word in the definition of leadership, as Holmes (1993) concludes, "If vision without leadership is inconceivable as a route to effective schooling then leadership without vision is to rely so much on ad hoc and pragmatic rationalization that no planning for meaningful futures is possible" (Holmes, 1993 p.38).

The creation and maintenance of ethos and culture are fundamental to school leadership. The terms, culture, ethos and climate are often used interchangeably. People are referring to culture often when they use the term ethos. Bell and Kent (2010) provide a useful model, initially in the form of a jigsaw, that can be used as a conceptual framework with which to analyse the data.

Leadership of academies is more complex than that of maintained schools with principals dealing with a wider range of leadership issues. In academy schools there is a clear dual leadership role. The sponsor creates the vision and ethos of the new school, often before the principal is appointed. It is required in the initial stages of bidding for an academy. Research shows that sponsors may create vision and ethos but principals implement it. Most of the research was conducted on early academies where principals may have had greater autonomy; particularly the formation of chains of academies may reduce individual principal autonomy. Only one work (Leo *et al.*, 2010) specifically refers to ethos and culture and the role of academy sponsors. It is unsurprising then that there is a need for research into leadership of academies. The role of sponsors and the leadership of academies are two areas suggested that further research is required (Woods and Woods, 2009). The key concepts of leadership models, including collegiality, vision, ethos and the role of sponsors in developing these are all carried forward to enable discussions of the data generated in this research.

This Literature Review has assisted in developing the research questions and provides a path on which to analyse the interview data. There is limited data in the literature on key issues of sponsor motivation, sponsor and principal roles and how academies have attempted to realise their ethos and vision. It will be of interest, in Chapter 5, to compare the data from this project with that available in the literature.

Chapter Three: Research Design

Table of Contents

3.1 Introduction

I this chapter I shall be exploring and critically evaluating the methodology and methods of my design. As a precursor to this I wish to place the research design in a wider framework and give my philosophical stance; the nature of the knowledge gained. After an overview of the management, how the data is collected, of the project I shall conclude with how ethical issues that arise from the project have been addressed.

3.2 Wider Frameworks

It is useful to place the design of this thesis in a wider research framework. The work of Wallace and Poulson (2003) and Gunter and Ribbins (2002) are exemplars of the wider frameworks that researchers in the field operate in. Wallace and Poulson (2003) postulate five different 'intellectual projects', a typology of knowledge: knowledge for understanding; knowledge for critical evaluation; knowledge for action; instrumentation and reflexive action. The knowledge gained in this thesis is 'knowledge for understanding'.

The knowledge produced here also follows in the humanistic tradition of Gunter and Ribbins (2002) who give five knowledge domains: conceptual; critical; humanistic; evaluative and instrumental. The humanistic domain is to do with lived-lives and experiences as opposed to other domains which ask philosophical questions, measure effectiveness or prescribe actions for change. Humanistic research, "seeks to gather and theorize from the experience and biographies of those who are leaders" (Ribbins and Gunter, 2002 p.375). The work is often literary and may contain exemplars from other fields to act as verification or aid description. In this thesis I am interested in investigating leadership through the words of those who are leading academy schools. It is their descriptions of their experiences. The model is not

designed to improve policy and practice rather to illuminate the knowledge base in this under researched area.

3.3 Philosophical Approach

Truth, according to Newby (2010), is 'central to the notion of research' (Newby, 2010 p.92). The task of researchers is to uncover the truth and convince others that their results are not 'false and that their conclusions are valid' (Newby, 2010 p.92). It is therefore important for researchers to appreciate how they know the truth, how they know what they know. For some researchers there are only some ways of how we gain knowledge that are worthwhile. This idea of how we gain what we know is referred to as epistemology.

Cohen, Manion and Morrison (2007), believe that "ontological assumptions give rise to epistemological assumptions; these, in turn, give rise to methodological considerations" (Cohen et al., 2007 p.5); there is a clear connection and thread. Epistemology is central to research; it's about how we view the world, the nature of knowledge. Education researchers bring a set of underlying beliefs to their work. Epistemology is about the nature of knowledge and how it is acquired. The underlying assumptions that researchers have affects how they then go about gaining knowledge and what type of knowledge is worthwhile. If researchers feel that knowledge is objective they may then observe and feel that they can be independent of events using methods of the natural sciences. To see knowledge as subjective and personal means that researchers may reject the methods of natural sciences and see themselves as part of the study.

Assumptions of an ontological nature are about reality, is it external to individuals or a social construct? It is a nominalist-realist debate. Realism accepts that objects are independent of the knower. Nominalists on the other hand believe that the social world is socially constructed

and are not independent of the knower. Epistemology is the study of our knowledge of our world, ontology is the study of what there is or what exists in the social world. We define a world ontologically but the approach we take to investigate it, the how, is epistemology. As Thomas (2009) points out "If *ontology* is the study of what there is or what exists in the social world, *epistemology* is the study of our knowledge of the world. How do we *know* about the world that we have defined ontologically?" (Thomas, 2009 p.87).

Ontology helps us understand that there are different ways of viewing the social world, "it is different ontological positions which lead on to the different paradigmatic positions" (Thomas, 2009 p.86).

Paradigms are about how we seek knowledge. Within a paradigm knowledge may not always be questioned and alternatives not sought; knowledge is accepted. The major work here is Kuhn (1970). He was writing particularly about physics and scientific methodology; that there is a sociology of how science operates. He suggested that traditional ways eventually give rise to new ones. Morrison (2002) suggests that ontology is "a range of perceptions about the nature of reality" (Morrison, 2002 p.11). In making sense of the research information and transforming it into data, researchers draw upon a set of beliefs or a paradigm; how it might be "patterned, reasoned and compiled". It's a "consensus" (Morrison, 2002 p.12). Bassey (1999) defines a paradigm as:

> "a network of coherent ideas about the nature of the world and the function of researchers which, adhered to by a group of researchers, conditions the patterns of their thinking and underpins their research" (Bassey, 1999 p.42).

However, paradigms have come to mean something different in the educational world than it was for Kuhn's meanings:

> "In the educational community, 'paradigm' is often used to describe a set of ontological and epistemological suppositions within which research is framed. For

Kuhn, by contrast, a paradigm is an example of good practice, which must be used directly as a concrete model of competent work" (Thomas, 2007 p.90).

Two contrasting paradigms are those of Positivism and Interpretivism. They have a different set of ontological premises. Positivism has a greater belief in the scientific method and often uses quantitative data in its method. Interpretivism, however is more qualitative in data collection and interprets the world as opposed to the belief in the objectivity of positivism.

Supporters of positivism believe that science and the scientific method is the best way to investigate the world and is the highest order of knowledge. This way of looking at the world is directly applicable to the social world so we refer to the social sciences. Positivists believe that knowledge can only be gained from what is verifiable, what is gained from experience or is empirical. The knowledge is often quantifiable and can be generalised into different situations.

Although the positivist way of producing knowledge has been successful, nonetheless it has engendered criticism. The perception of it is as mechanistic, only valuing the measurable and quantifiable. Life is then viewed as a machine rather than a living, choice-enabled person. This dehumanises the human experience. Science is seen as separate from our true self; the search of objectivity only takes humans away from our true self that is consciousness. Consciousness ought to be placed at the core of all intellectual activity. Ions (1977) expresses concern over the dehumanizing effects of quantification. Quantification can become an end in itself and run the risk of depersonalization. Habermas (1972) is cited by Cohen et al (2007) as providing a "corrosive critique of positivism" (Cohen et al., 2007 p.18). As the scientific is seen as the only epistemology of the west, it neglects "hermeneutic, aesthetic, critical, moral, creative and other forms of knowledge" (Cohen et al., 2007 p.18). In the early twentieth century there was a rise in anti-positivism, the critique held by researchers who

wished to perceive the individual at the core of their research; those that operate in an interpretive paradigm.

This thesis is qualitative work; it is interpretive in its outlook.

3.4 Research Strategy

The research questions within this thesis are about peoples' motivations, about peoples' values. Such research is likely to follow a post-positivist stance. Educational research has to be carried out with people and should be grounded in peoples' experience. For interpretivists the truth is not 'out there' but rather is socially constructed. The researchers realise that they are part of, rather than independent from, the research. The researcher and the researched have impact on each other.

For those using interpretivism, knowledge is socially constructed. It cannot easily be quantified. We are interested in people and people to people interactions. We cannot be totally objective, individual variables cannot be isolated and tested. Thomas (2009) believes an interpretivist "will be listening and watching naturalistically, and in all of this listening and watching you will be using your own knowledge of the world...you'll be acknowledging that in doing this kind of illumination, our personal selves-our opinions, intentions, likes and dislikes-are an essential part of what we hear and see" (Thomas, 2009 p.76).

Interpretivism has a relationship with qualitative research. Morrison (2002) believes that "for an interpretivist there cannot be an objective reality which exists irrespective of the meanings human beings bring to it" (Morrison, 2002 p.19). Qualitative researchers pay attention to detail and interpret the world as they see it. They describe the world in a holistic way.

Interpretive approaches have features such as that people are active, not passive recipients like positivists believe; situations are fluid. People define their social world and subsequently act on it, whether they are real or not the consequence is real. Social situations are complex and involve many variables that cannot be investigated independently. Researchers should observe the world through the perceptions of the participants rather than their own. Efforts are made to get inside the person and understand their world as opposed to an external pre-defined world.

One of the attractions for Thomas (2009) is the humility of the approach – it does not claim to have generalisation or causation. It helps to illuminate and, potentially, influence practice.

One critique of this approach is that subjective data from such studies could be misleading. Although there are concerns about the rigidity of positivist approaches to then abandon structure and rigour may in turn create a social science that is no different than literature.

The overarching strategy of this thesis is post-positivist, I am interested in why people have undertaken certain events and what their value. In an early article celebrating a post-positivist approach to researching leadership, Gronn & Ribbins state:

> "From Quantitative surveys claiming to represent principals' views generally, researchers typically extract composite accounts of key issues. But such approaches cannot offer rich and comprehensive understandings of the perspectives that principals bring to their work. Portraits in-depth of individual principals would, however, provide much fuller access to their views across a range of issues" (Gronn and Ribbins, 1996 p.460)

3.5 Research Methodology, Methods and Management

This thesis is in the context of academy schools; the methodology is a Nested Case Study where the case is that of academy schools. For Cohen et al (2007), a Case Study is "a specific instance that is used to illustrate a more general principle...it provides a unique example of real people in real situations" (Cohen et al., 2007 p.253). Case Studies opt for

analytical rather than statistical generalization and develop theory that can help to understand other situations. Case studies can establish cause and effect. Case studies are often temporal in nature, they are describing the here and now. Thomas (2011) refers to a specific example of multiple case studies as "nested case studies" (Thomas, 2011 p.152). Here each case is subunit nested in the unit as a whole. The researcher interest then becomes about the subunits, the whole unit and their inter-relationship. Nested case studies differ from multiple case studies in that in multiple case studies data can be compared between and among the cases but in a nested case study the "breakdown is *within* the principal unit of analysis" and "a nested case study...gains its integrity, its wholeness, from the wider case" (Thomas, 2011 p.153). This study is a nested case study. In this study the individual cases, the subunits, are each academy which sit in a nest by their academy type. The wider case is then all academy schools. All academy schools are a different case to maintained schools and although non-homogeneous, are distinct enough to be a case.

The advantages of case studies are that they are strong in reality; they are not an artificial experiment but rather an investigation into the real world. Their "peculiar strength lies in their attention to the subtlety and complexity of the case in its own right" and by "carefully attending to social situations, case studies can represent something of the discrepancies or conflicts between the viewpoints held by participants" (Cohen et al., 2007 p.256). Case studies can gain data that could be lost in a larger scale survey, data that exemplifies the situation and could be unique to the methodology.

Cohen, Manion et al (2007) also give potential weaknesses of case studies in that they may not be generalizable, are not easily open to cross checking and can be prone to the problems of bias. However, for Thomas (2011), this is a misnomer. He believes that when concerning inference, generalisation in all social science design frames is constrained. It is not a

weakness particular to the case study. The concept of induction which leads directly from generalisations in the natural sciences cannot be transferred to the social sciences. There are differences between the natural and social sciences.

> " The establishment of regularities, generalisations, laws, universals and theory in the induction of natural science is governed by exacting expectations and procedures that enable investigators to deal with exceptions, anomalies and idiosyncrasies and establish their credentials and significance as limiters to the power of generalisations. The problem is that, outside natural science, such expectations are unreasonable" (Thomas, 2011 p.211).

The limits on social science generalisations, due to the variability in social life, are such that the concept becomes meaningless. For Thomas, this negates the idea that case study is weak due to lack of generalisability as this argument fails to recognise the lack of induction in the social sciences generally. Rather the appropriate form of inference for the case study is abduction, "providing heuristics-that is, ways to analyse complexity that may not provide watertight guarantees of success in providing for explanation or prediction, but are unpretentious in their assumptions of fallibility and provisionality" (Thomas, 2011 p.212).

There is a distinction between *theory* and *phronesis* (Thomas, 2011). Theory follows induction it enables us to predict future events. If we have no induction and a lack of generalisation due to the variability of the social world, then we cannot create theory. Phronesis is about practical knowledge, judgements made on personal experience. Phronesis does not pretend to be theory, it cannot be knowledge that allows prediction in the same way. It recognises the tentative nature of conclusions and the provisional nature of any gained knowledge. This removal of a theoretical analysis of the case study has a consequence. The validation of case study does not come from reference to a body of previous gained knowledge nor does it allow theory to be generated from it. Rather its validation is from "the

connections and insights it offers between another's experience and your own" (Thomas, 2011 p.215).

The qualitative interview "attempts to understand the world from the subjects' point of view, to unfold the meaning of their experiences, to uncover their lived world" (Kvale and Brinkmann, 2009 p.1). Denscombe (2007) believes that "although there are a lot of superficial similarities between a conversation and an interview, interviews are actually something more than just a conversation" (Denscombe, 2007 p.173). They appear an easy option for a researcher but Wragg (2002) warns that "although apparently a natural means of communication and enquiry, [they] are in practice riddled with numerous pitfalls" (Wragg, 2002 p.143). Sample bias, loaded questions, the fact that the respondent may lie and the interviewer's image effecting the data, are all problems for Wragg. He is particularly concerned about validity, does the interview measure what it purports to measure and reliability; would a researcher gain the same information on a separate occasion? Silvermann (2006) is sceptical about interviews as a method. He points out that interviews do not give us access to the 'facts' and do not tell us "directly about people's 'experiences' but instead offer indirect 'representations' of those experiences" (Silverman, 2006 p.114). Table 3.1 indicates some of the advantages and disadvantages of interviews as a method.

Table 3.1 Advantages and Disadvantages of Interviews as a Method

Advantages
Its a flexible way of finding things out. Face to face allow for a change of enquiry, 'following up interesting responses and investigating underlying motives' (Robson, 2002 p.272). Open ended questions Flexible Allow you to go into more depth or clear up any misunderstandings Allow you to make a truer assessment of what respondent really believes Can produce unexpected or unanticipated answers High response rate- compared with say questionnaires Therapeutic – interviews can be a rewarding experience for informant. Personal element and

gives them feeling that they are being 'heard'.
Disadvantages
Time consuming – travelling, carrying out interview and in particular analysis.
Questionnaires are pre-coded, interviews are end-coded. Transcribing and coding is a major task for the researcher.
Data Analysis- method produces non-standard responses. Open format
Reliability – impact of interviewer and of context means that consistency and objectivity are hard to achieve. Unique to those individuals on that day.
Interviewer effect – data is based on what they say they have done rather than direct observation of what they have done. The two may not tally. It cannot be assumed that it is the truth.
Inhibitions- face to face & recording may inhibit the informant, it can be daunting for some people.
Time consuming – needs to be longer than half an hour to be of value (Robson, 2002 p.273)

Adapted from Denscombe (2007) and Robson (2002)

The face to face contact can provide a method for gaining rich data, a great deal is provided by this personal contact. Interviewees respond, 'in an entirely different way to a questionnaire'

There are essentially three types of interview, open, semi-structured and structured. An open or unstructured interview has a general area of interest but "lets the conversation develop within this area" (Robson, 2002 p.270) whilst the other extreme is the fully structured interview that is essentially an oral questionnaire often with "predetermined questions with fixed wording" (Robson, 2002 p.270). The technique used here is that of a semi-structured interview, whereby the questions may be fixed but the order and supplementary questions may be adapted for each respondent. This allows greater flexibility to gain data, particularly using probes and prompts. A probe is a "device to get interviewees to expand on a response when you intuit that they have got more to give" (Robson, 2002 p.276). Here the informant may mention something in passing which the interviewer wishes to explore in more detail. It may be "justifications, it may be elaboration it may be challenge inconsistency in responses" (Denscombe, 2007 p.191). This can be something of an art form, whilst prompts allow the

interviewer to suggest a range of possible responses when they do not respond. There is a danger with the latter that information is provided to the respondent that is not their thoughts.

The research interview is not a conversation between equal partners, it is often mentioned in the literature that the researcher controls what is discussed, they have the power, they control the agenda. This is a slightly naive approach – particularly when interviewing successful people. Kvale and Brinkmann (2009) refer to such interviewees as "Elites". These are defined as "persons who are leaders or experts in a community, who are usually in powerful positions" (Kvale and Brinkmann, 2009 p.147). The research in this thesis falls into this category. This becomes a different situation to most research due to "the prevailing power asymmetry of the interview situation may be cancelled out by the powerful position of the elite interviewee" (Kvale and Brinkmann, 2009 p.147). Kvale and Brinkmann indicate that elites are used to the situation of an interview, they often speak about their thoughts and ideas on subjects and it is likely that they would have spoken on previous occasions about the topic of the research. They are confident and may well set the agenda, rather than the interviewer. In this situation, according to Kvale and Brinkmann, it is important that the interviewer is knowledgeable about the topic and that they are prepared so that the interviewee does not feel that it is time wasted. "An interviewer demonstrating that he or she has a sound knowledge of the interview topic will gain respect and to be able to achieve an extent of symmetry in the interview relationship" (Kvale and Brinkmann, 2009 p.147). Elite interviewees will tend to have a secure status, so it may be feasible to challenge their statements, which may lead to different insights if the information is simply accepted. Such interviewees may have 'prepared statements' that they have used on previous occasions which "requires considerable skill from the interviewer to get beyond" (Kvale and Brinkmann, 2009 p.147). In this concept of an interview then there is dialogue, there is interjection and even agreement; the interviewer is

not passive. In this research I have used some of these ideas when interviewing, it was necessary to indicate my own knowledge and probe deeper into answers that the respondents gave.

Interviewing, for Kvale and Brinkmann, then is an active process where the knowledge is a product of the interviewer and interviewee. "Interview knowledge is produced in a conversational relation: it is contextual, linguistic, narrative, and pragmatic" (Kvale and Brinkmann, 2009 p.17). The interviewer and interviewee are co-constructors of knowledge.

The population within this case study is restricted to principals and sponsors of academy schools. It would not be possible to interview all principals and sponsors therefore sampling is used. The sampling technique used is that of purposive sampling. Here the researcher "deliberately selects [the sample] because they are seen as instances that are likely to produce the most valuable data. In effect they are selected with a specific purpose in mind, and that purpose reflects the particular qualities of the people or events chosen and their relevance to the topic of investigation" (Denscombe, 2007 p.17). The advantage of purposive sampling is that it "will provide enriched data and be more informative than other sampling methods" (Denscombe, 2007 p.17). Snowballing as a technique was also employed whereby some respondents assisted in gaining further respondents for the research.

This research involved interviewing principals and sponsors from the same academy. This allowed for some respondent triangulation which will enable an element of verification. However, although comparing interview responses may well provide triangulation it is not the primary function of the two interviews. The reason for two interviews is to gain two, potentially different, perspectives. These two interviews are different constructed realities.

The two interviews are not part of the design to create validity or reliability but they do contribute to the validity of the knowledge gained.

The sample contains a range of academy school types, this is not as a representative sample, to make generalisations across all academies, but rather as different cases in this nested case study; they give different data. Academies have a typology classification due to their sponsorship, therefore the range is taken from their sponsorship type. The sample is a purposive sample. The ten academies include one public sector sponsor, four from 'chains' who were founded by philanthropic sponsors, one from a faith-based sponsorship and two from successful school sponsorship and finally two from the category of international sponsorship. In all nineteen one-hour long face-to-face semi-structured interviews were held, nine academy principals and ten sponsor representatives. The sample is described more fully in Chapter 4, whilst in Chapter 6 I discuss some of the issues surrounding sampling issues in this research area.

It is important to prepare for the interview. Table 3.2 demonstrates how research questions can be turned into interview questions.

The interview questions arose from the literature review. They are designed to elicit data that will provide information for the research questions. Each question can be traced back to a research question. This idea was taken further to provide an interview schedule. An interview schedule, drawn up prior to the interview, "is a framework of issues, leading to possible questions, leading to possible questions, leading to possible follow-up questions, leading to 'probes'" (Thomas, 2009 p.164). Table 3.3 shows an example of an interview schedule with a sponsor.

Table 3.2 From Research Questions to Interview Questions (based on (Kvale and Brinkmann, 2009))
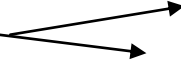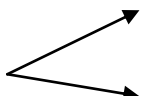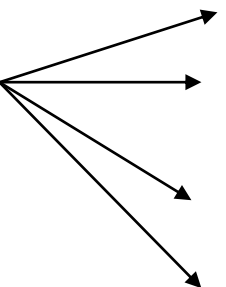
Research Question	Interview Question for Principals
1. What motivates Academy Sponsors?	Why did you become involved in an Academy? What do you feel are the main motivations of the Sponsors?
2. What are the leadership roles of the Sponsor and the Principal in an Academy?	In what areas of the development of the Academy do you see the Sponsor leading? In what areas of the development of the Academy do you see the Principal leading?
3. How is the Ethos and Vision realised in Academies?	How was the Ethos and Vision of the Academy originally decided? So how is that ethos and Vision practically realised in the Academy? Is through the overt Curriculum or is it more about values? Do you have any practical examples of Ethos & Vision being realised? What has been the Sponsors contribution in this area?

Table 3.3 Interview Schedule with Academy Sponsor (after Thomas 2009)

Issue/Topic	Possible Questions	Possible follow up Questions	Probes	notes
Sponsor Motivations	Why did you become involved in an Academy?	What were your main motivations?	Tell me more	
	How do more than one sponsor practically work together?	What about potential differences?	How might they be resolved?	
Leadership roles	In what areas of the development of the Academy do you see the Sponsor leading?	Any practical examples?	Go on...	
	In what areas of the development of the Academy do you see the Principal leading?	Is there any potential conflict between the two roles?	Can you tell me more?	
Ethos & Vision	How was the Ethos and Vision of the Academy originally decided?	Expression of Interest comment (this area will be specific to Academy)		
Ethos & Vision	So how is that Ethos and Vision practically realised in the Academy?	Is it through the overt curriculum or is it more about values? *Curriculum – greater En & Maths – why?*		
Ethos & Vision cont	Do you have any practical examples of Ethos & Vision being realised?		Could you give more detail? Who was involved?	
	What has been the Sponsors contribution in this area?		Who did you work with?	

3.6 Analysis

The interviews were analysed using a thematic approach. They were recorded and then transcribed. The transcriptions were analysed using the constant comparative method. This method "stands behind every technique in this [interpretative] paradigm" (Thomas, 2009 p.198) and involves repeatedly going through data. Table 3.4 outlines the stages of the method. From the constant comparison method emerge themes which summarise the data. Dye, Schatz, Rosenberg and Coleman (2000) use a useful metaphor, that of a kaleidoscope, where the pieces of coloured glass are the data and that the constant comparative method allows the researcher to create different patterns along the analytical journey. The themes were then mapped to show the interconnections between them. The technique of construct mapping (Thomas, 2009) was used to display the themes.

Table 3.4 Constant Comparative Method

1. Read all of your data: interview transcripts, diaries, notes etc
2. Read through your working files. As you are reading, underline or highlight parts that you think are important. As you proceed, you will get an impression of important ideas or subjects that are recurring. We can call these your temporary constructs.
3. Read through your files again, using the lists of temporary constructs to check against. Draw up a grid with the temporary construct on the left, and page references to where the construct is evidenced on the right.
4. Eliminate any temporary constructs that do not seem to be reinforced in the rest of the data. Though do not delete it as it may be a useful counter-example against the general theme.
5. Look through once more, refining those second-order constructs. Once you are happy that these capture the essence of your data label these as themes.
6. Think about the themes. How do they seem to be connecting together? What matches with what? Are there unanimous areas of agreement? Are there any contradictions or paradoxes?
7. Select quotations to illustrate the themes.

Adapted from Thomas (2009 p. 199)

Codes were used for identification. A code in qualitative research is "often a word or short phrase that symbolically assigns a summative, salient, essence-capturing, and/or evocative attribute for a portion of language-based or visual data" (Saldaña, 2009 p.3). Codes such as Leadership, Autonomy, Induction and Conflict were used. Initially quotes from the text were organised in Microsoft Excel using these codes which were also colour coded. The use of a spreadsheet package allowed further sorting and filtering to organise the data into more manageable emergent themes. One of the problems associated with interviews in qualitative work is that respondents do not answer in a linear fashion, they may recall additional material at a later stage in the interview, or on analysis a researcher may use data given by the respondent in answer to one question to enlighten a different research question. This coding and sorting allows the data to be manipulated in a way that brings to the fore its full richness. Emergent themes were then tabulated in Microsoft Word. In Chapter Four I present the empirical findings.

In Chapter Five I use the findings to map against previous work, in particular the Jigsaw model of school culture postulated by Bell and Kent (2010). This allows for further analysis within a theoretical intellectual framework. The constraints of this model are discussed and findings that would complement and contrast existing work, adding to the field of knowledge.

3.7 Ethics

Interview research is "saturated with moral and ethical issues" (Kvale and Brinkmann, 2009 p.62). It is not simply just the interview itself where ethical issues arise, but the whole study. These issues are summarised in Table 3.5.

This research project follows the British Educational Research Association guidelines (BERA, 2004; 2011). The proposal was subject to approval by the research ethics committee

of the University of Birmingham. This included clear guidance to participants and a signature of interviewees that they agreed to the tenants of the research. These included anonymity and a right of withdrawal. Interviewees were sent a transcript of their interview with the opportunity for them to disagree with any text.

Table 3.5 Ethical Issues At Seven Research stages

Thematizing. How the purpose of the interview, apart from gaining knowledge, contributes to the improvement of the human situation

Designing. Ethical issues here arise from obtaining interviewees consent, confidentiality and considering possible consequences

Interview Situation. The personal consequences for the interviewee such as stress need to be taken into account

Transcription. Here not only does confidentiality need to be taken into account but also that the text is a faithful transcription of the oral account.

Analysis. The ethical issues involved in analysis are how much interpretation is placed by the researcher and if the interviewee should have a say in the analysis.

Verification. It is the researcher's ethical responsibility to ensure that the knowledge gained is as verifiable as possible. This includes how critically the respondent is questioned.

Reporting. There is an ethical issue with regards to reporting a private interview publically and its potential consequences for the respondent

Amended from Kvale and Brinkmann (2009) p. 63

Macaulay (2008) describes the role of an academy principal as leading in the climate of close public scrutiny, her work is entitled, 'Under the Microscope'. Given this situation it is likely than some respondents may be guarded and that it was important to gain their trust and support. The questions, in part, were seeking information on the principal's employer, the sponsor and as such needed to broached in a manner that reflects this relationship whilst equally gaining a critically evaluative response.

An hour-long interview was important to gain the data in depth enough to be critically evaluative. For example, when asked about their autonomy directly the principal respondents were likely to state that they believe they are highly autonomous but then may refer to areas of the relationship with the sponsor where they have little negotiation at a later stage in the interview.

All of the cases in this study are anonymous, however as some of the cases are unique, they are readily identifiable. This concept was addressed with the respondents in two specific cases and they readily accepted this situation. These two cases were joining the Academy Programme in order to increase school diversity and parental choice; they were at a stage where they sought publicity.

One key ethical issue in research is that of funding and his project was part sponsored by two other research projects, one jointly from the National Research Foundation (South Africa) and the Vaal University of Technology (South Africa) the other from the British Educational Leadership, Management and Administration Society (BELMAS). Both of these projects required ethical clarification in order to gain access to the provided small scale funding.

3.8 Chapter 3 Conclusion

This chapter has sought to explain the design of this thesis. The research involves interviewing eight academy principals and ten sponsors. Epistemologically this work is operating in a post-positive paradigm; it is qualitative and interpretative. The interviews were transcribed and then analysed. A constant comparative method of analysis was used. Themes then emerged through the participants' responses, I compared the themes across different interviewees to seek answers to the research questions.

The research has sought and gained ethical review from the University of Birmingham Research Ethics Committee. It complies with BERA guidelines, participants gave written consent and had the right to withdraw.

In Chapter four I present the empirical findings of the data with emergent themes, these are then discussed in Chapter five in light of the present literature.

Chapter Four: Presentation of Empirical Work

Table of Contents

4.1 Introduction

This chapter describes the evidence gained from 19 interviews of key players involved in leading ten different academies. All of the academies were sponsored academies, there were two different academies from one academy chain, therefore nine different sponsors participated. For analysis the sponsoring organisation have been grouped into five nests. Each Nest consists of cases of academies that are similar due to their sponsor type: 'Successful' School Sponsorship; Faith-based Sponsorship; 'Chain' Sponsorship; International Sponsorship and Public Sector Sponsorship. The empirical findings in this chapter use the data gained from the interviews, it is the interviewees' voices, Chapter 5 then discusses these findings in the context of the literature.

The interview schedule was based around the research questions seeking data on the sponsors motivations, the roles of the academy principal and sponsor and finally how the academy has attempted to implement their ethos and vision. Before analysing the data it is useful to describe each of the academy cases within their nest, Figure 4.1 shows a diagrammatic representation of the Nested Case Study.

Themes arose from each nest and these are described and analysed with reference to interview data. This chapter is split into six sections, one for each nest and then one to look at the general outcomes of the study; themes across all five nests. In each section emergent themes are addressed within the three research question areas.

4.2 The Cases

The following section briefly describes each case within each nest, there is a fuller description in Appendix 4.

4.2.1 Nest 1: 'Successful' School Sponsorship

The first nest consists of two academy cases. The concept of 'successful' school sponsorship is whereby an academy is linked, and sponsored by, a so-called 'successful' school or organisation of 'successful' schools.

Case 1

The Academy is in a large midlands city, the sponsor is an education provider ▮▮▮▮▮ ▮▮▮▮▮▮▮▮ ▮▮ ▮▮▮▮▮

Case 2

The Academy is a school in the West Midlands, the co-sponsors are a ▮▮▮▮▮▮▮▮ grammar school and a ▮▮▮ company based in London.

Figure 4.1 The Nested Case Study
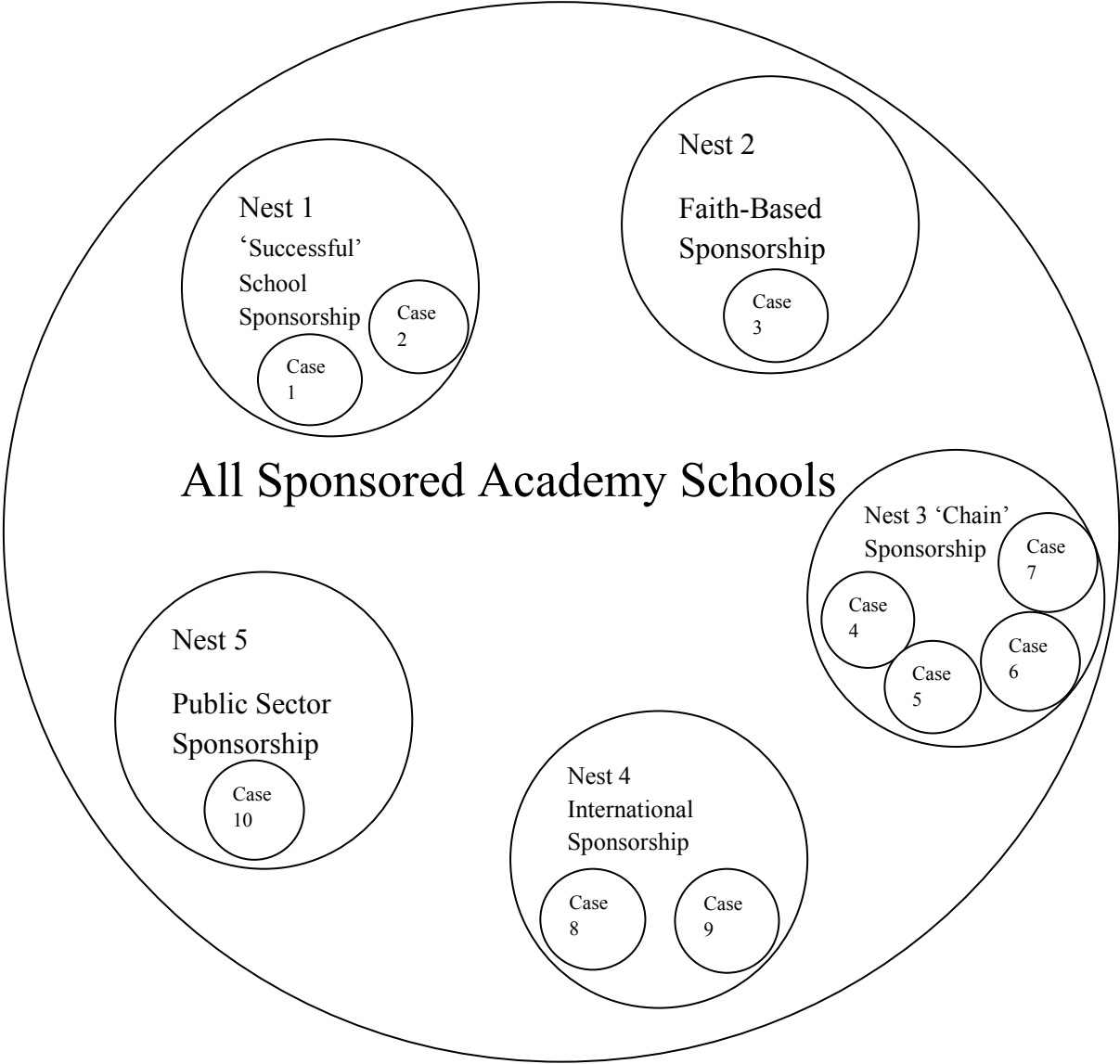
All Sponsored Academy Schools

Nest 1 'Successful' School Sponsorship
Case 1
Case 2

Nest 2 Faith-Based Sponsorship
Case 3

Nest 3 'Chain' Sponsorship
Case 4
Case 5
Case 6
Case 7

Nest 4 International Sponsorship
Case 8
Case 9

Nest 5 Public Sector Sponsorship
Case 10

4.2.2 Nest 2: Faith-Based Sponsorship

This nest consists of a singular case. The Academy is in a northern city although the Sponsors are based in London.

4.2.3 Nest 3: Chain Sponsorship

There are four academy cases in the nest, although two (Case 6 and 7) share the same sponsor so there is one sponsor's representative interview across these two cases. Therefore, there are three separate sponsors in this nest but four academy cases.

Case 4

The Academy in this case is in a West Midlands city although the Sponsors are based in London.

Case 5

Case 5 is an academy in a West Midlands city where the Sponsor is an ▆▆▆▆▆▆▆ based in London.

Case 6

The academy is in the West Midlands were the Sponsor is based.

Case 7

The Academy in Case 7 is in another part of the West Midlands to Case 6 and shares the same Sponsor.

4.2.4 Nest 4: International Sponsorship

This nest consists of two cases. Both of the cases in this nest have different pedagogical models and different leadership structures to the typical state sector school in England. Both sponsors have 'chains' of schools with similar ethos and vision.

Case 8

Case 8 is a German-based schooling system which has schools across northern Europe. The Academy in this case opened in 2008 on the site of the previously privately funded school from the same educational organisation.

Case 9

The second case in the International Sponsorship Nest is ▨▨▨▨ chain of independent or "free" schools in Sweden, ▨▨▨▨▨▨▨▨ of Sweden's schools. The educational organisation that operates the academy is a with-profits educational company. ▨▨▨▨

▨▨▨▨▨▨▨▨▨▨▨▨▨▨

▨▨▨▨▨▨▨

4.2.5 Nest 5: Public Sector Sponsorship

This nest has a singular case, Case 10. The Academy is in a midlands city and is co-sponsored by the local Further Education College, the local University and the Local Authority. The interviewees across each nest are summarised in Table 4.1

Table 4.1 Summary of interviewees

Nest	Case	Interviewees
1 'Successful' School Sponsorship	1	Sponsor's Representative and Academy Governor
	2	Academy Principal, 'successful' school Headmaster and Sponsor Representative
2 Faith-Based Sponsorship	3	Academy Principal and Sponsor Representative
3 Chain Sponsorship	4	Academy Principal and Sponsor Representative
	5	Academy Principal and Sponsor Representative
	6	Academy Principal and Sponsor Representative*
	7	Academy Principal and Sponsor Representative *
4 International Sponsorship	8	Academy Principal and Sponsor Representative
	9	Sponsor Representative
5 Public Sector Sponsorship	10	Academy Principal and Sponsor Representative

* Case 6 and 7 are two Academies from the same Sponsor. One interview was held with the Sponsor's Representative but each Principal was interviewed.

4.3 Findings

The data from this research is shown grouped by each nest. Within each nest the data is displayed thematically by research question area, that is those of sponsor motivations, principal and sponsor roles and finally the realisation of the ethos and vision.

4.3.1 Findings from Nest 1: Successful School Sponsorship

The concept of 'Successful' or 'Good' school sponsorship of academies is whereby a school which is often in an Ofsted Category such as Special Measures closes and becomes a new

academy sponsored by the 'successful' school. This will allow the academy to become a better educational establishment, learning from its sponsor. The two cases in this nest are different in that Case 1 has no direct specific successful school but rather a local educational organisation that has several 'successful' schools in its foundation. Case 2 has an overarching educational organisation to co-sponsor it in addition to its successful school. Interviews focused on the sponsor motivations, the roles of the Academy Principal and Sponsor and finally how the ethos and vision have been realised, each of these will be addressed in turn.

Sponsor Motivations

There are several themes that emerged as reasons why these successful school organisations became academy sponsors. Both of the sponsors were directly approached by the National Government and Local Government too, "we were approached by both the government and ...local government to consider sponsoring an academy. We attended events which were run both by the Department for Education and by [city] Education Authority", Sponsor Case 1. In the situation of Case 2, there was a direct link to BSF from the onset,

> "I think it would be 2009, ...errm.. the .. Grammar School, at the request of [LA] , who were looking to seek BSF funding. 'Building Schools for the Future' funding, approached the Company to see whether they would ...or seek their support in sponsoring an academy", Sponsor Case 2.

This link, of BSF as a motivational factor, is a recurrent theme. The successful school may benefit financially from the sponsorship and that the LA itself may be required to have an academy in order to gain BSF funding for its other schools. This was clearly voiced in Case 2 whereby the Academy Principal believed that "The local Council knew they needed to have an academy target as part of their BSF programme", Academy Principal Case 2. The idea here is that the LA's BSF bid to national government would not be successful unless they included creating an academy which they did not have at the time of the bid in their family of schools.

Interestingly the successful school too would also benefit, "It was put to the governors of the ... Grammar school. They supported it on the basis that there was going to be benefit to [them] in the form of financial support for some of its estates buildings", Sponsor Case 2.

The Sponsor in Case 1 would seem to benefit financially from sponsoring an Academy school, this time indirectly through retaining its charitable status. Charitable status allows an organisation to claim certain tax benefits, in order to retain it the organisation needs to be demonstrating that it is engaging in charitable work, therefore assisting another school through academy sponsorship "helps maintain their [the Sponsors] charitable status...." Academy Governor Case 1. This would be a further motivational factor.

Both sponsors spoke passionately about their historical roots and how academy sponsorship would help them fulfil their founding fathers' motives:

> "I mean ▒▒▒▒ companies go back hundreds of years…people have left money and what's happened over the centuries is that investments have err have been made and lots of trust funds and so on and so forth... so that your modern day ▒▒▒▒ companies] are more about... errm....managing the facilities that they have", Principal Case 2.

> "The Company believed in the Blair philosophy that it was right to improve Secondary education for children in deprived areas. It also linked back to the original founding fathers... These were 4 puritan gentlemen who had no family [who] made a lot of money as merchants and wished to give that money to education", Sponsor Case 2.

> "The charitable object of the Foundation, is to educate the children of [the City]. So, sponsoring an academy clearly,...in [the City], clearly falls within the charitable objects of the Foundation. Turning the clock back", Sponsor Case 1.

The aims of the sponsor then become one of continuing their mission of education. The motivations of Successful School Sponsors are summarised in figure 4.2

Academy Principal and Sponsor Roles

Sponsored academy schools differ from their LA Maintained school counterparts by the inclusion of the sponsor. It is of interest then to probe the interplay, the roles of these two offices. Various themes arose across all sponsors. Case 1 was sponsored by an educational foundation, Case 2 was co-sponsored by a successful school and a ▨▨▨▨Company.

Academies are created by sponsors prior to the appointment of a principal. In these two cases the appointments differed, in Case 1 the Headteacher of the predecessor school was appointed as Principal, in Case 2 the Principal was a new appointee. However, in both situations there was a period of induction, whereby the Principal Designate was assisted in the learning the aims, ethos and vision of the new academy. The Principal in Case 2 worked closely with the outgoing Headmaster of the Successful school sponsor:

> "And I had 7 weeks over here getting ready… it was [the sponsor's] job to immerse me and trying to get me to understand about....and [he] just oozed ethos. [He] had been Headmaster of the Grammar School for 14 years", Academy Principal Case 2.

This would appear to be a key period in the creation of a new ethos and vision. In both cases the sponsors generated the vision and were clear on the type of school and its ethos they wished to have. The sponsor in Case 2 believes that the sponsor's "primary mission and aim is obviously the strategic vision of the schools" and the Principal referred to the co-sponsor "immersing" him in the vision of the school, "he just oozed ethos". This led to an initial relationship whereby the principal's role is that of a conduit of the sponsor's vision, "My job was to be able to communicate the changing culture, the changing expectations, the changing aspirations to staff and student" Academy Principal Case 2.

Figure 4.2 Key Themes of Nest 1: Motivations of Successful School Sponsors
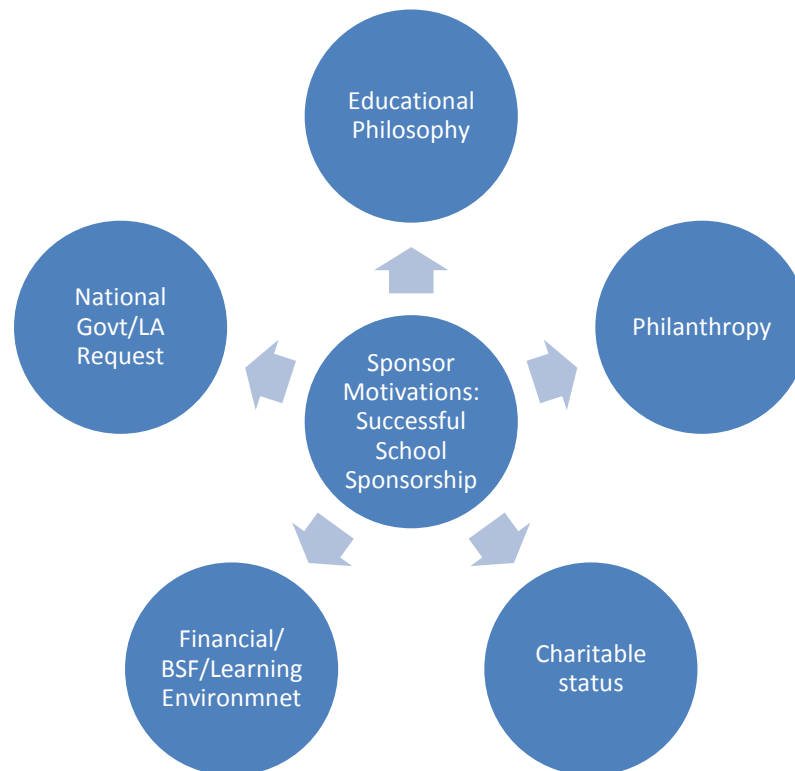
The Sponsor continues, "our governors they have a non-executive role.... It is not to get involved in the day-to-day running of the school unless there is a serious problem" Sponsor Case 2. The ethos and vision are clearly set, at least initially, by the Sponsor. Putting this into practice however can bring conflict.

The curriculum is the arena where this conflict is often played. The two following quotes from the Principal and the Sponsor from Case 2 elucidate the issue:

> "and I think that this is probably in some cases with our academies, and I think with others, is that there was a real drive to get the 5 A stars to C. But some of those subjects were not necessarily the most challenging of subjects. So it was very easy to see an improvement but the challenge that we now want to promote is to get the serious subjects.... It's the freedom to have your own curriculum. But recognising that...that the next stage from getting your results up and looking good in the leagues tables, is actually then start moving your students and

recognising, that you know, that having Hairdressing is not necessarily the best GCSE to have. I quote that as a generalisation but you know what I mean?", Sponsor Case 2.

"I don't go and ask permission from governors to do things, I go and tell governors what I'm doing… So I made it very clear to the chair of that committee that I wouldn't be going asking for permission. I'd be doing what I thought was right and then would stand or fall by the decision I'd made ...as far as I'm concerned they've appointed me as their lead professional... and I'll make those decisions and I'll and ...I'll stand by them and justify the outcomes to the governors and ... If they want strong leadership then you don't go to governors asking permission to do things", Academy Principal Case 2.

There is clear potential for conflict here and conflict resolution will be a key component of their professional relationship. There are non-negiotables from the Sponsor, ways in which they see the ethos and vision are to be created. For the Academy in Case 1 this is articulated by the Sponsor,

"as I say, in terms of the House system. The Science introduction. The Science specialism and the Sixth Form objective. Those are the broad objectives but delivering on them and how that's to be achieved, we'll let [the principal] and his team lead on that", Sponsor Case 1.

The principal's role becomes one of leading and managing change, but the change is set by the sponsor. The degree of autonomy granted to principals in these academies is a discussion issue that will be developed in Chapter 5. The principal and sponsor roles are summarised in Figure 4.3.

Figure 4.3 Key Themes of Nest 1: Sponsor and Principal roles in Successful School

Sponsorship
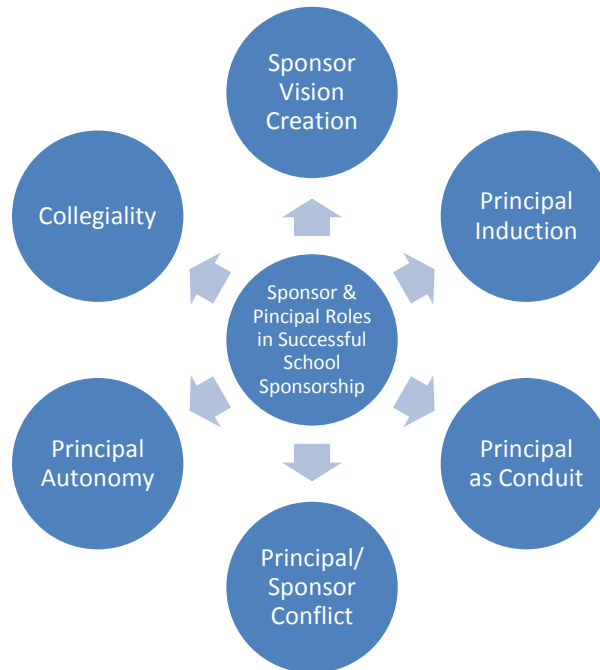
Realising the Ethos and Vision

It follows that the interest of my research then becomes in the practicalities of what these

schools have undertaken to attempt to realise the ethos and vision. At the time of the research

both schools were new academies still operating in the buildings of the predecessor schools

whilst building was taking place on a new build academy on the same site.

The Academies were replacing existing schools that needed to be changed, the leadership was

key here:

> "The notion that you can take a failing school...you close it...you reopen it 6
> weeks later...with the same staff...the same kids in the same building and one
> different person who they call the principal ...or the headmaster or whatever and
> things are going to be different...I think is a nonsense . Alright. There as to be
> something distinctive that makes the new different from the old", Academy
> Principal Case 2.

A key theme here was the re-branding of the predecessor schools of both academies. Both academies used the high status of the brand of the Sponsors in the re-culturing of the school, as the Principal of Case 2 emphatically put it, "you have to have a brand that has some value and some status locally." He then continues to elucidate his thoughts on the brand:

> "It's unashamedly traditional, Ok...it's about....it's about ethos ....it's about culture, it's about aspiration, it's about, it's about expectation, it's about participation. And the thing that we have tried to do here is take those elements of the culture that makes [the sponsor school] an outstanding school and introduce them into a comprehensive setting, and that, if you like, was the non-negotiable", Academy Principal Case 2.

There was equal emphasis from Case 1 on the concept of re-branding:

> "if you talk about what are the none negotiable parts of it, [the foundation] being in front of the academy was non-negotiable. It had to have that. It had to carry the badge. And it does. And on the tie you've got the crest. On the blazer you've got [the foundation] and their logo if you like", Sponsor Case 1.

> "I have no doubt in my mind that...that the families that are involved in our school, our Academy, have been influenced by the brand. There is no doubt there is a brand. There is no doubt that it carries tremendous credibility", Academy Governor Case 1.

> "..their brand is very important to them and therefore I think they will ensure that at all costs that it's successful Academy", Governor Case 1.

The historical perspective, the cultural heritage, of the brand is used in full:

> "A pupil, whether he's in a state school or in a independent fee paying school, he's a [Company] pupil. He's got that   Company] ethos. And we bring to schools like [our academies], we bring House systems, uniform, gowns. All those things which have been endemic, if you like, in the independent sector and are proven. Extra-curricular activity: CCF; Duke of Edinburgh; Music; Drama", Sponsor Case 2.

Here the belief is that the cultural heritage can be utilised in re-culturing the new school, the Academy. It is notable that neither predecessor schools either had strong post-16 education provision, a 6th Form, or an under developed one. Both Academy Sponsors saw the inclusion of a strong 6th Form as part of their ethos and vision:

"the reason we pushed the 6th Form and we pushed like mad with [the LA] to have a 6th form at [the Academy] And they were pushing back and pushing back saying, 'We don't..', I'm afraid we just went straight to Lord Adonis and said, 'This is what we want.' And we got a tick. Because it's the role model. They provide the role model for the youngsters coming through", Sponsor Case 2.

"one of the key, if not *the* key area that we felt that we could improve, was in the post sixteen area. That area of east [the City]...errm... really there's a dearth of academic post sixteen provision. Really no A level provision. You have to travel quite a distance out. [The predecessor School] had a very fragile Sixth Form. Very low numbers...... it couldn't entirely be an academic Sixth Form. You would have to have a range of ...courses...a range of provision to include vocational courses. But we wanted a strong academic presence as well. And we felt that, you know, for children in the area...errm ...that would give them something that they didn't have... . So, that's what we felt as sponsors we could bring. That sort of vision", Sponsor Case 1.

The importance of a 6th Form is not just in itself as an opportunity for 16-18-year-old youngsters but also in creating a different ethos in the Academy for pre 16 year olds. It is notable here where the Sponsors were operating in terms of decision making, in Case 2 the Sponsors appealed directly to Lord Adonis to assist them with a dispute involving the LA.

Another common Sponsor-led innovation was the inclusion of a House System in both Academies:

"our schools tend to be smaller than the average ...comprehensive state...comprehensive school and we felt that in terms of pastoral care ...errmm and support..and discipline.. that we wanted to create *smaller* schools within the larger school at [the Academy]. So the 'house' system ...we brought that structure", Sponsor Case 1.

"Fundamentally they kind of ...from the outset, the development was to have a House structure. Four Houses. And it's something that we never felt that in the predecessor school that it warranted...That has happened and has been implemented and from my observations anyway, seems to be tremendously successful", Academy Governor Case 1.

Neither of the predecessor schools had a House system. The final common theme is that of raising aspirations, as the Academy Principal from Case 2 states:

"I initially had conversations with people who used to start with 'but you can't expect our kids to… Well that's been blown out of the water now. And people

know that they never ever say that in front of me. These children can do anything. They just need... because they are what they are and where they come from...it just takes a lot harder work to get 'em there and persistence ...and so on and so forth. These children were not used to being told how good they were and what they could achieve. Ok? The culture was a little bit negative. Now I come from a very different place. Now the glass is always half full it's never half empty . So, particularly in that first term, that first year, I did a lot of assemblies that the kids loved, because some things that I was saying to them but often the messages were more for the staff in the room than they were for the kids", Academy Principal Case 2.

Figure 4.4 summarises the emergent themes on the actions taken to help realise the ethos and vision.

Figure 4.4 Key Themes of Nest 1: Ethos & Vision realisation in Successful School Sponsorship
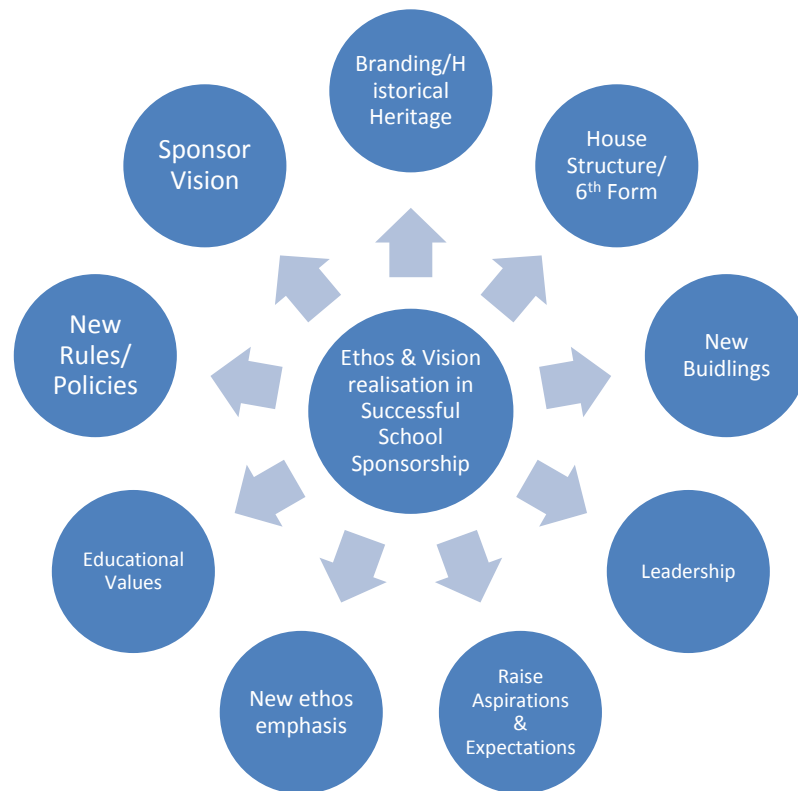
The motivations for sponsoring an academy in these cases were varied. There were motivations relating to the original concept of the educational organisation, deep seated and traced to some five hundred years previously and motivations that were more of a self-interest such as retaining charitable status. It is also notable that both sponsors were directly asked by representatives of the national government to become involved in the academy programme.

There are similarities between the two cases here. The sponsors have similar motivations and the academies are utilising the branding of the successful school. In both cases the sponsors' motivation was two-fold, historical roots of their organisation and specifically requested by national government. In addition, there was clear self-interest for the successful schools, in

one case they talk of maintaining their charitable status whilst in the other they were promised a new dormitory block for boarding students under the Building Schools for the Future (BSF) programme. The BSF programme is a significant factor in the creation of these academies. The programme provided new school buildings funded by national government, it used additional funds to Local Authority (LA) monies that are used to maintain schools. LAs were required to bid in order to receive funding from the national government. Each LA was seemingly expected to create an academy in order to gain funding not only for buildings for the academy, but also for other schools in the locality.

The use of the brand of the successful school was important in the creation of the new academies. One of the academies has changed its name to incorporate the sponsor's education foundation whilst the other has a carbon-copy uniform of the selective grammar school. Both academies will have new buildings under BSF. Other specific aspects of cultural change within the academy were a creation of a 6th Form, a House Structure, new uniforms and a general buying into the historical ethos of the successful schools.

4.3.2 Findings from Nest 2: Faith–based Sponsors

There is a singular case in this nest, an academy in a northern city sponsored by a faith based organisation based in London. Two interviews were held, one with the Academy Principal and the other with a Sponsor's representative.

Sponsor Motivations

The motivations of the sponsoring organisation in this case were various but are fundamentally based in the faith-based beliefs of the philanthropic Christian founder who is

involved in a day to day basis, "he's still ...very much in the sense that he visits each academy regularly ...a major visit once or twice a year", Sponsor Case 3.

The sponsoring organisation was created prior to the Academies Programme with a non-schooling brief, "[Sponsoring Organisation] was established back in 1985. And at that time it was about ..errm a group working in communities to work with those communities to effect change for the benefit of all. Both adults and youngsters", Sponsor Case 3. There is a clear theme of effecting change within a community as a motivation for this organisation:

> "fundamental drive in the academies is ...is to give those youngsters the opportunities to ...is to reach the heights we believe they can", Sponsor Case 3.

> "wider focus, we're looking to establish a [Sponsor] health provision in each area we've got academy bases... serving the communities both in the evenings and at weekends", Sponsor Case 3.

The Academies Programme was a natural progression for the Sponsor from the work that they were doing, to be involved to shape the educational opportunities in inner-city areas of significant social deprivation. There is a high value placed on social inclusion by this Sponsor:

> "Our schools and communities are ...generally had a long history of deprivation, or failure, or struggle, so we're working in areas that are starting with all that kind of legacy", Sponsor Case 3.

> "our core purpose at [Sponsor] Group as a whole, is to develop community hubs...", Sponsor Case 3.

> "the form that takes may depend on what other community activities we have in that area initially and what we build up. So there may be a children's centre in this. There may be youth work in existence. There may be some family provision in existence. But we are now joining that together to ...to what we call 'The [Sponsor] Hub'", Sponsor Case 3.

The focus is a vision where the Academy sits at the heart of a multiagency approach to the community. This is fuelled by the concept that this is their faith in action, that work in the community is the Christian message:

"But our underlying drivers cover ..errm ..six areas. A passion to include everyone, a desire to treat everyone equally, respecting differences, and errm...I mean [Sponsor] is a ...Christian based Trust", Sponsor Case 3.

"...it's clearly driven, for example, by the life of Christ and that is our underlying sort of motivation of the Trustees of a ...of [Sponsor] ", Sponsor Case 3.

The application of this belief is articulated by the Academy Principal, himself a non-Christian:

"Inclusion is a very complicated thing. In that some people think that 'inclusion' means you don't exclude kids. You know, but sometimes you have to exclude kids if it's the best thing for that person. That's what you need to do. [the Sponsor founder] directly has told me that's what we should do. If you love someone you make the toughest decision sometimes It's about...it's about that whole Christian ethos about what can we do to include people Then it could be this idea of 'love thy neighbour' The community aspect What it fundamentally comes down to is, God loves everybody", Principal Case 3.

In a similar way to nest 1 the Academy ethos and vision are set by the Sponsor but the Principal buys into in to it,

"I looked at the sponsor details and what was involved and I felt really in tune with what the [Sponsor] Academy was trying to do... The [Sponsor] Academy view of transforming communities and lives, I was really well tuned into. So I really bought in pre-application", Academy Principal Case 3.

Here there is singular theme between the Academy Principal and the founder of the sponsoring organisation. The founder himself was significantly involved in the creation of the Academy in the northern city, the Academy Principal describes how he was actively involved from the beginning:

"[the Sponsor's founder] travelled up, six years ago now. Once a month on a Sunday, on the train, in the morning. Do a sermon, whatever else. Meet with a congregation, which was like 12 men and a dog. That kind of congregation. Very aged population. Have a cup of tea and a biscuit and then travel back down. Or somebody would come up with a car. Now he did that for a full year, coming up every Sunday, every month just to come and talk....... So with the local community he said 'we could create something'. We can create an academy. It

can be the Church and the community was his approach to what we do. And convinced the Church to do a land swap", Principal Case 3.

The Sponsor worked with the local Church to build the support for sponsoring a local academy. A summary of the emergent themes of the motivations behind this Faith-based Sponsor are summarised in Figure 4.5.

Figure 4.5 Key Themes of Nest 2: Motivations of Faith-Based Academy Sponsors

Academy Principal and Sponsor Roles

The issue of Principal Induction was significant here in that the Sponsor runs a chain of academies and has an organised Principal Induction programme whereby the Principal Designate will learn the ethos & vision of the new academy. The following quotes from the Sponsor and the Academy Principal give an indication of its importance and purpose:

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"There are a number of stages of induction. I suppose there's the systematic things that just need to be understood. 'This is how this works, this is how we do this and ...' so there is a Principals sort of guidance documentation that takes them through those sort of practical things…there will be further induction through the year, in terms of how ethos and practice are working out", Sponsor Case 3.

"I had a phone call the day I got the job from [the founder] saying welcome and he's very excited to be working with me", Principal Case 3.

[this was a contrast to working in a maintained school] "I remember when I had my induction as a Head Teacher.... I went down to meet...in fact I rang up the Director of Education [from the LA] and said that I'd been in the job now for 5 weeks and I thought I ought to meet you", Principal Case 3.

".. Went down to London... Given an A-Z of what it's like to be a Principal with [the Sponsor]", Principal Case 3.

The Sponsor and the Principal both emphasised the level of support and collaboration in their working relationship. The Academy Principal was gaining support from the Sponsors and other Principals within the chain:

"most of our academies are in pairs and ...that helps, certainly, networking", Sponsor Case 3.

"Negotiation... What we're going to decide and we hammered it out together as a group of Principals with Directors [Sponsors] there, we decided. There's got to be compromise in there. If I was too bloody minded I'd be slapped down and I'd be told", Principal Case 3.

The latter quote shows that the Principal is working in an organisation that also restricts his autonomy. The potential conflict between the Academy Principal and Sponsor is voiced on several occasions by both parties, in particular with focus on scrutiny of the performance of the Academy by the Sponsor:

"I think ...one thing we do...insist on is a monitoring and evaluation process across the year. So that every academy has to return key performance indicators every half term... that will cover things like… student attendance.) expectations, in terms of lesson observations and ...errm...and data on that kind of information... the idea is a common series of KPIs [Key Performance Indicators] that people *all* have to return every half term", Sponsor Case 3.

"we monitor… myself and my colleague... being in touch with the Principals and that will cover a discussion on a range of issues including the KPI's. Then twice a year we have, what we call, a strategic review, which is ...errm… a formal review meeting", Sponsor Case 3.

"[The Principals] are line managed by myself and my colleagues... As opposed to the...governing body in a traditional structure", Sponsor Case 3.

"we do like pre- OFSTED reviews… we have got a number of experienced OFSTED inspectors who work with us on that", Sponsor Case 3.

"Once every 6 weeks I report the KPIs to the Director the Director Exec and they can see that we are on task I then have two...each term I have an academy review where I report. One is to go to London where I report and I am scrutinised for three or four hours around ethos. What I'm doing for ethos. What I'm doing for this what I'm doing for that. Data for GCSE's come whatever else. I'm put through the ringer", Principal Case 3.

"the rigor that's given to me ...it's the most challenge I've had over my KPIs. I could always fob off the Local Authority", Principal Case 3.

In this academy there is more autonomy granted to the Principal with the school curriculum compared with the nest 1 Cases. The Sponsor makes clear that there isn't a centralised curriculum directive:

"…areas like curriculum, again we'll be sharing good practice, we'll be sharing ......models. We'll be saying, 'look this is something we need to be considering.' But we won't be saying 'there's just one common fixed curriculum ...and you'll see exactly the same in every academy'", Sponsor Case 3.

The Principal agrees and gives an example where he has instigated change:

"We talk about 'best practice'. And we talk about...and if I go with something different. I actually have my reasons...When I came here there were 100 minute lessons and that was taken on and seemed to be flavour of the month. I came in and I couldn't see the progress and I couldn't see the rigor. The school was in Special Measures. So I changed it", Principal Case 3.

However, one of the academy principal's roles is, like in nest 1, a conduit for the message of the Sponsor's vision with the rest of the staff. He has taken the vision and ethos of the Sponsor and attempted to mould it for his Academy:

"To enable outstanding progress... took their vision and my vision as a shared vision for the academy and staff directly from the vision of [the Sponsor]... That's

what I asked the staff to buy into. And to be honest they have bought into that ethos of what we're trying to do", Principal Case 3.

Figure 4.6 shows a summary of the Academy Principal and Sponsor roles in Faith-based sponsored academies.

Figure 4.6 Key Themes of Nest 2: Sponsor and Academy Principal roles in Faith-Based Sponsorship
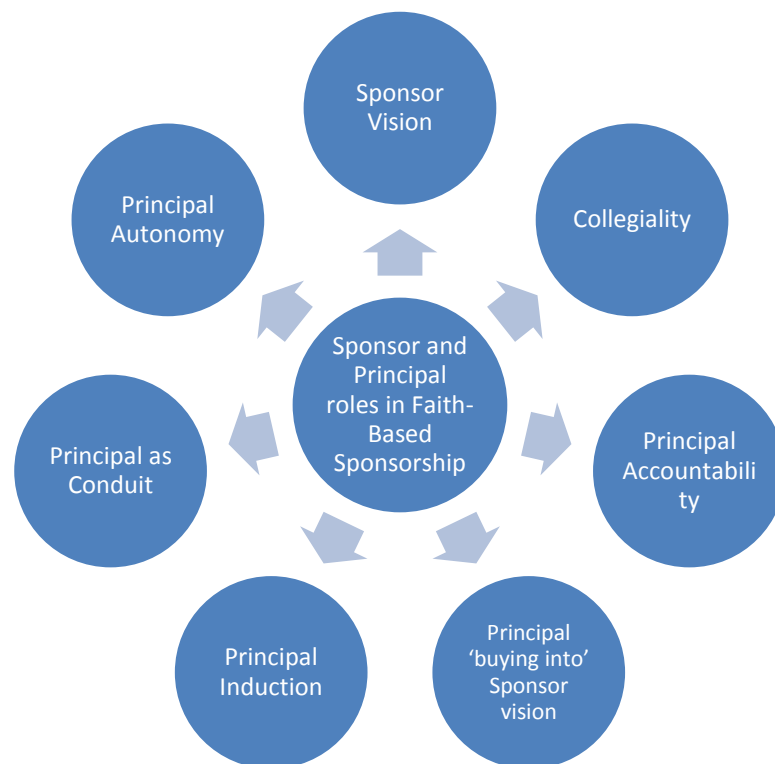
Realising the Ethos and Vision

The final research question probes the operational activities that have been undertaken by the Academy to try and realise their vision. There are common themes here with nest 1. This Academy is part of a brand, some of the re-culturing decisions are corporate for example, the name of the Academy carries the Sponsor's name and logo, like all Academies from this

Sponsor the reception area carries a large picture of the founder of the Sponsoring organisation. The student uniform is also pre-set by the Sponsor, the Sponsor says that "[new uniforms] they're common. Common [across all academies from this sponsor], yes" and the Academy Principal agrees, "the uniform is prescribed".

The creation of a new-build academy under BSF funding is also key to the realisation of the ethos and vision. This was the case in all of the academies from this Sponsor:

> "So the design of that again lends itself to community provision the different use of space,...those new buildings are iconic really Where it literally just stands out. That areas never seen anything of that nature built for them in their community so it's ...can be aspiration really", Sponsor Case 3.

Once again it is not just a new building, but one where the design lends itself to promote the ethos and vision of the Sponsor. The belief in the importance of community work at the heart of the Academy mission is shown in the activities that the school undertakes. The following quotes from both interviewees give examples:

> "There would be one example where the number of those wider hub activities, maybe getting a family re-housed, maybe actually spending a lot of one-one-to-one time with a student, maybe putting on a an alternative provision that just gets them back into ...leaning rather than permanent exclusion. ...you know, it's looking at ways and routes that keep them through...get them through and get the qualifications that get them to the point where they don't become into a NEET group", Sponsor Case 3.

> "The community stuff is part of what we've done. I've got a focus on Teaching and Learning and I've done that. When I started last year we had just over ...actually less than 200 people taking part in activities after academy hours. Night school or whatever. About 200. That was a year ago now we are 1300 people a week", Principal Case 3.

> "We've got a university base here. We've got the churches based here... So all the Mental Health, Sexual Health, smoking cessation, I've got them all based here", Principal Case 3.

This Sponsor places a great importance on ethos to the extent whereby it has a designated post, Director of Ethos, in its staffing structure. This ethos is Christian led, the Academy Principal refers to his liaison with the Director of Ethos,

> "Everything that's from a Christian...if you speak to some people like the Director of Ethos, [from the Sponsors] , within the organisation, who supports all schools in audits to ethos and everything else that we do within our academies. She talks about everything in the Christian terms and how it converts into laymen speak", Principal Case 3.

The emphasis placed on ethos is high by the Principal, "it's all done within the [Sponsor] ethos. Everything is wrapped in that. Everything is ...it's not about the results, it's about the ethos. But it is measured quite clearly", Principal Case 3.

This academy also has a high level use of student monitoring of academic standards in order to assist in raising achievement. This data gathering is also used in Principal accountability, to scrutinise the performance of the school and to create an ethos of not accepting underachievement. This is Sponsor led and occurs across academies within the chain:

> [this is quite a high level of monitoring] ...we think that is quite a key component and tracking data, alongside that is the data and information about student progress, the ability to get a lot of information on them on a regular basis that is accurate and can be, you know, fined tuned and honed down to individual student's needs or any individual subject profiles . And to bring in appropriate support and that is another key part of that", Sponsor Case 3.

> "part of that is a laser sharp focus on student progress and data...and knowing where the intervention should be", Sponsor Case 3.

The idea of monitoring of student performance, with follow up interventions, then becomes part of the ethos of the Academy.

Figure 4.7 is a summary of the key themes of ethos and vision realisation in Faith-based Academy Sponsorship. The Sponsor's motivations in this faith-based Sponsorship are based around the Sponsor's views on the Christian message and are an extension of the community

work that the Sponsor has previously undertaken. The BSF programme was also part of the motivation in that it allowed a new Academy to be designed and built around the Sponsor's vision for education.

The roles of the Sponsor and Principal share some characteristics of nest 1 in that the Sponsor creates a vision that the Principal, at least initially, is a conduit for with the rest of the staff. The Principal shared this vision pre-application. Once again there was a period of Principal Induction by the Sponsor. The themes of principal autonomy and accountability were also potential areas of conflict. However, the curriculum was less of an area of conflict rather this Sponsor put greater emphasis on principal accountability in terms of student outcomes in examination results.

Figure 4.7 Key Themes of Nest 2: Ethos & Vision realisation in Faith-Based Sponsorship

This Academy is part of a sponsored chain and the corporate nature of that is included in the realisation of the ethos and vision. Such things as uniform as part of a re-branding are non-negotiables. The ethos set by the Sponsor is based strongly around the Academy's role in the community as this is, for the Sponsor, the Christian message. This is despite the Academy not being designated a faith school.

4.3.3 Findings from Nest 3: Academy 'Chain' Sponsorship

The concept of a school 'chain', whereby the same organisation runs several schools, is relatively new to England. There are four academies in this nest sponsored by three sponsors: there are two academies from one particular Sponsor, Cases 6 and 7. This gives the added insight into two academies from the same chain. Representatives from each of the sponsors were interviewed along with each of the four Academy Principals.

Sponsor Motivations

There were themes in the motivations of these sponsors that have emerged with nests 1 and 2 such as specific requests from national government:

> "...our ⬛⬛⬛⬛⬛⬛⬛ contacted Andrew Adonis and they happened to have a mutual interest, as it happened, and they are quite good friends. But Andrew proposed [the Sponsor]. He then leant on the City Council to consider [the Sponsor] as a sponsor", Principal Case 4.

Lord Adonis is cited once again, as in other cases, as having an active involvement. Also financial reasons of motivations occurred too, in particular BSF both for the school and for the wider local family of schools in the LA:

> "we wanted to become an academy because also at that time becoming an academy brought in the new build and all the other sorts of things associated with that. So it was actually a way of moving this school forward", Principal Case 7.

"That was why the city was forced into doing it. To get all the BSF money ultimately. So they did it rather reluctantly, but nevertheless it was us all", Principal Case 4.

However, in nest 3 there were two specific new motivations. The first is that of philanthropy, the idea that a wealthy individual may well become involved in creating schools for social good. Each of these chains were founded by philanthropists who were already working in other social fields prior to the Academies Programme. The idea then that they could extend their work to academy sponsorship was something that engaged them. Each of these sponsors were involved in the beginnings of the Academies Programme whereby the sponsor was required to give a £2 million Trust fund. The following quotes are from three of the Sponsors referring to their philanthropic backgrounds:

"He made his money in ▨▨▨▨▨ in industry...at... started to do a lot of charitable type work in this country, particularly working with people who...errm.. didn't have much educational opportunity...err ... for example groups of women who may have come to the country and because they didn't speak English, for example, missed out on opportunities", Sponsor Case 5.

"So [the Sponsor] is a children's charity Set up in 2002 by a group of ▨▨▨▨▨ ▨▨▨▨▨, who recognise that they had a lot of skills resources and the ability to raise funds, and decided to set up a charity with sort of business type ...principles ... that was based on philanthropy", Sponsor Case 4.

"[Sponsor's charitable Trust] was set up just over forty years ago ▨▨▨▨▨ ▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨ ▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨ And that eventually became a grant making body and a children and families delivering Trust in the eastern region, where it has grown over the last thirty years…There are 250 staff right across the eastern region supporting families of travellers. Children and family of offenders ...errm ..and managing children centres. That sort of social side of education So, five or six years ago as part of the academy movement, it was logical, that if academies are to be provided for the most disadvantaged children in the country an organisation which was about children and families that are disadvantaged youngsters should move into academies. And therefore, five years ago [Sponsor's] Academies Trust began to operate, which was under my leadership to manage academies", Sponsor Case 6.

The second new motivation is that of an international perspective in Case 4. The original founders of this sponsor were ▨▨▨▨▨▨▨▨▨▨▨ operating in London and New

York. They observed schooling programmes in New York and Chicago that they wished to apply to England:

> "In 2004 one of our Trustees...came across from the States and had been working with the Mayor of New York on an education programme there associated with the Charter Schools movement. With the KIP [Knowledge Is Power] schools and the common schools and all of that and said, 'look, we should really be working in the UK,' you know, education is the biggest impact you can have on transforming the lives of children. The academies programme is just kicking off, 'let's do it'", Sponsor Case 4.

> "Ours [values and vision] was set up very specifically modelling itself on the successful Charter Schools [in the USA] and a lot of the things that I just talked about are things that are successful in those schools....we've all visited the States. Been to those schools viewed some of those issues and tried to represent them in a British Comprehensive Secondary school... So the idea of a small school in a very deprived area. Very high expectations. Long hours. No excuses, culture. That really came from the States", Sponsor Case 4.

In this particular case the vision is very specifically with reference to schooling children in high social deprivation through a set of characteristics that can be applied in England. A summary of key themes of sponsor motivations in nest 3, Academy Chains is found in Figure 4.8

Figure 4.8 Key Themes of Nest 3: Motivations of Sponsors in Academy Chains
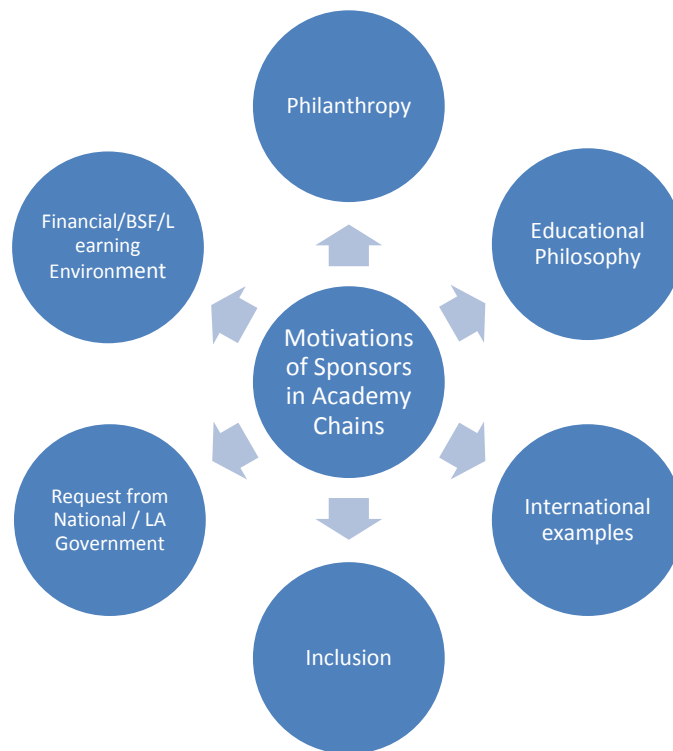
Academy Principal and Sponsor Roles

The interplay between the sponsor and the principal in academy chains appears more dynamic than the two previous nests. Each of these sponsors runs other academies therefore there is a corporate feel to the sponsoring organisation. It is notable that two of the sponsors have offices in London when their academies are nationwide, the examples used in this research are from the West Midlands.

The vision of the academy is quite clearly laid down by the Sponsor, each of the sponsors were emphatic, typical comments include:

> "So if you in fact are talking about the opening of a new academy, my staff, until the Principal arrives, the vision, the ethos, the ...errm ..school organisation, the staffing structure, the community strategy...all of that is produced by us, if there is no Principal designate.... As soon as a Principal designate comes in they then put their own stamp on it", Sponsor Case 6.

> "as a network we have 6 pillars. That are the ethos ...so the commitment to those 6 pillars is shared across all of the schools", Sponsor Case 4.

> "there were characters from [the Sponsors] who sat down and wrote the vision statement. They wrote the curriculum statement. They wrote other documents associated with an application to go forward for this school to become an academy", Principal Case 7.

Each of the sponsor chains had an organised Induction Programme for Principal Designates, however this varied in scope and length. The programme for the Principal in Case 4 included visits to Charter Schools in Chicago:

> "So from January 2009 I was based in London at [Sponsor] centre office. A big open plan office, I worked in there. I spent time in other [Sponsor] academies in London. I went to Chicago for a week on a [Sponsor] trip...I had two terms to prepare", Principal Case 4.

It is notable here that the Principal Designate was the Headteacher of the predecessor school, however he was removed from the school in the West Midlands and spent several months based at the Sponsor's offices in London, preparing from the new Academy. This process also occurred in Case 5:

> "Or take an example. Take [Principal Case 5] was running the school when she was appointed Designate Principal, she moved out the school. She based herself in an office [in London]. So she wasn't actually in the school. Because she had to set up the Academy", Sponsor Case 5.

The induction was briefer with the third Sponsor:

> "When you're appointed as a Principal, before you start we have a Principal's day here. A new Principals day in which they have the whole day being told about all the support there is. How they can be involved in it. Meeting their other new Principals. We do give them a link to each of the experienced Principals", Sponsor Case 6.

This Sponsor's induction is an ongoing process whereby new principals link with another principal within the chain. There is a clear connection between the induction and the relationship between the principal and sponsor. This theme will be discussed further in Chapter 5.

Academy principal autonomy is again a key emergent theme, however there are differing amounts of autonomy granted to principals depending upon their sponsor. The sponsors of Cases 5, 6 and 7 are focused upon student attainment and outcomes measured by external examination results:

> Now ours is a chain. But the 'chainness' of it ... there's no such word ...is the way we work in setting the targets and the expectations and the monitoring and ...and...and some of the systems. So for example, all of our academies will have different uniforms that they have chosen. They will all have different curriculum models. Staffing models", Sponsor Case 5.

> "Therefore, in other words, within parameters they've [Principals] definitely got freedom, but where there is non- delivery and under performance that is not acceptable... They've got total freedom. It's when underperformance shows itself in whatever way. A spike in non-attendance. A spike in exclusions", Sponsor Case 6.

The Sponsor of Case 4 wishes to see more of a corporate feel in their chain of schools. The Principal describes the ethos of the chain:

> "[All of the Academies from this Sponsor have] small schools, so big academies are divided into smaller units with school Heads... Depth before breadth, so we give them as much Maths and English that the need to get up to expected levels before worrying about too much depth in the curriculum", Principal Case 4.

This direction also involves the curriculum (depth before breadth) and its content, "all the [Sponsor] academies are introducing Singapore Maths into Year 7 this year... all [Sponsor] schools have a specialism in Maths", Principal Case 4.

The length of the academy day is also part of this Sponsor's ethos, "so the idea of a small school in a very deprived area. Very high expectations. Long hours. No-excuses culture. That really came from the States.... excellent behaviour comes through from the Charter model", Principal Case 4. There is clearly less autonomy granted to this principal compared with the others in nest 3. This principal finally notes in his feeling that he is scrutinised by the Sponsors:

"You know, and 'we'll be watching very carefully and if that goes wrong...' and ultimately if there was any kind of *serious* dispute and difference in strategic direction between the [Sponsor] and the Principal, the Principal would just be sacked, presumably", Principal Case 4.

The interplay between the Sponsor and Principal in nest 3 is focused particular around accountability. All four academies have high levels of scrutiny from the Sponsors, mainly in terms of data on student performance on a number of issues not only academic outcomes. These academies work in an air of collegiality within their family and with the sponsor, however all principals are aware that this would not be the case if the performance of the academy changed. Collegiality and support is emphasised in the following quotes:

"we use the school improvement team at [the Sponsors] a lot. But generally...the team from [the Sponsors] are helpful and supportive, rather than coming in and telling you what to do", Principal Case 6.

"..forums of teachers in English, Mathematics and ICT from right across the piece and we have a an annual conference which is funded from the centre, not residential, the conferences to share best practices. Sharing best practice is important and we have a marketing team which helps each school to develop its own distinctive image and market it through the most effective way through its prospectuses", Sponsor Case 6.

This is within the context that each principal knows that their own employment is at risk:

I think I'm a lucky chap and 'so far so good'. Things have gone well for us but...errm...but I suppose, like any football manager really, if things aren't going well, you have to accept the consequences", Principal Case 6.

"And if I don't achieve them [targets] I pay the price", Principal Case 5.

Figure 4. 9 is a summary of emergent key themes of Sponsor and Principal roles in Nest 3.

Realising the Ethos and Vision

The sponsors in this nest led on changes needed to ensure the schools realise their ethos and vision. The collective nature of being in a chain brought support and direction to principals. There are similar emergent themes to the two previous nests analysed. Each academy was re-branded, however the strength of the brand varies within the nest and differs significantly

from say the brands associated with nest 1, Successful School Sponsorship. The re-branding

here is an act in itself rather than the inherent status of the brand. Nonetheless acts such as re-

naming of the schools, new uniforms and ▮▮▮▮ were common place. Of the four Academies

one, Case 5 changed its name totally due to a poor status locally, as the Principal stated,

Figure 4.9 Key Themes of Nest 3: Sponsor and Principal roles in Academy Sponsor Chains
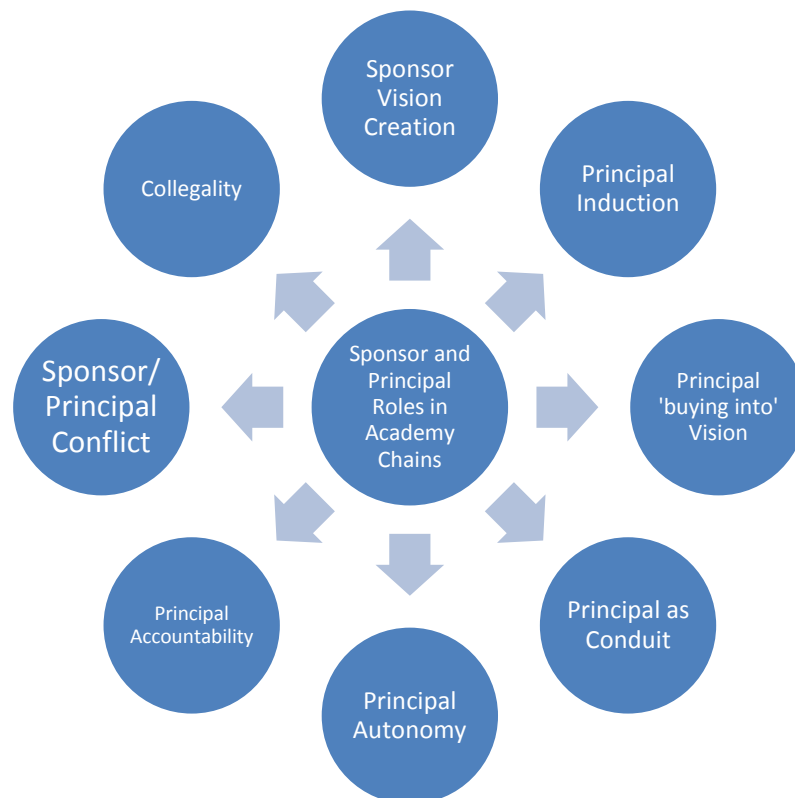
"People didn't want to send their children here. It was seen as 'Oh not [Predecessor School]'",

Principal Case 5. Typical reasons for re-branding were a a new start, to as the Principal from

Case 7 put it, 're-energise' the school:

> "We need to need to re-energise. We need to re-think..... And of course people
> bought into the excitement of that. That this is a school where things are going to
> happen. You know, we're gonna do things", Principal Case 7.

The corporate support from the chain was important in re-branding even if their 'brand' is not necessarily high status as it is new, nonetheless the Sponsors see it as an important activity and have support mechanisms that includes the idea that, "there is an [Sponsor] brand ...and then we have that brand and we have a very strong marketing department" Sponsor Case 6. This particular Sponsor is becoming increasingly sophisticated in monitoring the media output that may refer to the brand:

> "We have a piece of software which picks out the key words anywhere. Television, newspapers, Tweet, Twitter , and they are the key words that come up like [the Sponsor]. They pick them up and therefore you can say 'by the way, did you know that this has been picked up in the local press? How do you want us to support you?", Sponsor Case 6.

The Sponsor may be aware of publicity (favourable or unfavourable) surrounding the Academy before the Academy Principal.

The notion of new builds, using BSF, is once again part of the re-branding and realisation of a new academy ethos and vision. Each of the four academies were to have new buildings.

There are differences in the actions that each of the academies have undertaken to ensure that the vision is realised, however for each of the academies in this nest the key is that they are, to some extent, Sponsor driven particularly in the early days of the Academy. Examples include the community aspect of Case 6 where there is a directive in the staffing structure for each Academy from the Sponsor:

> "Every one of our Academies, in its leadership team has a Director of Extended Services, a Director of Community. I mean, the names do change, on occasions. But their job is to facilitate extended provision for youngsters", Sponsor Case 6

This result of this is realised with the Academy Principal saying that:

> "we've got a massive evenings and weekends and holiday programmes. We're open 363 days a year. And we open Christmas Eve. And we've developed our facilities here. We've created a mini-theatre, in house", Principal Case 6

"we've appointed with [Sponsor's] help a family support worker, who is working very much with our families. Particularly, our hard to reach families. You've possibly noticed two of the kiddies who refused to come to school, out in reception when you were there, just? They are waiting to talk to our family support worker. We help kids", Principal Case 6.

The ethos and vision of this academy chain is about each academy being part of community and stems directly back to the vision of its founder. Another example is Case 5 where the founder of the Sponsoring Organisation, who is no longer involved (and there has been ironically a re-branding name change), held strong beliefs that are still at the heart of the Sponsor's vision:

"However, the fundamental words that were used then have not changed. So for example he was absolutely determined that they be none faith and they would be multi-cultural, and that they would represent their communities There would be no.... admissions ...arrangements that would discriminate against ... they would be local schools, for local people They would be very, very high performing. They would all have shiny new buildings", Sponsor Case 5.

The lead of the Sponsor in an Academy Chain is clear, it directs on a significant level of detail that makes each academy theirs. The Sponsor in Case 6 talks of the level of detail that they would expect to be implemented:

"there is an [Sponsor] brand ...and then we have that brand and we have a very strong marketing department. That stands for innovation, creativity, you know, devolved leadership, student voice...errm..application of technology, vertical tutoring systems, you know, you can go through the list. The Principal, clearly...if we're going to appoint them subscribes to", Sponsor Case 6.

Such detail as vertical tutoring is implemented across the chain, this is not a decision for the Principal. However, it is Case 4 that has a sponsor that provides the most significant amount of direction, including parts of the curriculum and teaching methodology, "The no hands up rule, is an important one that we learnt from other [sponsor] academies. So teachers have to use different questioning strategies that are more inclusive", Principal Case 4. The length of the school day is also directed by the sponsor, "8:25 in the morning till 4 O'clock in the afternoon. So it's actually a 30.5 hour teaching week [previously 25 hrs]", Principal Case 4

and even a new teaching contract for staff. The contract of employment requires a greater number of hours to work in exchange for higher pay. Figure 4.10 summarises the key themes in the realisation of the ethos and vision of Academy Chains.

There are common themes that have emerged within Nest 3 Sponsor Chains. Each of the chains was founded by philanthropists who have placed their educational vision onto the academies within the chain. Although each of these visions refer to educating youngsters from socially deprived backgrounds nonetheless each has its own 'brand'. There are some similarities to the other nests. Like the other nests BSF and a new school building was a motivational aspect for the sponsors and there was a role for national and local government in requesting specific Sponsors to become involved.

Figure 4.10 Key Themes of Nest 3: Ethos & Vision realisation in Academies within a Sponsor Chain

The roles of the principal and sponsor are more dynamic than other nests, there appears less autonomy for individual principals though this varies across chains within the nest. The realisation of the ethos and vision has the sponsor vision at its heart, there are links for each new academy to become part of the chain by working with the Sponsor and other academies within the chain. However, there are degrees of 'chainness' with different sponsors allowing greater academy principal autonomy on such practice as teaching methodology.

4.3.4 Findings from Nest 4: International-Based Sponsorship

The Academies Programme has allowed international sponsors to enter state education in England in order to increase diversity and subsequent parental choice. This nest consists of two cases both of which have their origins in the European countries of Germany for Case 8 and Sweden for Case 9. Three interviews were held, in Case 8 the Academy Principal and a Sponsor's representative and for Case 9 a Sponsor's representative only due to the reasons outlined earlier.

Sponsor Motivations

There were common themes in the motivations for sponsorship such as bringing a different educational philosophy to a wider audience with comments from interviewees surrounding the concepts of diversity and choice. The motivations for both sponsors were similar for both cases with one exception; case two has a clear commercial motivation too. The idea of bringing a different educational experience to children in England was referred to frequently, "[Our] School Movement UK have been working on this for decades, on and off. How [do we] find a way of accessing the wider educational discourse of this country. And that issues like recognition, equivalence and finding a voice", Principal Case 8 and:

> ..[we were] welcomed by Andrew Adonis [Lord Adonis the governmental architect of the Academies programme], largely because of our education model which is quite unlike anything else operating in the UK. ...Andrew was always keen to use the academies programme to get more diversity into the supply side of education...and he saw this as a real opportunity to bring in some ...erm...a very different model of education into a group of academies", Sponsor Case 9.

All the interviewees spoke passionately about their educational philosophy and how it may be more appropriate for some children. Although a long quote, the following summarises the principal's beliefs about the educational movement in Case 8. When asked about how their

academy differs from mainstream schools then he explained referring to what they were attempting to achieve with childhood and subsequently an adult's place in the world:

> "To become free thinking, considerate adults in a complicated and fast changing world. I suppose in rhetorical terms, it would see a lot of what modern society is doing and is trying to speed up childhood altogether So it's just (clicks fingers) gone in a flash. And then you are left with a situation where adolescence goes on for decades, because we can't make sense of anything). We don't know who we are. We can't really cope very much with a variety of very, very difficult problems. So we end up with where we are all very kind of zappy. We all know what the latest gizmo's are, but behind all that there's a lot of questioning about, 'who am I? What can I do? Where do I fit? What is the world?' And those deeper questions. And I suppose the approach would be to try and get children through childhood and adolescence to a place where they are still a little bit awake", Principal Case 8.

Here motivations are to do with changing adults in society, it is fundamentally counter culture. The motivations for schooling become at a higher level, thinking longer term and are spiritual, though not religious. Although the curriculum and its pedagogy differ to mainstream schools, Case 8 is also offering a different experience of education itself. This contrasts to Case 9 which is about pedagogy as a means to success. How individualised, personalised learning can help youngsters learn more. It is essentially a stage not age curriculum with students progressing at their own rate not at the rate of their peers.

The concept of validation, of an official governmental approval, to run state schools in England was also important for both organisations. It allowed them to be able to not only bring their style of schooling to a wider audience but also to be able to use it in the marketplace. For Case 8 this will be an increase in the number of other independent schools from the same organisation in England and internationally and potentially further state schools. For Case 9 this validation has a more significant role, it allows for further advertising of their product; in commercial terms it is a lost leader.

The Sponsor in Case 9 is a profit-making company, it exists to pay dividends to share holders, "we are not doing this for philanthropic reason at all. You know, we are a business and so our reasons for sponsoring academies in the UK was to establish a ...errm...shop window for what a [our type of] school might look like in somewhere other than Sweden" Sponsor Case 9. The motivations for being within the Academy Programme now become clearer. He continues:

> " because the UK is a good base point for us to demonstrate this to the rest of the world.... we feel having something in England, ... in the English language which is globally accessible, is an interesting place to have a showcase of our capability. So we made the decision for, you know, straight forward commercial decisions to create a [our] school here in the UK", Sponsor Case 9.

The commercial motivation now becomes where the status of validation of approval to the extent whereby the organisation is running a state financed school in England becomes a ticket to sales internationally. It is used to promote their product. The sponsor continues, "we're certainly looking at opportunities in the UK and elsewhere in Europe and we've just opened our first school in Manhattan. And we are to talking to countries all over the world. I mean, people will...we had the Australians in last week and the Dutch and so on", Sponsor Case 9.

The financial motivation of BSF was also evident, Case 8 was to have some new buildings, not a total rebuild, whilst Case 9 required brand new buildings that could help them realise their vision. Once again, like many of the other cases here, there was direct consultation with the national government and in particular Lord Adonis:

> "[discussion] started pretty much after the 'Tony Blair' Government stepped into office .. think there had been some talks with Labour in opposition and David Blunket but at that time said, 'well, keep us in touch, and if we do get in, we might be able to help you.' So of course they were elected in '97.... the [our] School movement went back to him and said, 'You said you could help us?' and he said, 'yes, fair enough. Okay'", Principal Case 8.

> "our approach to the Department to do that, was welcomed by Andrew Adonis, largely because of our education model which is quite unlike anything else

operating in the UK. Errm...and unlike anything operating in Sweden, for that matter. You know, it's very personalised model of education. And Andrew was always keen to use the academies programme to get more diversity into the supply side of education", Sponsor Case 9.

A summary of the motivations of the Sponsors in Nest 4 is shown in figure 4.11.

Figure 4.11 Key Themes of Nest 4: Motivations of International-Based Sponsors
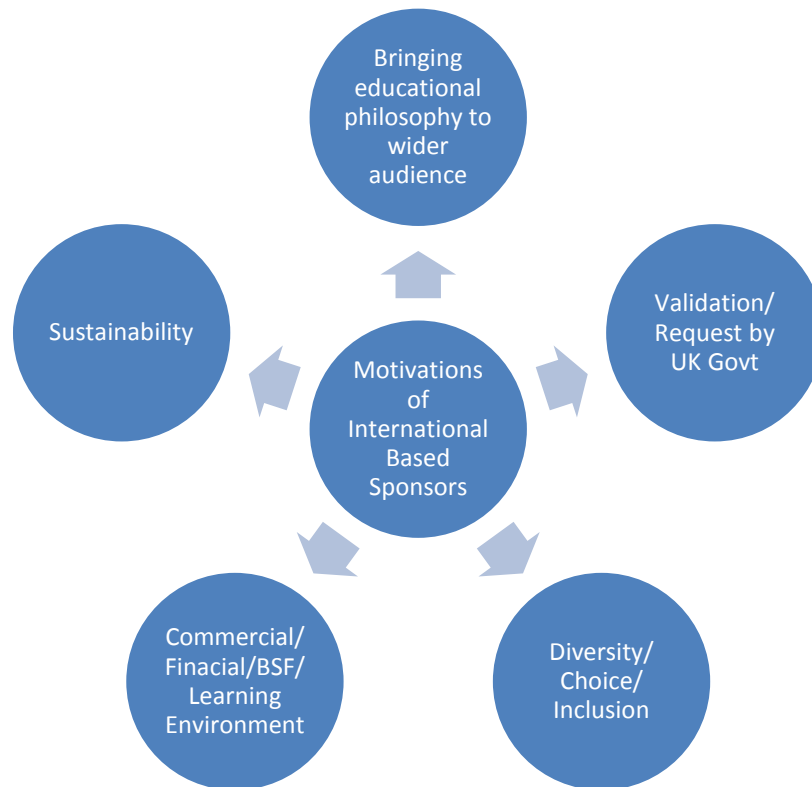
Academy Principal and Sponsor Roles

The roles of the principal and sponsor are similar in both of these cases in that the academies are clearly sponsor led. There are opportunities for the Principal to lead and affect change, however this cannot be fundamental to the ethos and vision of the academies; the unique ethos and vision they bring to the state system is the *raison-d'etre* of their existence in this context. They have joined the state school system in order to increase diversity in the family of

schools, fundamental change will mean they may no longer be the type of school that belongs to their organisation. In Case 9 the role of the Principal becomes a conduit for the sponsors; it is about ensuring that the concept of education they offer is instigated then maintained. This has involved visiting the company's schools in Sweden and having a period of induction to ensure they are aware what the sponsor's requirements are. The sponsor is unequivocal:

> "The benefit of having a sponsor like [ours] is that there is no *doubt* the school we want you to run...And as part of the recruitment process we took the short-listed candidates, the final 3 in each case, to Sweden for a day and on the flight home said, 'if you don't want to run a school that looks like this, then don't join. ...So we don't have any conflict really around the vision.... They have partner schools in Sweden" and "So it's more about the implementation rather than the vision", Sponsor Case 9.

The creation of the post of principal in Case 8 was a significant event in itself. This type of educational movement does not have such a role in their schools, but have leadership and management through a collegial college. The role of principal is a state school requirement. The Sponsor recalls,

> "[our] schools are managed by the teachers. There is no concept of a senior management team. To shift from that position to a position where we could actually draw up a job description for a Principal was quite an extraordinary process. That was about values and about the ethos meeting with resistance and hanging onto a tradition. We don't do it like that. So finding a way in which we could do it took a lot of...discussion to move on from there. And it's still something...an area that hasn't entirely been resolved", Sponsor Case 8.

The appointee would also need to be an entrusted individual who knew this type of schooling and could be accepted, "I was actually working alongside [the sponsor's representative] a few years ago...[part of school movement] working for the Executive group for [our] schools movement", Principal Case 8. In effect the Principal was actually one of the sponsors. The school turning into an academy and therefore becoming part of state education, part of the establishment, caused tensions with parents and staff, "...is one of the difficulties...because the

Principal, i.e. me, ..., is seen as being the arm of the State... And he's obviously sold out ... He's even an agent of the department!" Principal Case 8. Although this post has potential for conflict there are numerous quotes where the Principal and sponsors have worked together with little or no conflict as they perceive themselves fundamentally as part of the same educational movement. Figure 4.12 shows the key emergent themes of Sponsor and Principal roles in International Based Sponsorship.

Figure 4.12 Key Themes of Nest 4: Sponsor and Principal roles in International-Based Academy Sponsorship
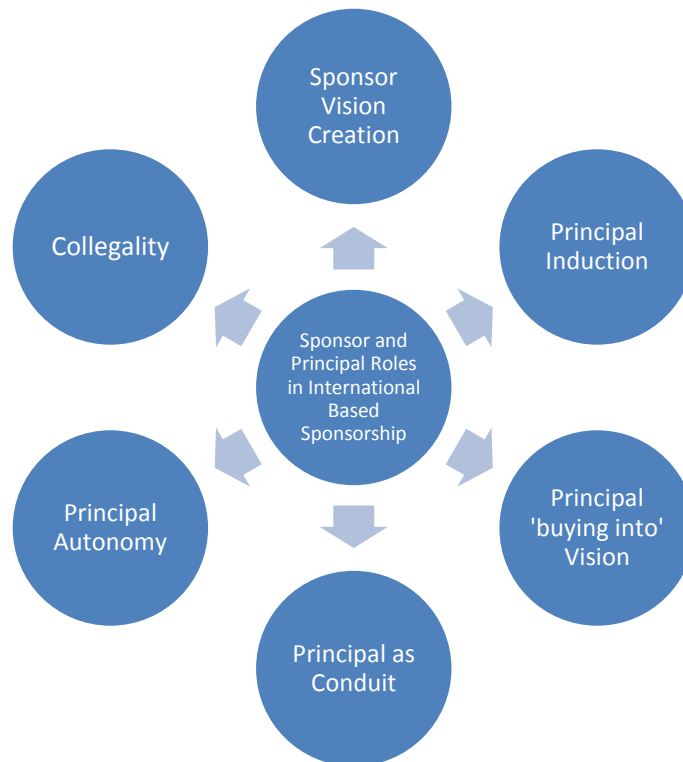
It is clear from the data that both academies have a clear ethos and vision and that they are significantly different to maintained schools in England. There are both very child centred and focus on the individual, however in a different way. Case 8 has a fundamental objection to the use of ICT, it is not formally introduced until age 13, the Academy is specifically exempt from compulsory teaching of ICT prior to that. In Case 9 however ICT is at the heart of its pedagogy.

There were common themes in the motivations for sponsorship such as bringing a different educational philosophy to a wider audience with comments from interviewees surrounding the concepts of diversity and choice. There are common themes too around the roles of the principal and the sponsor; in both academies there is a lack of manoeuvre for the Principal in terms of pedagogy as the schools will no longer be these types of schools were significant changes be made. The realisation of the ethos and vision in both schools is led by their value beliefs. These issues and differences between the two cases will be explored further in the discussion section.

The vision and values of the academies in this nest are the drivers for realisation. There is a blue print for the type of education they are. The academies for the sponsor of Case 9 were not open at the time of the research but it is clear the type of school they wish to have:

> "the ethos and vision is supported by 4 core values... The first is that everyone's different. Every student who comes to the school has different starting points, different learning styles, different aspirations, different parental and home back grounds and so on. And the school's responsibility is to offer an education the meets their needs not provide a standard model of education and force them to fit within it.
>
> The second is that, young people aren't naturally effective learners who are clear what good learning and good behaviour looks like. So it's a responsibility of the adults who run the school to set clear requirements and challengeable behaviour.

Our third principle is that education is for life.

And the fourth one, which in some ways is the most important, is that 'life is what I make it'", Sponsor Case 9.

"[We have] essentially a stage not age curriculum. We facilitate all that by having a very, very flexible timetable and by having a building which has a big variety of different spaces. From Open Plan Learning to arenas to small study spaces that students can chose to use for their learning depending what their strategies are", Sponsor Case 9.

"It's a highly managed model in which students have a lot of responsibility and autonomy So it's a radically different way of running a school from a traditional model and we've been running it in our schools in Sweden for 10 or 11 years now and get great results", Sponsor Case 9.

The quote shows that the sponsor in case 9 is quite clearly setting an ethos and vision for the academy based on their beliefs, on what they value for education. The core values and the way in which they are implemented are based on the schools that the company run in Sweden.

The Academy in Case 8 is unique in this study in that it already existed as a school but in the independent sector. It also is the only academy that is not benefiting from a total re-build, however it has gained BSF funding for an extension that was completed at the time of the research. This building was in keeping with the rest of the Academy in that there was a large amount of wood in the building creating a very organic feel; the building is important in creating the ethos and vision.

The branding is important for these schools too, though not a re-brand as in some of the other nests in this study. The academies are 'selling' an established brand that is, for both cases, different from other schools in the state system and has been successfully implemented elsewhere. Figure 4.13 is a summary of the emergent component themes in the realisation of the ethos and vision in International based Sponsorship.

Figure 4.13 Key Themes of Nest 4: Ethos & Vision realisation in International based Sponsorship

4.3.5 Findings from Nest 5: Public Sector Sponsorship

Educational organisations that are already in the public sector were allowed to sponsor academies later in the programme. Sponsors were no longer required to provide a £2 million endowment and such institutions as universities and even LAs could become sponsors. There is a single case in the final nest of public sector sponsorship. The Academy is in a West Midlands city and is co-sponsored by the local Further Education (FE) College, University and the LA. There were two interviewees, the Principal and a Sponsors representative from the lead Sponsor, the FE College.

Sponsor Motivations

The sponsor motivations in this nest are essentially three fold, financial with BSF, a belief of the sponsors' role within the community and a specific request from the LA and national government.

The LA of the city was compiling its BSF bid for all of its schools and the belief was that the creation of an academy was required for a successful bid. The Sponsor is clear here:

> "there was a lot of pressure around, you know, Academies being part of the whole package. Without Academies I've seen in other parts of our sub-region, where there has been examples where they have not got BSF", Sponsor Case 10.

BSF is a theme across all of the nests. The LA in bidding to gain funding for all of its schools perceived that it must put the creation of an academy into the bid for it to to be successful. The motivation for creating the academy is to do with gaining funding to re-build and refurbish all of its secondary schools.

The FE College as a co-sponsor was directly requested by national government to be an Academy Sponsor. The Sponsor representative again:

> "then we were approached by the Department directly. They actually came and said, 'look the relaxations have come in, we have started to profile colleges that they felt had a role to play in their communities...had a profile that fitted", Sponsor Case 10.

Once again this has been a common theme across the nests. The then Department for Children Schools and Families was particularly active at this time in seeking academy sponsors. These approaches were sometimes informal.

The final emergent theme for nest 5 was that of the Sponsor's role within the community. The evidence here is from the Sponsor's representative and the Academy Principal:

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"..what are the things that drive us...gets us going as an institution?'. And then what might that bring ...could add value and build upon what was there to the existing schools and actually start to shape things that were consistent with some of the values that underpin what we believe we stand for. I know that sounds a bit grand, but I do think we are attempting to be, as best we can, an organisation that's driven by some very simple core values and much of those centre around the fact that we really believe that there is a coming together of both the economic issues and drive and ambition of an institution, but that without the social mission is pointless. And we said actually, our role in working the Academies, as a sponsor, might add further value, across the city, to that whole coming together of ..yes we want further economic development but we want social mobility, social justice as part of that as well. So that's why we are so committed", Sponsor Case 10.

"I think that the Principal of the college who is the lead sponsor has a varied and holistic vision of [City] and had a desire to impact across the whole community in [City] and felt that the college played a role across the whole city and in discussions with the university both felt that they could have some real impact on the regeneration of the area and the way to do that is through education and therefore took on the academies as ...as.. ... as a mission if you like to do that, to bring about regeneration to the areas. So, through a sort of social ambition to improve the life chances of students in [City]", Principal Case 10.

The two responses here are very similar. The motivations were based on the Sponsor's role in the community as providers of inclusive education that will also seek to invigorate the economy of the city. The concept is that the creation of academies, with the FE College and University as the Co-Sponsors, will assist in the regeneration of the city. Figure 4.14 shows the key emergent themes of Sponsor motivations in nest 5.

Figure 4.14 Key Themes of Nest 5: Motivations of Public Sector Sponsors
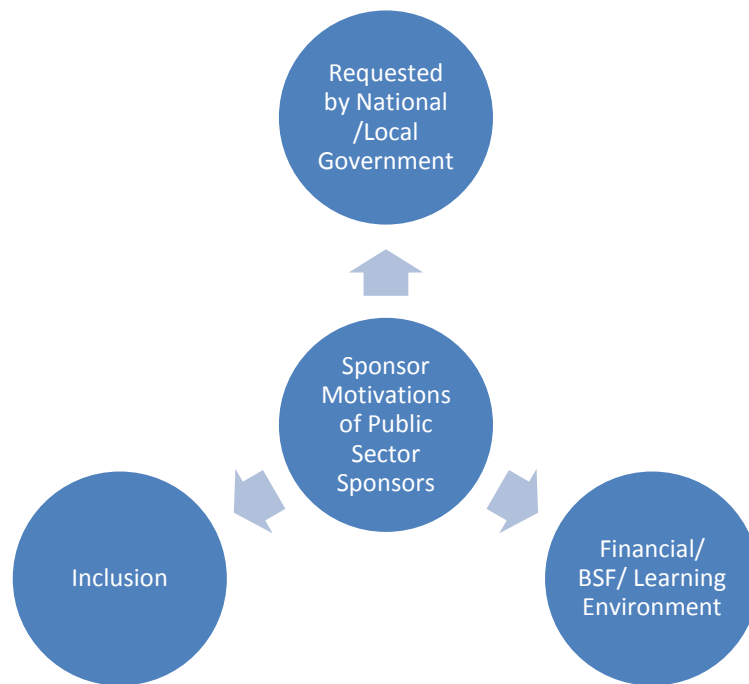
Academy Principal and Sponsor Roles

The Case in this nest differs from the other nine cases in that it is co-sponsored by different organisations. Case 2 is also co-sponsored but has two sponsors from the same organisation, one overarching, providing strategic governance, the other a Successful School providing more practical assistance. Case 10 however has three different organisations for the Principal to liaise with.

The Sponsor states how the three organisations were to work together, the underlying educational principles were key to their working relationship, "before we all agreed that we would come together and sponsor, we spent a lot of time talking about what we thought were the underpinning principles. .... I don't recall too many differences...", Sponsor Case 10. These principles then drove the ethos and vision and were used to generate other academy policies:

"I think we said the best way of making a good partnership between the Sponsors is if we agree on what are the principles on what we are trying to achieve in our Sponsorship of academies. That for me was one of the best things we ever did, you can often go back to those and go, 'hang on a minute..do we agree on this one?' Is it fitting in with those core principles? And those core principles were then used to create the Vision and Ethos. I think if you look through the vision and ethos for both of the academies, whilst there is some nuance of difference between them, you can see, you would be able to identify those half a dozen key principles", Sponsor Case 10.

However, the mechanisms for the communication on a working day to day basis for the Academy Principal were an initial problem,

"It [co-sponsorship] was [a problem] when I was first in post... because we didn't have the structures for the Trust that we've got now. And there was no one point of contact. So every big decision if you like, had to go to three separate people and get their views....and I found that quite difficult", Academy Principal Case 10.

The Principal now has a sole point of contact with the Sponsors to ensure a smoother running of the Academy.

In a similar way to other cases the Sponsor set the vision for the Academy. In this case before the Academy Principal was appointed. A small group of representatives from the three sponsors met to complete the Expression of Interest:

"In this very office [we created the EoI]. A few of us sat down and said right if we are going to do this let's start from the basic principles about what do we collectively believe? What are the things that drive us? And we then said well how does that start to shape...something that can be articulated into a vision and ethos. Now to be honest, erhm we had some support from the Department..[national government] ... People that have worked on the vision and ethos statements at other Academies", Sponsor Case 10.

The Academy Principal, like in other cases, reported to be in agreement with the vision:

"I wasn't involved in the initial vision setting, I wasn't appointed then", Principal Case 10

"..with our sponsors, setting the bigger vision of the academy was definitely there and was certainly something that was already in place when I applied for the job ....but the reason I applied for the job was that the vision sat very comfortably with my own educational values and vision for the school", Principal Case 10.

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The Academy Principal is clear that the lead on the vision comes from the Sponsor, "so the sponsors ...errm have taken the lead in the vision", Academy Principal Case 10. However, she does have some influence and this is expected from the Sponsor, "then, more recently, with the appointment of the Principal, she's been able to add another perspective onto this [the Vision]", Sponsor Case 10. The Academy Principal continues:

> so the sponsors ....errm have taken the lead in the vision, but other than that it's more about support than leading the direction of the academy really, that's very much down to me as Principal but they are there to provide the checks and balances if you like", Academy Principal Case 10.

The role of Academy Principal as a conduit for the Sponsor is also apparent in this nest. The Sponsor representative in the next quote refers to principals in the plural as there are two academies run by this Sponsor:

> "how do get a change and how do you get that relationship being built up that says, the Sponsors want to see some change, you [the Principal] need to lead and shape that change. So it became, I hope, more of a shared vision, than just the Sponsors vision", Sponsor Case 10.

> "That is the concept we are trying to develop with the principals and senior leadership teams that says, 'right these are the things we believe in and want to see happening and how can you translate that into practice'", Sponsor Case 10.

It is relevant that the Sponsor is using plural here, he sees their role as leading two academies into affecting change. The Principal also sees a conduit role for her, "the challenge to make sure that what we are doing delivers the vision", Principal Case 10.

There is an element of collegiality to the Sponsor and Principal roles, working together to lead and manage change:

> "if you look at what we have done in one of the academies, we've developed a strong relationship with the leadership team there and worked on that transition from where they were to what we are wanting to see as the movement and change, some rapid, some over a longer period of time", Sponsor Case 10.

Whilst the Academy Principal is more to the point, "I don't think the Sponsors would say, 'our way or no way at all'".

Like the other cases in this study there was a Principal Induction period:

> "I was in post. Appointed in the July. The academy opened in the September. I took up post as Principal designate in November, with an interim Principal here. So I had two months, basically where I worked closely with the sponsors. Based at college – had an office there. And met all the sort of key figures and tried to get them to articulate what was on the paper and question them about how they felt the vision should impact in school and any sort of areas that they were keen on developing and to see what support they could offer us as well", Principal Case 10.

It is notable here, again like other cases, although the Principal was in employment they were working elsewhere, learning what the Sponsors required of them.

The final emergent themes of accountability and autonomy are, like other nests, current for Public Sector Sponsorship. The next quote reveals a high level of accountability and a reduction in autonomy for the Principal, she contrasts it with that of a governing body (and hence Headteacher) in a maintained LA school:

> "I think, firstly, the sponsors and Trust's boards feel the accountability more than a governing body do. Because at the end of the day, the governors have an accountable role but there is the LA, sort of the backstop behind them, whereas, it is the Trust or nothing ...and the stakes are very, very high, you know, in an academy, if the sponsors don't take their role seriously and do a good job and do it properly, the academy can close. Whereas as school might replace the governing body. So, I think that's very different...and...the governing bodies that I've worked with...I've worked in a number of schools, have been, sort of, of a quite light touch approach if you like. Not necessarily education people, just interested parties within the community. Whereas you are working with people who are very, very knowledgeable, very intelligent and committed to what you are doing. So, I think the challenge is much more rigorous than I have had before", Academy Principal Case 10.

The Academy Principal appears in this Case to have less autonomy and sees herself as highly accountable, particularly in terms of student outcomes in performance tables. Figure 4.15 is a

summary of the emergent themes of academy principal and sponsor roles within Public Sector Sponsorship.

Figure 4.15 Key Themes of Nest 5: Sponsor and Principal roles in Public Sector Sponsorship
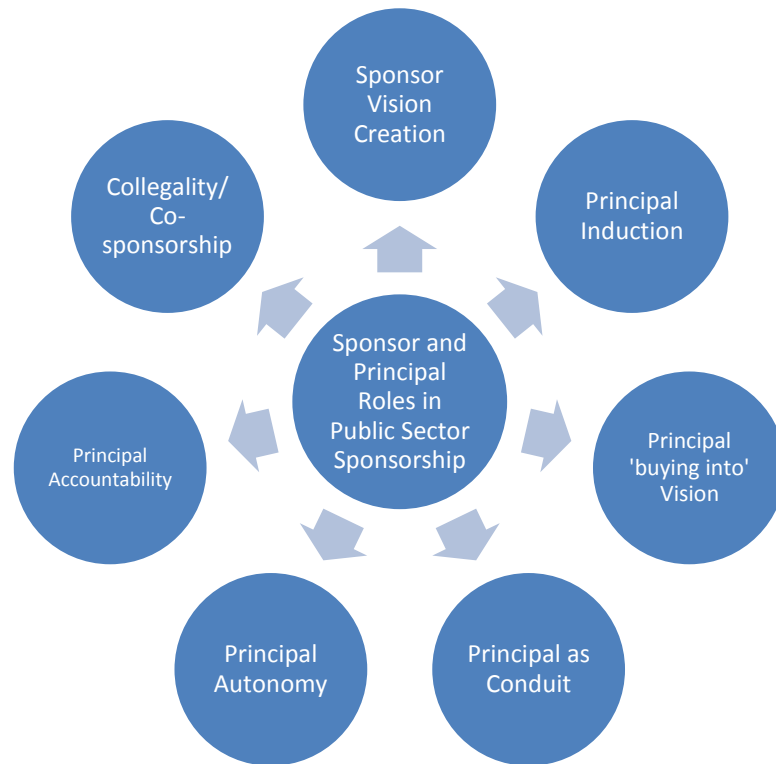
Realising the Ethos and Vision

This Academy has less of a drive from say philanthropic sponsors or those whose educational philosophy derives from a belief in a different mode of education; it is sponsored by educational organisations that are in the public sector. The realisation of the ethos and vision emergent themes have a different timbre to other cases in this study.

The approach was based around a fresh start, changes in staffing and high expectations. Like two other cases in this study, the re-branding included the Academy having a complete name change from the predecessor school. The use of a re-build under BSF spearheaded this change, the Principal stated frequently during the interview, "when we move to the new

building in two and a half years...". This was clearly a motivator for her and the staff. Some changes were made rapidly though, particularly to the second site, so that staff would visualise the new regime and promises of more to come:

> "the other site is a 1901 primary school and has never had any love or attention and you walked in and it felt unkept ... we spent three weeks completely redecorating the whole place. New carpets, painted, white boards put in, computers put in, new blinds. An actually the children prefer that site now", Principal Case 10.

The initial change also included that of behaviour management. The perception was that the student behaviour in the predecessor school was in need of change:

> "we've made massive improvements, but it's a culture change and that's obviously a lot more longer and more difficult. But, Just things like behaviour, and we are still not there where we want to be with behaviour, because we want to be outstanding, you know, OFSTED said we were good but very clear guidelines to the staff and the students that 'this is what's going to happen if you do this' and making sure that it does happen. We had very high exclusion rates when I first came in post", Principal Case 10.

This was aligned with high expectations:

> "if ...the culture is that the belief is we won't achieve, and I have been told by the old predecessor head, 'you will never get anything out of these kids', then that permeates through the children, through the staff, and that becomes an accepted norm. So...one of the battles I've had here is 'Oh, it's the kids' ,. No, it isn't", Principal Case 10

There were also staffing changes which allowed the Principal to work on assisting realising the ethos and vision, "the senior leadership was 12 when I first started and I brought in some new blood to that so...", Academy Principal, Case 10. This is a theme that will be developed further in Chapter 5.

Finally, the curriculum itself was changing to make one that helped realise the ethos and vision:

"we talked about some of the changes in Year 7, at that sort of practical level. 'How might a Year 7 Curriculum start to look if its got these principles that underpin it?' 'How might that give you the opportunity to change what you do rather than being tied into what you've always done before?' We had a transitional group that started to work with staff in those areas and shape", Sponsor Case 10.

This curriculum change, the Principal concedes, has been Sponsor led:

"In terms of in school, they've really helped transform the curriculum 14-19 for us to transform our sixth form. Because for me they're the experts, that's their bread and butter... it ranges from their curriculum leader working with us on a weekly basis, coming and talking about the sort of courses we're offering, looking at progression pathways and how we've mapped those through.. offering us advice on different courses that we could actually bring in that would engage the students more and then through to partnership with courses that they're offering. So, for example, Level 3 Motorsports, we started last year", Principal Case 10.

The curriculum becomes one then that engages students more. Figure 4.16 is a summary of

the key components that assist in realising the ethos and vision in public sector sponsorship.

Figure 4.16 Key Themes of Nest 5: Ethos & Vision realisation in Public Sector Sponsorship

4.4 Summary: Findings across the Nests

A Nested Case Study analyses each nest and then their part in the whole, in this situation all Academy Schools. The following three figures 4. 17, 4.18, and 4.19, summarise the findings from all the nests. However, there are differences from nest to nest and within the nest itself. Each figure is annotated to indicate within which particular nest evidence occurs. In the next Chapter, Chapter 5, I will discuss these findings in more detail and with reference to the Literature. Figure 4.19 still displays the ethos and vision realisation as a set of component themes, in the discussion I will attempt to generate a process by which the academy schools have endeavoured to achieve this.

Figure 4.17 Summary of Key Themes in Sponsor Motivations in Academies across all nests

Each emergent theme here has a callout that references the relevant nest, however it may not refer to all cases within that Nest
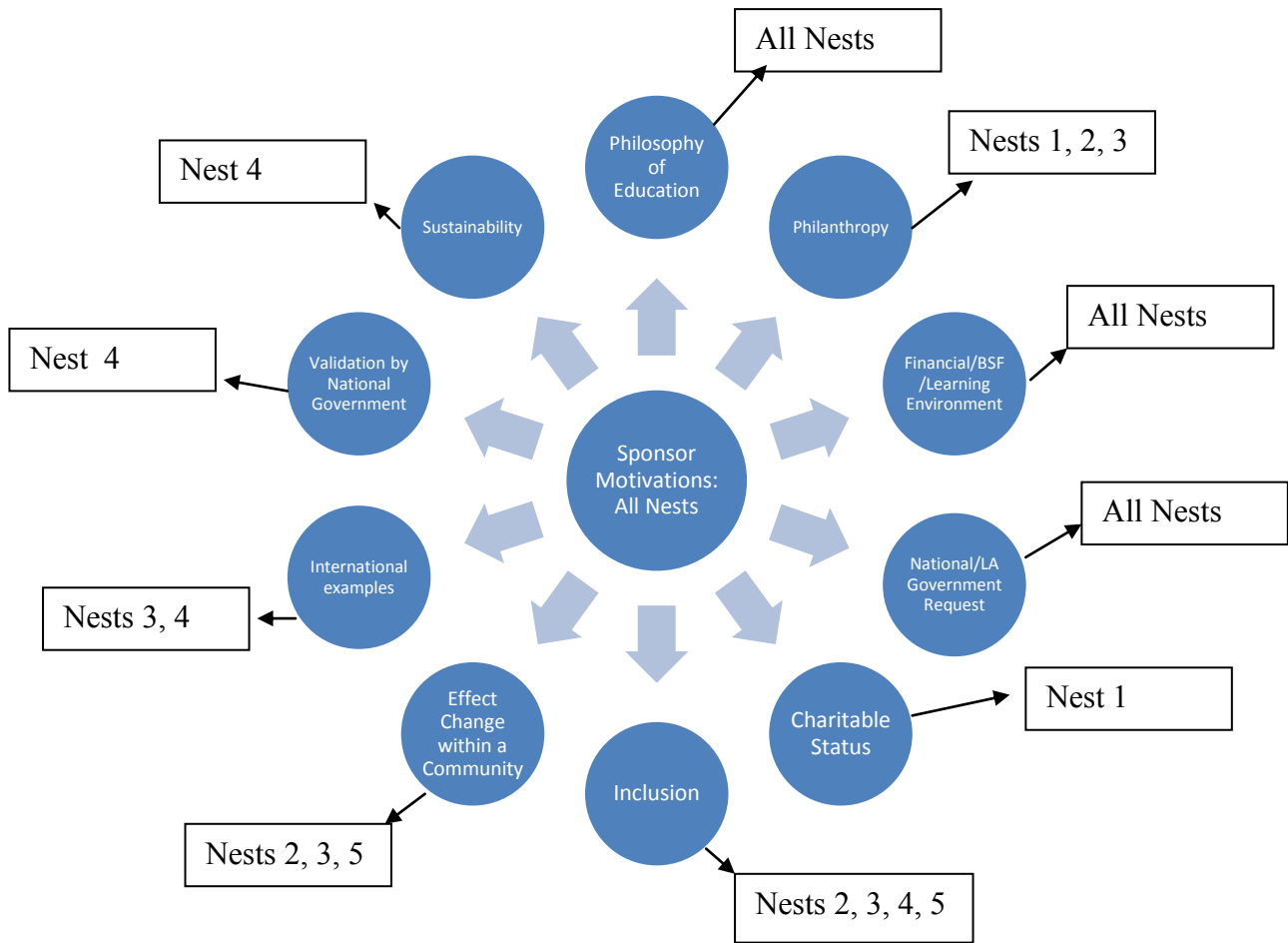
Figure 4.18 Summary of Key Themes of Sponsor and Principal Roles in Academies across all nests

Each emergent theme here has a callout that references the relevant nest, however it may not refer to all cases within that nest
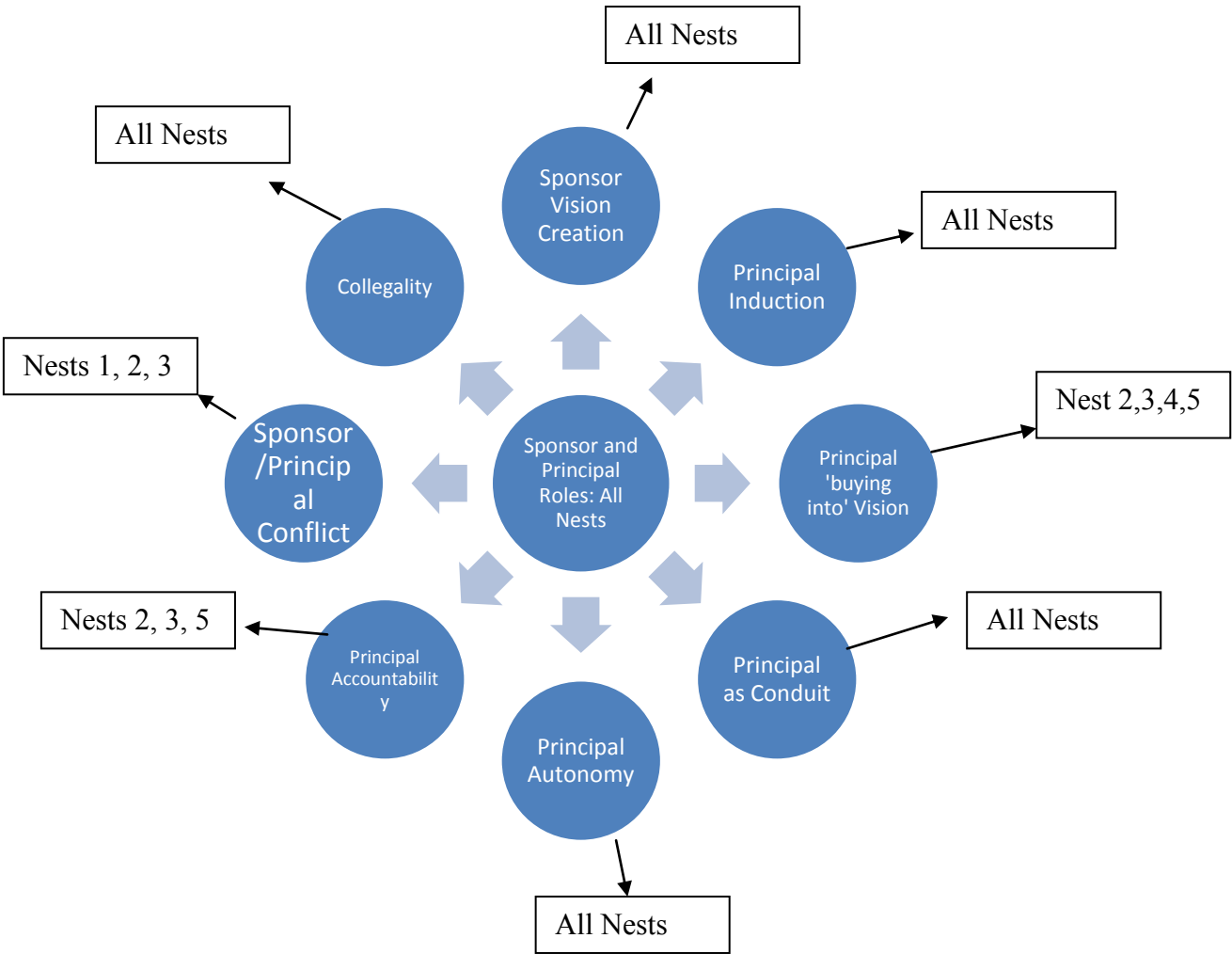
Figure 4.19 Summary of Key Themes in the Realisation of the Ethos and Vision of

Academies across all nests

Each emergent theme here has a callout that references the relevant nest, however it may not

refer to all cases within that nest
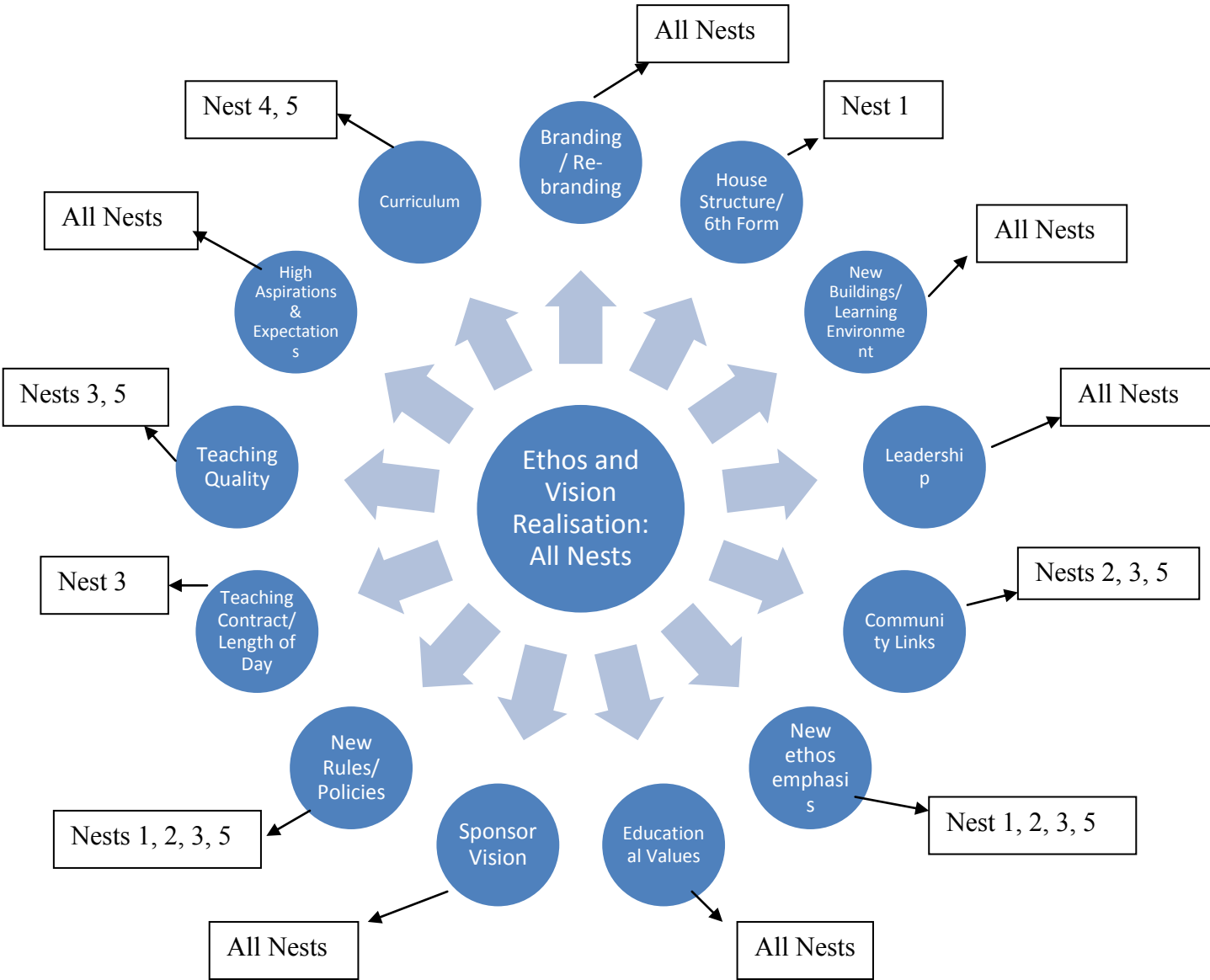
Chapter Five: Discussion of Findings

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5.1 Introduction

This research has focused on the leadership of Academy Schools in England. It has sought to investigate sponsorship and its role in the realisation of the ethos and vision of an academy. The previous Chapter, Presentation of Empirical Work, detailed the findings in answers to the three research questions:

1. What motivates Academy Sponsors?

2. What are the leadership roles of the Sponsor and the Principal in an Academy?

3. How are the Ethos and Vision realised in Academies?

This is a nested case study and as such the findings were presented within the nests. This chapter analyses these findings within the nests and across nests to discuss emergent themes across the sample as a whole in answer to the research questions. These findings are then discussed within the context of the literature. The findings to each research question were summarised as figures 4.17, 4.18 and 4.19 respectively. The discussion centres upon the main emergent themes across all nests; the whole Academy nest. However, it is also important to discuss the important contributions to the field that have emerged even though they may be outliers, available in one nest or even a single case. Finally, an emergent theoretical framework is developed and discussed.

5.2 Research Question 1: What motivates Academy Sponsors?

In Chapter 2, Literature Review, I discussed the literature on sponsor motivations. The findings in my research broadly agree with the literature (PricewaterhouseCoopers, 2008; Leo et al., 2010). There was a philanthropic 'giving back' (Henry and Thornton, 2002), effecting change within a community (Leo et al., 2010) and historical roots including the Church (Leo

et al., 2010). All these themes occur in this work, however there are several others not in the literature that contribute to the field.

The motivations across the academy sponsors varied; there was not a single driver. There were ten main emergent themes across the sample. In discussing the themes, it is important to recognise that some motivations were apparent in all cases. However, there were others that, although in only a single nest (or even case), are significant enough to include in the discussion as they were so highly held by the relevant sponsor. In section 2.3.3 I discussed the literature on sponsor's motivations.

The philosophical nature of their educational conviction differed amongst the sponsors, however all had this as a key motivator. Academies were 'sold' as essentially new schools, although often with the same pupils and initially in same buildings, nonetheless they are new schools. The attraction of potentially starting from a clean slate was an attraction to sponsors. There isn't a single philosophy of education that motivates these sponsors, their views on what 'good' education is differed, but they all held their values strongly.

The educational philosophy varied across the nests. Some of the academy sponsors believed that assisting youngsters from inner city socially deprived areas was important, this was particular true when the origin of the sponsors' organisation was a philanthropist. The organisations here were often engaged in other charitable works and schooling was an extension of that work. In one nest such work was seen as God's work; an application of the teaching of Jesus Christ. The Academies in nest 4, brought into the state system to increase diversity, had strong beliefs that their style of education was appropriate for some children who were disconnected with the mainstream. The one academy in the sample that the

educational philosophy appeared to be less of a driver was that in nest 5, Public Sector Sponsorship. The role of public sector sponsorship will be discussed at the end of this section.

Several of the cases in this research were organisations that already operated schools, to take part in the Government's flagship Academy Programme gave them an opportunity to develop their mission and increase their status.

The retention of charitable status of a successful school from the independent sector is referred to in Leo et al. (2010) and in the popular press (Hough, 2012; Parris, 2012; Sylvester et al., 2012). The literature in this theme is discussed in section 2.3.2.2. Leo et al. (2010) dismiss this reason as a motivator believing that there are more simple ways that the independent school can demonstrate 'doing public good' which is required legally in order to retain charitable status and the benefits that it brings. However, in this research the governor of the Academy in Case 1 believes this to be one of the motivators of their sponsorship.

The singular faith based sponsor organisation in this research in nest 2 was created by an evangelical Baptist philanthropist. Leo et al. (2010) address the issue of proselytism; whether such academy sponsorship is motivated by an indirect route to religious indoctrination of children. Leo et al.'s work shows this not to be the case and my research confirms this view. The Principal is clear, he is not a practising Christian and the Academy is not designated Faith status. His role becomes one of taking the openly Christian aims of the Sponsor and adapting them to a secular school. Field notes from the study note though that visitors and students will be clear who the Sponsor is with a large photographic poster of the Sponsor founder in the entrance to the Academy.

In this research there is a greater range of motivators than appears in the literature. Sponsors spoke of the financial incentive of BSF, specific requests from national government, social

inclusion and the status that joining the state education system in England would bring internationally. None of these topics are in the literature.

The financial motivation of BSF was a key factor in the motivation for all of the academy sponsors. The new start being in a new school with new buildings was instrumental for all of the sponsors. The rebuilds also gave access to the sponsors' realisation of the ethos and vision which is covered later in this chapter. It was clear to some that there was also a financial benefit to the LA as a whole due to BSF funding to help rebuilding and refurbishing all of its schools if the bid to national government included an academy. This is discussed in the literature review, particularly section 2.3.2.4. However, this appears to be an abuse of social policy by the national government; the proliferation of academy schools was being organised within a different initiative. Rebuilding schools for future use, under the banner of BSF, was seemingly becoming based upon LAs being prepared to have an academy school rather than educational need. There may well have been a distortion in the application of BSF funds where schools that were in a poor state of repair and in need of replacement were not successful in their bid due to a lack of an academy in the LAs plans.

BSF was not solely available to the academy, an interesting scenario is that of the Successful School Sponsorship in Case 2. Here the Successful School is a selective (entry based on performance in an academic entrance examination) state boarding school; a grammar school. This school was promised a new dormitory block were they to become involved in sponsoring an academy. The belief of altruism, on the part of the Successful School, may not be totally accurate. Is this also an abuse of BSF funding? Some may argue that it is not an abuse due to the sponsoring school being a state not private school and should also benefit from BSF.

The financial motivations are evident for Nest 4, International Sponsorship, in that one of the sponsors here is a Swedish-based with profits company. The Academy programme provided the Sponsors of Case 9 a unique opportunity to establish themselves on the educational landscape in England. This research explores the motivations of a private education company running a school in state education in England. In section 2.3.2.5 I discussed the available literature on this theme. This is new territory and there is no recorded interview with this Sponsor in academic literature apart from published work emanating from this research (Gibson, 2013). There are only articles in the popular press and web sites (Tiger, 2005; Curtis, 2008; Alen, 2008; Eiken, 2011). The motivations here are not philanthropy but to make a profit for share holders. Direct profit from schooling is prohibited in England but it is clear that this organisation wishes to use its validation by the British Government to help sell its products in a world market place. There are important ethical questions here on whether the British tax payer should be funding this sales room pitch.

All of the sponsors in this research had become involved in being a sponsor due, in part, to national Government requests. Several sponsors refer to the direct personal involvement of Lord Andrew Adonis. It is of interest to note that both of the successful school sponsors in Cases 1 and 2, the Swedish based sponsor in Case 9 and the public sector Sponsor of Case 10, were all approached directly by national Government to become involved in sponsoring academies. None of these organisations were involved until that point. Beckett (2008) refers to the Government directly requesting sponsors due to a lack of forthcoming volunteers.

There is little reference in the literature to the inclusion of Public Sector organisations as sponsors of academies as discussed in section 2.3.2.4. There is reference to universities and their motivations (Leo et al., 2010) but not Further Education Colleges and LAs themselves. The concept of a LA sponsoring, even as a co-sponsor, an academy seems an anathema to the

original vision of academy schools whereby it was key to their success that they were removed from LA influence. The singular Case in Nest 5 in this research is co-sponsored by the local FE College, the local University and the LA. It is clear from the interview with the Sponsor representative that the primary motivation for the creation of this academy was to enable the LA as a whole to gain BSF funding.

The motivations then for academy sponsors vary. This work contributes to the field by giving empirical evidence complimenting the existing literature.

5.3 Research Question 2: What are the leadership roles of the Sponsor and the Principal in an Academy?

The data in this research points to a varied set of roles between the principal and sponsor; the roles differ in different academies. Some sponsors have greater day to day involvement than others, they are more prescriptive in their relationship with the academy principal. There is a relationship continuum which varies from autocratic to laissez faire, I have made a tentative plot of each Academy Case within this continuum.

In section 2.6 I referred to a lack of research in the area of principal and sponsor roles. Significant work in the field does not refer to the specific relationship and roles of the academy principal and sponsor (Hill, 2010; National College, 2011). Where the theme is addressed the general perception in the literature is that the principal is the leader with the sponsor in support, the quote of a Principal saying that the relationship is 'support on tap, not on top' (PricewaterhouseCoopers, 2008 p.115) is typical. Where tensions and challenges are observed in previous work they are not explored. Macaulay (2008) refers to the ability to be able to deal with conflict as a key competence skill for academy principals, however for

Macaulay it is about conflict with staff not the sponsor, Macaulay is generally dismissive about the influence of the sponsor.

Leo et al. (2010) perceive the sponsor in a 'non-executive director model' having 'no specific educational agenda' but then proceed to state that the sponsor 'sets the ethos' and that 'achieving it is up to the principal' (Leo et al., 2010 p.74). One could argue that setting the ethos is a primary educational purpose. Once again here the research is characterised by a model of the Sponsor being supportive but not actively involved in the organisational running of the school. In their chapter conclusion they accept that not all sponsors follow this non-executive director model and that they 'found evidence of tensions, particularly in chains and group sponsorship' (Leo et al., 2010 p.84), but do little to show this evidence nor discuss its implications. The research contained in this thesis points to a more dynamic relationship between the sponsor and the principal, one which is filled with tensions and conflict.

This research confirms that the academy vision is set by the sponsor, all nests demonstrated this. There is also evidence to show that there is a period of principal induction and a period whereby the principal acts as a conduit for the vision and ethos from the sponsor to the staff in each of the nests. Common themes too were that of collegiality, whereby the sponsor and principal acted and worked in unison and the counter; that of principal autonomy.

The role of the sponsor in creating the initial vision and subsequent ethos for the academy is held in the literature (Curtis et al., 2008; PricewaterhouseCoopers, 2008; National College, 2011). This stage in the development of the academy is made before the principal is appointed, however the principals in this research generally reported supporting or 'buying into' the vision.

The development from vision to implementation has the significant stage in the appointment, and subsequent training, of the principal. All nests reported a Principal Induction programme that varied from a small number of ad hoc meetings with the sponsor to a corporate large programme that may include international visits. Field notes from one visit to a sponsor head office in London record that one Principal Designate was involved in a mock TV interview in a scenario whereby their academy has gained local unfavourable publicity. The sponsor's head office has a TV recording studio designed for this purpose. There is little exploration of these induction programmes in the academic literature.

There is a clear link between the extent of the induction programme and the level of control by the sponsor, those sponsors with an extensive induction programme have a more autocratic relationship with their principals.

It is notable here that four of the eight academy principals taking part in the study were the headteacher at the predecessor school. Although there is no national quantitative data of the number of predecessor school headteachers that have become the Academy Principal, 50% would appear to be large. When they became Principal Designate often they were removed from the site, to plan alongside the sponsors for the Academy. In each case the Academy opened in the same buildings with the same staff and same pupils with a different ethos and vision. The principals described how they were required to apply for the post as the Principal of the Academy and once they became the Principal Designate left the running of the predecessor school to a Deputy Headteacher whilst they became involved in the induction programme from the Sponsors. They described the new ethos and the new vision for the Academy.

Following induction there is a clearly a role for the Principal to act as a conduit for the Sponsor and their vision, their ethos. All nests report this to some extent. However, there is a clear variation; those academies where the sponsor's vision is more to do with accountability than any specific ethos, require less direction by the Principal to the staff. In Cases 5, 6, 7 and 10 in nests 3 and 5 the sponsors and the principals refer significantly to the sponsor's role in scrutiny and accountability. These principals have greater autonomy in the choices of many aspects that may affect school culture and ethos such as uniform, curriculum and school policies. The description they give of the relationship with the sponsor is to some extent similar to that of the non-executive director model described by Leo et al. (2010) however with greater scrutiny.

The level of scrutiny is variously described by principals as 'mini OFSTED' (Case 6), 'they [the sponsors] come and ask very challenging questions.... ...it's ..it's as least as demanding as an OFSTED visit' (Case 4) and 'when I'm challenged by sponsors , ...I can relate it directly to the vision' (Case 10). The Principal in Case 4 regards the Sponsor's role of challenging accountability as 'the' most important aspect of the relationship.

Other academies have a relationship whereby there is a clear direction from the sponsor with less autonomy for a given principal. This is particularly true for those cases in nest 4, but this nest is to some extent an outlier in the research and is addressed separately.

The sponsor's role in ethos and vision realisation is discussed later in this chapter however, there are academies in the sample that directed the name, the uniform, the curriculum, certain staffing posts and school policy. All of this reduced principal autonomy. When asked about their autonomy all the principals felt they had considerable autonomy however when asked in

detail on other areas such as the curriculum, then more in-depth answers occurred that revealed less autonomy.

The Principal in Case 10 reported no conflict with her sponsors however all others reported examples of tension. There were two key areas for conflict, finance and the curriculum. All of the sponsors removed part of the national government funding for their academies, this varied in the sample. This 'top slicing' allowed for certain services. Leo et al. (2010) note this issue referring to it being viewed with 'alarm' (Leo et al., 2010 p.80) in some academies, however once again Leo et al. do not discuss the nature of this potential problem. It is rather dismissed by them because academy sponsors generally remove less funding than their LA counterparts so that an academy would have a larger delegated budget compared to the predecessor school. Some sponsors perceive their strength is in organising budgets, however it was not just the top slicing that lowered principal autonomy. Sponsors described the management of funds being removed from the academy site and into a central organisation, particularly in academy chains. Several sponsors referred to the importance of a financial 'back office' from the chain to support the academy. One academy chain insisted upon a specific post within each school, that of extended school provision, which is important to their vision. Another sponsor refers to teams of educationalists that "work with the Principal on setting up the vision statements. Setting up the ethos statement. Developing the curriculum. Developing the staffing structure. Developing the school organisation", Sponsor Case 6.

The other main arena for the playing out of the sponsor-principal conflict is the school curriculum. The Sponsors in nest 4 dictate a curriculum from which there can be little variation; their primary purpose is to provide a specific curriculum experience. The influence of the sponsor on the curriculum varied across the academies. In those that had a laissez-faire relationship, there was principal autonomy on the curriculum, the emphasis in these

academies was on academic outcomes. The literature, see section 2.6, refers mainly to collaborative arrangements within the curriculum (PricewaterhouseCoopers, 2008). Where there has been concern it tends to centre around high profile extremes such as the teaching of creationism (Beckett, 2007). My research in this thesis indicates greater sponsor involvement in the curriculum than previously reported.

The curriculum in a school, in part, sets the ethos, so to that extent there is a sponsor role in the curriculum if they are to realise their vision. This is different to maintained schools whereby traditionally a headteacher will have autonomy in delivering the curriculum model. The sponsors' involvement in the curriculum in this research varies. In one academy the sponsor involvement was collaborative in a trying to build, with the senior team in the Academy, a new Year 7 curriculum though in others it was more prescriptive. Other examples include an emphasis on 'stage not age' whereby students can progress at their own rate, or an emphasis on 'depth before breadth' whereby students are given a high proportion of mathematics and English in their diet before addressing a breadth of other subjects. Both of these examples stem directly from the sponsor and the principal is required to adhere to the curriculum model. All the academies in one chain were to introduce the teaching of Singapore Mathematics in Year 7 the following year. Clearly in these academies there is reduced principal autonomy.

The national government's introduction of the English Baccularate (Ebacc) became an area of conflict between the principal and sponsor in several of the academies. Most of the academies in this research cater for socially deprived communities. The curriculum may well be more vocational and have less children studying traditional academic subjects such as Modern Foreign Languages. The school performance tables, within which the relative success of schools are to be perceived to some extent, were to reflect performance at these traditional

subjects from the introduction of the Ebacc. This would mean that schools will need to improve attainment in this area. One sponsor was very clear that they saw the academy needed to change its curriculum to have a greater proportion of students studying Ebacc subjects, the academy principal however thought differently and saw this challenge as a threat to his autonomy. The power play between the two also became structural in governance in that the sponsor ensured their own sponsor representatives in the form of either university academics, or previous leaders from other schools in their chain, were represented in the Governor's Curriculum Group as a means to constrain principal autonomy.

The two academies in nest 4 are significantly different to the others in this study in their relationship between the sponsor and principal. These two schools have joined the state system in order to increase diversity as they offer a significantly different educational experience albeit contrasting. They differ from the rest of the state sector which has an emphasis on outcomes, terminal assessment, accountability and league tables. The Academy in Case 8, for example, has exemptions from teaching the whole of the national curriculum such as phonics and ICT in the early years due to a clash with its pedagogical philosophy.

The difference in the academy in Case 8 from maintained schools in England extends to its leadership and management. Leadership in the schools from this Sponsor is not hierarchal, it is a fully shared responsibility of all. The role of a principal or headteacher is not recognised; they prefer a collegial structure. The decision making body is not the senior team but rather a college of teachers. This group not only has responsibility for managerial and leadership decisions but also the spiritual life of the school. This is a sharp contrast to maintained schools in England. However, in order to become an academy, and attract state funding, the role of principal had to be created for the Academy. There was seemingly little conflict as the role of the principal and sponsor essentially became one, the principal was part of the

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educational movement that sponsors the Academy. The relationship between the sponsor and principal was autocratic in the sense that the Sponsor laid down the ethos, vision and even teaching methods of the Academy. For it to change would ensure that it was no longer the type of education it set out to offer; the very heart of its raison d'être would be challenged.

The academy in Case 9 is similar to Case 8 in that the Sponsors dictated its teaching methodologies and even the building's design. The educational organisation, from Sweden, had created significant direction of how the Academy was to be organised before the appointment of the principal. The blueprint was in existence in Sweden. The relationship between the sponsor and principal is clear in that there is a clear vision of the school in existence when the principals of their schools are appointed.

Some of the literature on Case 8, see section 2.3.2.5, refers to this type of schooling in the private sector not in the state academy sector (Woods et al., 2005; Woods and Woods, 2006). Woods, Ashley and Woods (2005) was a national government commissioned work to contribute to the discussions surrounding this educational organisation joining the state sector. Two articles on the Academy in Case 8 do not refer to its leadership and management (Avison, 2008; Burnett, 2009), both of these authors can best be described as 'insiders' who strongly support the educational aims of this organisation. I have discussed the leadership and management of both of the cases in nest 4 elsewhere (Gibson, 2013). It is of interest here to observe how the nature of the leadership role has changed in Case 8 since joining the state sector with both senior and middle management roles being created.

In section 2.4.2 Leadership Styles and Relationships, the concepts of autocratic and laissez faire were introduced (Lewin, Lippitt and White, 1939; McGregor, 1960). It seems appropriate to analyse the relationship between academy principals and their sponsors in the

light of these terms. There appears to be a continuum from Autocratic to Laissez-faire in the relationship between the sponsor and the principal of academies; some sponsors have a very clearly defined vision of what should occur in the academy even as specific as teaching methodologies. Other sponsors are fundamentally concerned about educational attainment of youngsters as measured by student performance in external examinations and the Sponsor–Principal relationship is characterised by performance matched against quantitative outcomes. In these academies there is a more laissez-faire approach to the methods of 'how' the raising of attainment occurs; the principal has greater autonomy within the academy and the relationship is one of accountability. Figure 5.4 is a diagrammatic summary of where each of the Academy Cases in this research would fall in this continuum.

Figure 5.1 A Continuum of the Sponsor-Principal Relationship
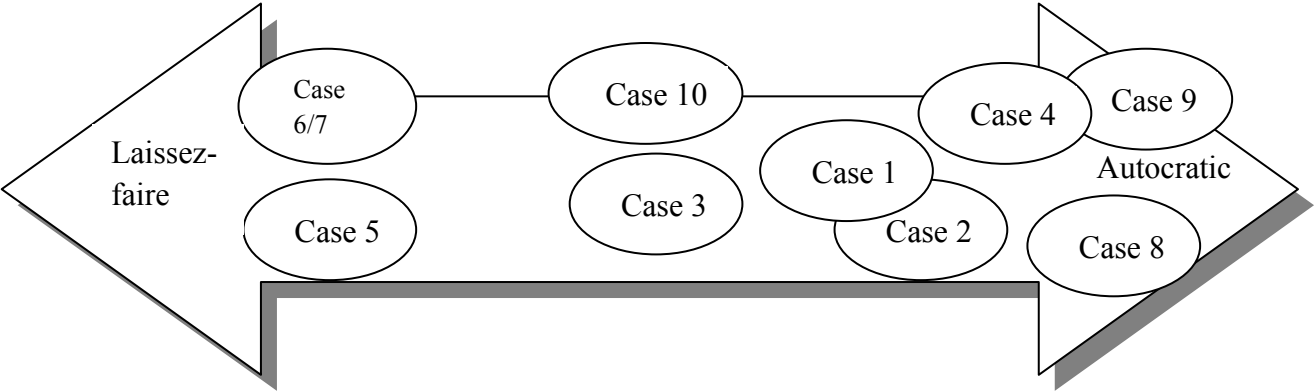
Table 5.1 summarises the key components of the poles of the sponsor-principal continuum. There are clear patterns that have emerged in the sample in particular academies that are more autocratic also have a stronger sponsor motivational factor based on a belief around their philosophical approach to educating.

Table 5.1 Key Components of the Poles of the Sponsor-Principal Continuum.

Laissez-faire	Autocratic
High level of scrutiny	Control over (parts) of curriculum
Ofsted –style inspections from Sponsor	Branding–name/logo/uniform
Greater amount of Principal autonomy	Control over teaching methods to some extent
Outcomes in terms of external examinations results driven	Greater emphasis on Principal Induction
	Philosophy of Education driven

The initial government argument for the creation of Academy Schools included school autonomy from local authority control (PricewaterhouseCoopers, 2008). Supporters of the programme emphasised academy autonomy and the creativity this may bring. The argument is that by removing some of the LA constraints, underachieving schools will improve. However, in this research I have tried to focus on the autonomy that a given academy principal may have from their sponsor as opposed to academy autonomy from the LA. There is a paradox here that warrants further work; there is evidence to support the view that some academy principals may have less autonomy than their maintained school counterparts. They may not have full control over such fundamentals as school budgets, policies, school uniform, staffing structure, the curriculum, building design and even some teaching methods. The Sponsor-Principal relationship is fundamentally an employer-employee one and as such is not equitable. The principals were aware that there were significant constraints from the sponsor especially in terms of strategic vision. Most of the principals taking part in this study, particularly those in chains, were very clear about the relationship of tenure, as one participant put it,

> You know, and 'we'll be watching very carefully ...' and ultimately if there was any kind of *serious* dispute and difference in strategic direction between the [Sponsor] and the Principal, the Principal would just be sacked, presumably... Principal Case 4.

This participant is not referring to principal competence but rather differences in educational strategic vision. The literature does not provide any research into this theme and it is an important one to investigate.

All of the cases in this study were in the initial stages of the academy, for example although all were to benefit from BSF in only one had work been completed and this was an extension of the present buildings. All of the other cases were to have complete re-builds which were in various stages of completion. None of these academies had an Executive Principal role as exists in some chains, the dynamics of the relationship in this structure are likely to be different again. One interesting complexity is in the Successful School Sponsorship of Case 2. There was a symbiotic relationship between the Headmaster of the grammar school and the Academy Principal, the Academy Principal being the more experienced and the Headmaster of the grammar school valuing his assistance.

The relationship in early stages is likely to be more autocratic, it may well differ as an academy develops and new work would be of interest here. A given academy may move its location on the continuum as the academy matures and the sponsor-principal relationship develops. The relationship may be more complex, however and some principals may perceive themselves as 'managing' their sponsor.

The interplay between the principal and sponsor roles in this research was complex, varying in a relationship that held joint mission though also revealed a power play for control. The principals often had an induction period where they became aware of the ethos and vision that was required and perceived themselves as a conduit of that vision. However, there are tensions in a dynamic relationship between sponsor and principal; this is particularly played out in the curriculum and financial arenas.

5.4 Research Question 3: How are the Ethos and Vision realised in Academies?

There were a variety of key themes that emerged across the academies in realising the ethos and vision. Figure 4.19 shows thirteen different key themes, some were evident in all nests others specific to certain cases. Some of the themes that emerged are supported by the current literature, others add to the field. The emergent themes of leadership, branding, educational values, buildings (BSF), sponsor vision and high aspirations were evident in all nests, therefore I will concentrate on these areas in the discussion. The creation of new policies and procedures were an important theme to all apart from Case 8 which already existed as an independent school prior to it becoming an academy. This Case entered the state sector to provide a different educational experience so would be recreating what it previously offered to a wider audience.

The literature on ethos, vision and culture realisation in schools is addressed in section 2.5, including the reasoning why I am including the term culture here as often in the literature the terms *culture* and *ethos* are interchangeable (Glover and Coleman, 2005; Solvason, 2005). Bell and Kent (2010) propose a school culture model that is multifaceted and the final section of this chapter explores my results in the context of this model as an theoretical framework.

Key themes in the literature include leadership; the quality of leadership (Leithwood et al., 2006b); its effect on culture (Deal and Peterson, 1999) and the concept of reculturing (Fullan, 2001). The data in this thesis supports earlier work; all of the sponsors perceived the appointment of a principal as very significant in the realisation of their ethos and vision. The role of the principal, as outlined earlier in this chapter, initially was one of a conduit for the sponsor's vision following the induction programme. There was a variation in the length of time that a Principal Designate was appointed prior to the opening of the academy. However,

all of the principals had time to prepare how to reculture their academy. This involved working on school policies and practices with the sponsor. In the case of certain academy chains the policies and procedures were corporate across all of the academies in the chain. The sponsors wish to create a 'feel' to each academy in their chain so there becomes a culture of their chain; what it is to be an academy in that chain. The actual policies and procedures differed between the cases in this research, the importance here is that the sponsors felt it important to have them as part of the leadership of the academy and that would assist in building their ethos and vision.

One of the important themes for all of the academies in their realisation of ethos and vision was that of branding or re-branding (Greenberg, 2000; Cucchiara, 2008), the latter particularly in a case where the predecessor school held low status in the community (Cucchiara, 2008), such ideas are discussed in the literature in section 2.5.3. In some cases in this research the school name was changed or, in the case of chains branded as part of that particular chain. The two cases in nest 1 in particular used the brand of the Successful School Sponsor in order to reculture themselves. These cases indicate that sponsors of academy schools in these situations provide vision and support for the rejuvenation of inner city schools. The brand of the successful school was seen as important in creating a new ethos and learning culture. The brand of the successful school held high status within the community and the academies wished to claim to be part of that brand. In both of these cases there were interesting similar non-negotiables for the sponsor in creating their ethos and vision. The freedom allowed to the new principal was restricted in certain areas for example both academies were to have a House Structure with all students placed in a House for pastoral support and competitive activities such as sports. Neither predecessor school had post-compulsory education cohorts commonly known as 6th Forms; both academies were to have them as part of their vision.

These aspects were in the original plans before the principals were appointed. The branding issue looms large in both of these cases however this may not be reciprocated, the successful school may not wish to share its association with the academy too publicly as it may well lower their brand status. It is notable that the web sites for both academies openly cite their sponsors association, whilst neither of the successful schools do likewise; the academies are not referred to.

The importance of education values, what the academy believes to underpin its ethos and culture are important drivers in the realisation of vision, ethos and culture. This was true for all of the nests. The literature also sees this as a focal point in the day to day leadership of school leaders (Holmes, 1993; Ribbins, 1995; Bell and Harrison, 1995; Wasserberg, 1999). In the literature the headteacher would use these fundamentals as drivers for coherence in policy and motivation for their staff. The same occurred in this study with academy principals. These beliefs differed across the nests in this study but all the principals and the sponsors cited them as tools in the implementation of policy and motivation of their staff. It was more apparent in those academies that are described earlier as autocratic. For these academies the philosophical belief systems that may involve why they are educating in the way they are and what they value about education. One Case investigated in this study has six pillars or beliefs that underpin all of the academies in its chain, another has values laid down it is foundations centuries earlier. For some of the Laissez-faire academies the values may be less from the sponsor; one academy principal describes how she involved staff in creating them, another in how he took the values of the sponsor and used them to create the Academy Development Plan and made them relevant for that particular academy. The idea of fundamental value beliefs were seen as important in the realisation of ethos and vision.

High aspirations and expectations of staff and students alike were apparent for all of the academies in this study too. The predecessor schools were characterised by acceptance of lower standards and beliefs that the youngsters could not achieve high standards. The principals in particular felt that they were required to challenge staff expectations early. This challenging is common in the work of Fullan (1992; 2001; 2007).

The creation of new school buildings for the academy were important in all cases for realising the Ethos & Vision. The building design was important in some cases in the specific requirements for the education they were providing, this is particularly true for the cases in Nest 4. Although very different, one being primarily wood and to have an 'organic' feel, the other more modern open spaces with a 'high tech' feel, nonetheless the buildings were a fundamental part in creating the academy ethos. The buildings were also important in raising the status of the new Academy and, in a competitive market, recruitment. PricewaterhouseCoopers (2008) refer to buildings and the BSF programme and Leo et al. (2010) devote a chapter indicating its importance in the academy programme. The new buildings were fundamental to the rebirth of the Academy and often perceived as part of social regeneration of the whole community. There were concerns though in the potential mismanagement of social policy by the Government in that the allocation of BSF funding appeared to be based around the creation of academies rather than need; some maintained schools may have greater need for buildings. The Coalition Government cancelled the remaining projects in the BSF programme in 2010. Field notes from this research refer to concerns over BSF implementation by both sponsors and principals. There were concerns over delays and mismanagement of funds with extra tiers of bureaucracy.

In the context of academy schools there are new findings here that contribute to the literature. Academy schools have been created in a context initially of school underachievement and

then in a national context of school teacher reform. It is not surprising therefore that a large emphasis in some of the academies was placed on the quality of teaching and that requirements were made of teachers that were different to the predecessor school. This may involve different teaching methodologies and greater amount of scrutiny at the classroom level. There is little in the literature on this theme in the context of academies. This may for example involve employing teachers on a different contract of employment and increasing the length of the school day. The teaching staff could be employed on a new contract in the Academy in Case 4. This new contract offered greater remuneration to individuals accepting it in return for longer working hours. The effect of new contracts and wider issues of academies and teacher employability are under researched. One small scale study in the literature points to a move towards more plant based bargaining in academy schools as national structures are eroded (Stevenson and Mercer, 2012). The Principal in Case 4 was clear about the real purpose of such changes as Management Restructuring:

> " Really the main issue around restructuring is an opportunity to get rid of people that you don't want isn't it? Or that you need to get rid of to move the institution on and it tends to be the middle and senior leaders that you are trying to move on. Therefore, you do a different structure that enables you to do that. And make people apply for their own jobs. There was some pressure from DfE people to do that...... we've had to move on a number of people through capability along the way...." Principal Case 4.

5.5 Towards a Theoretical Framework

In Chapter 2 I outlined the framework of school culture from Bell and Kent (2010). The term 'culture' is used as the literature often equates ethos, culture and climate. In this section I wish to discuss my research in the light of Bell and Kent's (2010) work. In their work Bell and Kent refer to a jigsaw model of school culture consisting of five elements: Internal Culture; Leadership, learning and Culture; Subcultures; External Culture and Cultural Change. The

evidence in this research will now be discussed for each of these five elements. The aim is not to test the jigsaw model but rather use it to enlighten my findings.

The internal organisational culture of the school, its values and ideals is an area that is fundamental to the creation and maintenance of school culture. This organisational culture is the cumulative effect of policies and shared values, it is overt and, to some extent, planned. The data from this thesis corroborates this element in the jigsaw, all of the cases cited such activities that make up school internal organisational culture. The actual educational values that drove sponsors differed but nonetheless all interviewees spoke of their value set and its importance as a motivator for them and as ethos creation for the academy. Each new academy created organisational artefacts such as a new academy uniform and badge and organisational structures such as a House structure or Reward Systems.

The dynamic relationship between leadership, learning and culture was once again significant for each interviewee. The sponsors placed great emphasis on the appointment of the principal and to a greater or lesser extent, their induction. There was a high expectation of the principal from the sponsor to be able to lead in the transformation of the learning and culture within the academy. The principal was a conduit, certainly in early stages, of the sponsor's vision to the staff of the academy. The principals perceived their role as creating a climate for learning and implementing the culture of the academy.

Bell and Kent's (2010) work recognises the existence of subcultures and the relationship that develops between the central, prevailing culture and those that diverge from it in creating school culture. The evidence in this thesis of subcultures essentially pertains to the actual or potential subcultures that were against learning, particularly from the students in the

predecessor school. One principal refers to organising a series of meetings prior to the opening of the academy with the parents of certain youngsters from the school. These youngsters were accredited with operating within a subculture that did not support the school and its policies. He explained to the parents the new academy culture and that their child, were they to join, would need to adhere to.

The external culture, the ways in which society outside the school influences the development and formation of culture within the school was recognised in the sample interviewed here. Most of the academies were in geographical locations of high social deprivation and a large proportion of youngsters came from homes were parents had fewer than average formal educational qualifications. Some principals spoke of working with the local community as a means to an end, in order to attempt to change the external culture of the youngsters' community. The principals were wishing the academy to be embraced by the community and that an external culture of supporting youngsters' learning could be fostered. This in turn would affect the academy culture; the role of the external culture was seen as important. Some of the academies had a post within their staffing structure to enable this.

The impact of cultural change needs to be recognised in the creation and maintenance of the prevailing culture itself. Culture change can inhibit school improvement in addition to creating it. Once again the data in this thesis supports the concept that this is an important part of the cultural jigsaw. Principals in particular were conscious that cultural change affected the culture and as such had to be managed. They spoke of leading and planning change, the term 'step change' was frequent across the transcripts. The rate of change differed though with new principals showing the greatest urgency as opposed to the academy principal also being the

headteacher from the predecessor school. This is not surprising as they may well have wished to show to the sponsors (and staff) that they were making changes; by appointing a new principal and not the headteacher from the predecessor school the sponsors too may have wished for more rapid change.

5.5.1 The Jigsaw Model in the context of Academy Schools

Bell and Kent's model is a useful in discussing research on school culture. The participants in this study were active in all parts of the jigsaw in order to establish and maintain a new culture, deriving from the vision of the sponsor and developing into the new academy ethos. It is clear that, like the jigsaw model, the school culture formation has many facets and that there is a "complex inter-connectivity of a series of pieces for its formation" (Bell and Kent, 2010 p.31). It becomes important therefore for researchers to not isolate one element but research all five.

5.6 The Academy Journey

Answers to the three research questions provide an overview of the early academy journey. A journey from initial conception to the early stages of formation. There is the primary stage of sponsor involvement and their motivation, through to the realisation of the ethos and vision of the academy. Figure 5.2 shows a stacked Venn Diagram overview of these stages. Here the overarching sponsor's vision becomes funnelled through a process of culture transformation following the principal's induction.

Figure 5.2 Stages in The Academy Journey
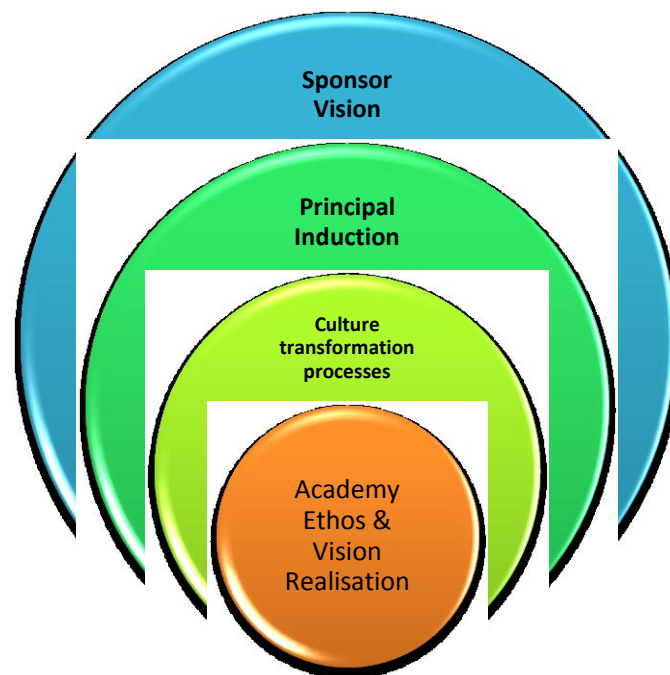
However, these stages are far for from linear; one does not automatically follow the other. In most of the academies in this study the academy at the point of opening was in the same buildings as the predecessor school, with the same children and staff. The creation of a new school was not a clean slate but was the rebirth of an existing school that the leadership wished to reculture.

There is a coherence in the journey time line across all of the academies in the sample. This time line is displayed diagrammatically in Figure 5.3. This can be perceived as an upward spiral where critical moments may require a return to earlier points on the spiral.

Figure 5.3 The Academy Journey Time Line

Academy Vision & Ethos

New Buildings

Staffing restructure/ person changes

Scrutiny

Teaching Quality / accountability

Culture Transformation

Curriculum

Policies/ rules

Branding

Leadership & Values

Time

High Aspirations & Expectations

Principal Induction

Sponsor Vision & Ethos
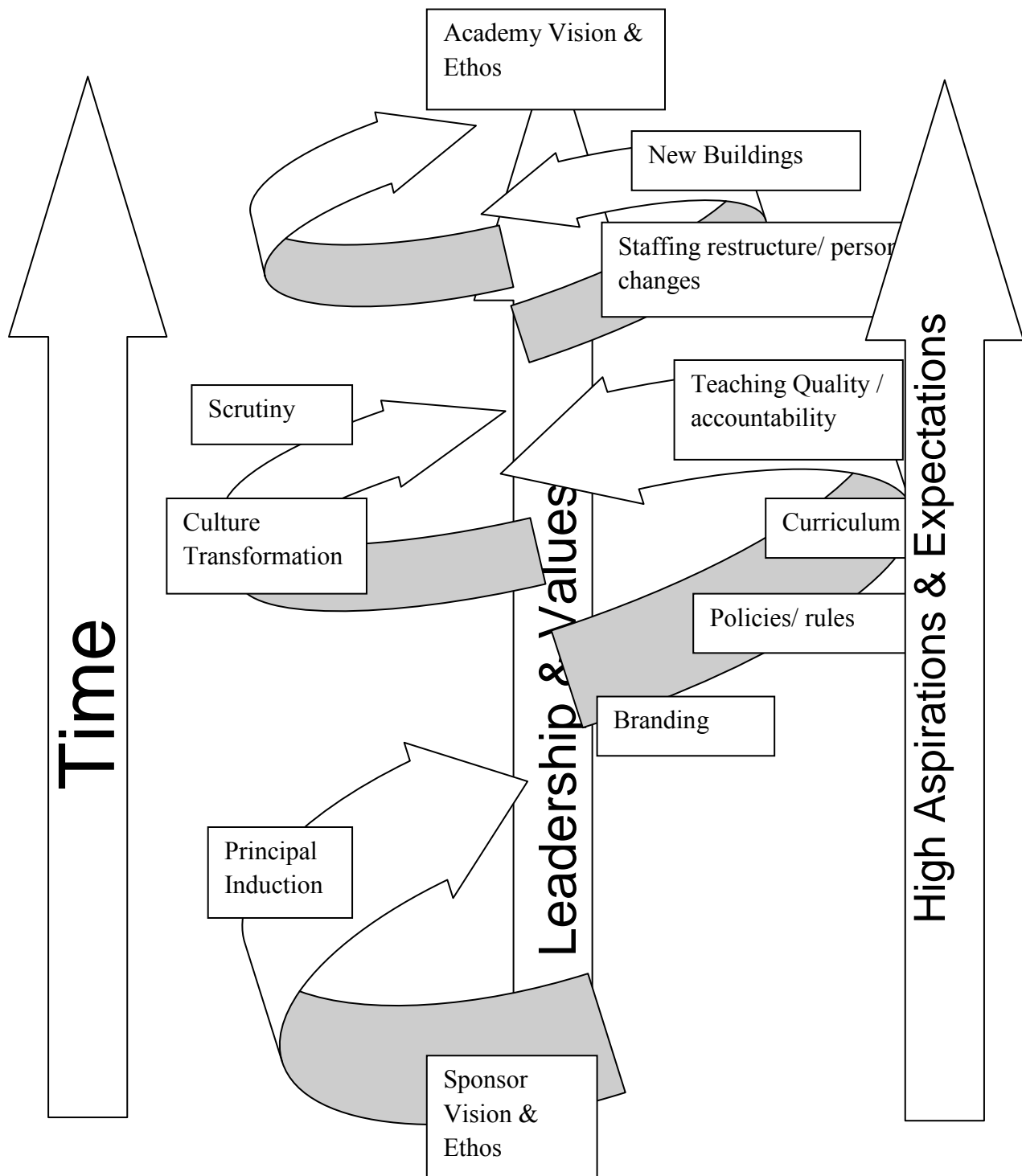
5.7 Summary

In Chapter 5 I have discussed the findings of this research in the context of the literature and compared them with a theoretical framework, that of Bell and Kent's (2010) Cultural Jigsaw model. The motivations of sponsors were found to be similar to that in the literature, however there were additional motivations that are not available elsewhere. Sponsors commented upon the BSF programme enabling them to create a new school building from birth, a desire to increase social inclusion, requests from national government and the status that the validation of joining the state education system for European-based education organisations were all motivations that are new to the research area.

The data here indicates that the roles of academy sponsors and principals are more dynamic and tension-fuelled than the literature suggests. The academy curriculum and finance are the arenas where the greater tension exists. I have tentatively suggested a sponsor-principal relationship continuum from Laissez–faire to Autocratic and plotted where each case in this research lie.

Bell and Kent (2010) suggest a jigsaw model for school culture. The data in this work fits this model however in an academy culture and ethos creation and maintenance is more complex than Bell and Kent's jigsaw model. Although the cultural jigsaw model highlights the components of school culture and their interdependence, in an academy the jigsaw would be more fluid due to the different tensions in creating a new institution. The analytical tool of Venn Diagrams and their ability to show different stages in an arrangement of flux, as suggested by McMurdo (2010), may well be a useful tool for further analysis.

The academies in this research embraced a large set of strategies to enable the ethos and vision to be realised. The data once again matches the literature although I have suggested a

diagrammatic time line for the very early years of the academy. The realisation of the ethos and vision is more complex in an academy than in a maintained school as its leadership is bound in the roles of the principal and sponsor. This research appears to indicate that the role of the sponsor here is more influential than the literature suggests.

Chapter Six: Conclusion and Recommendations

Table of Contents

6.1 Introduction

This research project focused on sponsored academies. It sought to investigate the role of sponsors and the realisation of the ethos and vision within sponsored academies. This concluding chapter summaries the findings within each research question and the emergent themes. This is followed by a discussion of the implications of the knowledge gained and how this relates to an emergent theoretical framework. There is an exploration of the new knowledge gained and how this contributes the present literature. The Chapter concludes with suggestions for further research. The work was a Nested Case Study with the nests organised by academy type emerging from the literature on academy typology.

6.2 Research Questions

The Research Questions for this thesis are:

1. What motivates Academy Sponsors?
2. What are the leadership roles of the Sponsor and the Principal in an Academy?
3. How are the Ethos and Vision realised in Academies?

6.2.1 Research Question 1

This question aimed to investigate the motivations of academy sponsors. Academy schools are unique in the English state education system in that they have a sponsor. Academy sponsors create the academy and it was of value to investigate their motivations, their values, their beliefs.

The motivations of sponsors differed across the sample, there were a range of drivers. The findings in my research broadly agree with the literature (PricewaterhouseCoopers, 2008; Leo et al., 2010). There was a philanthropic 'giving back' (Henry and Thornton, 2002), effecting

change within a community (Leo et al., 2010) and historical roots including the Church (Leo et al., 2010). All these themes occur in this work, however there are several others not in the literature that contribute to the field. In this research there is a greater range of motivators than appears in the literature. Sponsors spoke of the financial incentive of BSF, specific requests from national government, social inclusion and the status that joining the state education system in England would bring internationally. For Case 9 this involved the financial gain for a with-profits private company as a sponsor. None of these topics are in the literature.

Each sponsor held a range of motivations some that are consistent across the whole sample, others that are specific to the sponsor type. The nests in this sample offered insight into the motivational factors that are across the range and specific to individual types. The key areas of motivation across all sponsors were the desire in their belief that the children deserve a quality education and that they can provide it. This then manifested itself in their belief of what is valuable in education, why are the children being education and what are they being educated for. These fundamentals were important for all of the sponsors. Their values, their philosophical belief of what education ought to be not only differed across the sample but also its relative importance as a driver. The range of the importance of this driver stretched from nest 4, International Sponsors, to nest 5, Public Sector sponsorship. In nest 4 both sponsors entered the state system in order to provide education that differed significantly from maintained schools, they both believed strongly that their methods of educating children, albeit very different to each other, were the best way for certain children that were disaffected with the mainstream and that their alternative provision was a solution. For these sponsors, motivation was fundamentally based around their educational beliefs, however the sole case in nest 5, Public Sector Sponsorship, the motivation was more pragmatic. The main driver for this academy was not their educational beliefs but rather that of the LA achieving a successful

bid for BSF funding for all of their schools, the sponsor believed that the inclusion of an academy school was a requirement in order to gain the funding.

6.2.2 Research Question 2

This question sought to discover the roles and relationship of the academy principals and sponsors. Both actors are key to the leadership of the academies, however the inclusion of the sponsor adds complexity to the leadership role of the principal.

The roles of and relationship between academy sponsors and principals differed across the sample, however, key themes emerged. Some sponsors have greater day to day involvement than others, they are more prescriptive in their relationship with the academy principal. There is a relationship continuum which varies from Autocratic to Laissez faire; I have made a tentative plot of each academy case within this continuum. The literature points to a lack of research in this area. It is either not addressed or the work implies that the role of the sponsors is purely supportive.

This research confirms that the academy vision is set by the sponsor, all nests demonstrated this. This is held in the literature; however, my research contributes to the field indicating further themes. There is also evidence to show that there is a period of principal induction and a period whereby the principal acts as a conduit for the vision and ethos from the sponsor to the staff in each of the nests. Common themes too were that of collegiality, whereby the sponsor and principal acted and worked in unison and the counter; that of principal autonomy.

In all Cases the ethos and vision for the academy were set by the sponsor prior to the principal appointment. The development from vision to implementation has the significant stage in the appointment, and subsequent training, of the principal. All nests reported a Principal

Induction programme that varied from a small number of ad hoc meetings with the sponsor to a corporate large programme that may include international visits.

There is a clear link between the extent of the induction programme and the level of control by the sponsor, those sponsors with an extensive induction programme have a more autocratic relationship with their principals. The interplay between the principal and sponsor roles in this research was complex, varying in a relationship that held joint mission though also revealed a power play for control. The principals often had an induction period where they became aware of the ethos and vision that was required and perceived themselves as a conduit of that vision. However, there are tensions in a dynamic relationship between sponsor and principal; this is particularly played out in the curriculum and financial arenas. The data in this research points to a more dynamic and fluid relationship between the sponsor and the principal than the literature suggests. There is seemingly a paradox whereby part of the original rationale for the creation of academy schools was their autonomy and some academy principals appear to have less autonomy than their maintained school counterparts.

6.2.3 Research Question 3

The final research question explores how the leadership of academies has sought to realise their ethos and vision. Some of the themes that emerged are supported by the current literature, others add to the field. The emergent themes of leadership, branding, buildings (BSF), educational values, sponsor vision and high aspirations were evident in all nests. The data in this thesis supports earlier work; all of the sponsors perceived the appointment of a principal as very significant in the realisation of their ethos and vision. Actions such as the creation of academy policies were important steps is setting the new culture and ethos. In the

case of certain academy chains the policies and procedures were corporate across all of the academies in the chain.

The data suggests an academy journey from initial vision creation to realisation with similar paths across all nests. The emergent themes have been shown graphically in Figure 5.3 The Academy Journey Time Line, which is reprinted here as Figure 6.1.

The journey is not linear but is perceived as an upward spiral that is fluid in the sense that several components of ethos and vision creation are being addressed simultaneously but the emphasis on them varies across Cases. It may well be necessary for leaders to move back along the spiral in order to emphasis the components again. The data in this research is not detailed enough to provide closer inspection of the various stages in the spiral; further work would need to be undertaken to address enlarging the level of detail on each particular stage.

Figure 6.1 The Academy Journey Time Line

Academy Vision & Ethos

New Buildings

Staffing restructure/ personnel changes

Teaching Quality / accountability

Scrutiny

Curriculum

Culture Transformation

Policies/ rules

Branding

Time

Leadership & Values

High Aspirations & Expectations

Principal Induction

Sponsor Vision & Ethos
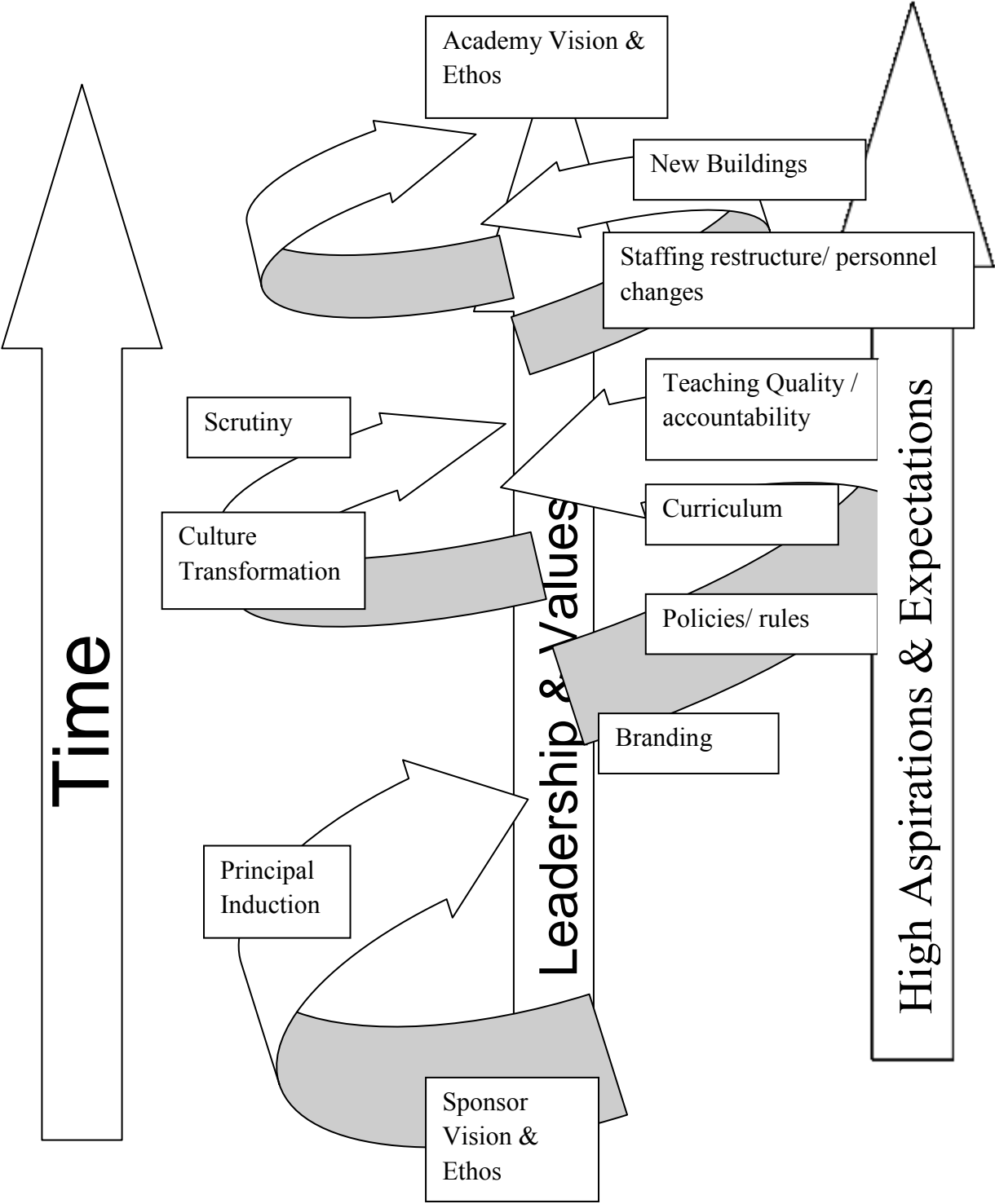
Bell and Kent's (2010) jigsaw model of school culture has been used as a theoretical framework in this thesis. The data supports Bell and Kent's model, however:

> "...the danger lies in underestimating just how fragmented and disparate are the forces that shape culture. If only one dimension (such as organizational culture) is looked at, there is a danger that only a limited insight into the relationships that influence and sustain culture will emerge and that the concept itself will continue to prove an elusive and puzzling one" (Bell and Kent, 2010 p.30)

There is multifaceted nature of school culture creation and maintenance though in academy schools it appears to be even more complex due to the role of the sponsor.

6.3 Recommendations for Further Research

This research has explored the leadership of sponsored academy schools, in particular the realisation of their ethos and vision. It is a small scale Nested Case Study and as such has limitations for practice. There are however, several areas for further research.

The BSF Programme was one of the motivational factors for sponsors. There are elements here that point to further work of a historical nature on the BSF programme and how it affected social policy, in particular the Academy Programme. It would also be of interest to address how those academies that did not get BSF funding developed within the buildings of the predecessor school.

There are areas for further research to address the roles and relationship of the sponsor and principal. This thesis was a snapshot of a given time; how does this relationship develop? Does it change over time as a principal becomes established? Has the development of sponsored academy chains created a different role for principals? The data here suggests that the relationship between academy school principals and their sponsors is non-homogenous; there is a range. To what extent is this replicated across other chains in England? Finally,

how do principals cope within this changing landscape and the effect on their professional identity. Further research would be of interest here to discover, on a personal level, how these high profile actors coped with maybe dismantling some long-held beliefs and accommodating new ones; how the sponsor–principal relationship may affect their professional identity. It would be useful to know how new principals feel about any changes they undergo and what strategies they use to cope with say a change from one chain to another.

The third research area focused on the realisation of the ethos and vision. This research was based around leaders' recollections; ethnographic work may compliment the data here that reveals more of how school culture creation was undertaken. It would be of use to track changes in the academy journey and how leaders changed their path along the timeline.

There are other areas that have emerged during the study on which further research would be productive. There appears to be a range of Principal Induction programmes, in duration and scope. There are seemingly potential conflicts of interest in a LA running an academy as a co-sponsor Case 8, which joined the state sector in order to diversify schooling, appears to have changed some fundamental management structures in order to be a state school and this may conflict with the original purpose of this type of schooling joining the state sector; can the two co-exist? Finally, there were comments from principals on using management restructures in order to remove specific personnel, there is maybe a need to investigate to what extent existing arrangements are potentially used to create individual staffing changes under the guise of managerial focus change.

This work has been the voice of principals and senior sponsors, whilst they are key actors in the events nonetheless it is limited to their views. Further work may focus on other voices

such as the perceptions of middle manager, non-teaching staff or students and how they view the leadership of the academy.

Leadership of schools is fundamental to school success and the life chances of the children in the school, research on school leadership of academies is important in the context of a rapidly changing educational landscape.

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Appendix One

Information Leaflet for Participants

Information Leaflet for Participants

Student: Mark T Gibson

<u>Title of Study</u>

Leadership of Academy Schools in England

<u>Description of the Study</u>

The study involves 20 interviews in a range of Academies; two interviews one with the Principal and one with a representative of the Sponsor. I am investigating the motivations of sponsors and the leadership roles of the Principal and the Sponsor with a focus on Ethos and Vision. I wish to know how the ethos and vision were created for the Academy and how it has been realised within it. It will be of interest to discuss if this has changed during the time that the Academy has been open.

<u>Invitation to be Involved in the Study</u>

If you wish to be involved in the study then participation is voluntary and there is a right to withdraw at any point. There will be two separate interviews per Academy that agrees to take part, one with the Principal, one with a representative of the Sponsor. Each interview is semi-structured and to some extent is a discussion of the themes in the description above. Each interview will last approx 45mins-1 hour. The interviews will be audio-recorded and a transcript is available on request.

<u>Reward/reimbursement/expenses</u>

Participation in the study is voluntary and there is no payment to participants.

<u>Confidentiality/anonymity and data security</u>

The recording of the interviews will be digitally stored for the duration of the study, approx two years. All references in writings will be anonymous. Access to the data will be restricted to myself and my tutor.

<u>Results of the study</u>

There is no intention to give participants individual feedback though this is available if requested. The results of the study will be published as a EdD Thesis but may also be used in academic articles. In the latter case anonymity is still preserved. Results will also inform a Report to the National Research Foundation (South Africa) and the Vaal University of Technology (South Africa).

<u>Who is funding the study</u>

Contact details

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Appendix Two

Interview Request Letter

Request for Research Interview   Date

Dear Sir/madam,

   I am undertaking an EdD at the University of Birmingham. My doctoral Thesis is entitled, 'Leadership of Academy Schools in England' and I wish to interview several Academy Principals and representatives of Sponsors. I hope that you will be able to take part. I'm sure you are aware that there is a lack of Principals' and Sponsors' voice in the academic literature.

   The interview will last approx 45mins to 1hr and would take place at your convenience. Areas I wish to explore are leadership roles, the motivations of sponsors and in particular address the choices made in the creation and realisation of the Ethos and Vision of the Academy. The interviews will be recorded and transcribed. All references to your Academy will be anonymous in the text, though of course you will hold the right to withdraw from the project at any point, including post interview.

   The research is of high quality and is sponsored by the British Educational Leadership and Administration Society (BELMAS) and the Vaal University of Technology, South Africa.

   There are two separate interviews that I wish to undertake, one with the Principal the other with a representative of the Sponsor. If you are happy to take part please email me at mtg833@bham.ac.uk and I can arrange to visit you. Your participation is, of course, entirely voluntary. Further details can be forwarded to participants I appreciate that you will be extremely busy but hope that you will be able to grant me this time. I am wishing to interview Sponsors' Representatives in July and August; Principals in the Autumn Term. My phone number is [ ]. Thank you for your time and I look forward to hearing from you.

  Yours faithfully,

  Mark T. Gibson MA NPQH

Appendix Three

Participants' Consent Form

Research Study Participants' Consent Form

Title of the study

Leadership of Academy Schools in England

Fair Processing Statement

This information is being collected as part of a research project concerned with Leadership of Academy Schools in England by the School of Education in the University of Birmingham and in collaboration with the National Research Foundation (South Africa) and the Vaal University of Technology (South Africa). The research ahs also been sponsored by the British Educational Leadership, Management and Administration Society (BELMAS). The information which you supply and that which may be collected as part of the research project will be entered into a filing system or database and will only be accessed by authorised personnel involved in the project. The information will be retained by the University of Birmingham and will only be used for the purpose of research, and statistical and audit purposes. By supplying this information you are consenting to the University storing your information for the purposes stated above. The information will be processed by the University of Birmingham in accordance with the provisions of the Data Protection Act 1998. No identifiable personal data will be published. In line with the University's Code of Practice for Research   (available   at   http://www.as.bham.ac.uk/legislation/docs/COP_Research.pdf), following completion of the research, data should normally be preserved and accessible for ten years.

Statements of understanding/consent

- I confirm that I have read and understand the participant information leaflet for this study. I have had the opportunity to ask questions if necessary and have had these answered satisfactorily.

- I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason. If I withdraw my data will be removed from the study and will be destroyed.

- I understand that my personal data will be processed for the purposes detailed above, in accordance with the Data Protection Act 1998.
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- Based upon the above, I agree to take part in this study.

Name, signature and date

Name of participant…………………………   Date……………   Signature………………..

Name of researcher/

individual obtaining consent……………...   Date……………   Signature………………..

A copy of the signed and dated consent form and the participant information leaflet should be given to the participant and retained by the researcher to be kept securely on file

Appendix Four

Description of Cases

4.2.1 Nest 1: 'Successful' School Sponsorship

The first Nest consists of two Academy Cases. The concept of 'successful' school sponsorship is whereby an Academy is linked, and sponsored by, a so-called 'successful' school or organisation of 'successful' schools.

Case 1

The Academy is in a large midlands city, the Sponsor is an education provider ▇▇▇▇ ▇▇▇▇▇▇▇ ▇▇ ▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇ ▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇. Two interviews were held one with a representative from the Sponsors and one with a governor at the Academy. The Principal accepted to participate in the research but then declined on the grounds of time restraint offering the Governor as a replacement. This is a problem to the research in that the Principal's views on the research questions are not available in the data, however I feel we have sufficient information from the other interviews to include it as a case within this study.

Case 2

The Academy is a school in the West Midlands, the co-sponsors are a ▇▇▇▇▇▇▇ grammar school and a ▇▇▇ Company based in London. ▇▇▇▇▇▇▇▇▇ ▇▇▇ ▇▇ ▇▇▇▇▇▇▇▇ ▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇▇ ▇▇▇▇▇▇▇▇▇▇▇▇ ▇▇ ▇▇▇▇▇ ▇▇▇▇▇▇▇▇▇▇▇▇▇ ▇▇▇▇▇▇▇▇▇▇. Three interviews were held, one with the Academy Principal, one with the Grammar School Headmaster and a representative from the ▇▇▇ Company respectively.

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4.2.2 Nest 2: Faith-Based Sponsorship

This nest consists of a singular case. The Academy is in a northern city although the sponsors are based in London. Two interviews were held one with a Sponsor's representative and one with the Academy Principal. The Sponsor is an Anglican based faith organisation founded by a Baptist Christian ██ ████████████████████████████████████. This Sponsor also undertakes community work in various places in the UK and worldwide. This Sponsor could also have been part of Nest 3, Chain Sponsorship in that it Sponsors several academies nationwide, however it was felt that the issues surrounding motivation, and ethos and vision led to it being a separate nest due to its Faith-based Sponsorship.

4.2.3 Nest 3: Chain Sponsorship

The development of 'chains' of academies brings educational issues that make them their own nest. There are four Academy cases in the nest, although two (Case 6 and 7) share the same Sponsor so there is one Sponsor's Representative interview across these two cases. Therefore there are three separate Sponsors in this nest but for Academy Cases. All three Sponsoring Organisations were founded by philanthropists.

Case 4

The academy in this case is in a West Midlands City although the Sponsors are based in London. The sponsoring organisation was founded by a group of philanthropic businessmen with roots in US Charter Schools. This organisation sponsors thirteen Academies nationwide though fewer at the time of the research. Two interviews were held, one with the Principal and the other with a Sponsor representative.

Case 5

Case 5 is an Academy in ████████ where the Sponsor is an Academy Chain based in London which was founded by a philanthropic businessman. This organisation sponsors twenty eight Academies nationwide though fewer at the time of the research. Two interviews were held, one with the Principal and the other with a Sponsor representative.

Case 6

The Academy is in the West Midlands were the Sponsor is based. Once again the founder was a philanthropist. The organisation sponsors nineteen Academies nationwide though fewer at the time of the research. Two interviews were held, one with the Academy Principal and the other with a Sponsor representative.

Case 7

The Academy in Case 7 is in another part of the West Midlands to Case 6 and shares the same Sponsor. One interview was held with the Academy Principal. The Sponsor's representative had already been interviewed.

4.2.4 Nest 4: International Sponsorship

This nest consists of two cases. Three interviews were held, one with the Principal and a sponsor representative from Case 8 and a Sponsor representative from Case 9. At the time of the research no Academy was open in Case 9. The Principal designates of two academies were just appointed however their lack of experience in their role made their inclusion

inappropriate compared with other principal participants therefore I decided not to request their assistance. Both of the cases in this research have different pedagogical models and different leadership structures to the typical state sector school in England. Both providers have 'chains' of schools with similar ethos and vision. This nest is different than the others in that each case is so different that it is highly useful to analyse each of the two cases separately and then overlapping themes drawn.

Case 8

Case 8 is a German-based schooling system which has schools across northern Europe. It opened its first school in ▮▮▮▮▮ in ▮▮▮▮ and the schools base their philosophy upon the teachings of the first school founder. There are examples of where these schools are fully funded by the state, part funded and totally private as in the UK. There are 36 schools of this nature in the UK, Case 8 is the first funded by the state and is non-fee paying. The Academy in this case opened in 2008 on the site of the previously privately funded school from the same educational organisation. The school is a through-school with about 300 pupils aged 5 to 16.

Case 9

The second case in the International Sponsorship nest is ▮▮▮▮▮▮ chain of independent or "free" schools in Sweden, ▮▮▮▮▮▮▮▮▮▮ of schools. They are state funded, but not state-controlled, and free for students. These schools have a highly personalised curriculum. Students have weekly targets but have a choice on how to meet them. The educational organisation that operates the academy is a with-profits educational company, opened its first school in ▮▮▮ and runs ▮▮ schools in Sweden. ▮▮▮.

These two cases are both members of two separate 'chains' of schools however they occur here separately to the chain nest as they have factors that make them unique.

4.2.5 Nest 5: Public Sector Sponsorship

This nest has a singular case, Case 10. The Academy is in a midlands city and is co-sponsored by the local Further Education College, the local University and the Local Authority. The Further Education College is the lead sponsor. This sponsorship trust also sponsor a second academy in the same city. Two interviews were held, one with a Sponsor's representative and one with the Academy Principal.

Appendix Five

Example Interview Transcript

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