Emotion in Leadership: A Cross-Cultural Study of Heads of Department and Academic Staff at Georgian and English Universities

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To ‘our shining star, our lovely little girl,
We celebrate that you walk the earth,
Adventure waits wherever you go,
Our smiley Tinano (თინანო).’

Bespoke lullaby

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DECLARATION

I declare that this thesis is my own original work and has not been submitted for a degree at another university. Where I have consulted the work of other authors, this is clearly acknowledged and referenced. Parts of the thesis have previously been published and presented at conferences/poster showcase events listed below:

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ABSTRACT

The thesis examines the emotional experience of departmental leadership from the perspectives of heads of department (HoDs) and academic staff across Georgian and English universities. While scholarly interest in the emotional side of educational leadership is growing, cross-cultural research on the emotional dynamics of HoD-staff relationships in academia remains fragmented. To understand the interplay between emotion, higher education (HE) leadership and culture, a sequential mixed-methods design was adopted. An online bilingual questionnaire, pretested through cognitive interviews, was combined with vignette-based semi-structured interviews. In total, 296 individuals responded to the survey from 20 universities, eight in Georgia and 12 in England. Out of those surveyed, 39 participated in individual interviews. Descriptive and inferential statistics were performed in SPSS to analyse the survey results while a thematic analysis of the interview data was conducted using NVivo. Triangulating the quantitative and qualitative findings allowed the research problem to be seen from multiple angles, providing complementary rather than confirmatory evidence. The study found that the emotional experience of departmental leadership was shaped by unique contextual features of the comparison academia. The results showed discrepancies between the HoDs' self-perceptions of their leadership and the way it was perceived by the academic staff. Yet, there was general agreement that the HoD's ability to walk in others' shoes and engage the hearts was central to departmental leadership. Apart from highlighting the academic staff's concerns, the analysis suggested the need to understand the emotional demands of the HoD's role. The study makes an original contribution to knowledge as it is the first to compare the emotional dimensions of HE leadership in Georgia and England. To date, there is no published research on middle leadership at a Georgian university and this work adds to the limited knowledge base on the former Soviet academia. The study also contributes to cross-cultural research methodology with an innovative research design. The findings carry practical implications that inform departmental leadership selection and development across culturally diverse universities.

ABBREVIATIONS

BERA	British Educational Research Association
ECU	Equality Challenge Unit
EHEA	European Higher Education Area
EI	Emotional Intelligence
EQ-i	Emotional Quotient Inventory
ESCI	Emotional and Social Competency Inventory
GDP	Gross Domestic Product
GLOBE	Global Leadership and Organizational Behaviour Effectiveness
HE	Higher Education
HEI	Higher Education Institution
HEFCE	Higher Education Funding Council for England
HESA	Higher Education Statistics Agency
HEI	Higher Education Institution
HoD	Head of Department
IC	Individualism and Collectivism
MSCEIT	Mayer-Salovey-Caruso Emotional Intelligence Test
NSOG	National Statistics Office of Georgia
ONS	Office for National Statistics
REF	Research Excellence Framework
SET	Science, Engineering and Technology
SPSS	Statistical Package for the Social Science
UK	United Kingdom
US	United States

GLOSSARY

Affect	Umbrella term for emotion, feeling and mood (Crawford, 2009, p. 8)
Attitude	Evaluation of people, behaviours, events or objects as positive or negative (Schwartz, 2012, p. 16)
Belief	'Ideas about how true it is that things are related in particular ways' (Schwartz, 2012, p. 16)
Competency	'Underlying ability that leads to or causes effective performance' (Boyatzis *et al.*, 2015b, p. 248)
Culture	'Similar ways of responding to context, similar ways of processing information, and shared interpretations of the meanings of events occurring within the system' (Smith *et al.*, 2013, p. 22)
Emotion	'Awareness of four elements that we usually experience at the same time: (a) appraisals of a situation, (b) changes in bodily sensations, (c) the free or inhibited display of expressive gestures, and (d) a cultural label applied to specific constellations of the first three elements' (Hochschild, 1990, p. 118-119) The term is used interchangeably with *feeling.*
Emotional Intelligence	Ability to understand and manage emotions in self and others drawing on the competencies associated with self-awareness, self-management, social awareness and relationship management (Goleman *et al.*, 2002)
Emotionally Intelligent Leadership	Leadership through emotional intelligence (Goleman *et al.*, 2002)
Mood	'Generalized feeling states that are not typically identified with a particular stimulus' (Brief & Weiss, 2002, p. 282)
Norm	'Standards or rules that tell members of a group or society how they should behave' (Schwartz, 2012, p. 16)
Trait	'Consistent patterns of thought, feelings and actions across time and situations' (Schwartz, 2012, p. 16)
Value	'Core beliefs about life and about relating to other people' (Gold, 2004, p. 3)

Terms Related to Research Context

Academic Staff	Professionals with teaching and/or research responsibilities within an academic department The term excludes non-academic support staff in the department.
Academics	The term refers both to HoDs and academic staff in the department.
Department	Distinct unit of academic function at university The term is also used to describe *School/Division/ Centre* at university.
Head of Department	Head of a distinct unit of academic function at university The term is used interchangeably with *department head* and *department leader*.
Participant	Person who is interviewed The term is used interchangeably with *interviewee.*
Post-1992 University (England)	Former polytechnic/college of higher education that gained full university status since the Further and Higher Education Act 1992 The term is used interchangeably with *new* universities.
Pre-1992 University (England)	Higher education institution that was recognised as university prior to the Further and Higher Education Act 1992 The term is used interchangeably with *old* universities.
Private University (Georgia)	Higher education institution established as legal entity of private law
Public University (Georgia)	Higher education institution established by the state as legal entity of public law
Respondent	Person who is surveyed

CHAPTER 1: INTRODUCTION

'Two roads diverged in a wood and I –
I took the one less traveled by.'

Robert Frost

1.1 Introduction

The thesis examines the emotional experience of departmental leadership from the perspectives of heads of department (HoDs) and academic staff across Georgian and English universities. To establish the research context, first, I briefly introduce the study of emotion in organisational settings and follow its emergence in educational leadership. Next, I reflect on my personal motivation for undertaking this project. Then, I give a historical backdrop to the HE systems in Georgia and England highlighting recent changes in the sector. After that, I formulate research questions and explain the value of the study. Finally, I define key concepts and conclude the chapter by outlining the structure of the thesis.

1.2 Background of the Study

It takes both the heart and the head to shape the vision and make people care. It takes trust and respect to build a team out of a group of individuals. It is through relationships people develop a sense of belonging and commit to collective goals. Emotions, derived from the Latin root *emovere* ('to stir up'), are meant to move and guide us. Being an integral part of social interactions, they drive human motivation and institutional engagement. Yet, organisational behaviour research has traditionally prioritised cognition over affect. Rationality has been instilled into organisational culture dismissing emotional processes as dysfunctional (Ashkanasy *et al.*, 2000; 2014; Elfenbein, 2007; Fineman, 2000b; George, 2000; Van Knippenberg & Van Kleef, 2016).

Affect in the workplace captured scholarly interest in the 1930s, but it was soon followed by a period of dormancy until organisational researchers rediscovered emotion in the 1980s (Brief & Weiss, 2002). By the 1990s, the concept *emotional intelligence* (EI) gained prominence offering a new understanding of how emotions guided thought and behaviour (Bar-On, 1997; Goleman, 1995; 1998; Salovey & Mayer, 1990; Salovey & Sluyter, 1997). Different EI models emerged sharing a common theme – the importance of being perceptive and sensitive to the emotions of the self and others. Widely popularised by Daniel Goleman, EI came to be regarded as central to the individual's success in life and at work. Further elaboration of the concept suggested its link to leadership and offered a set of competencies as to how leaders should manage themselves and their relationships (Goleman *et al.*, 2002).

Building on psychological and organizational behaviour research, emotions gradually worked their way into educational leadership theory. At the beginning of the 1990s, Sergiovanni (1992) acknowledged the importance of human connections and placed a moral dimension at the core of school improvement. About a decade later, Fullan (2003) emphasised the principal's moral imperative to capitalise on people's passion and foster a 'culture of trusted relationships' (p. 43). Education researchers started to shift from a cognitive to an affective realm drawing attention to school leaders' inner experiences (Ackerman & Maslin-Ostrowski, 2004; Beatty, 2005; Cliffe, 2011; Crawford, 2009; Harris, 2007). In a similar vein, the language of emotions has recently entered higher education (HE) leadership discourse (Parrish, 2015; Vandervoort, 2006; Ying & Ting, 2010). Gentle and Forman (2014) note that 'never has the phrase "winning hearts and minds" seemed so apt, in light of competitive challenges both inside and outside the [HE] sector' (p. 15). The current study responds to this sentiment and engages with the emotional aspects of leadership in academia.

Throughout the thesis, I use the terms *HoD*, *department head*, *department leader* interchangeably to refer to the same position, head of academic department. The term *department* implies a distinct unit of academic function within university. Since this unit could be also called *School*, *Division* or *Centre*, the heads' real titles may vary slightly across institutions. The term *academic staff* is used to describe professionals with teaching and/or research responsibilities excluding HoDs whereas the term *academics* includes both HoDs and academic staff.

1.3 Motivation for the Study

My interest in the topic stems from my personal work experiences as well as my previous related research. Having worked both at public and private universities of post-Soviet Georgia, I was part of an emotionally laden work environment. As a wave of new reforms was transforming Georgian academia, emerging challenges were giving rise to confusion, resistance and dissent within academic departments. While I shared the concerns of academic staff, I could also observe the pressures HoDs were under. I believed that if department members tried to make sense of their own and others' emotions, they could reconcile contrasting expectations and overcome challenges together. This led me to investigate perceived emotions of departmental leadership at a Georgian university as part of my MA study in Educational Leadership and Innovation at the University of Warwick, UK.

The project revealed the voices of HoDs and academic staff, which both parties felt were often unrecognised. It showed how the intelligent use of emotions in leadership could lift or undermine group morale. The findings also raised new questions as to how the way academics related to each other played a role in the way departmental leadership was enacted and experienced. It motivated me to explore how the cultural

context shaped perceptions of EI in HE leadership. This area of research has received little attention in the research literature. There is limited evidence on how EI differs across cultures (Furnham, 2009) and how context interacts with educational leadership (Hallinger, 2016). Identifying the 'blind spot', I took my previous work in a new direction by linking cultural values to the emotional side of leadership in academic departments. I extended the scope of the study to the universities in England to draw a cross-cultural comparison.

In the early stage of my PhD studies, I took a MOOC (Massive Open Online Course) module on 'Inspiring leadership through emotional intelligence' offered by Case Western Reserve University, US. The course focused on leadership competencies as behavioural manifestations of EI and examined their application to different work contexts. This EI model has informed my theoretical framework, which is explained in the following chapter. I acknowledge that my personal experiences may have affected not only my approach to the research problem, but also subsequent interpretation of the findings. If, as Oscar Wilde suggests, 'it is the spectator, and not life, that art really mirrors,' then I did try to capture the emotional life of leadership through multi-coloured lenses.

1.4 Context of the Study

For over two decades, higher education institutions (HEIs) have been facing massive challenges to respond to the rapidly evolving educational landscape and increasing competition in the global market (Deem, 2012; Macfarlane, 2012; Marginson, 2006; Robertson & Olds, 2018). The pressure to gain a competitive advantage has led universities to adopt business principles causing shifts in their key academic priorities. Marketisation of the sector has reconceptualised HE as an industry and the student as a

consumer (Naidoo, 2003; Naidoo *et al.*, 2011; Rich, 2006). New funding and evaluation frameworks have created tensions between external requirements and values underpinning academic work. Considering that 'global policy trajectories play out in different ways in different places', it is important to understand the features of local contexts in which HE transformation occurs (Stevenson & Mercer, 2013, p. 2). In the following sections I give a brief overview of the recent history of Georgian and English HEIs to explain how they have been affected by the new turbulent environment.

1.4.1 Case of Georgia

The HE system of Georgia has gone through dramatic changes since the collapse of the Soviet Union. After declaring independence in 1991, the country faced internal political instability and suffered from a severe socio-economic crisis. General chaos led to civil war, which ruined economy and had serious repercussions for the HEIs (Sharvashidze, 2005). Apart from financial difficulties, the HE system was unprepared for the new social reality. Universities were left without experienced personnel in educational planning since all the policy decisions were made in Moscow during the Soviet era (Reilly & Brown, 1996; Sharvashidze, 2003).

Historically, the Georgian HE sector only consisted of state-funded institutions. At the time of gaining independence, Georgia had 19 public universities, which were centrally controlled and offered free education. However, following the economic depression, the post-Soviet academia saw colossal budget cuts. Over the period of 1989-1996, state expenditure on education (for all levels) fell by 94% (Micklewright, 2000). The HEIs had to seek alternative sources of funding to survive and introduced tuition fees for students, who could not secure state-funded places. Yet, early reforms failed to meet the changing labour market requirements for job-specific skills. Public HEIs could not

cope with an increased demand for HE, which contributed to the emergence and rapid growth of the private sector (Gvaramadze, 2010).

Private HEIs started to open across the country in the early 1990s. They were primarily specialised institutions in high demand subjects, such as law, business and economics (Pachuashvili, 2007). The newly emerged HEIs had to acquire a licence from the state authorities to gain a university status. However, there was a lack of quality control in the absence of formal accreditation mechanisms. In 1991-1992, the Ministry of Education licensed over 200 private HEIs out of which 131 started to function (Sharvashidze, 2005). With bribery being common, the credibility of these licenses was questionable (Orkodashvili, 2010), but the new institutions still had a large student inflow due to lower entry requirements (Gachechiladze, 1995). By 1995-1996, private universities accommodated about a third of the total student enrolments (Pachuashvili, 2011). The expanding sector largely depended on part-time work of public university academics, who had to take another job for a living. Many of the private universities fell below adequate standards of material-technical as well as intellectual basis and operated as '"degree mills" plagued by corruption' (Dobbins & Khachatryan, 2015, p. 196).

A major shift in state regulation of HE did not occur till the peaceful change of political power through the 'Rose Revolution' in 2003 (Glonti & Chitashvili, 2006). The new government identified education as one of the key strategic areas of development and started a series of HE reforms. The state mainly drew on 'British-inspired steering mechanisms to purportedly modernize Georgian HE' (Dobbins & Khachatryan, 2015, p. 201). It was manifested in encouraging institutional competition and raising education standards. To improve institutional quality, the National Education

Accreditation Centre was established. Introducing accreditation reduced the number of the HEIs in the country by nearly half as they could not meet the quality criteria (IMF, 2006).

In 2004 the Parliament adopted the Law of Georgia on HE, which set the goal of bringing the Georgian HE system closer to the European model. It specified the adoption of the three-cycle degree system, Quality Assurance service, implementation of the European Credit Transfer System, promotion of international cooperation and student mobility. In pursuit of these goals, in 2005 Georgia joined the Bologna Process and embarked on the way to the European Higher Education Area (EHEA). Integration with the Bologna Process opened opportunities in terms of recognising qualifications and increasing graduate employability in the European market. However, the new reforms also raised concerns (Lezhava, 2016; Sopromadze, 2011). The ongoing policy initiatives to restructure HE appeared to lack a clear vision and coordination as the project 'Strategic Development of Higher Education and Science in Georgia' reports:

> Constant changes in legislation and staff of the managing structures (from December 2004 through October 2013, about 500 amendments were made to the Law of Georgia on Higher Education; in the same time period, 8 Ministers of Education and Science and 5 Directors of the National Centre for Educational Quality Enhancement were changed) demonstrated that more immediate political interests outweighed the priorities of the system's development, which in turn caused dissatisfaction among both students and faculty. (EPPM, 2013, p. 3)

Today Georgian HEIs remain severely underfunded. In 2012, HE was allocated only 0.5% of gross domestic product (GDP), which is about a third of the level in the UK (1.3%) and about a fifth in the US (2.6%) (McCormack *et al.*, 2014). Universities derive 90% of their income from tuition fees and the rest from state subsidies, paid through student grants ('vouchers') and lump sum payments. Private universities do not have

direct funding from the state, but they also receive indirect subsidies in the form of student vouchers (EACEA, 2012). The vouchers are merit-based and awarded to school leavers per their performance in Unified National Entrance Examinations. Previously, the government grants covered tuition fees only at public universities, but in the new financing system, grant holders can choose between any accredited public and private university. 'Funding following the student' strategy fosters competition for high-performing students as they bring public funds to HEIs (Gvaramadze, 2010; Pachuashvili, 2011).

State research grants are made available to public as well as private universities based on competitions. In order to secure research funding, HEIs have to align their research interests with the priorities of the National Science Foundation (EPPM, 2013). The public sector has a stronger research component and submits more research proposals than the private one. The latter primarily focuses on teaching and offers areas of study that are in high demand (EACEA, 2012). Both public and private universities are subject to state accreditation, which is renewed every five years. The authorisation council determines the maximum number of students to be admitted to the institution when accreditation is granted. At the time of planning this research, there were 72 authorised HEIs in Georgia out of which 20 were public and 52 – private (MESG, 2013). Although private institutions outnumber public ones, the public sector has higher student enrolment rates.

The governing structure of public universities comprises Academic Council, Senate, Rector, Chancellor and Quality Provision Service (Law of Georgia on HE, 2004). The middle management is represented by Deans of Faculties and HoDs, who act as Dean's deputies. The maximum age of administrative personnel is restricted to 65 years unless

otherwise defined by the university charter. The Dean is elected through secret ballot by the Faculty Council, which consists of academic staff and student representatives. The Dean's term cannot exceed four years and can only be served twice consecutively. HoDs are appointed by the Dean and their term length usually coincides with that of the Dean. However, HoDs can serve longer depending on the Faculty regulations.

Private universities do not have a uniform governance model since they are autonomous to organise their internal governing bodies (EACEA, 2012). In terms of the HoD's position, ongoing/permanent contracts are common. It should be noted that the literature on HE leadership in Georgia is extremely scarce. To the best of my knowledge, there is no published research to date, either in Georgian or English, concerning the HoD's role at a Georgian university.

1.4.2 Case of England

Similar to the case of Georgia, a substantial change in the English HE system occurred in the early 1990s. Before 1992, English universities were established by royal charter and funded by the University Grants Committee. Polytechnics served to provide technical and vocational education and did not receive research funding (Strike, 2010). In 1992, following the Further and Higher Education Act, the government abolished the binary system and created a unified funding structure for both types of institutions. 'Major' polytechnics were granted degree-awarding power as well as full university title. The terminology commonly applied to these two groups of institutions is that of *old* and *new* referring to pre/post-1992 universities respectively (Smith, 2002).

It has been argued that the current competitive HE environment has made universities in the UK largely business-oriented (Lucas, 2006). Bolden and colleagues note that HE

marketisation has caused a conflict between the 'utilitarian ethos' and 'normative values':

> Emerging forms of leadership and management practice may be experienced as conflicting with ideals of collegiality, academic freedom, education and scholarship, ultimately distancing and disengaging the very people that universities seek to influence and involve in institutional governance, strategy and change. (Bolden *et al.*, 2014, p. 755)

Docherty argues along the same lines pointing to a crisis in the HE system plagued by the ideology of consumerism (2011). 'Instead of leaders, we have managers; instead of followers, we have resources' – he argues (p. 111). It has also been suggested that as a high research profile gets associated with profit, academic faculty pursuing teaching careers could find their 'choice devalued' (Strike, 2010, p. 81).

Recent research indicates that the binary divide between pre/post-1992 universities still exists with old universities remaining more research intensive and new universities – teaching intensive (Boliver, 2015). In terms of governance, universities in England enjoy relative autonomy having their own governing council (Strike, 2010). Yet, they are partially publicly funded and subject to policy of the Higher Education Funding Council for England (HEFCE). In old universities HoDs are typically elected internally for a fixed term whereas new universities often recruit external candidates offering a permanent contract (Deem, 2004). At the time this research was conducted, there were 109 authorised HEIs in England (excluding university constituent colleges) out of which 44 were pre-1992 and 65 – post-1992 institutions (Legislation.gov.uk, 2013). I restrict the study to public universities in England due to a very small size of the private HE sector.

1.5 Research Questions

The overarching research question of the study was: *'How does the emotional experience of departmental leadership vary across Georgian and English universities?'* The enquiry addressed three specific questions, each assuming a comparison between Georgian and English academia:

1. How do HoDs and academic staff perceive and experience EI in departmental leadership?
2. How do HoDs' and academic staff's cultural values relate to their perceptions of EI in departmental leadership?
3. What role should EI play in departmental leadership development?

1.6 Value of the Study

The study has both theoretical and practical value for several reasons. It makes a theoretical contribution by exploring a less understood issue in the cross-cultural HE leadership literature. While there is a good deal of research into the emotional aspects of school leadership (Beatty, 2005; Cliffe, 2011; Crawford, 2009; Hargreaves, 2008; Harris, 2007), remarkably few studies have applied EI to HE leadership, especially at departmental level. Moreover, given a marked Anglo-American bias in education leadership theories, there is a need for comparative studies exploring under-researched societies (Bolden *et al.*, 2014; Dimmock, 2003; Hallinger, 2016).

In this respect, Southern Caucasus countries with their HE systems in transition offer a largely ignored context for leadership research (Ardichvili & Kuchinke, 2002; Dobbins & Khachatryan, 2015). Examining Georgian HEIs carrying the Soviet legacy and European aspirations provides a unique case for a comparative analysis. Since the HoD's role at Georgian universities has not yet been documented in published research,

the current study contributes to building a knowledge base for future studies on middle leadership in Georgian HE.

The study also carries practical implications for improving departmental leadership and reconsidering HoD selection and development mechanisms. In the time of reforming HE, it is imperative to understand the emotions and values that underpin leadership process at universities. Studying the emotional experiences of HoDs and academic staff may uncover their hidden struggles and point to effective ways of leading and following. Ultimately, the research findings may offer suggestions for building and sustaining a positive emotional atmosphere in academic departments and enhancing subjective wellbeing in academia.

1.7 Key Concepts

Prior to moving to the main body of the thesis, defining the key concepts of the study is warranted. Below I discuss contested concepts of *leadership, followership, emotion* and *culture* and provide their working definitions in the context of this research.

1.7.1 Leadership

The concept of *leadership* rests on rather uncertain and competing assumptions. Education researchers disagree on the fundamental functions of leadership and some even question its conceptual adequacy (Bush, 2011; Busher, 2006; Gronn, 2003a; 2003b; Gunter, 2004; 2005; Nicholls, 2002). It has been debated whether a distinction should be drawn between *leadership* and *management* or they should be treated as aspects of the same phenomenon. Among various definitions of leadership, three common elements can be identified: influence, values and vision. Regarding management, it has been portrayed as a mostly technical activity concerned with

maintenance and control. Bass and Bass (2008, p. 23) highlight the distinction between the two concepts well:

> The head or manager who is not a leader will plan, but won't envisage an attractive future for the department. The head or manager who is not a leader will organize and structure the department, but won't enable its members to improve their performance. The head or manager will control what happens in the department but won't empower employees to make decisions.

Turning to the HE context, Bolden et al. (2012) distinguish *academic leadership* from *academic management*. They associate the former with promoting main academic values (e.g. teaching, research) and the latter with framing academic tasks (e.g. workload allocation, financial planning). Their conception of academic leadership goes beyond institutional titles and incorporates *informal* leadership exercised by academic staff. With a similar premise, other labels have recently been applied to HE leadership, such as *local* (Irving, 2015), *intellectual* (Macfarlane, 2012), *professorial* (Evans, 2015) and *research* leadership (Evans, 2014). This reflects an increased focus on collegial interactions and a move from solo to shared forms of leadership (Bolden *et al.*, 2009; Crawford, 2012).

In the context of this study, leadership and management are not viewed as mutually exclusive. While the HoD's status gives one positional power to plan, organise and control, it also comes with the responsibility to provide direction, support and encouragement. The two functions are interrelated in the HoD's role and academic departments would not function successfully without either of them (Smith, 2002; Smith, 2005). What is more, the Georgian language does not differentiate between the words *leadership* and *management*. While there is a loanword *ლიდერობა* for leadership, it is used interchangeably with the words *ხელმძღვანელობა, მართვა,* meaning 'to manage'. The term *HoD* translates into Georgian as *department manager*

(*'დეპარტამენტის ხელმძღვანელი'*). A cross-cultural context of the study is another reason why I prefer not to make a clear distinction between the two concepts.

1.7.2 Followership

As Docherty (2011) notes 'leadership and followership are charged with meanings well-beyond the simple idea of being at the head or tail […] of a group' (p. 100). Labelling people as *leaders* and *followers* has been criticised since the two categories are argued to be interchangeable. What Gronn (2003a; 2010) finds harmful in distinguishing these roles is that it leads to a false assumption about the leadership hierarchy. The leader-follower binary often gets linked with the superior-subordinate one, which suggests that leadership can only be exercised by formal position holders. As a result, it dismisses the idea of leaders' and followers' overlapping roles and denies a shared aspect of leadership. However, some researchers have observed that leadership cannot occur without followers (Billot *et al.*, 2013; Daft & Lane, 2008; Grint, 2003) and that followership does not equal subordination (Sergiovanni, 2009). Subordinates comply with authority while followers are committed to the ideas they believe in. What brings leaders and followers together is their belief in shared values.

For the purpose of this study, I avoid referring to academic staff as followers. When I use the term *followers*, I simply mean those who do not hold formal leadership roles. While I acknowledge that different members of academic departments can exercise informal leadership (Bolden *et al.*, 2012; Irving, 2015; Mercer, 2009), here I focus on HoD role holders. This serves the purpose of examining the HoD's EI competencies rather than attributing all leadership to the department head.

1.7.3 Emotion

Emotion is another multi-faceted concept, which is hard to define. A surge of research interest in emotion in educational leadership has led to inflating its meaning. The views have ranged from acknowledging the power of the leader's 'emotional wisdom' (Beatty, 2005, p. 123) to claiming that 'all educational leadership is emotional leadership, by design or by default' (Hargreaves, 2008, p. 135). Elfenbein (2007) argues that the concept needs to be bounded, 'for emotion to mean anything, it cannot mean everything' (p. 316). Attempting to define emotion, it is useful to consider related terms such as *affect*, *mood* and *feeling*.

Affect is widely used as an umbrella term for emotions, feelings and moods (Brief & Weiss, 2002; Crawford, 2009; Elfenbein, 2007; van Knippenberg & van Kleef, 2016). There also seems to be an agreement that *mood* is a general feeling state, which may not have a clear cause and may linger on (e.g. positive or negative mood). Emotions and feelings, on the other hand, have contested definitions. Hochschild (1983) outlines two main approaches to emotion: organismic and interactional. The former sees emotion as a mostly biological process whereas the latter emphasises its social function. Hochschild integrates both perspectives and offers a definition of emotion, which this study adopts:

> An awareness of four elements that we usually experience at the same time: (a) appraisals of a situation, (b) changes in bodily sensations, (c) the free or inhibited display of expressive gestures, and (d) a cultural label applied to specific constellations of the first three elements. (Hochschild, 1990, p. 118-119)

Regarding *feeling*, Crawford (2009, p. 8) views it as internally experienced as opposed to overtly expressed. Shouse (2005, para. 4) makes a similar point maintaining that 'an emotion is the projection/display of a feeling. Unlike feelings, the display of emotion

can be either genuine or feigned'. Hochschild (1983) sees it differently, defining a feeling as 'a milder emotion' with fewer bodily sensations, but she chooses to use the two terms interchangeably (p. 244). Much of the EI literature does not differentiate between feelings and emotions either and this study does likewise.

1.7.4 Culture

The concept of *culture* is extremely broad with definitions that have diverse points of focus. One of the dominant approaches depicts culture as shared thinking patterns, norms and values. To quote Hofstede, it is 'the collective programming of the mind that distinguishes the members of one human group from those of another' (Hofstede, 1980, p. 25). Due to the complexity of the concept, it is advised to choose an aspect that best explains the phenomenon one wishes to research (Guess, 2004; Taras *et al.*, 2009). Since the study explores lived emotions of departmental life in academia, I narrow down my focus to work-related values tied to interpersonal relationships. I seek to understand the extent to which cultural values play a role in how academics make sense of their emotional experiences of leadership.

In terms of a broader working definition of culture, I follow Smith *et al.* (2013), who apply the concept to the analysis of different levels of social systems including work teams and dyadic relationships. They define culture as 'similar ways of responding to context, similar ways of processing information, and shared interpretations of the meanings of events occurring within the system' (Smith *et al.*, 2013, p. 22). Equating this 'system' with *country* or *nation* has been critiqued as being overly simplistic (LeTendre, 2002; Taras *et al.*, 2009). Nonetheless, many cross-cultural researchers have used country as a 'convenient indicator of culture' (Schaffer & Riordan, 2003, p. 175). While I acknowledge that culture is difficult to contain within geographic

boundaries, in this study, I use the term country to differentiate between the Georgian and English research contexts.

1.8 Structure of the Thesis

The thesis consists of six chapters that weave a story of emotion and leadership across two HE contexts. The opening chapter has set the background to the study, explained its significance and presented the main research questions guiding the enquiry. Chapter 2 moves on to review the literature on EI and cultural values in relation to HE leadership. Chapter 3 describes the adopted research design justifying methodological decisions during project planning, implementation and data analysis. Chapter 4 integrates the quantitative and qualitative data and offers a multi-layered comparison of perspectives across the groups of HoDs and academic staff at Georgian and English universities. Chapter 5 discusses the results relating them to the reviewed literature and reflects on the issues of data alignment. Finally, Chapter 6 concludes the thesis with a summary of the key findings. It highlights the contribution of this work, examines its theoretical and practical implications and outlines areas for future research.

CHAPTER 2: LITERATURE REVIEW

> *'To do successful research, you don't need to know everything, you just need to know of one thing that isn't known.'*
>
> *Arthur Schawlow*

2.1 Introduction

The chapter provides a theoretical framework for studying emotion in HE leadership from a cross-cultural perspective. The review of the literature is selective rather than exhaustive and focuses on the concepts that are most relevant to this work. First, I discuss current challenges facing HE leadership and the changing nature of the HoD's role. Then I review the scholarship on EI and adopt a behavioural EI model to explore the emotional and social competencies integral to effective leadership in academia. Next I examine the literature on the dimensions of culture focusing on Individualism-Collectivism (IC) and adapt it to the study context. Finally, I identify perceived gaps in the reviewed literature and highlight how the study attempts to address them.

2.2 Leadership Challenge in HE

In the mid-1990s, Hogan wrote:

> There is one aspect of leadership about which we know very little: how to manage creative talent […] we know very little about how to manage teams whose primary tasks are problem solving and the development of new knowledge. (Hogan *et al.*, 1994, p. 19)

Today, the question is still pressing. While according to Docherty (2011, p. 96), the primary principles of university leadership should be 'the search for the true, the good and the beautiful', the changing nature of HE seems to have caused a 'tension between knowledge processing and business processing' (Bolden *et al.*, 2012, p. 9). International competition, increased student fees, research metrics and performance management

have questioned the role of HE in society. University restructuring in response to the marketisation forces has made mid-level leadership more complex than before (Bryman, 2007; Floyd, 2016; Floyd & Dimmock, 2011; Inman, 2009; Knight & Trowler, 2001; Smith, 2002; 2005; 2007). Academic middle leaders, here defined as HoDs (also referred to as 'manager-academics'), have come under pressure to balance not only dual responsibilities of managing and leading academic work, but also to combine corporate and academic goals (Deem, 2004). At the same time, they remain 'stuck in the middle' between the expectations of senior management and colleagues (Bryman & Lilley, 2009, p. 340). As a result, HoDs may find the role less attractive and question whether it is 'worth the headaches to be encountered' (Rich, 2006, p. 40).

Yet, to borrow Harris's (2007, p. 3) phrasing, academic departments are 'powerhouses of emotion' in need of engaged as opposed to disengaged leaders. It has been argued that the leader's fundamental tasks are 'to generate excitement, optimism, and passion for the job ahead, as well as to cultivate an atmosphere of cooperation and trust' (Goleman *et al.*, 2002, p. 30). This requires a set of skills based on EI to which the chapter now turns.

2.3 Emotional Intelligence (EI)

The concept of EI has generated a keen scientific as well as general interest in the last two decades. It has been reflected in a growing body of literature suggesting various theoretical and methodological approaches to EI. Different schools of thought can be classified into three major streams: (a) ability EI, (b) self-perception EI, and (c) behavioural EI (Boyatzis, 2009; Boyatzis *et al.*, 2015b). I briefly review the main theory of each stream, its associated measures and potential limitations. Then I present the theoretical model deemed most suitable for this study.

2.3.1 Ability-Based Model of EI

The ability-based model of EI is associated with Salovey and Mayer (Salovey & Mayer, 1990), who are generally recognised to have used the term 'emotional intelligence' for the first time in a published paper. They defined EI as 'the ability to monitor one's own and others' feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions' (Salovey & Mayer, 1990, p. 189). Later they redefined EI as 'the ability to perceive and express emotion, assimilate emotion in thought, understand and reason with emotion, and regulate emotion in the self and others' (Mayer & Salovey, 1997). Their EI model consists of four branches: (a) emotion perception, (b) emotion understanding, (c) emotional facilitation, and (d) emotion regulation. It is measured by the Mayer-Salovey-Casuso Emotional Intelligence Test (MSCEIT), which uses consensus and expert scoring.

Key limitations. It has been argued that the model ignores common EI aspects, such as empathy and self-control (Matthews *et al.*, 2006), has a confusing scoring system (MacCann & Roberts, 2008), and measures emotional knowledge rather than actual ability (Brody, 2005).

2.3.2 Self-Perception Model of EI

The self-perception model of EI, associated with Bar-On, characterises EI as 'an array of non-cognitive capabilities, competencies, and skills that influence one's ability to succeed in coping with environmental demands and pressures' (Bar-On, 1997, p. 14). It includes: (a) intrapersonal intelligence, (b) interpersonal intelligence, (c) adaptability, (d) stress management, and (e) general mood. It is measured by the Emotional Quotient

Inventory (EQ-i), which was originally developed as a self-assessment test and was later supplemented by a 360 version.

Key limitations. It has been argued that the model excludes core EI aspects, such as emotional perception and emotional understanding (Cherniss, 2010), and overlaps with personality measures (Matthews *et al.*, 2004).

2.3.3 Behavioural Model of EI

The behavioural model of EI, also known as a 'competency' approach to EI, is associated with Goleman (1995; 1998) and Boyatzis (2009). The term *competency* is defined as 'an underlying ability that leads to or causes effective performance' (Boyatzis *et al.*, 2015b, p. 248). In terms of defining EI, there are a number of definitions related to this approach which evolved over time, one being 'the capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships' (Goleman, 1998, p. 317). The current version of the model is comprised of four domains: (a) self-awareness, (b) self-management, (c) social awareness, and (d) relationship management. It is measured by a multisource rater test - the Emotional and Social Competency Inventory (ESCI).

Key limitations. It has been argued that the model is over-inclusive (Matthews *et al.*, 2004) and self-report measures are prone to social desirability bias (Stough *et al.*, 2009).

EI Model of Choice

While the three models operationalise EI differently, there are conceptual overlaps between different measures and correlations to some degree are expected (Boyatzis, 2009). Having compared different EI conceptualisations and their measures, the study adopted the behavioural-level model as a theoretical basis for several reasons. This approach is more outcome-oriented and is particularly applicable to organisational settings and leadership performance. It also offers a self-report/observer assessment tool, which measures one's EI at the behavioural level. Apart from eliciting self-perceptions, it allows the collection of data from other sources, such as the target individual's managers, followers, or peers. Previous research has demonstrated that the EI competencies assessed by the ESCI were related to transformational leadership and leader effectiveness (Boyatzis *et al.*, 2015b). However, the aim of this study was not to match EI with any particular leadership style or to provide a prescriptive checklist of effective leadership competencies. Rather, in common with Spendlove (2007), the adopted competency model served as a guiding framework for capturing the emotional experiences, skills and behavioural patterns relevant to departmental leadership in HE.

The behavioural model conceptualises EI as a set of emotional (self-awareness, self-management) and social (social awareness, relationship management) competencies. In this thesis, both types are treated as a single construct and referred to as EI competencies. Originally, Goleman's (1995; 1998) model identified 25 EI competencies arranged in five clusters: (a) self-awareness, (b) self-regulation, (c) motivation, (d) empathy, and (e) social skills. Later collaborative work with Boyatzis and Hay Group colleagues (Boyatzis *et al.*, 2001/2007) led to reducing the number of competencies to 12 and offering a simplified model with four clusters (see Figure 2.1).

Figure 2.1 Behavioural model EI competencies

(Adapted from Boyatzis, 2009, p. 754)

Following this model, I adapted the ESCI measures to develop an abridged version of the multi-rater questionnaire. To limit response burden, I shortened the length of the original scales retaining the main elements of the constructs. Similar measures were eliminated by combining them into a single question. For example, the items referring to the emotional self-control competency (‘Acts appropriately even in emotionally charged situations’; ‘Remains calm in stressful situations’; ‘Remains composed, even in trying moments’; ‘Controls impulses appropriately in situations’) were merged into one item set: ‘Is good at managing his/her emotions in stressful situations’. This resulted in a concise survey instrument with a 12-item EI scale mapping onto the four domains shown in Figure 2.1. Below I review each of the domains of the EI framework in relation to educational leadership.

2.3.4 Self-Awareness

The domain of self-awareness is regarded to be the foundation of EI and a cornerstone of effective leadership (Goleman, 1998; Goleman *et al.*, 2002; Salovey & Sluyter, 1997). It implies understanding of internal states and recognising their effect on one’s

performance (Boyatzis, 2009). George (2000) observes that leaders, who are aware of the determinants and consequences of their emotional states, can use this information to work with others effectively. Without being in tune with one's own emotions, the leader can neither handle them effectively, nor make sense of others' emotions, which in turn affects how the leader manages relationships. Similarly, Beatty (2005), Crawford (2009) and Hargreaves (2008) highlight the need for the educational leader to discover the inner self and connect with others. However, they note that emotions inherent in education leadership are not always visible on the surface and may be hard to discern for leaders themselves.

Greater self-awareness can be brought by experiencing difficulties - argue Ackerman and Maslin-Ostrowski and introduce the concept of a *wounded leader* (2002; 2004). Having studied painful journeys of educational leaders affected by a critical event in their leadership, the researchers define a *wound* broadly 'ranging from a disappointment, a problem, a disorienting dilemma to a full blown crisis' (Ackerman & Maslin-Ostrowski, 2004, p. 313). They argue that leaders cannot help being wounded since leadership life is full of intense emotions and undepictable challenges. Yet, a wounding experience enables leaders to re-examine their leadership, embrace their vulnerability and bond with those they lead.

2.3.5 Self-Management

The second pillar of EI is self-management, which refers to handling one's emotions effectively (Boyatzis, 2009). A hallmark of this domain is the leader who remains calm and positive in stressful situations and channels disturbing emotions in a functional way. As Coleman and Earley (2005) look into the emotional demands of educational leaders, they emphasise the burden they carry caused by external and internal pressures. While

handling followers' expectations, the leader may experience 'physical and emotional exhaustion from being too many things to too many people' (Ackerman & Maslin-Ostrowski, 2004, p. 313). Yet, they may feel that 'distress at work has to be disguised, […] annoyance left unspoken' (2000a, p. 2). It raises the question of emotional self-control turning into *emotional numbness*. Beatty (2005), who differentiates between the two forms of self-management, notes that if the leader tries too hard to suppress their feelings, their dispassion may distance them from themselves. This can be regarded as *emotional labour*, the need to act appropriate feelings either on the surface or at a deep level (Hochschild, 1983).

While the notion of *emotional labour* originates from research conducted in the service organisations, its evidence can be found in the work of HE leaders. HoDs, overwhelmed with competing responsibilities, may find themselves practising deep or surface acting when expected to attend to others' emotional needs. Parker (2004), HoD at an English university, conveys the effort of concealing fatigue and displaying the 'right' emotion with disarming honesty: 'I want to lock the door, to nail it shut, pile my books up like a barricade and switch the lights off. I want to tell my visitors to sort their own problems out and leave me in peace' (p. 48). Yet, he continues that he cannot, either because of the sense of duty or the fear of being disliked by his colleagues. Sergiovanni (2001) acknowledges that while the leader is there to enable people to rise to challenges and endure the difficulties, they cannot be a messiah, their job is more like 'a struggle – quest to do the right thing' (ix).

2.3.6 Social Awareness

The third domain that underpins EI is social awareness, which focuses on understanding others' emotions (Boyatzis, 2009). Leaders who invest time in listening to people and

understanding their concerns are thought to develop stronger bonds with their followers (Goleman *et al.*, 2002). One of the approaches is perspective taking – putting oneself in another person's shoes and becoming a sharer of another person's emotion. However, Epley (2014) argues that perspective taking can be a source of misunderstanding. One can never really *see* things from another person's point of you, rather one can *imagine* what it would be like if they were in others' place. If one has never experienced those circumstances themselves, it minimises the chance of understanding another person's experience accurately. This argument contradicts the findings of a recent study (Ruttan *et al.*, 2015) suggesting that common experiences do not necessarily make one empathise better.

Despite the importance of empathy, those in leadership roles may be the ones who lack it most. Solomon (2017) states that positional power could in fact make leaders less empathetic. Therefore, they should stay self-aware and seek feedback to prevent themselves from abusing power. At the other extreme, leaders need to be aware of the limits of empathy. Previous research indicates that excessive empathy can be more harmful than helpful. Being too empathetic may drain one's energy, result in 'compassion fatigue' and deplete our capacity to empathise (Waytz, 2016). To elevate empathy overload, it is advised to distribute 'caring responsibilities' among team members.

Prinz (2011) also highlights the dark side of empathy arguing that it is intrinsically biased. He sees is as 'a form of emotional mimicry' which favours the ones who are similar to us and close to us (Prinz, 2011, p. 229). Therefore, it poses the risk of breeding nepotism and negligence. Instead, it is proposed to take focus away from empathy and turn to its fellow-sentiment – *concern* – 'a feeling we have for another

person in need' (Prinz, 2011, p. 230). It does not rely on similarity, avoids preferential treatment and cures indifference. This is what Hargreaves (2008) calls *emotional understanding* implying the ability to *share* and *feel* each other's inner experiences. This level of emotional closeness, he affirms, is central to leader-follower interactions in educational leadership.

2.3.7 Relationship Management

The final cluster of the EI framework is relationship management, which draws on the other three domains to apply emotional understanding in one's interactions with others (Boyatzis, 2009). As 'organizations bond and divide their members' (Fineman, 2000a, p. 1), the leader is expected to serve as an 'emotional guide' of their teams (Goleman *et al.*, 2002, p. 5). Much of the educational leadership literature calls for a clear strategic vision articulating both short-term and long-term objectives (Dimmock & Walker, 2004). If the leader wishes to be followed, they need to make people aware where they are going by providing answers to the 'why' question (Heifetz & Linsky, 2002, p. 121). Grint (2003) maintains that creating an illusion of a better future is at the core of leadership. 'If leaders cannot imagine a preferable alternative to the status quo, why should followers follow them?' (Grint, 2003, p. 97). Similarly, Halpin (2007) believes that it is exactly idealism what educational leadership needs. He states that the leader who emits boundless optimism can charge their teams with enthusiasm and inspiration. However, elsewhere Halpin (2003) observes that the leader's vision can be somewhat utopian and big dreams often do not match the 'prosaic reality' of educational reforms (Hoyle & Wallace, 2005, p. 12). Leaders have to comply with the education policy makers and adjust their values to government directives. In view of this, Bush (2011)

argues that leaders and their teams would be more willing to embrace self-initiated change that they believe in rather than the imposed one.

Speaking of inspiration, Gronn (2003b) is particularly critical of the leadership discourse mystified with the ideas of greatness and 'exceptionalism' (p. 281). His major argument is that leadership is often portrayed as an 'organizational elixir' that can magically fix any institutional shortcomings just like an alchemist turns metal into gold (Gronn, 2003a, p. 24). It seems that having a charismatic leader is not exactly what educational institutions need (Haydon, 2007). Magnetic people of this kind can unintentionally bring more harm than benefit to their organizations. According to Fullan (2001), the progress they achieve is usually temporary and the legacy they leave behind is a fragile environment of dependency. Similarly, Gronn (2003b) believes that an image of a superior leader disempowers non-leaders. It creates an illusion of an almost impossible job that most people are not fit for and discourages followers from pursuing leadership roles. As Fullan (2001) puts it, 'deep and sustained reform depends on many of us, not just on the very few who are destined to be extraordinary' (p. 2). In order to achieve sustainability, leaders are needed at each step of the organisational ladder.

2.3.8 EI Development

Contrary to the 'Great Men' approach, Goleman (1998) asserts that the EI competencies essential for leadership can be learnt through life experiences. The older a person grows, the more emotionally mature they become and gain mastery over their emotions and those of others. Scheibe and Zacher (2013, p. 883) refer to this process as *emotional aging* and emphasise its importance in understanding leadership processes.

In terms of the role of training programmes in developing leadership potential, Burke (2006) suggests that training courses on their own are insufficient and their value is hard to determine. Claxton (2005) agrees that there is no hard data on whether these programmes actually yield the results they are aimed at. They are usually designed in ways, which are not particularly related to the development of EI itself. Likewise, Cherniss (2006) notes that although these programmes look promising, most of them are unlikely to make a difference to leadership performance. While one-day workshops can raise the awareness of leaders or 'would-be leaders', they cannot teach them how to be more emotionally intelligent (Cherniss, 2006, p. 142). As Burke observes, 'not every person can turn learning experiences into awareness, or awareness into action' (2006, p. 9). Others also admit that leadership development programmes cannot deliver 'a quick fix course' that would provide instant transformation (Fullan & Ballew, 2004; Higgs & Dulewicz, 2002, p. 102). Instead, it is argued that the art of leadership is learnt in *context*. Middlehurst reaffirms this argument, maintaining that leadership development in HE should draw on 'tailored processes that recognise the contingent, relational, and negotiated reality of higher education leadership' (Middlehurst, 2008, p. 337). The complex dynamics of emotion and leadership go beyond a defined set of 'trainable' competencies and interact with unique contextual factors. In the next section of the chapter, I visit the literature on the dimensions of culture and explore work-related values underpinning cross-cultural HE leadership.

2.4 Dimensions of Culture

The impact of cultural differences on leadership has inspired a vast body of cross-cultural research (Ardichvili & Kuchinke, 2002; Dickson *et al.*, 2012; Dimmock & Walker, 2000; House *et al.*, 2004; Javidan *et al.*, 2006; Miller, 2017; Munley, 2011;

Tang *et al.*, 2010). *Culture* in this study is defined by shared meanings (see section 1.7.4, p. 16) whereas *cross-cultural* implies a comparison between two or more cultural groups (Lustig & Koester, 1993). Much of the comparative leadership literature focuses on *values* as a way of understanding cultural variations in people's perceptions, attitudes and behaviour. Values have been defined as 'core beliefs about life and about relating to other people' (Gold, 2004, p. 3), which constitute 'building blocks' of culture (Hofstede, 1980, p. 25). The most widely cited cultural value systems are the ones developed by Hofstede and refined by the project GLOBE (Global Leadership and Organizational Behavior Effectiveness). While both studies were conceived in a business organisational culture, they have important implications for the field of cross-cultural educational leadership.

Hofstede's (1980) model groups societies by five major cultural dimensions: (1) individualism-collectivism, (2) uncertainty avoidance, (3) power distance, (4) masculinity-femininity, and (5) long/short term orientation. It has been argued that while this seminal work gives a 'provisional map of cultural differences', more refined measures are needed (Smith *et al.*, 2013, p. 30). Several issues have been identified with Hofstede's findings: the samples of IBM employees are not representative of entire nations, the study ignores within-country diversity assuming cultural homogeneity, and the findings of the study conducted over 40 years ago may no longer be applicable today.

Regarding the GLOBE study, it was conceived in the early 1990s and has so far evolved in three phases resulting in a massive scale of international collaboration (Chhokar *et al.*, 2007; House *et al.*, 2014; House *et al.*, 2004). In total, over 200 investigators collected data in 69 countries with the aim to examine the relationship between societal

culture and organisational leadership. The research team extended Hofstede's notion of culture by defining it as 'shared motives, values, beliefs, identities, and interpretations or meanings of significant events that result from common experiences of members of collectives and are transmitted across age generations' (House *et al.*, 2002, p. 5). They drew on culturally endorsed leadership theory proposing that people in the same societal culture would share similar thinking patterns that would have an influence on the perceptions and attitudes to leadership.

Following this premise, in the first phase of the project the research team developed nine cultural dimensions: (1) performance orientation, (2) assertiveness, (3) future orientation, (4) humane orientation, (5) institutional collectivism, (6) in-group collectivism, (7) gender egalitarianism, (8) power distance, and (9) uncertainty avoidance. It enabled the researchers to classify 61 countries into 10 clusters according to the similarities and differences in cultural values. Georgia was placed in the Eastern European cluster together with Greece, Hungary, Albania, Slovenia, Poland, Russia and Kazakhstan. England was assigned to the Anglo cluster alongside Canada, USA, Australia, Ireland, South Africa (white sample) and New Zealand. Then the project team attempted to relate their nine cultural dimensions to various leadership attributes to find out if certain leadership styles were more desirable in specific cultural contexts. The results revealed that some aspects of leadership were universal while others - culturally contingent. However, the GLOBE findings have been criticised for ignoring historical and cultural differences within societal clusters as well as within societies and encouraging cultural stereotyping (Graen, 2006).

Cultural Dimension of Choice

It is argued that understanding leadership processes even within one cultural setting is already challenging let alone comparing it across cultures (Dickson *et al.*, 2012). Therefore, it is recommended to focus on a specific aspect of culture that is linked to the researcher's area of interest (Guess, 2004; Taras *et al.*, 2009). Previous research has demonstrated that emotional experiences vary according to the degree to which independence of the self or interdependence on others is valued (Kimel *et al.*, 2017; Markus & Kitayama, 1991). Since emotional functioning of organisations is rooted in human connection (Elfenbein, 2016), the cultural values of Individualism and Collectivism (IC) were deemed conceptually 'close' to the research problem. Moreover, compared to other identified dimensions of culture, IC was found to offer a deeper insight into the dynamics of work relationships (Erez & Earley, 1993). Hence the study narrowed the focus to the IC dimension to provide theoretical lenses for conceptualising emotion in HE leadership.

2.5 Individualism and Collectivism (IC)

The IC dimension is one of the key cultural variations in values that has attracted much attention in cross-cultural psychological literature (Bond, 2002; Brewer & Chen, 2007; Fiske, 2002; Miller, 2002; Oyserman *et al.*, 2002a; Oyserman *et al.*, 2002b). Hofstede and colleagues (2010) suggest the following definition of the construct:

> Individualism pertains to societies in which the ties between individuals are loose: everyone is expected to look after him- or herself and his/her immediate family. Collectivism as its opposite pertains to societies in which people from birth onward are integrated into strong, cohesive in-groups, which throughout people's lifetime continue to protect them in exchange for unquestioning loyalty. (Hofstede *et al.*, 2010, p. 92)

The GLOBE research further elaborated Hofstede's IC dimension by dividing it into: Institutional Collectivism (Collectivism I) and In-Group Collectivism (Collectivism II). Institutional Collectivism is described as 'the degree to which organizational and societal institutional practices encourage and reward collective distribution of resources and collective action' (House *et al.*, 2004, p. 3). In-Group Collectivism is defined as 'the degree to which individuals express pride, loyalty, and cohesiveness in their organizations, families, circle of close friends or other such small groups' (House *et al.*, 2004, p. 3). The IC definition adopted in this study draws on the meta-analysis of the IC literature conducted by Oyserman and colleagues (2002a). Here IC refers to the extent to which individuals feel integrated in the group and show preference for independence (e. g. personal interest/initiative) or interdependence (e. g. group harmony).

There is debate in the literature regarding the best way to measure IC. Both Hofstede and the GLOBE research team treat it as one dimension with two extreme opposite ends. If people in a certain cultural group score high on individualism, it is assumed that they hold low collectivist values. However, rather than approaching IC as a bipolar single dimension, I employed Brewer and Chen's (2007) three-dimensional model for operationalising the construct. Besides the individual level, it differentiates between relational and group levels of collectivism.

Drawing on this conceptual model, I tailored the measures associated with each IC dimension to the context of the study. Relational collectivism was limited to interpersonal relationships with colleagues within an academic department whereas group collectivism referred to a larger social entity, university as a whole. I included target-specific wording to draw a distinction between different referent groups (e.g. 'I

feel a sense of belonging to my department'; 'I share the guiding values of my university'). The adapted measures constituted a 10-item IC scale covering individual, relational and collective levels of self as detailed below.

Individualism

- Uniqueness (emphasis on unique qualities distinguishing one from others)
- Independence (reliance on oneself and focus on personal autonomy)
- Self-interest (emphasis on personal goals and achievements)
- Competitiveness (desire to compete and outperform others)

Relational Collectivism

- Belonging (emotional need to belong and be part of a workgroup)
- Interdependence (bonding with colleagues, focus on cooperation and solidarity)
- Advice (turning to colleagues for advice on work-related matters)
- Harmony (preference to avoid disagreements and maintain harmonious working relationships)

Group Collectivism

- Group identification (pride in group membership)
- Group duty (sense of duty to group welfare and readiness to make sacrifices for group interests)

To summarise, in the adapted three-dimensional IC model, an individualist view saw the person as less connected with others. It emphasised unique personal attributes and individual concerns. Relational collectivism primarily focused on the relationships in a specific social context, which in this study was defined as a workgroup. Finally, group collectivism emphasised organisational commitment and loyalty.

2.6 Perceived Gaps in the Literature

The chapter presented a selective review of the literature, which formed an underlying structure for the study. Having integrated the insights, several issues stand out as less

understood areas calling for further research. Theoretical and methodological challenges remain in two main areas. First, EI research has been criticised for ignoring potential variations across different cultures (Furnham, 2009), occupations (Hargreaves, 2008), and positions in the organisational hierarchy (Elfenbein, 2016). The study takes up this criticism and draws attention to the context of HoD-staff interactions in academia across two cultures. Second, much of the cross-cultural research has studied culture at the national level and can be regarded as macro research. However, in the age of globalisation, national culture averages may be losing relevance (Taras et al., 2009). There could be more differences among generations, social classes, or professional communities than among countries. Moreover, national-level comparisons need representative samples to make generalisations about cross-cultural differences. Yet, the existing knowledge base commonly draws on a single distinct group of population to generalise conclusions to the entire society. Such claims are seen as a major limitation of the cross-cultural scholarship (Oyserman *et al.*, 2002a). It raises the need to move beyond pre-determined country clusters and undertake studies at the micro-meso level. The study addresses this need by focusing on individuals and their immediate work environment. It makes no a priori assumptions about potential variations in cultural values within and between the Georgian and English HE contexts.

CHAPTER 3: METHODOLOGY AND METHODS

> *'It is the mark of an instructed mind to rest assured with that degree of precision that the nature of the subject admits, and not to seek exactness when only an approximation of the truth is possible.'*
>
> *Aristotle*

3.1 Introduction

This chapter describes my research journey evolving from theory to the realities of the field. First, philosophical assumptions underpinning the study are reviewed and the rationale for using mixed methods research is presented. This is followed by a step-by-step analysis of the decisions made in the quantitative and qualitative parts of the study and the challenges encountered on the way. For each phase, I justify the choice of the adopted method explaining the procedures for sampling, instrument development, pretesting, data collection and analysis. The issues of the quality criteria associated with each type of enquiry are also separately discussed. Finally, I examine different understandings of research ethics across two cultural contexts and offer a reflexive account of my fieldwork experiences.

3.2 Research Design

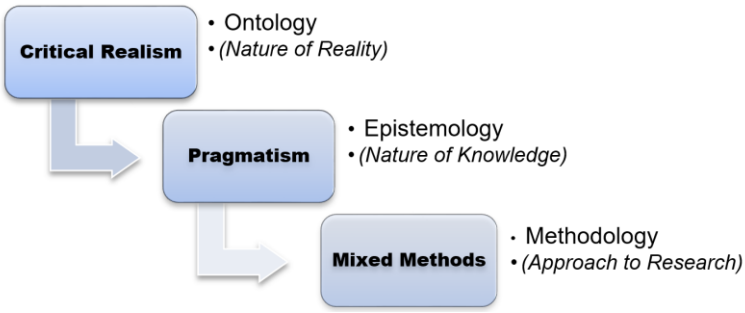
Aiming to explore the emotional experience of HE leadership across two cultural contexts, the study was conceived within the critical realist tradition. Critical realism views social reality neither as objective truth entirely independent from the knower (naive realism) nor as a creation of our subjective consciousness (radical relativism). It takes a middle ground on the ontology continuum and assumes a knowable world, which can be partially accessed (Braun & Clarke, 2013; Teddlie & Tashakkori, 2009). While independent reality exists, human practices are not stable and keep evolving.

This makes our attempts of understanding social relations fallible across time and context. Scott (2005) argues that a critical realist position is most applicable to empirical research in education. It allows describing structures of social life without losing richness of human experiences.

Drawing on critical realist perspectives, the study employed pragmatism as its epistemological stance. Practical thinking and 'workability' is central to modern pragmatist philosophy. While pragmatists acknowledge single external reality, they believe that the nature of 'truth' is provisional. Knowledge is created through actions and is largely influenced by our values. Each person has their own way of understanding the world and nobody's version of reality can be claimed to be better or more authentic than another's. It is argued that 'different knowledges are simply the result of different ways in which we engage with the world', the choice of action being determined by what works best and delivers results (Biesta, 2010, p. 113).

If we apply this line of thought to research, we may interpret different actions as different research methods and 'workability' as their suitability for addressing research questions. In this sense, pragmatism provides a practical solution to the incompatibility debate on mixing quantitative and qualitative methods (Johnson & Onwuegbuzie, 2004; Mertens, 2015). Figure 3.1 illustrates the theoretical assumptions forming a research framework for this project.

Figure 3.1 Research framework

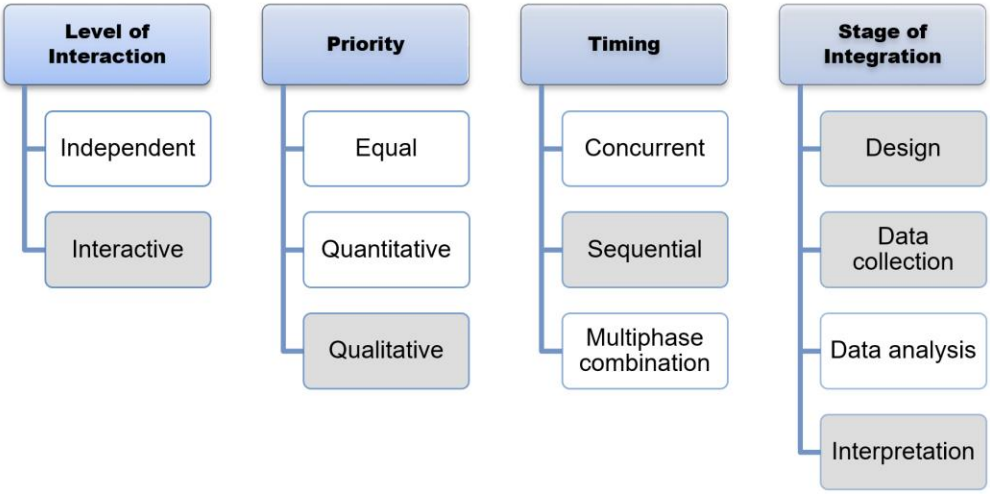


Considering the research objectives, the study lent itself to mixed methods. This approach bridges two competing worldviews and offers a wider theoretical perspective compared to a single method enquiry. Creswell (2015, p. 2) defines mixed methods as:

> An approach to research in the social, behavioral, and health sciences in which the investigator gathers both quantitative (closed-ended) and qualitative (open-ended) data, integrates the two, and then draws interpretations based on the combined strengths of both sets of data to understand research problems.

Education researchers find mixed methods valuable since it enables them to answer diverse questions simultaneously when studying a complex social phenomenon (Sammons, 2010; Youngs & Piggot-Irvine, 2012). While a quantitative technique allows us to measure the relationship between variables of interest, a qualitative technique helps to develop contextual understanding. Hallinger (2016) emphasises the need for complementary evidence to understand educational leadership across cultures. Yet, Tight (2013) has found that a mixed methods approach is rarely employed in HE research. His analysis of 567 articles published in international HE journals in 2010 revealed that only 5% of papers integrated quantitative and qualitative methods. Owing to the appeal of mixed methods, I followed the guidelines by Creswell and Plano Clark (2011) to bridge the quantitative/qualitative 'divide'. The shaded cells in Figure 3.2 show key decisions made during the study.

Figure 3.2 Mixed methods design choices



(Adapted from Creswell & Plano Clark, pp. 64-74)

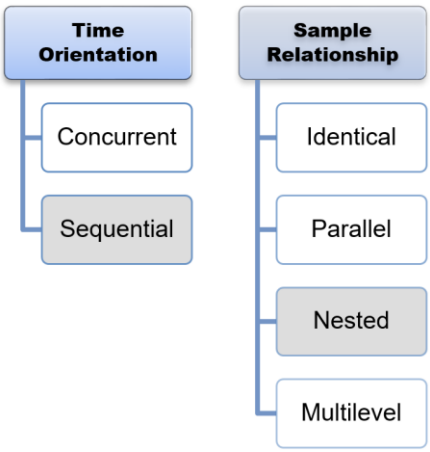
The data were generated through two strands (phases) – an online survey and semi-structured interviews. The quantitative and qualitative components remained interactive, that is, the second strand depended on the sampling and data of the first one. A relative priority was given to the qualitative phase in terms of answering the research questions (see Table 3.1). The timing of the strands was sequential, the survey was administered and initially analysed prior to conducting interviews. In terms of the stages of integration in the research process, mixing of different methods occurred at three levels: *design* (connecting the databases through sampling), *data collection* (building on the quantitative results to select participants for follow-up interviews) and *interpretation* (merging results from the two data sets to draw final conclusions). The resulting model, classified as *explanatory sequential design* (Creswell & Plano Clark, 2011, p. 69), matched the study objectives.

Table 3.1 Research questions and data collection methods

	Research Questions	Methods	Data Collection
Guiding Question	How does the emotional experience of departmental leadership vary across Georgian and English universities?	Mixed	Online survey, semi-structured individual interviews
RQ1	How do HoDs and academic staff perceive and experience EI in departmental leadership?	Mixed	Online survey, semi-structured individual interviews
RQ2	How do HoDs' and academic staff's cultural values relate to their perceptions of EI in departmental leadership?	Quantitative	Online survey
RQ3	What role should EI play in departmental leadership development?	Qualitative	Semi-structured individual interviews

In terms of sampling strategies, I adopted a two-dimensional mixed methods sampling model (Collins *et al.*, 2007). This framework categorises mixed methods sampling designs according to (a) the time orientation of the quantitative and qualitative strands, and (b) the type of relationship between the samples as illustrated in Figure 3.3.

Figure 3.3 Two-dimensional mixed methods sampling model



(Adapted from Collins *et al.*, 2007)

A sequential design using a nested sample (a subset of the surveyed population chosen for semi-structured interviews) was used in the study. The quantitative phase utilised multistage stratified sampling which was followed by maximum variation sampling in the qualitative phase. I use the term *respondent* throughout to refer to sample members who took the survey. I use the terms *interviewee* and *participant* interchangeably to

refer to those who were interviewed. The sampling procedures of each phase of the study are explained in detail in sections 3.3.6 and 3.4.3 below.

3.3 Quantitative Phase

3.3.1 Overview of the Method: Survey

Surveys have been widely used in educational research to collect descriptive and attitudinal data about social phenomena (Cohen *et al.*, 2011; Fairbrother, 2014; Hartas, 2010). This method involves systematic gathering of data to measure observed characteristics of the target population (Hammond & Wellington, 2013). Survey research often relies on self-administered questionnaires that serve as 'a medium of remote conversation between researcher and respondent' (Brace, 2013, p. 5). In this indirect communication, there is no certainty whether questions are interpreted as intended, which raises questions about *measurement validity* – 'the extent to which an instrument measures what it is claimed to measure' (Punch, 2009, 246). Further methodological considerations surface when transferring questionnaires from a monocultural to a cross-cultural context. Examples of specific difficulties highlighted in comparative survey research in education include: questionnaire construction (Thomas, 2007), instrument translation and adaptation (Andrews & Diego-Mantecón, 2015), issues of equivalence (Rutkowski & Svetina, 2014), and operationalisation of *culture* (LeTendre, 2002). The study attempted to navigate these challenges by carefully designing and pretesting questionnaire items. The steps I took in the process of the survey development are presented in the next section.

3.3.2 Questionnaire Development

The survey measures were adapted from the existing research instruments associated with the theoretical models of behavioural EI and three-dimensional IC as explained in Chapter 2. Two parallel versions of the questionnaire were designed: one for HoDs and the other for academic staff (see Appendix B, p. 213). There were only two differences across the versions. First, the personal pronoun 'I' was replaced with 'My HoD' in the staff version of the questionnaire. Second, HoDs had two additional demographic questions (on top of nine) about the term length of their position and the number of academic staff currently working in their department.

Likert scales were employed to ask subjective, attitudinal questions. This question type 'measures people's attitudes by combining scores on several items, each of which records how positively or negatively a person feels about a statement' (Passer, 2014, p. 214). When designing the rating scale continuum, I had to decide on the frequency of scale categories, type of item labels (words or numbers), inclusion of a midpoint ('neither/nor') and a non-substantive response option (e.g. 'don't know', 'not sure/difficult to answer'). As there is disagreement in the literature on each of these points, my choices were guided by the research objectives.

A 5 (or 7) point Likert scale is recommended if the researcher aims to report response summaries through percentages and wants to correlate variables (Weijters *et al.*, 2010). A 5-item scale is most common since it provides enough variation in responses and is easy to interpret (Brace, 2013). Higher scale frequency is argued to increase the cognitive burden on respondents (Iarossi, 2006). Therefore, a 5-point response format balanced with an equal number of negative and positive items was adopted. A verbal scale ranging from 'strongly disagree' to 'strongly agree' was fully labelled. When a

numerical scale or a graphical presentation was used, the endpoints and the midpoint were verbally defined. Labelling response scales was intended to ensure that the researcher and the respondent attached the same meanings to the given categories.

Since I did not want to force respondents with no distinct view to take a side, a middle category was included. A 'not sure/difficult to answer' option was added to those questions where respondents were expected not to have enough information about the subject. This option is argued to improve data quality as it prevents respondents from selecting a midpoint when they do not have a clear opinion about the subject (Brace, 2013; Iarossi, 2006). In addition to the content and type of questions, decisions had to be made regarding the visual layout and dimensions of interactivity, which are discussed next.

3.3.3 Visual Design

Owing to today's technological advancements, collecting survey data via the Internet is becoming a common practice among social science researchers. The increasing popularity of web-based surveys is determined by associated low cost, speed, convenience and design flexibility (Bryman, 2012; Callegaro *et al.*, 2015). They can cross geographical boundaries, reach large populations and interact with the respondent in the selected language. However, being self-administered, web surveys have to make an indirect communication between the researcher and the respondent meaningful by an effective visual design. The choice of the survey software plays an important part because it can enhance or limit the visual possibilities of the web questionnaire.

First, I designed the survey in Warwick SiteBuilder2 as my ePortfolio subpage. The idea of linking the questionnaire to my research profile was meant to establish my

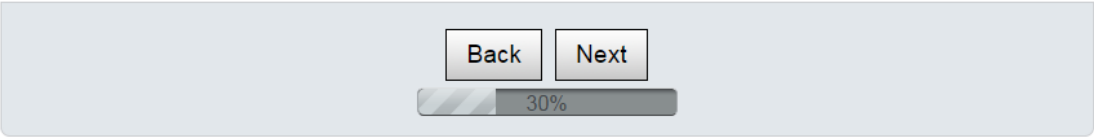
credibility as a doctoral researcher. I hoped that this would potentially increase response rate during the data collection stage (Gillham, 2008). However, FormsBuilder software did not support a multi-page design and lacked more advanced formatting features. The empirical research on web surveys suggests that a single scrolling page compared to a paging design may take longer to complete and result in more missing data (Peytchev *et al.*, 2006). Therefore, I imported the survey into more sophisticated survey software – SurveyGizmo (http://www.surveygizmo.com/). Then I spread out thematically related question groups on multiple pages. Displaying each semantic chunk on a separate page was meant to mentally guide the respondent through the questionnaire (Norman *et al.*, 2001).

To group multiple Likert items, I used a radio button grid and a slider list. Slider questions introduced some degree of interactivity into the survey which was intended to make the survey more engaging and reduce the respondent's fatigue. I did not make all the questions mandatory as it could increase the break-off rate if the respondent was not willing to answer a question (Dillman *et al.*, 2014). Besides, it ensured that responses remained voluntary. Instead, a soft prompt (reminder) was offered when an item was left unanswered: 'This question is important to the survey. If you meant to leave it blank, just continue. Otherwise, please answer it'. Reminding respondents to reconsider leaving a reply is suggested to convince them of the importance of their response and results in lower missing data (DeRouvray & Couper, 2002).

'Back' and 'Next' buttons were added both for backward and forward navigation. The possibility to return to previous questions would allow respondents to reconsider their responses and could improve the quality of the collected data (Denscombe, 2014; Tourangeau *et al.*, 2013). I also added a graphical *progress indicator* to show

percentage of survey completion (see Figure 3.4). The aim of using this feature was to encourage respondents to complete the survey till the end and reduce the risk of 'break-offs' (premature survey termination). The literature suggests that a constant-speed progress indicator works well for surveys that are not long or complex (Callegaro *et al.*, 2015). When displayed progress is consistent and matches the expected duration of the survey, it communicates positive feedback and keeps respondents engaged.

Figure 3.4 Progress indicator

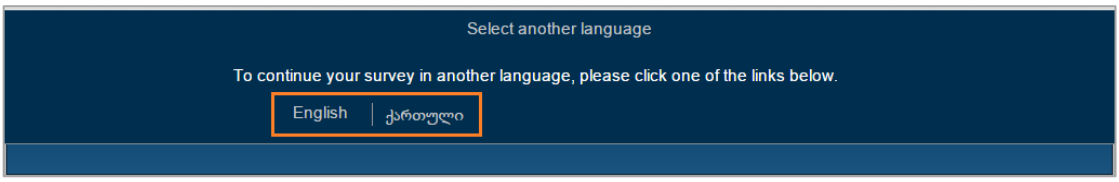


If the respondent did leave the survey half way, their answers would be automatically saved and the form would be recorded as partially complete. As Surveygizmo allowed tracking an individual respondent's progress, only those contacts whose response status was not marked as complete would receive a further reminder email. If the respondent decided to return to the survey later on, their unique survey link would take them to the page where they left off. Once the form was submitted, the respondent could not retake the survey through the provided link. This prevented the same person from submitting responses multiple times and intentionally introducing bias into the results (Dillman *et al.*, 2014).

Since the survey was intended for the English and Georgian-speaking audiences, I created the online form in both languages. The survey link was set to detect the language of the survey user's browser and display the questionnaire in the respective format. If browser settings did not match the respondent's preferred language, a Language Bar at the top of the form allowed switching between English and Georgian

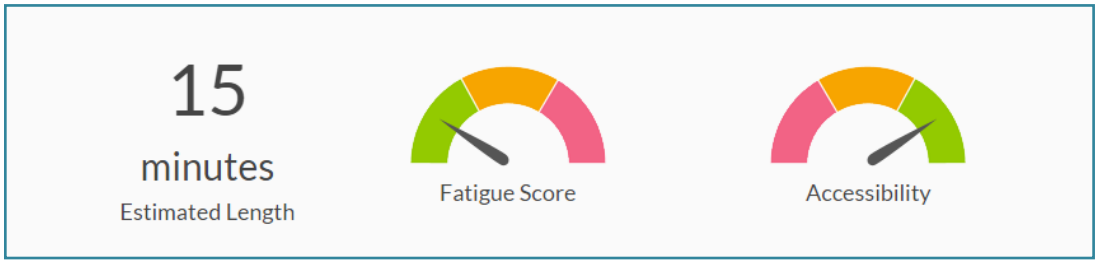
(see Figure 3.5). Standard messages used in survey navigation would also appear in the selected language.

Figure 3.5 Language bar



Through the SurveyGizmo diagnostics feature I estimated how time-consuming, tiring and accessible the survey would be for respondents. As Figure 3.6 demonstrates, the questionnaire design was found respondent-friendly. It was likely that users would find the web survey interface visually attractive, engage with questions and complete the entire questionnaire with ease.

Figure 3.6 Survey diagnostics



3.3.4 Back-translation

To ensure the accuracy of translation, two bilingual translators, both native speakers of Georgian, were approached separately to do back-translation. The back-translation technique involves (a) forward translation from the source language to the target language, (b) blind back-translation from the target language back to the source language, and (c) assessing the equivalence of both versions (Brislin, 1970; Chen & Boore, 2010; Smith, 2004).

Examining language-related differences was essential, for English morpho-syntax bears no similarity to the Georgian one. Georgian (Kartuli - ქართული) being a member of the Kartvelian (South Caucasian) family of languages has its own unique alphabet and intricate grammar that largely differs from any Indo-European tongue (Hewitt, 1995). Its highly agglutinative morphology allows expressing complex ideas through combining morphemes with a root word. Person and number of subjects as well as objects, tense and voice can be all combined into a single verb (Harris, 1981). For example, the verb *ვუქებარ* (vukivar) can be translated as *'S/he has (apparently) praised me'.* Thanks to agglutination, there is a relatively free word-order in Georgian. Although the English language also has some degree of agglutination, semantic agreement of subjects, verbs and objects requires less morphological help resulting in a more fixed sentence structure (Plank, 1984).

While back-translation is highly recommended for evaluating the quality of a bilingual questionnaire, it may not always detect inaccuracies and lack of readability (Daouk-Öyry & McDowal, 2013; Schaffer & Riordan, 2003). Brislin (1970, p. 186) warns against the 'seaming equivalence' in a bilingual translation noting that the grammatical structure of the source language is often kept when translating it to the target language. It simplifies its back-translation and may result in a close match, but this does not necessarily mean that the two texts are semantically equivalent. Similarly, Harkness and colleagues (2004, p. 456) argue that in questionnaire translation 'keeping things the same is neither always possible nor always desirable'. Symmetric translation is preferred as it stays loyal to the meaning both in the source and target language and results in a more culturally comparable translation (Sousa & Rojjanasrirat, 2011). Seeking to understand how the back-translated survey functioned across two languages

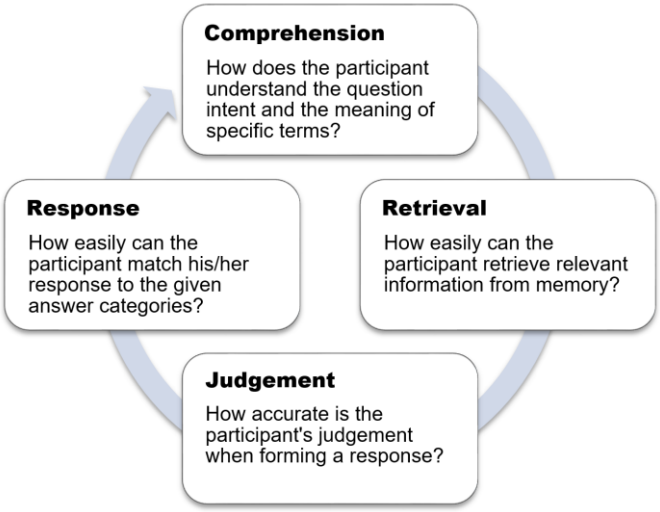
and cultures, I turned to *cognitive interviewing* - a survey pretesting method rarely used in education survey research. The review of the method as well as the design and findings of the pilot study are presented below.

3.3.5 Pilot Study

Cognitive Interviewing

Cognitive interviewing as a survey evaluation technique was developed in the 1980s as a result of interdisciplinary collaboration between cognitive psychologists and survey methodologists (Groves *et al.*, 2009; Schwarz, 2007; Willson & Miller, 2014). A general definition offered by DeMaio and Landreth (2004, p. 90) states that the primary goal of cognitive interviews is 'to understand the thought processes used to answer survey questions and to use this knowledge to find better ways of constructing, formulating and asking survey questions'. The underlying assumption of this pretesting method is that observing individuals' cognitive processes reveals whether or not questions are interpreted as intended. It identifies problematic aspects in the survey design and informs the researcher which areas require modification (Beatty & Willis, 2007; Collins, 2014; Priede & Farrall, 2011; Willis, 2005; Willson & Miller, 2014). The theoretical model of cognitive interviewing stems from cognitive theory, which breaks down the question-response process into four stages as Figure 3.7 below demonstrates:

Figure 3.7 Four-stage response model of thought process



(Adapted from Tourangeau, 1984; Willis, 2005)

Building on this model, two main techniques are commonly applied in cognitive interviews: think-aloud and verbal probing (Beatty & Willis, 2007; DeMaio & Landreth, 2004; Priede & Farrall, 2011; Willis & Miller, 2011; Willis, 2005). During think-alouds participants are asked to verbalise their thoughts as they interpret survey items ('Please tell me what you are thinking while you are answering the questions'). The process is participant-driven with the interviewer's role being confined to that of a facilitator making minimal intervention. On the other hand, the probing technique is interviewer-driven and involves follow-up questions eliciting information about a potentially problematic area (Collins, 2003). Probing questions can be asked either concurrently, after each question during the interview, or retrospectively, after the participant completes the entire survey. Table 3.2 gives examples of general and specific probes applied to cognitive pretesting.

Table 3.2 Examples of cognitive probes

	General	Specific
Comprehension	Can you tell me in your own words what this question is asking?	What does the term 'empathy' mean to you in this context?
Retrieval	How well do you recall this?	Can you remember a case when your HoD showed genuine concern for the staff members?
Judgement	How did you come up with that answer?	How accurately do you think this describes your working relationship with your HoD?
Response	How easy or difficult did you find this question to answer? Why do you say that?	Why did you choose 'neither agree nor disagree' and not 'don't know'?

Finally, it should be noted that cognitive interviewing does not serve as a substitute for conventional pretesting, rather it is conducted before 'going into the field' and is an additional major step in the process of developing and piloting draft questionnaires (Ornstein, 2013; Willis, 2015, p. 5).

Pilot Study Objectives

I adopted an iterative research design involving two rounds of cognitive interviews. I tested the staff's survey version to evaluate whether the bilingual questionnaire functioned as intended. More specifically, I had three main objectives. First, I aimed to examine *cognitive validity* of the survey questions. Cognitive validity relates to the way people process their thoughts, emotions and experiences as they answer survey questions (Karabenick *et al.*, 2007; Wildy & Clarke, 2009). It assesses the degree of consistency between the researcher's intended meaning and the survey user's actual interpretation of a question (Muis *et al.*, 2014). I aimed to capture the meanings of the self-report items from the participants' perspectives to examine if they meant what I assumed they did.

The second objective was to judge *semantic equivalence* of the English and Georgian versions. Semantic equivalence is concerned with the performance of the questionnaire translation. It determines whether the meaning of the survey item remains the same after translating it from the source to the target language (Beck *et al.*, 2003; Daouk-Öyry & McDowal, 2013; Schaffer & Riordan, 2003). With the help of cognitive interviewing, I intended to ensure natural wording of questions as well as consistency in interpretations across languages.

Establishing *conceptual equivalence* of survey measures was my third objective when testing the bilingual questionnaire. Conceptual equivalence refers to the extent to which theoretical constructs 'elicit the same conceptual frame of reference among diverse cultural groups' (Riordan & Vandenberg, 1994, p. 644). In other words, the pilot study aimed to assess whether concepts were equally applicable and meaningful in each culture to make valid comparisons.

Pilot Study Participants

I used a direct recruitment method to identify and purposefully select suitable participants for the cognitive interviewing study. Academic staff members were approached through personal networking at two universities, one in England and one in Georgia. I attempted to select male and female participants, who were at different stages in their academic careers and showed substantial variation in terms of their age and experience (see Table 3.3).

Table 3.3 Cognitive interview participants

Participant	Gender	Age	Position	Country
01	Female	21-30	Teaching Assistant	England
02	Male	21-30	Doctoral Researcher	England
03	Male	31-40	Postdoctoral Fellow	England
04	Male	31-40	Associate Professor	England
05	Female	21-30	Doctoral Researcher	Georgia
06	Female	31-40	Lecturer	Georgia
07	Female	31-40	Assistant Professor	Georgia
08	Male	41-50	Associate Professor	Georgia

Pilot Study Procedure

Cognitive interviews in the English and Georgian contexts were conducted 6 months apart. The English version of the questionnaire was piloted first to identify problematic questions and revise them before the survey was translated into Georgian. Procedural consistency was maintained across both sample groups in terms of the administration mode, interviewing time and format. Following the Cross-Cultural Survey Guidelines (Survey Research Centre 2011), the draft questions were pretested in the same mode as they would be presented to the actual survey population. Since the target questionnaire was web-based, a computerized administration mode was adopted. I provided the interviewees with a laptop and a test link to the online survey. The interviews were carried out in a quiet environment comfortable to the participants (e. g. university seminar rooms, participants' homes). A mix of strategies, think-aloud and concurrent probing were applied and a set of general (participant-driven) and specific (theory-driven) pre-scripted probes were used (see Table 3.2, p. 50). The interviewing time varied from 60 to 90 minutes with each of the eight individuals.

First, think-aloud procedures were explained to all the research participants at the start of an interview. After practicing think-aloud with an example item, they were asked to

read the questions aloud off the computer screen and verbalise their thoughts. The rationale behind reading the questions out loud rather than silently was to provide additional subtle nuances about question comprehension. The way a question was read (sometimes more than once) or a momentary pause indicated how easily a participant understood the question. The interviews were not recorded and interpretive notes were taken in the respective language while listening to the participant's narrative. I entered comments under each potentially problematic question on a pre-designed template. The notes included details about participants' task comprehension and short verbatim quotes. My observations, such as hesitating, re-reading a question, or changing an answer, were also recorded on the same form.

Pilot Study Data analysis

I took a Text Summary approach to cognitive interview data analysis, which attempts to identify 'dominant themes, conclusions, and problems that are evidenced within a set of aggregated interviewer notes' (Willis, 2015, p. 60). To analyse the interview summaries systematically and compare the findings across cases, general codes were assigned to potentially flawed items. I developed a simple coding scheme from the existing error source typologies for cross-cultural cognitive interviewing (Fitzgerald *et al.*, 2011; Willis & Zahnd, 2007). In line with the testing objectives, I classified response difficulties into the following categories: (a) cognitive, (b) linguistic, (c) cultural, and (d) general. While these categories were rather broad, codes were supplemented with rich textual data about question functioning.

The analysis was conducted at three levels as advocated by Miller and colleagues (2011). The first analytic level (within-interview analysis) started during the interview itself when I took notes. It continued immediately after the interview through the

process of reviewing and summarising the written comments and assigning codes to problematic questions. The second layer (across interview analysis) examined (in)consistencies of interpretations across participants within each language group. In the last tier (across sub-group analysis), I focused on cultural and language-related differences to draw conclusions about question performance across different contexts. That is, analysis was carried out within individual interviews, across interviews and between the iterative rounds.

Both the English (source) and Georgian (translated) versions of the questionnaire were open for modifications. If it was apparent that a concept did not have an equivalent in the target language, then the source language form was revised. This process, referred to as *decentering*, implies equal importance of both language versions in the translation (Brislin, 1970; Fujishiro *et al.*, 2010; Harkness *et al.*, 2010; Sousa & Rojjanasrirat, 2011). It is meant to ensure that questions 'are not anchored in one language but fit equally well in all applicable languages' (Smith, 2004, p. 447).

The decision to revise an item did not depend on the number of times the item was found problematic; rather it was evaluated based on the nature of the problem and logical judgment. As Willis (2005, p. 170) points out, *'problem frequency is not a measure of problem existence or seriousness'* [original emphasis]. Lee (2014, p. 230) agrees that sometimes even a single case may provide enough evidence about a potential error warranting 'proper' attention. For example, the participant's inability to map an answer on the response scale is thought to be a critical error. Below I share selected examples of problematic items that illustrate the key areas the pilot study aimed to examine. I explain the nature of identified problems as well as possible solutions found.

Pilot Study Findings

Cognitive validity. Regarding cognitive validity of the measures, an interesting finding emerged from English testing of the question about the HoD's EI competencies. The item was originally phrased as follows: *'How important do you consider these competencies for successful leadership?'* The response categories for each listed competence ranged from '(1) not important' to '(5) very important'. As the participants were reflecting on the role of emotions in leadership, their thought processes did not show common understanding of the question intent. To get to the basis of their question comprehension, I asked specific probes (e. g. 'What does "leadership" mean to you in this context? Can you give me some examples of what you just said? Could you explain why you think that way?').

One interviewee assumed the question was directed at any kind of a leader rather than a HoD. Based on his experience, heading an academic department was not actually leadership but more of a managerial and administrative role. Another participant did not relate the concept of leadership to a leader as a single individual. He viewed it as a process shared among people working together as a team. His verbal report suggested that he was thinking about the 'soft' skills of both leaders and followers, who make leadership happen together. It became apparent that it was not clear to the participants whose EI the question targeted. To clarify ambiguity, after the English round, the original wording of the question was modified in the following way: *'How important do you consider these competencies for a Head of Department to be a successful leader?'* When the translated version of the revised question was tested with the Georgian sample, it was not subject to competing interpretations.

Semantic equivalence. Georgian testing revealed scale-specific difficulties regarding semantic equivalence of the two language versions of the questionnaire. For example, a literal translation of a midpoint on the fully labelled Likert-type agreement scale was found to be problematic in Georgian. The option *'neither agree nor disagree'* was literally rendered as 'არც ვეთანხმები და არც არ ვეთანხმები' ('neither agree and neither *not agree'*). A more comparable alternative was proposed to be 'არც ვეთანხმები და არც უარვყოფ' ('neither agree and neither *deny'*). While this wording was not identical to the source scale label, it was agreed to sound more natural in the target language.

Conceptual equivalence. The concept of *ethnicity* was not interpreted within common frames of reference in the English and Georgian testing rounds. This demographic question was developed based on national census categories and each language version of the questionnaire listed relevant ethnic groups in the respective country. Although the question seemed straightforward to the English sample, it confused the Georgian cultural group members. When the Georgian participants selected their ethnic group and moved on to the next field that asked to state their nationality, they got puzzled why they were asked the same question *twice.* 'Ethnic group/ethnicity' in the Georgian language is often used interchangeably with 'nationality' and the participants could not see a clear distinction between the two. It was suggested to remove either of the two questions as they were redundant. Based on the overall feedback, I decided to break down this category into relatively clear dimensions comprising a sense of 'shared belonging' as recommended by Burton and colleagues (2010, p. 1335). The revised demographic section included: country of origin, number of years living in England/Georgia, nationality and first language. Although a lengthier alternative,

multiple questions were expected to tap into the underlying construct better and apply it to the cultural groups being compared.

To recap, the lessons learnt from cognitive pretesting helped to develop more accurate and comparable measures. The analysis of the cognitive interview data offered possible solutions to correcting questionnaire flaws and preventing survey users from misinterpreting the intended meaning of questions. The revised survey was field tested further with a small sample in both languages. It resulted in minor modifications and confirmed the research instrument was ready for administration.

3.3.6 Quantitative Data Collection

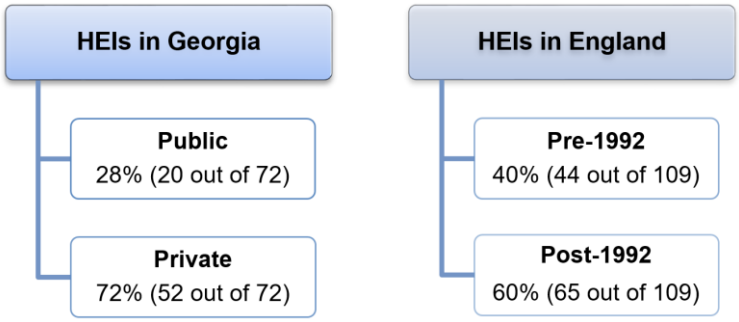
Initial Sampling Plan

A multistage stratified sampling plan was adopted to approach a large population spread across two countries. This technique divides the total study population according to certain distinctive features and selects sampling units in each group (Cohen *et al.*, 2011; Kumar, 2014; Seale, 2012). I defined the target population as 'heads of academic departments and academic staff at public/private universities in Georgia and pre/post-1992 universities in England, regardless of gender, age, length of service, ethnic origin, or nationality'. In order to determine the population size, first the total number of HEIs with degree awarding powers was identified in each cultural context - 72 in Georgia (MESG, 2013) and 109 in England (Legislation.gov.uk, 2013).

Second, I grouped the listed institutions into two strata in each country based on different traditions of governance and nature of academic work (see section 1.4, p.). In Georgia, public and private universities formed separate subgroups whereas in England, it was pre- and post-1992 universities. Private universities in England were not taken

as a separate stratum because they constituted a very small portion (5.5%) of the entire study population (six out of 109 with only four being a fully-fledged university). Figure 3.8 shows the composition of the two sample groups.

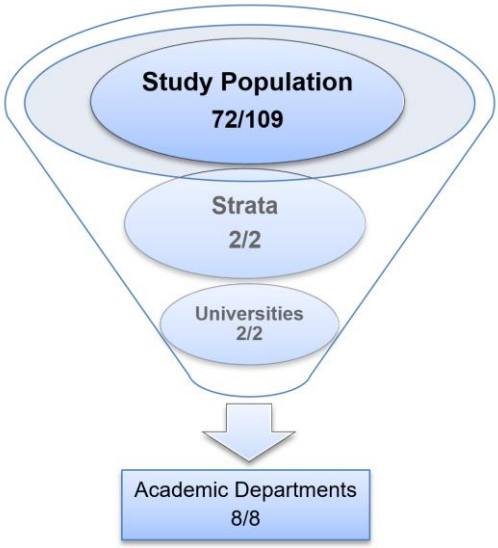
Figure 3.8 Study population



Third, disproportionate stratified sampling was used to choose one university from each stratum per country. To allow comparability across the diverse subgroups, I purposefully selected only those HEIs which offered three-cycle degree programmes and were multi-profile. A public and a private university in Georgia were paired up based on geographical proximity and shared regional culture. The same principle was applied when sampling pre-/post-1992 universities in England. The chosen 'pairs' in the two countries were not intended for matched comparisons. Rather, the sample sought to include main subgroups of the study population in each cultural context.

In the next stage four departments were randomly selected across different academic disciplines per university. As a result, the sample comprised 16 departments (eight Georgian/eight English) in four universities (two Georgian/two English). Figure 3.9 demonstrates how samples were taken from the target population in multiple stages.

Figure 3.9 Multistage stratified sampling: Initial plan



Survey Administration: Part I

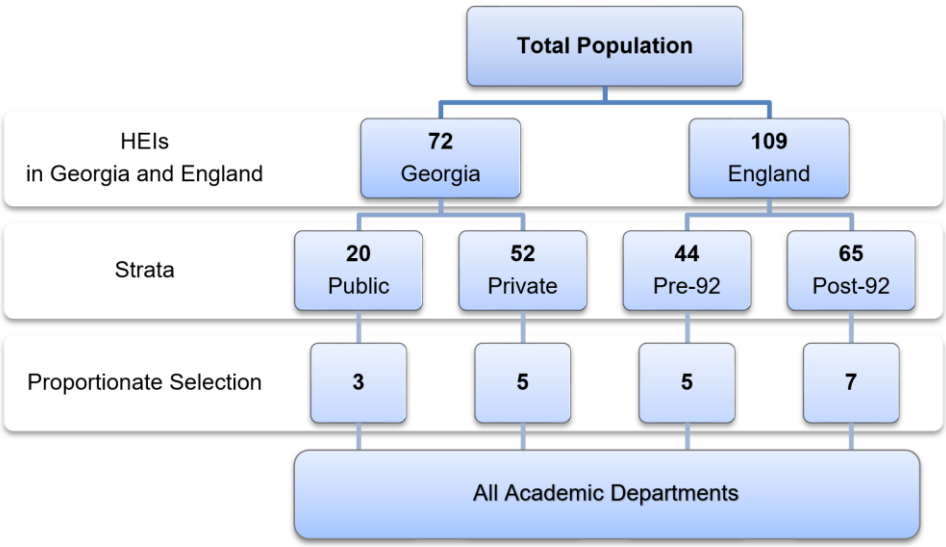
After selecting the departments, the researcher retrieved email addresses of HoDs from the respective university websites. While this information was relatively easy to obtain from the English universities, most departmental web pages in the sampled Georgian universities either did not specify HoDs or did not provide their contact details. I used my personal contacts to gain access to these data. Once the HoD email list was compiled, a URL embedded email campaign was set up using the Surveygizmo software. Invitations to an online survey were emailed directly to the identified HoDs. The invitation email introduced the doctoral researcher, explained the significance of the study, promised confidentiality and invited HoDs to take part in the research (see Appendix A for respondent recruitment correspondence, p. 208). At the end of the survey, respondents were asked whether they would be willing to involve their academic staff in the research study. If a HoD responded positively to this follow-up question, I sent a request to the departmental secretary/school manager to circulate the survey link among academic staff.

Seven out of eight HoDs in Georgia completed the survey and six of them were also happy for their staff to participate. However, it was problematic for them to circulate the call to colleagues. While academic staff members in the selected universities were provided with institution email addresses, these email accounts were hardly ever used. Most departments had a database of personal email addresses of their staff, but many of these email lists were not up-to-date. As a result, the initial email campaign in Georgia collected 13 staff responses from six departments. As for England, three out of eight HoDs filled in the questionnaire with only one head agreeing to staff involvement in the study. While reaching academic staff via email was not an issue for a departmental secretary in England, it still led to a very low response rate (three completed questionnaires).

Revised Sampling Plan

Due to a low response rate, I decided to increase the pool of participating universities in both countries and to survey all the academic departments in selected institutions. This time I implemented a proportionate stratification plan contacting about 10% of universities in each stratum. Throughout the course of six months, the online survey was administered in eight universities in Georgia and 12 in England (see Figure 3.10). In these institutions, I directly contacted all the HoDs, who could be identified and whose contact details could be accessed via departmental web pages.

Figure 3.10 Multistage stratified sampling: Revised plan



Overall, 115 HoD email invitations were sent out in Georgia and 166 in England followed by two reminders to nonrespondents (see Appendix A, p. 208). The majority of the surveyed Georgian HoDs did not mind if their staff took part in the research. They would email back saying that they found the research topic interesting and wished me good luck with the doctoral project. In the English context, the reactions were mixed. About half of the surveyed HoDs were willing to involve their departments in the project. A few of them were highly supportive actively encouraging their academic staff to participate in the research. There were also some who responded justifying why they were unable to take part. Main reasons given were lack of time and being 'swamped' with work as the quote from the HoD's response below illustrates:

> *I am sorry that I do not have time for this. It is important topic and I am sorry to put difficulties in the way of your research, but I am slowly learning that one attribute needed in HE Leadership is an ability to say "No". Best wishes and good luck!*

Finally, there were respondents who did not welcome reminder emails and requested that their names be taken off the survey distribution list. Their wish was respected.

Table 3.4 shows the number and percentage of the heads who were willing to involve their departments in the research.

Table 3.4 HoDs willing to involve their departments

Country				Would you be willing if your academic staff are invited to take part in this study?		
				Yes	**No**	Total
Georgia	University	**Public**	Count	21	5	26
			% within University	80.8%	19.2%	100.0%
		Private	Count	11	1	12
			% within University	91.7%	8.3%	100.0%
	Total		Count	**32**	**6**	38
			% within University	84.2%	15.8%	100.0%
England	University	**Pre-1992**	Count	14	11	25
			% within University	56.0%	44.0%	100.0%
		Post-1992	Count	3	12	15
			% within University	20.0%	80.0%	100.0%
	Total		Count	**17**	**23**	40
			% within University	42.5%	57.5%	100.0%

Survey Administration: Part II

I directly contacted all the academic staff of those departments whose heads gave consent to access their departments (*n*=49). I no longer wished to rely on HoDs/departmental secretaries forwarding the survey invitation for three reasons. First, I was not convinced that all the HoDs in the first round actually circulated the email among their staff. Second, even if they did, I was not in control of sending reminders. Third, I hoped that personalised invitation versus mass email would increase response rate (Edwards *et al.*, 2009). On the whole, 393 academic staff in Georgia and 681 in England were included in the Surveygizmo email campaign. The survey software not only allowed personalised emails to be sent to multiple recipients in one go, but also automatically generated a unique link for each message. Similar to the HoDs' email campaign, I was now able to monitor how the staff's campaign progressed. After two

targeted reminders (excluding the respondents who had already replied), 81 academic staff members in Georgia and 137 in England responded to the survey (see Table 4.2, p. 84 for the overall response breakdown).

3.3.7 Quantitative Data Analysis

Considering the sample size, the level of measurement (nominal and ordinal) and the type of collected data (non-parametric), appropriate statistical analysis procedures were adopted. Using SPSS 22, I first summarised the data using descriptive statistics. Then I turned to examining between-group differences and relationships between the variables of interest. The statistical significance was accepted at the $p < .05$ level. The inferences were drawn within the sample, *not* at the total population level. Refraining from claims about the sample representativeness, the study did not extend the conclusions to the larger population. Rather, the findings were analysed to gain insight into the research problem in a given context.

Frequency Distributions

In order to observe general patterns in the data, summary frequencies and percentages were reported. The results were visually displayed in tables and graphs. The mode (score with the highest frequency) was calculated as a measure of central tendency. However, the mean (average score) and the median (midpoint score) were not computed as they were not suitable for categorical data with few values (Cohen *et al.*, 2011). When coding Likert scale ratings, a non-substantive option ('not sure/difficult to answer') was coded as a missing value (-99) and was excluded from the reported percentage breakdown of item responses. However, the proportion of the respondents

opting for this scale category was separately calculated for each question that offered this option and interesting observations were noted.

Between-Group Differences

The Mann-Whitney U test was applied to see if the scores of the subsamples within a country differed significantly. This test is a non-parametric alternative to the independent samples t-test and compares two categories of the nominal variable in relation to the ordinal variable (Field, 2013; Hartas, 2010). For example, the nominal variable 'Role' with the categories of 'HoD' and 'staff' was used for defining the groups to be compared. When interpreting the Mann-Whitney U test results, the following details were reported: the test statistic (U), the Z score (Z), and an exact value of the significance level (p) accompanied by the effect size estimate (r). The effect size was manually computed dividing Z by the square root of the overall sample size ($r = Z / \sqrt{N}$) (Fritz *et al.*, 2012). The magnitude of the effect was classified as small ($.1 \leq r < .3$), medium ($.3 < r <= .5$) or large ($r \geq .5$) based on Cohen's (1988) guidelines.

Bivariate Correlations

To explore the relationship between pairs of variables, Spearman rank-ordered correlation was adopted. This non-parametric statistical technique was chosen instead of the widely used Pearson product-moment correlation because the respondents' perceptions were measured at an ordinal level (Dixon & Woolner, 2012; Field, 2013). Selected demographic characteristics were correlated with the self/other-rated EI competencies and the association between the perceived EI and the IC variables was also examined. The relationships that were found statistically significant were reported and inferences were drawn. When giving the Spearman's correlation coefficient (r_s),

the strength of the association was observed indicating the direction of the relationship (positive or negative) and specifying its significance level. Ranging from 0 (no correlation) to 1 (perfect correlation), the coefficient value was interpreted as an indication of a relationship between two variables without assuming a causal influence (Cohen *et al.*, 2011).

3.3.8 Quality Criteria in Quantitative Research

Validity, reliability and objectivity in quantitative research are considered important indicators of the quality of measurement (Cohen *et al.*, 2011). This section discusses two major types of validity (internal and external) and comments on the reliability and objectivity of the survey questionnaire.

Internal validity is concerned with accuracy and appropriateness of the used measures (Basit, 2010). To ensure that the survey correctly measured the study phenomenon, I took the following steps: (a) developed the questionnaire from the existing research instruments in organisational behaviour research, (b) employed double translation procedures, and (c) pretested draft survey questions through cognitive interviews. However, as Brace (2013) notes, 'no matter how carefully the questionnaire writer constructs the questions, the data collected is only as accurate as the responses elicited' (p. 210). Respondents' may give inaccurate answers for various reasons some of which are conscious and others unconscious. For example, they may consciously overrate socially accepted attitudes and behaviours to create a positive self-image (Smith, 2004).

This response effect, known as social desirability bias, often occurs in self-report questionnaires and threatens the validity of data. One way of minimising it is assuring respondents that their identity will not be revealed. Since the survey promised

confidentiality and left it up to the respondent to provide their contact details, it was hoped to encourage more honest answers. In addition, two different sources of raters allowed comparing HoDs' and staff's perceptions and facilitated more accurate interpretation of the findings.

External validity refers to generalisability from a sample to a wider population (Cohen *et al.*, 2011). Considering the study used purposive sampling strategies (multi-stage purposeful, stratified purposeful, and homogenous), it did not claim sample representativeness. The goal was not to generalise findings to the entire academic community in each country. Rather, it was aimed to draw conclusions about emotionally intelligent leadership behaviour within the research context.

Reliability indicates how consistent a measurement is (Punch, 2009). Cognitive pretesting attempted to increase the reliability of the questionnaire by understanding reasoning behind survey responses. It pointed to possible roots of question problems and helped to develop more reliable measures. Exploring a range of interpretations led to changes in question wording to improve item clarity and comparability across different language versions.

Objectivity in quantitative research assumes the researcher's neutrality in the design of the study (Bryman, 2012). While the questions that shaped the research were influenced by subjective interests, the actual survey was attempted to be as free from personal biases as possible. Having eliminated different response effects, the questions did not lead the respondent towards selecting a particular answer. The adopted strategies for sampling, survey design and data analysis are reported transparently to determine objectivity of the findings.

3.4 Qualitative Phase

3.4.1 Overview of the Method: Semi-structured Interview

The survey questionnaire was supplemented by semi-structured individual interviews to enhance and explain the quantified meanings. This type of interview is commonly used in qualitative research since it combines predetermined questions with flexibility of probing further (Denscombe, 2014; Edwards & Holland, 2013; Perry & Nichols, 2015). Being midway between structured and unstructured interviews, it is partly led by the interviewer and partly by the interviewee. It employs an interview guide with a list of main questions, but the question order can be varied and responses can be followed up. The semi-structured format seemed suitable for the study as it offered some structure in terms of the points covered across interviews and provided enough flexibility for a conversational communication.

3.4.2 Interview Guide Development

The interview guide aimed to elicit emotional experiences of leadership through the eyes of HoDs and academic staff (see Appendix C, p. 232). Particularly, it was designed to explore a sense of interdependency, emotional understanding and support. The main questions and pre-scripted probes were ordered to flow from factual to intangible ones. More sensitive questions were asked towards the end hoping that a rapport would be developed and interviewees would be more likely to disclose personal information (Arksey & Knight, 1999). The guide was first developed in English and later translated into Georgian. It was tested in both languages with two participants in each country. Piloting helped to improve question phrasing and sequencing. Importantly, it revealed

how interviewees avoided answering sensitive questions. Bearing this in mind, I decided to incorporate a vignette within the interview guide.

Vignettes are hypothetical realistic scenarios presented as short stories (Jenkins *et al.*, 2010). Research participants are usually asked to discuss how vignette characters should or would behave in the context of the story. This technique is especially suitable for studying sensitive topics as the vignette places distance between the interviewee's personal experience and that of the story character (Bradbury-Jones *et al.*, 2014). The vignette also fits well into comparative research as participants' responses and reactions to the same imaginary story can be compared across different sample groups (Braun & Clarke, 2013). I administered the vignette in two stages, one at the beginning of the interview and the other towards the end. The first part was meant to stimulate a conversation serving as a form of ice-breaker whereas the second part helped to wrap up the participant's narrative (see Appendix C, p. 232).

3.4.3 Qualitative Data Collection

The interview sample was drawn out of the surveyed respondents who expressed interest in being interviewed. The Georgian sample (n = 18) was taken from two universities (public/private) sharing the same regional culture whereas the English one (n = 21) – from six universities (four pre-1992/two post-1992) in four geographically close regions. The participants were chosen by maximum variation sampling based on key socio-demographic variables. This sampling strategy aimed to capture diversity (Cohen *et al.*, 2011) and at the same time discover shared patterns across observed variations of the study phenomenon (Patton, 2015). A detailed profile of the interview sample is given in Appendix D (p. 236).

An interview of 30-40 minutes was requested, but the actual duration ranged from 20 to 60 minutes. Most interviews in both countries were conducted in the premises of academic departments as this was preferred by the interviewees. There was only one case in England when an academic was not in the country and offered to be interviewed via Skype. Permission was sought from the participants to audio record interviews. Although recording allowed to focus on active listening, the presence of the audio-recorder introduced some degree of formality into an otherwise relaxed conversation. In Georgia, before switching on the voice recorder as well as after turning it off, I was mostly addressed on a first-name basis. However, during the actual interview, the participants would use plural second person pronoun when interacting with me. What is more, on one occasion I was asked to pause the recorder. The participant did not feel at ease to express negative views about her workplace with the recorder on. Yet, she felt she had to share her true experience off the record.

In terms of my positioning as a doctoral researcher, I was 'researching up' – interviewing academics with more senior positions and status (Walford, 1994). While the participants were friendly both in Georgia and England, the emotions involved in fieldwork varied across the two cultural contexts. I felt confident and empowered in Georgia partly because I shared the same language and cultural background with the interviewees (apart from one). In addition, I had worked in the Georgian HE sector before and was familiar with the institutional culture of public and private universities. In this sense, I could be constructed as an 'insider'. On the other hand, I had lived and worked outside the country for several years and been exposed to different societal and organisational cultures. Thus, my position was both of the insider and outsider when approaching my home culture.

In England, although I was familiar with the English HE system and had a doctoral status in the UK, the participants' social identities were different from mine. This again balanced the emic and etic perspectives I adopted. As Irvine and colleagues (2008) argue, following 'a dual self-critical approach' may result in a more rigorous and objective study (Irvine *et al.*, 2008, p. 39). In terms of emotions in the participant/researcher relationship, here I was more aware of my junior position and felt it was harder to develop a personal rapport.

3.4.4 Qualitative Data Analysis

To make sense of the qualitative data, I adopted a six-phase approach to thematic analysis – 'a method for systematically identifying, organizing, and offering insight into patterns of meaning (themes) across a data set' (Braun & Clarke, 2012, p. 57). It involved the following steps: (1) familiarising with the data, (2) generating initial codes, (3) searching for themes, (4) reviewing potential themes, (5) defining and naming themes, and (6) producing the report. I used computer assisted qualitative data analysis software Nvivo 11 to help with interview transcription and analysis. Transcribing within Nvivo made it easy to get close to the raw data and get started with coding. I transcribed 37 out of 39 interviews verbatim. Two interviews, one in each language, were recorded in a relatively noisy environment and only gist transcription was possible. Overall, the transcribed interviews amounted to 281 single-spaced pages of Word document.

The decisions related to the level of verbatim transcription were informed by the intended mode of analysis. False starts, repetitions and filler words (e.g. well, you know, kind of) were included as they could give a hint about hesitations or emotions (Bazeley, 2007). Non-semantic sounds (e.g. um, er, uh) were normally edited out as such detailed

approach is more often used in conversational analysis and discursive psychology (Lyons & Coyle, 2007). However, some nonverbal features, such as pause, laughter, cough, sigh, sarcasm and emphasis, were kept since they could communicate additional implied information or entirely alter the meaning of the passage. Timed length of pauses, pace and intonation, on the other hand, were not recorded because these nuances were not necessary for the selected analytic method.

The question of whether to punctuate a transcript was another interpretive challenge. Poland (2002) argues against imposing the concept of a 'sentence' on speech as oral language is not as neat as a written one. Since punctuation signals where sentences begin and end, it could change the meaning of the text. Braun and Clarke (2013) also echo this argument and use hardly any punctuation in their orthographic transcription. However, I decided to punctuate the transcripts to a certain degree for two reasons.

First, I thought that verbatim written language without punctuation marks was more likely to be misinterpreted than a punctuated text. Since orthographic transcription does not include timed pauses and intonation, it is harder to understand the boundaries of a 'sentence'. In fact, it could lead to multiple interpretations of the passage whereas the researcher who is listening to the audio while transcribing has more non-verbal clues to interpret it correctly. Second, working with a transcript that uses no punctuation is harder to read and analyse. Therefore, it seemed practical to produce a more visually clear record of speech. In order to be consistent and thorough when turning spoken data into written text, I employed transcription conventions. I adapted my own concise notation system from Du Bois (1991) providing me with familiar and easy to use symbols (see Table 3.5).

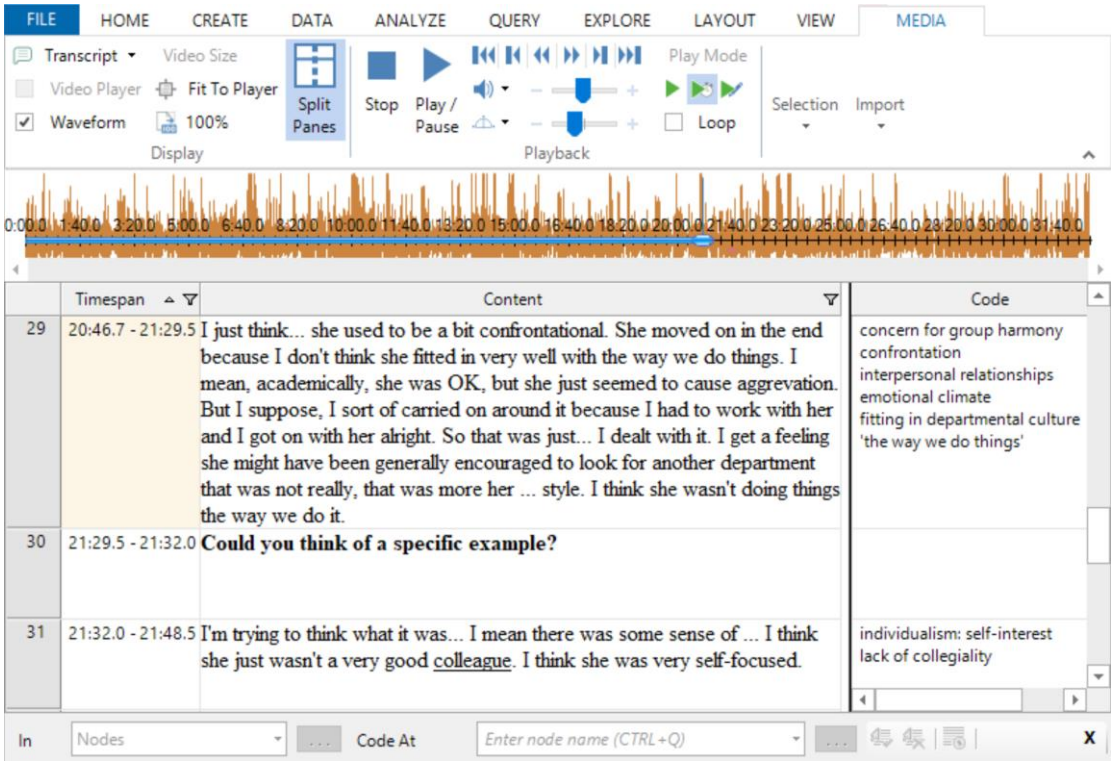
Table 3.5 Transcription conventions

Convention	Name	Use
.	Full stop	Transitional continuity: Final
,	Comma	Transitional continuity: Continuing
?	Question mark	Transitional continuity: Appeal
…	Three dots	Long pause (a few seconds or more)
_	Underscore	Strong emphasis (e.g. empathy)
-	Hyphen	Cut-off word (e.g. diff-)
‘ ’	Inverted commas	Reported speech (e.g. She is so much my senior, I can't say to her ‘actually, I don't want to hear all about your baby. I'm trying to do my work’.)
( )	Parentheses	Unclear, best guess (e.g. (crisp) air)
(( ))	Double parentheses	Researcher’s comments about paralinguistic features (e.g. ((laughs)), ((sarcasm)), ((lowers voice)), ((inaudible)) etc.)
[ ]	Square brackets	Replaced identifying information with a generic description (e.g. I got the job at [university]); added words for clarification
[…]	Three dots in square brackets	Omitted fragment

(Adapted from Du Bois, 1991)

I took notes during transcription, which helped to generate initial codes and facilitated next phase of analysis (see Figure 3.11). A code is defined as ‘a label for a feature of the data that is potentially relevant to the research question’ (Braun & Clarke, 2012, p. 61). I used a combination of inductive (data-driven) and deductive (theory-driven) approaches to data coding. In other words, I derived codes not only from the data, but also used the theoretical concepts, which informed the study, to interpret the participants’ experiences. When I started to refine the codes, I used the Nvivo feature of the synchronized audio to listen to the recordings as I read the transcribed text. Bazeley & Jackson (2013) point out the value of playing the audio recording while coding transcripts ‘to see or hear information that is unavailable, concealed, or unknowingly modified by the act of transcription’ (p. 155). The tone of the interview refamiliarised me with the raw data and helped to understand implied meanings that the transcript may have failed to capture.

Figure 3.11 Transcribing and initial coding within Nvivo



Following an iterative process of coding, I developed a codebook consisting of descriptive and interpretative codes. The codebook proved useful for defining code boundaries and analysing different datasets systematically. After that I set up *matrix coding queries* in Nvivo to examine relationships in the data. This provided a direct comparison of experiences grouped by the participants' selected attributes. I started looking for themes - 'patterns of description that repetitively recur as important aspects of a participant's description of his/her experience' (Thomas & Pollio, 2002, p. 37). Having identified commonalities across the coded data, I developed themes in relation to the research questions, which are discussed in Chapter 5.

When naming the themes, I used direct quotes that creatively captured identified patterns of meaning. According to Braun and Clarke (2013), this practice gives 'an immediate and vivid sense of what a theme is about, while staying close to participants' language and concepts' (p. 258). For example, I named one of the themes as *'Get on*

with it' to map the emotional challenges experienced by my participants. Following the guidelines for thematic analysis, I did not count code references in relation to identified patterns of meaning (e.g. 'Five staff members felt that …'). Braun and Clarke (2013) argue against reporting frequencies due to the interactive nature of qualitative data collection (p. 261). Since interviews unfold in response to participants' narratives, they cannot be identical in terms of the issues covered. For example, if a certain point is raised by seven out of 12 interviewees, one cannot assume that those five did not hold the same or opposite view. Therefore, it is recommended to explore the areas of similarity in the participants' accounts of a given topic without quantifying a pattern's occurrence.

Finally, in terms of handling and reporting bilingual data, I followed Bazeley's (2013) approach to analysing research findings in another language. She recommends transcribing and interpreting data in the original language to preserve its depth and richness. While I reported the final analysis in English, I included direct quotes in Georgian accompanied by translation. It was meant to retain the subtleties of the original meaning as well as to allow the reader (speaking both languages) to cross-check the accuracy of the translated interpretation.

3.4.5 Quality Criteria in Qualitative Research

The standards for assessing quality in qualitative research are broadly referred to as *trustworthiness* (Bryman, 2012; Toma, 2011). It comprises credibility, transferability, dependability and confirmability of the findings (Lincoln & Guba, 1985). These terms are parallel to the quantitative notions of internal validity, external validity, reliability and objectivity but differ in their criteria for determining rigour.

Credibility is the most important criterion of trustworthiness in qualitative enquiry. It implies truthfulness of the researcher's account of the participants' reality (Toma, 2011). Its degree is hard to establish as qualitative interviews rely on self-reported data – 'what people say they do, what they say they believe, what opinions they say they have' (Denscombe, 2014, p. 184). There is no absolute technique to verify the authenticity of the interviewee's experiences, feelings and perceptions. However, member checking and triangulation can be used to perform 'credibility check' (Bryman, 2012).

Member checking involves taking a draft of the analysis (*not* raw transcripts) to research participants and confirming with them the accuracy of interpretations (Creswell, 2014). However, it is argued that the researcher may look at people's experience from a different perspective and interpret some aspects of it in the manner that participants themselves may not consciously realise. Braun and Clarke (2013) note that 'the participants' approval cannot 'prove' or 'disprove' the analysis, because it is not intended as a reflection of their experience as they understand it' (p. 285). Therefore, member checking was not applied in the study to seek credibility. Instead, I triangulated two methods and data sources to compare multiple perspectives and 'explain more fully, the richness and complexity of human behaviour' (Cohen *et al.*, 2011, p. 195).

Transferability pertains to applicability of qualitative findings to other contexts or groups of people (Bryman, 2012; Marshall & Rossman, 2016). In contrast to external validity, it does not intend generalisation based on sample representativeness. Qualitative research involves an in-depth study of a small group of individuals and tends to be contextually unique. However, the researcher can enhance transferability of the findings by providing 'a thick description of the sending context so that someone in a potential receiving context may assess the similarity between them and […] the study'

(Lincoln & Guba, 1985, p. 126). Thus, it rests with the reader of the qualitative study rather than the researcher to decide whether the findings are relevant to a new setting. I attempted to give a detailed account of the study to allow the reader to draw conclusions about the transferability of the findings.

Dependability relates to the consistency and replicability of the findings. It differs from quantitative reliability in the sense that it does not claim or desire 'pure replication' (Toma, 2011, p. 273). Qualitative researchers focus on capturing the complexity of naturally occurring phenomena in a changing social world and the exact research conditions cannot be reproduced (Marshall & Rossman, 2016). Yet, I carefully documented the steps undertaken in the study and tried to maintain a degree of consistency in the interviews by presenting the same vignette to different sample subgroups.

Confirmability in qualitative research refers to freedom from the researcher's personal biases (Miles & Huberman, 1994). This is a challenging task because of the highly subjective nature of qualitative enquiry. As Clark and Sharf (2007) remind us, as qualitative researchers, 'we enter into any research project with our selves […] both with and in the fullness of our humanity' (p. 400). That is, our values and assumptions may influence how we study and interpret a social phenomenon. I attempted to reduce this bias by acknowledging my own positioning in relation to the research participants. In addition, I provided an 'audit trail' detailing strategies for sampling, instrument development, interviewing and data analysis.

3.5 Ethical Considerations

The study complied with the ethical guidelines developed by the British Educational Research Association (2011) and the Association of Internet Researchers (Markham & Buchanan, 2012). Voluntary consent was obtained at both stages of data collection. No deception was used to gather either survey or interview responses. I approached academic staff only after contacting HoDs and gaining their permission. The study participants' right to privacy was respected by giving them an opportunity to refrain from answering any question or to withdraw from the study at any point. Throughout the duration of the project, the raw data were held securely on a password-protected computer and processed as required by the Data Protection Act in the UK.

While it was easy to remove identifying information from the survey responses, the interviews with their personal stories raised concerns about anonymisation. Brown and Clarke (2013) suggest two approaches to anonymising transcripts: (a) removing potentially identifying information and substituting it for generic description in square brackets, or (b) replacing personal details with equivalent information. When quoting part of a transcript in the thesis, I decided to use the first method as it marks which part of the transcript has been removed for anonymity and remains more faithful to the original data. In view of this, names of cities, universities, people or subject areas were replaced with general descriptions and put in square brackets. When attributing quotations to specific interviewees, I used analytical categories such as HoD/staff with superscripts not to compromise the anonymity of individuals (see section 4.2, p. 80 for detailed reporting conventions).

The interviewees were asked if they wished to be sent interview transcripts back for approval. Only three staff members requested it in England and were happy with the

accuracy of the anonymised interview record. As for the Georgian participants, none asked for a copy of the transcript emphasising that they trusted me. When assured confidentiality, some would note that they were not worried about it and I could even mention their names if I wished. They tried to communicate that they had nothing to hide or were not afraid of speaking their mind. The concept of confidentiality seemed to be differently interpreted in the Georgian context, which is reflected in my fieldwork notes below.

There were several cases when an interview was interrupted by another staff member entering the interview space. First, I would pause the recorder expecting the interviewee to explain to their colleague that the interview was confidential. However, the interviewee seemed reluctant to do so and the newcomer showed interest to listen. Supposedly, from the interviewee's perspective, it was an attempt not to show a lack of respect or trust to the colleague or give an impression that we were discussing something, which we preferred not to be listened to. From the colleague's perspective, they were not intruding, especially if the office was a shared one. Yet, I had an ethical obligation to ensure the research participant's privacy. Moreover, I was collecting sensitive data and another person's presence could have influenced the interviewee's answers.

It was an ethically challenging situation leaving me with the following options: (a) resume the interview in others' presence, which would violate the participants' right to privacy and confidentiality, (b) ask the 'intruder' to leave the interview venue, which I did not have the authority to do, (c) suggest that both me and the interviewee moved to another room, which could be logistically problematic, and (d) arrange another time to continue the interview, which would cause inconvenience and affect the flow of the

conversation. In the end, I decided to refer to the ethical guidelines as an ‘excuse’ and requested politely that the newcomer left the office if it was possible. Had the scenario occurred in England, I probably would not have acted this way considering different power dynamics in place. I felt more empowered in Georgia because in my home culture I was positioned as a young researcher representing a reputable UK university and could, therefore, act more assertively.

3.6 Summary

The study used a sequential mixed methods design combining an online survey questionnaire with semi-structured interviews. Sufficient time was devoted to the development and piloting of the research instruments to achieve cross-cultural comparability. I used an unconventional survey pretesting method – cognitive interviewing, which helped to minimise measurement error and increase the quality of self-report data. Another novelty in the research methodology was developing a vignette-based interview guide. The hypothetical scenario presented as a short story allowed to gain insight into the participants’ beliefs and offered creative ways of engaging with sensitive data. Overall, the chosen study design led to the collection of rich and varied findings, which are analysed in the next chapter.

CHAPTER 4: FINDINGS

'I never guess. It is a capital mistake to theorise before one has data.'

Arthur Conan Doyle

4.1 Introduction

The chapter takes a weaving narrative approach to present the findings from the quantitative and qualitative phases of the study. I begin with explaining the reporting conventions and move on to describing the sample characteristics. The results are analysed in relation to the research questions integrating the survey and interview data. The analysis is carried out at two levels, across the subgroups of HoDs and academic staff within a single country and then across the two countries. A summary of the main findings completes the chapter.

4.2 Reporting Conventions

To ensure consistency and clarity when reporting on the findings, the following conventions are used throughout the chapter:

Terminology. The terms 'Georgian sample' and 'English sample' refer to the groups in respective countries rather than to the ethnic origin of sample members. The terms 'subsample' and 'subgroup' are used interchangeably and indicate a specific segment of the sample of a given country such as HoDs and academic staff.

Percentages and quantifiers. Contingency tables (crosstabulations), which summarise the survey data, give actual counts together with overall and row-percentaged totals to allow a fair comparison between uneven subsample sizes. The percentages in the charts are rounded to the nearest unit and therefore, may not add up exactly to 100%. When interpreting the quantitative findings, the data from more than one category are often

combined to show an overall picture. For example, the categories of disagreement (‘strongly disagree’, ‘disagree’) and agreement (‘agree’, ‘strongly agree’) are added up when the aim is to highlight a marked trend in the responses. When quantifiers are used, they imply a defined range of the survey sample percentage shown in Table 4.1. However, when summarising the interview data, I avoid quantifying language since using frequencies is discouraged in thematic analysis (see section 3.4.4, p. 70).

Table 4.1 Conventions for using quantifiers

Quantifier	% of sample
A few, some, several	Under 10%
Less than a quarter	11-20%
About a quarter	21-30%
About a third	31-35%
Over a third	36-44%
Around half	45-55%
About two-thirds	56-70%
About three-quarters	71-80%
Most, majority	81-94%
Nearly all	95-99%

Colour codes. All the charts reporting the quantitative findings are colour coded. The colour blue is used for the Georgian sample while red refers to the English one. When sample subgroups are compared within a single country, distinct shades of the same colour are used for differentiation. For example, dark blue stands for HoDs in Georgia whereas light blue indicates staff members in Georgia. Respectively, dark/light red shades are used for distinguishing the subgroups in England (for example, see Figure 4.3, p. 89). The interview findings are also organised by colour coded icons to visually indicate which country sample the data belong to. The symbolic icons mirror the chart colour conventions explained above (i.e. - Georgian sample, - English sample).

Interviewee IDs. To protect the identity of the interview participants, they are given IDs with superscripts (denoting an analytical category, a country and an assigned number). For example, HoD^{En1}/HoD^{Ge1} stands for a department head in England/Georgia coded as No. 1. Respectively, academic staff members are referred to as Staff ^{En1}/Staff ^{Ge1}. In this way, direct and indirect quotations can be linked to the interviewees' key demographic details provided in Appendix D (p. 236).

Direct quotations. Direct quotations are italicised for easier identification. They follow the adopted transcription conventions discussed in Chapter 3 (see Table 3.5, p. 72). When selected parts of a quotation are not embedded within my own narrative, they are given as block text irrespective of their length. All stand-alone quotes are numbered throughout the chapter to simplify their cross-referencing against other parts of the thesis. For the sake of better readability, false sentence starts, repeated words and overused fillers are omitted unless they add an extra layer of meaning to the quoted phrase or passage.

Structure and subheadings. When summarising the findings, I use theoretical concepts from the reviewed literature as section subheadings (e.g. self-awareness, social awareness). Here they serve as descriptive names for reporting different segments of the data and should not be confused with themes. I move beyond the content and develop analytic themes in the Discussion chapter.

4.3 Sample Demographics

Since the study followed an explanatory sequential design, it used a nested sample. That is, the interview participants were drawn from the surveyed respondents to help explain the quantitative data. Therefore, sample sizes were different for the first and second

phases which is common in sequential mixed methods designs (Creswell & Plano Clark, 2011). The following sections summarise the characteristics of both samples across the two countries. When comparing the group profiles, eight demographic variables are considered: institution type, academic discipline, ethnicity, gender, age group, academic qualification, HoD's years in post, academic staff's length of service and department size.

4.3.1 Survey Sample Characteristics

Response Rate

Overall, 296 individuals including HoDs and academic staff responded to the online survey. Table 4.2 shows that completion rates were considerably higher than response rates across the sample groups. The completion rate was based on the number of people who clicked on the emailed link and started the survey (i.e. click-through rate). The average completion rate of over 80% in each country suggests that the respondents who did start the survey, seemed to engage with it. As for the response rate, it was calculated dividing the number of submitted questionnaires by the total number of the survey invitations sent. The average response rate of 22% is an approximation as it includes the emails which could not be delivered or were not opened, thus, reducing the percentage of the overall response.

Table 4.2 Overall survey response breakdown

Country		Email invitations	Response count	Response rate	Completion rate
Georgia	HoD	115	38	33%	82%
	Staff	393	81	21%	80%
England	HoD	166	40	24%	85%
	Staff	681	137	20%	84%
Total		1355	296	22%	83%

As noted in Chapter 3, many staff members in Georgia did not appear to use institutional email addresses regularly. The list of academic staff's personal emails that I managed to obtain from several departments were not up-to-date. Hence a large number of invitations were returned as undeliverable by respective mail servers. While the emails sent to the English respondents hardly bounced back, the Surveygizmo delivery report showed a low click-through rate. This may be partly attributed to a growing use of online surveys potentially leading to 'survey fatigue' and lower participation (Dillman *et al.*, 2014; Porter *et al.*, 2004). On the whole, the given response rate was consistent with the recent literature on online response rates declining to 10-25% (Sauermann & Roach, 2013).

Institution Type

The proportion of the academic staff from public and private universities in Georgia was comparable, but in the case of HoDs, public universities were overrepresented (see Table 4.3). In England, both HoD/staff subgroups of pre- and post-1992 universities ended up unequal in size. Most responses came from pre-1992 institutions. This can be explained by the fact that 14 HoDs in 'old' universities involved their departments in the study whereas only three HoDs in 'new' universities were happy if their staff were contacted (see Table 3.4, p. 62).

Table 4.3 Response breakdown by institution type

Country				Role		Total
				HoD	**Staff**	
Georgia	University	**Public**	Count	26	42	68
			% within Country	21.8%	35.3%	**57.1%**
		Private	Count	12	39	51
			% within Country	10.1%	32.8%	**42.9%**
	Total		Count	38	81	119
			% within Country	31.9%	68.1%	100.0%
England	University	**Pre-1992**	Count	25	120	145
			% within Country	14.1%	67.8%	**81.9%**
		Post-1992	Count	15	17	32
			% within Country	8.5%	9.6%	**18.1%**
	Total		Count	40	137	177
			% within Country	22.6%	77.4%	100.0%

Discipline

The largest number of respondents were in the disciplines of the Arts in Georgia and Science in England as Table 4.4 demonstrates. It may be due to the observed size differences of respective departments in the two academia. The Science disciplines are attracting few students in Georgia since they seem to have a less earning potential in the country. In 2008, they accommodated only 9% of student enrolments (Gvaramadze, 2010). Accordingly, their departments are much smaller. In contrast, the Science disciplines are expanding in England while Arts and Social Sciences, not seen as 'profitable', are shrinking (Docherty, 2011; HEFCE, 2014).

Table 4.4 Response breakdown by discipline

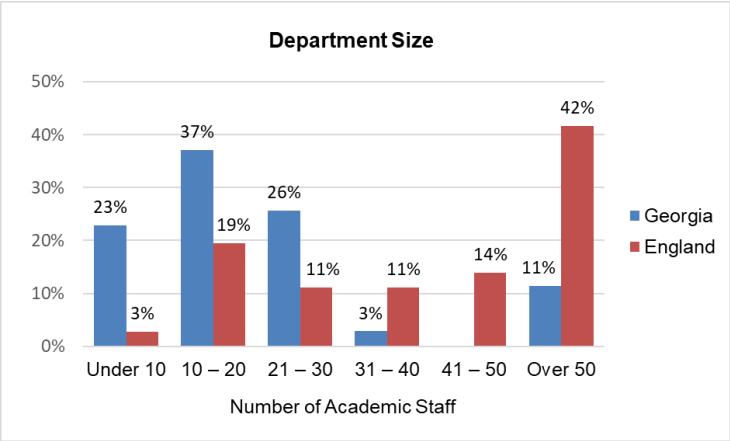
Country		Discipline*				Total
		Arts	**Social Sciences**	**Science**	**Medicine**	
Georgia	Count	**63**	27	22	7	119
	% within Country	**52.9%**	22.7%	18.5%	5.9%	100.0%
England	Count	30	52	**74**	21	177
	% within Country	16.9%	29.4%	**41.8%**	11.9%	100.0%
Total	Count	93	79	96	28	296
	% within Country	31.4%	26.7%	32.4%	9.5%	100.0%

*Classification is based on the division of subjects into faculties at the University of Warwick.

Department Size

The number of academic staff in the participating departments is shown in Figure 4.1. The modal score of the Georgian sample was 10-20 academic staff members per department. In comparison, the score was much higher for England with the department size of over 50 academic staff being the modal category.

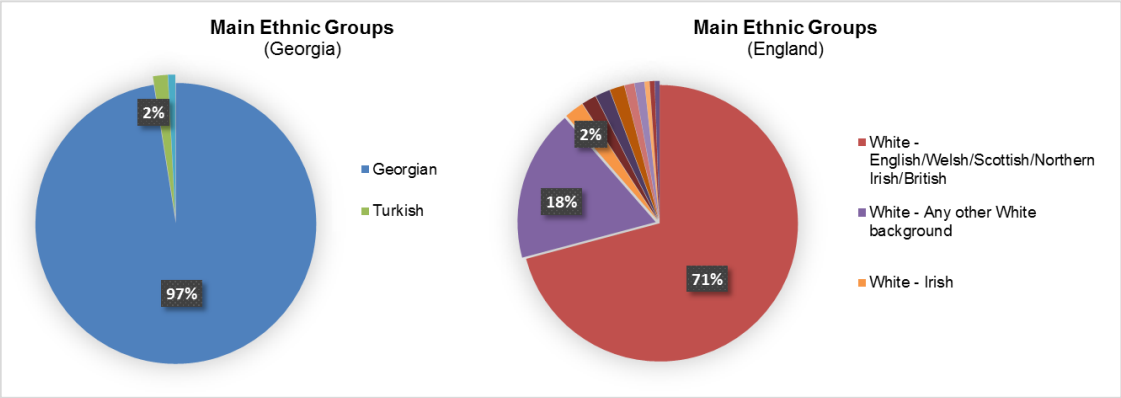
Figure 4.1 Size of participating departments



Ethnicity

Nearly all respondents in Georgia identified themselves as ethnically Georgian whereas in England the predominant ethnic group was reported as White British (see Figure 4.2). Yet, the overall ethnic breakdown of the English sample was more diverse with 9% belonging to Black and Minority Ethnic groups. This was consistent with the 2014/15 ethnicity profile of academic staff in England (HEFCE, 2016b). Official statistical data about the ethnic make-up of academics in Georgian universities were not available. However, the results of 2014 General Population Census in Georgia could give an indication of approximate figures. According to the census, ethnic Georgians constitute 86.8% of the entire population of the country (NSOG, 2016).

Figure 4.2 Respondents' main ethnic groups



Gender

The overall gender composition of the Georgian sample was unbalanced with twice as many female academic staff than male (see Table 4.5). This breakdown differed from the official HE statistics which indicated that female academics made up half of the academic workforce (WorldBank, 2014). In the English sample, men far exceeded women in both HoD/staff categories. When the total male to female ratio was compared with the HEFCE statistical data for the 2014/15 academic year, the gap was not as large (HEFCE, 2016a). About 43% of the academics were reported to be female in English HEIs, but the female proportion decreased to 36% in the leadership category.

Table 4.5 Response breakdown by gender

Country				Gender		
				Male	**Female**	Total
Georgia	Role	**HoD**	Count	19	19	38
			% within Role	50.0%	50.0%	100.0%
		Staff	Count	20	61	81
			% within Role	24.7%	75.3%	100.0%
	Total		Count	39	80	119
			% within Role	**32.8%**	**67.2%**	100.0%
England	Role	**HoD**	Count	29	11	40
			% within Role	72.5%	27.5%	100.0%
		Staff	Count	84	53	137
			% within Role	61.3%	38.7%	100.0%
	Total		Count	113	64	177
			% within Role	**63.8%**	**36.2%**	100.0%

The cause of women's overrepresentation in the study sample in Georgia could be explained by a large proportion of respondents being from the Arts and Social Sciences whereas women's underrepresentation in the English sample can be partly attributed to a larger number of respondents from the Science disciplines. One of the participating science departments was an extreme example of the male overrepresentation as an interviewed respondent explains:

1. *At the moment one thing that does concern me is that gender balance is terrible. It's all 100% male at the moment. Because in the past it's been about 50/50. But just the way things have worked out, it's 100% male [...] It's troublesome.*

Staff[En11]

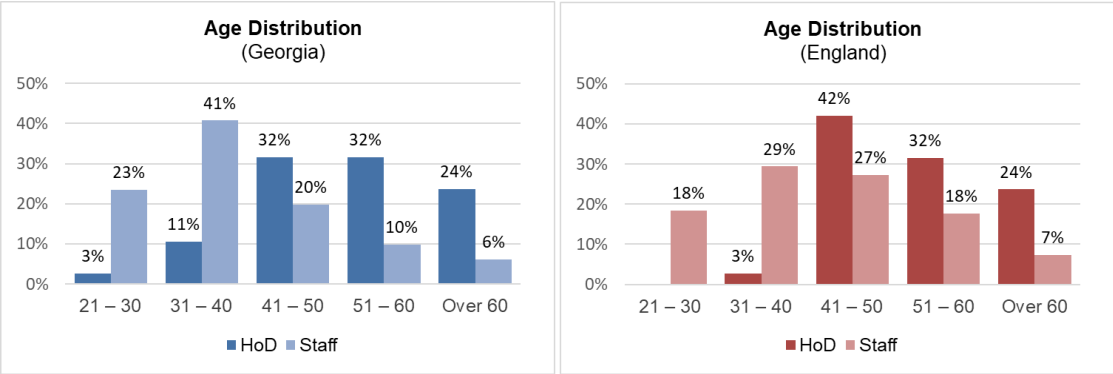
The HEFCE (2015) gender profile breakdown by academic subjects also illustrates that male academics heavily outnumber female colleagues (by about three to one) in science, engineering and technology (SET) departments.

Age Group

Most HoDs in both countries were over the age of 40 with about a quarter being over 60 years old. The academic staff were relatively younger compared to HoDs, their

modal score falling into the '31-40' age category. Figure 4.3 displays a skewed distribution of age groups across the HoD/staff subsamples. The discrepancy in age could be related to seniority playing a role in the selection and appointment criteria of HoDs. Notably, the age profile of the total English sample was roughly similar to the one provided by the HEFCE (2016a). The statistical data detailing the proportions of age groups in the Georgian academic staff were not available for making a comparison.

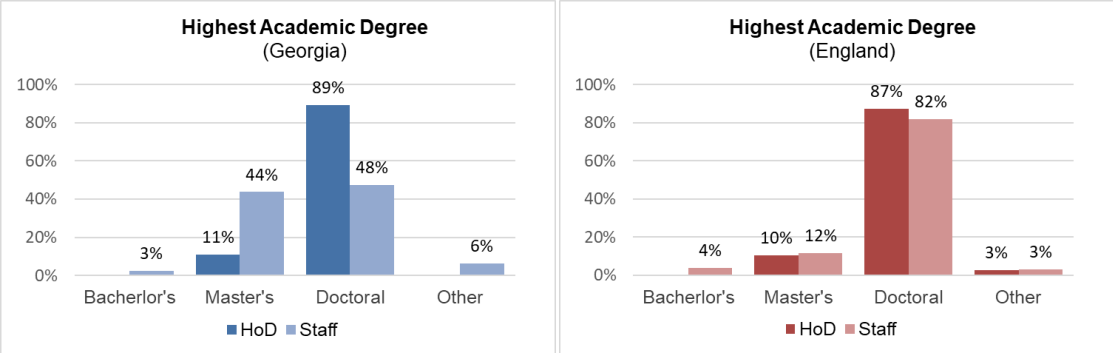
Figure 4.3 Respondents' age distribution



Academic Qualifications

Most HoDs in Georgia and England had earned a doctoral degree. However, the picture was different when comparing the academic staff subgroups across the countries. Almost half of the Georgian staff had a Master's level degree as their highest academic qualification. The majority of the English staff, though, held a PhD degree, thereby showing little difference between HoD and staff qualifications. The distribution of the sample by highest academic degree level is shown in Figure 4.4.

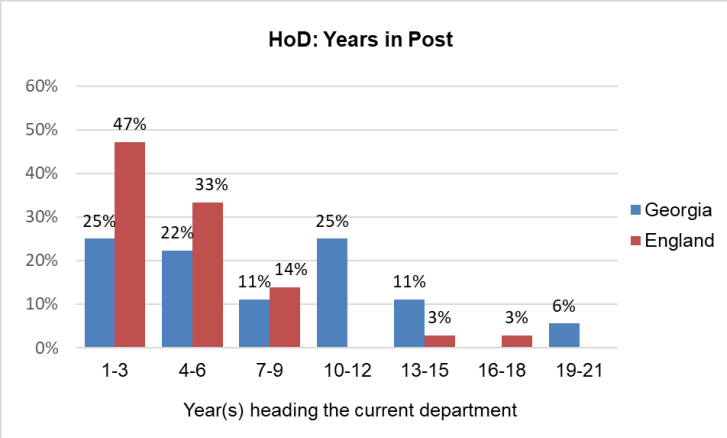
Figure 4.4 Respondents' highest academic degree



HoD's Years in Post

The HoDs' years in post varied in the two countries (see Figure 4.5). Over a third of the Georgian HoDs had been heading their departments for 10 years or longer. However, most department heads in England had served for less than 10 years with almost half being in their first three years of headship. This distribution in the sample is likely due to the fact that about a third of the Georgian HoDs came from private universities where open-ended/permanent appointments are common. As for England, more department heads responded from pre-1992 universities, where the HoD role is typically fixed-term.

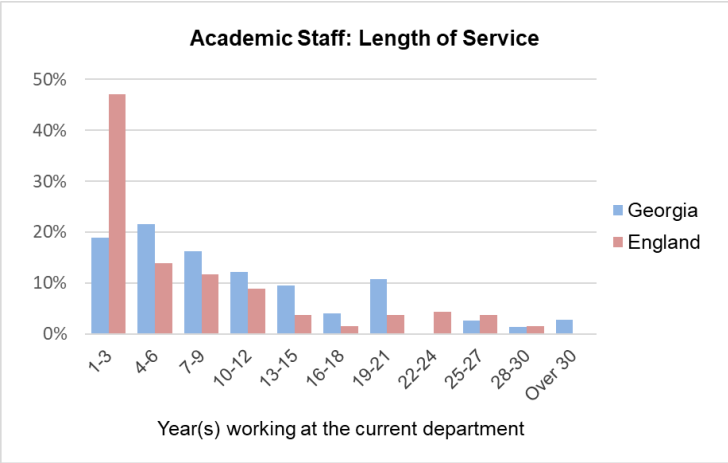
Figure 4.5 HoDs' years in post



Academic Staff's Length of Service

Another difference between the country samples was observed when comparing academic staff's length of service in their current departments. While the Georgian staff's career spanned more evenly over two decades, the English staff in their first three years of employment accounted for around half of the subgroup (see Figure 4.6).

Figure 4.6 Academic staff's length of service



The HE statistical data about the staff breakdown by academic contracts in Georgia could not be obtained, but some trends can be observed in the British academia. According to the recent staff report by the Equality Challenge Unit (ECU, 2015), about 36% of the academic workforce at the UK HEIs had a fixed-term contract and around 17% left work at their institutions between 2012/13 and 2013/14 (the percentage may be slightly different for England). Neither of these figures look disturbingly large at first glance. However, it should be noted that the Higher Education Statistics Agency (HESA) excluded the so-called 'atypical' academic staff (employed on variable hours and zero hours contracts) which added up to 60, 515 employees at English HEIs in 2013/14 (HESA, 2015). If this segment of staff was considered, the actual proportion of temporary employment and 'leavers' would be higher. This could explain the fact

that the most common category of employment length for the English staff subgroup in the current study was one to three years.

Typical Respondent's Profile

Having reviewed the sample demographics, the profile of a 'typical' respondent was developed based on the modal scores (most common responses) in each sample subgroup in Georgia and England.

Table 4.6 Typical respondent's profile

Country		University	Discipline	Ethnicity	Gender	Age Group	Highest Academic Qualification	Year(s) as HoD/Staff in Current Dep.	No. of Academic Staff in Current Dep.
Georgia	HoD	Public	Social Sciences	Georgian	Male/ Female	41-60	PhD	1-3/ 10-12	10-20
	Staff	Public	Arts	Georgian	Female	31-40	PhD	4-6	10-20
England	HoD	Pre-92	Science	White British	Male	41-50	PhD	1-3	Over 50
	Staff	Pre-92	Science	White British	Male	31-40	PhD	1-3	Over 50

Table 4.6 portrays that typical respondents worked at more research oriented HEIs in both countries. Their most common disciplines were Arts or Social Sciences in Georgia as opposed to Science in England. They belonged to the main ethnic groups in the respective countries. While the typical HoD in Georgia could be of either gender, the Georgian staff member was more likely to be a woman. However, the English sample was predominantly male. The HoDs were usually older than academic staff in both countries, but the highest academic degree was the same across the subgroups. There was an interesting divergence between the countries in terms of the respondents' length of service and department size. The Georgian respondents had served longer in their roles and worked in smaller departments compared to their English counterparts.

4.3.2 Interview Sample Characteristics

As the qualitative phase of the sequential mixed methods study was explanatory, maximum variation sampling was adopted to ensure the interviews captured multiple perspectives. I purposefully selected surveyed respondents with different demographic characteristics and a mix of self-reported ratings regarding the effectiveness of their working relationship with HoD/academic staff. In total, 39 indivudual semi-structured interviews were conducted, 18 in Georgia and 21 in England. Below I briefly overview the participants' demographic background comparing the sample groups in the two countries. A detailed profile of the interview sample is provided in Appendix D (p. 236).

The ability to recruit participants who differed on the key demographic variables was limited to the respondents willing to be contacted for follow-up interviews. The final interview sample was biased by the institution type as it included 11 participants from public and seven from private universities in Georgia. As for the English sample, it largely overrepresented pre-1992 universities with 18 interviewees being from 'old' and three from 'new' universities. This roughly corresponded to the institution mix among the English survey respondents (see Table 4.3, p. 85).

There was also bias towards the Arts disciplines in Georgia, but the English sample had a more equal spread of subjects. Similar to the typical respondent's profile, the largest number of the Georgian interviewees worked in departments that had between 10 and 20 academic staff while the English participants' departments were commonly comprised of over 50 individuals.

All the interviewees in Georgia were ethnically Georgian apart from one participant. Fourteen interviewees in the English sample were White British, six of other white

background origin and one of Asian/Asian British-Indian origin. In terms of gender distribution, the sample was relatively homogeneous with 10 female and eight male participants in Georgia and nine female and 12 male participants in England. All the defined age groups were represented in both country samples, with HoDs being typically older compared to the academic staff.

About two-thirds of the Georgian interviewees and the majority of the English ones were PhD degree holders. The Georgian HoDs' years in post ranged from three to 20 years while the English HoDs had served a shorter term – from one to six years. The academic staff's length of service varied widely spanning up to 33 years in Georgia and 29 years in England. Finally, although the given sample cannot be regarded as representative of the HEIs in either country, it clearly reflected a range of diverse experiences of the surveyed research population.

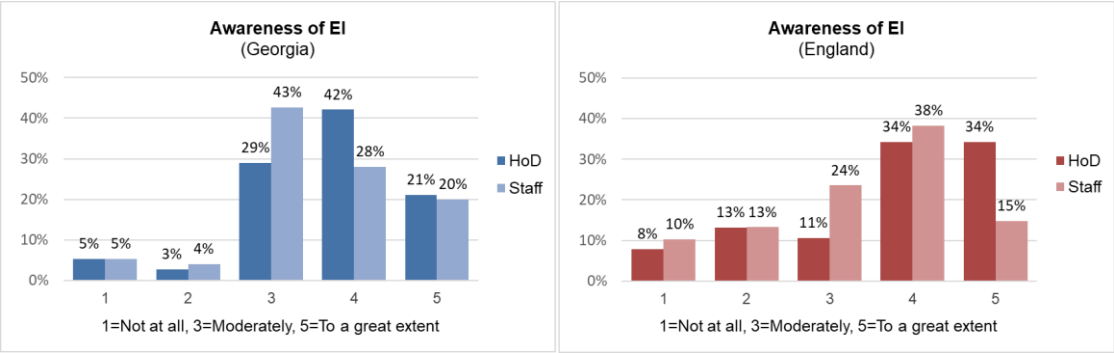
4.4 RQ #1: Emotional Experience of Leadership

- *How do HoDs and academic staff perceive and experience EI in departmental leadership?*

The first research question aimed to examine the HoDs' EI competencies from the perspectives of HoDs and academic staff at Georgian and English universities. It also intended to look into the relationship between the HoDs' key demographic characteristics and self/other-rated EI competencies. To start with, I gathered numerical and textual survey data on the respondents' general awareness of the concept of EI. Figure 4.7 shows the distribution of scores on a scale of 1 ('not at all') to 5 ('to a great extent') assessing the respondents' understanding of the concept. The majority of the Georgian HoDs and academic staff indicated a moderate or higher familiarity with EI.

In comparison, the English subgroups gave lower ratings with about a quarter of the respondents reporting no or little familiarity with the concept.

Figure 4.7 Awareness of EI: Comparison of ratings across subgroups



As for the open-ended responses to this questionnaire item, several comments from both Georgian and English sample groups reflected an instinctive understanding of the EI definition. Some noted that they had heard of EI in the press and agreed it was largely about 'people skills' – how one engaged with people on a basic level and cared about others' feelings and needs. However, a few respondents showed confusion over the concept as an English staff member's comment demonstrates: *'I'm not sure the term quite works for me. Perhaps because I see the distinction between emotion and intelligence as something of a false binary.'* I felt that the lack of conceptual awareness could lead to misunderstanding during the follow-up interviews. Therefore, I decided against using the term EI when designing the interview guide. Instead, the interview questions and the vignette story targeted specific EI competencies inherent in departmental leadership (see Appendix C p. 232).

The survey contained 12 self/other-rated Likert scale items spread across the four EI clusters: self-awareness, self-management, social awareness and relationship management. Each item corresponded to a single EI competency and was measured on

a 5-point agreement scale: ‘strongly disagree’ (SD), ‘disagree’ (D), ‘neither agree nor disagree’ (N), ‘agree’ (A), ‘strongly agree’ (SA). An additional response category of ‘not sure/difficult to answer’ was offered to academic staff members in case they were relatively unfamiliar with their HoD’s performance. It was coded as a missing value and was excluded from the analysis. However, it was deemed important to examine any noticeable trends in non-attitude reporting. The proportion of the Georgian staff who opted for this option appeared lower compared to the English one. Non-substantive answers were under 10% in Georgia for any EI competency while they exceeded 10% for six of the EI scale items in England. The items with the highest percentage of no-opinion responses in the English staff’s survey were: emotional self-awareness (29.8%), emotional self-control (19.5%) and conflict management (16.9%). The sections below review the quantitative results followed by the insights gained from the interviews.

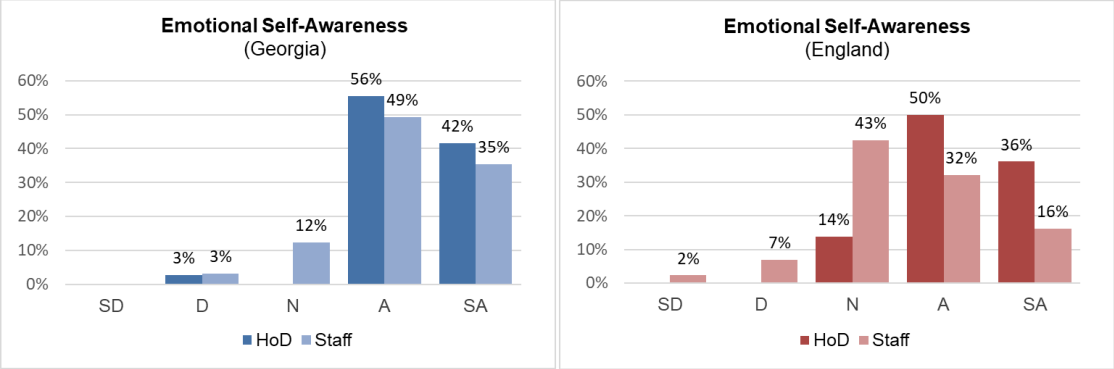
4.4.1 Self-Awareness

Emotional Self-Awareness

Survey. Emotional self-awareness addressed the HoD’s ability to recognise the impact of their own emotions on their leadership performance. Figure 4.8 gives descriptive data on this competency as rated by the HoDs and staff across the two countries. Nearly all HoDs in Georgia reported that they were aware of how their emotions affected their actions. Similarly, most Georgian staff positively rated their HoDs’ emotional self-awareness. The difference between the subgroups’ ratings was not statistically significant. As for the English sample, the HoDs and staff seemed to agree less on this point. The Mann-Whitney U test revealed a significant difference in the ratings of the English subgroups ($U = 897.5$, $Z = -3.923$, $p < .001$ (2-tailed), $r = -.35$, medium effect). While the majority of the HoDs reported that they felt in tune with their feelings, it did

not seem so obvious for their staff. Over a third of the English academic staff chose the central neutral category on the agreement scale.

Figure 4.8 Emotional self-awareness: Comparison of ratings across subgroups



Interviews. The interviewed HoDs in Georgia displayed different degrees of self-awareness as they described tackling leadership challenges. Some did not reflect on the underlying motives of their behaviour which made it difficult to discern how conscious they were of their feelings. However, others did engage in introspection identifying their strengths and limits. For example, HoD[Ge4] acknowledged that her weakness as a leader was lack of courage. Yet, she was willing to step out of her comfort zone and cultivate this skill to improve her leadership.

2. *Apart from loving your job and having the knowledge, you need many other qualities. You need to have a bit more courage probably, something I lack. […] From the day I agreed [to lead], I basically went against myself to some extent. I try to be more courageous, more assertive…*

   გარდა საქმის სიყვარულისა და ცოდნისა, ბევრი სხვა თვისებაც უნდა გქონდეს. უფრო სითამამეც უნდა გქონდეს ალბათ მეტი და მე ეს ნაკლებად მაქვს. […] იმ დღიდან, რაც დავთანხმდი [ხელმძღვანელობაზე], მე ფაქტობრივად, წავედი საკუთარი თავის წინააღმდეგ რაღაც ნაწილში. მე ვცდილობ, რომ ვიყო უფრო გაბედული, ვიყო უფრო მეტად თამამი…

   HoD[Ge4]

The Georgian academic staff were not explicit about their HoD's capacity for emotional self-awareness. They found it hard to determine the internal processes driving the

leader's actions. However, this lack of familiarity with the HoD's emotional experiences was not reflected in the Georgian staff's survey responses which were overwhelmingly positive.

The English HoDs were mostly able to take a step back and recognise how emotions affected them as well as others. They demonstrated being self-aware by analysing the struggles they had faced and discussing what they would do differently now. It was also pointed out that having a mentor helped them learn about themselves and served as a way to process their own thoughts and feelings. The quote below illustrates the HoD's ability to see the link between their emotional state and the work environment.

3. *It was a difficult situation that was really winding me up and I wasn't able to hide that very well and people, you could almost feel the atmosphere at the department dropping a bit and I had to resolve it [...] but we got through it and the mood lifted again. Scary to say because it's such a big impact, but also good to see you can turn it right.*

HoD[En3]

The English staff largely refrained from commenting on the HoD's degree of self-awareness. Particularly, part-time and research staff were unable to observe these subtle cues due to having a distant relationship with their department heads. This may explain a high percentage of neutral answers (43%) to the survey and a statistically significant difference between the English subgroups' responses regarding this competency.

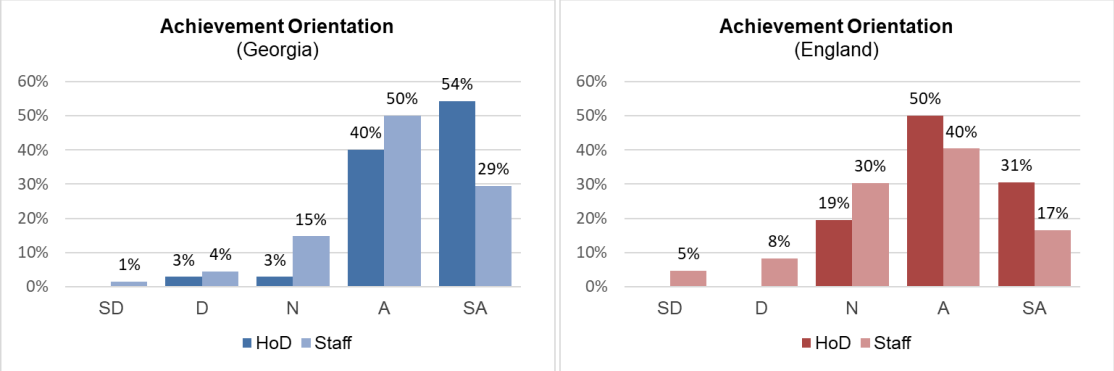
4.4.2 Self-Management

Achievement Orientation

Survey. Achievement orientation dealt with the HoD's drive to improve their leadership and strive for excellence. Most Georgian HoDs felt that they sought new ways to lead

more effectively. About three-quarters of the Georgian staff confirmed that their department heads were achievement oriented. The Mann-Whitney U test showed the difference between these two ratings to be statistically significant (U = 832.5, Z = -2.711, p < .007 (2-tailed), r = -.27, small effect). The picture was similar in the English case with the majority of the HoDs perceiving themselves as motivated to excel and about two-thirds of the staff affirming it. The difference in the views of the English subgroups was also found significant (U = 1368.500, Z = -2.875, p < .004 (2-tailed), r = -.24, small effect). Figure 4.9 compares the ratings of different subgroups assessing the given competency.

Figure 4.9 Achievement orientation: Comparison of ratings across subgroups



Interviews. The Georgian HoDs differed in terms of achievement-oriented thinking. Some aimed high and worked towards maintaining high standards. Recognising their weaknesses, they tried to learn from their mistakes and sought to develop their leadership skills (see quote 2, p. 97). However, there were cases when the HoDs did not appear to have long-term objectives and felt reluctant to continue running the department. They gave different reasons for their lack of motivation to lead. HoD[Ge2] complained about a low salary, which did not match the job workload.

4. *It is a huge discipline, so many students… the demand is high, the responsibilities are heavy and the remuneration is miserable.*

   უზარმაზარი სპეციალობაა, ამდენი სტუდენტი, ამდენი თეორია, პრაქტიკა… მოთხოვნა ბევრია, პასუხისმგებლობა დიდი და მოყვარულის დონეზეც კი არ არის ანაზღაურება.

HoD[Ge2]

HoD[Ge5] acknowledged he had a wealth of experience, but if he did not give this learning opportunity to others, younger colleagues would not be able to grow.

5. *There should be a generation change. There should be some limit, say, 10-12 years, say after 8 years, another person should take over.*

   უნდა ხდებოდეს თაობათა ცვლილება. რაღაც ზღვარი უნდა იყოს, ვთქვათ 10-12 წელი, ვთქვათ 8 წლის მერე, ახალი მოვიდეს.

HoD[Ge5]

HoD[Ge6] emphasised the need for 'new blood' in leadership arguing that younger leaders would bring more energy, enthusiasm and change.

6. *Because of my age, soon I want to hand this role over to someone younger, more energetic, you know…*

   მინდა, რომ მალე ჩემი ასაკის გამო გადავაბარო ჩემი თანამდებობა უფრო ახალგაზრდას, უფრო ენერგიულს, რა ვიცი...

HoD[Ge6]

The academic staff in Georgia were fairly convinced that their HoDs did what they could to benefit the department. Yet, it was acknowledged that meeting a standard of excellence was difficult when working with demotivated academic personnel burdened with social and economic problems.

The English HoDs' achievement drive also varied. Some seemed passionate about their roles and were committed to continuous learning. For example, HoD[En3] was serving his second term and wished to go for the third one if there was an opportunity. He felt he was still growing as a leader discovering new things about himself and the

art of dealing with other people. Similarly, HoD^{En2} reflected on her growth commenting that she was getting better at handling a constant flow of work.

7. *I tried to think what I could reasonably and legitimately delegate to people. So I thought I've got to become a super delegator.*

HoD^{En2}

In contrast, HoD^{En4} admitted he looked forward to the end of his term and HoD^{En1} echoed his colleague's frustration saying he was *'damned to do it'*. The interviewed academic staff typically doubted their heads were internally driven. They thought that HoDs viewed their role as a chore that they were obliged to take on periodically. Few heads were reported to fulfil this obligation doing their best while more were observed doing as little as possible.

8. *In [department], the head very much saw it as... 'well, you are stuck with me for the next few years, but don't expect me to do anything.'*

Staff^{En1}

9. *Most of the heads of department I talk to now, who have just finished or are fin- say how glad they are to be rid of it. It's a chore, it's a task, it's not an honour any more.*

Staff^{En6}

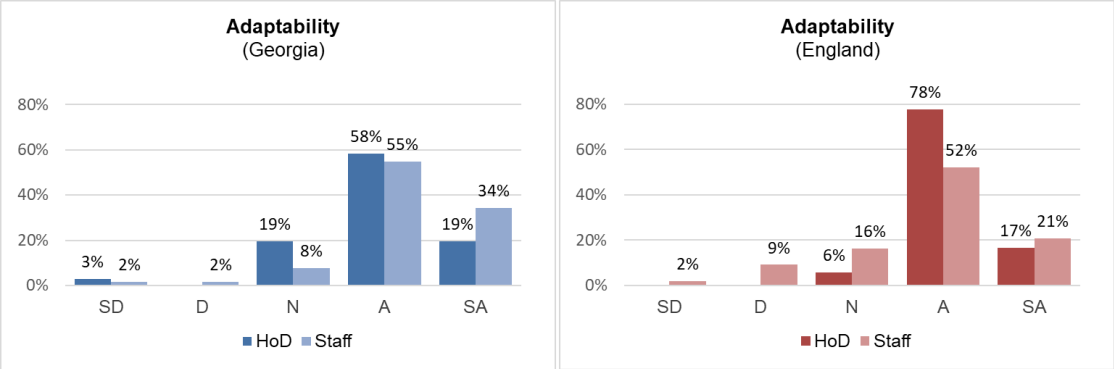
This judgement should be treated with caution due to the interview sample bias. Since 14 out of 15 interviewed staff members came from pre-1992 universities, their views were confined to HoDs with fixed-term posts. The academic staff from post-1992 universities under the leadership of a permanent head may have perceived their HoD's achievement orientation differently.

Adaptability

Survey. Adaptability was related to the HoD's flexibility in responding to change. Figure 4.10 summarises the scores of the Georgian and English subgroups in relation

to this competency. Interestingly, the Georgian academic staff scored HoDs higher than the heads rated themselves in adaptability. In the case of England, nearly all HoDs agreed that they were adaptive to changing demands. The statement was also positively rated by about two-thirds of the English staff. The Mann-Whitney U test did not show a significant difference in the scores of the subsamples in either country.

Figure 4.10 Adaptability: Comparison of ratings across subgroups



Interviews. The Georgian HoDs reported that they adapted their behaviour in response to the situation. While it was acknowledged that change was part of growth, the heads seemed slightly annoyed by the ongoing HE reforms. HoD[Ge5] complained that requirements kept changing every year which caused uncertainty and frustration. He was open to new initiatives, but wished to see a bigger picture justifying constant change.

10. *New demands are put forward, such demands that are sometimes acceptable and sometimes not. It does no good to rearrange things annually. There should be some common framework within which to operate. Let there be a change in 4-5 years, not every year, but 4-5 years later.*

    ახალ-ახალი მოთხოვნები შემოდის, ისეთი მოთხოვნები, რომლებიც ზოგჯერ მისაღებია, ზოგჯერ არაა მისაღები. ვნებს საკითხს ყოველწლიურად გადაწყობა-გადმოწყობა. უნდა დაკანონდეს ერთი რამ რაღაც ჩარჩოში, ხომ? 4-5 წლის მერე შეიცვალოს მერე, ყოველ წელიწადს კი არა, 4-5 წლის მერე.

    HoD[Ge5]

The academic staff shared this sentiment. In terms of the HoD's flexibility in managing people, it was pointed out that a department head needed to take a different approach when they dealt with a senior member of staff. In fact, HoD[Ge3] commented that she had to be careful with what she said and how she said it when confronting an older colleague.

The English HoDs also found it difficult to juggle with multiple demands. They emphasised that marketisation of HE had gradually changed the university environment. It was challenging to ensure academics were writing high quality research, generating research income along with teaching well, doing marking and administration. HoD[En1] explained that without demonstrating flexibility in leadership, it would be *'a car crash'*.

11. *And then when people get research income, I need to make sure that they are given the time to deliver it. So I have to adjust their workload. So brilliant, you've just got yourself, you know, half a million pounds from the [funding body]. Well-done. I'm now gonna remove some of your work to enable you to do that. So you need to be flexible in the workload.*

HoD[En1]

The English staff also recognised that HoDs had to consider the academic's individual circumstances and personality type when handling different cases.

12. *The head of department, if he's capable of having different hats for different situations, that's a good one.*

Staff[En5]

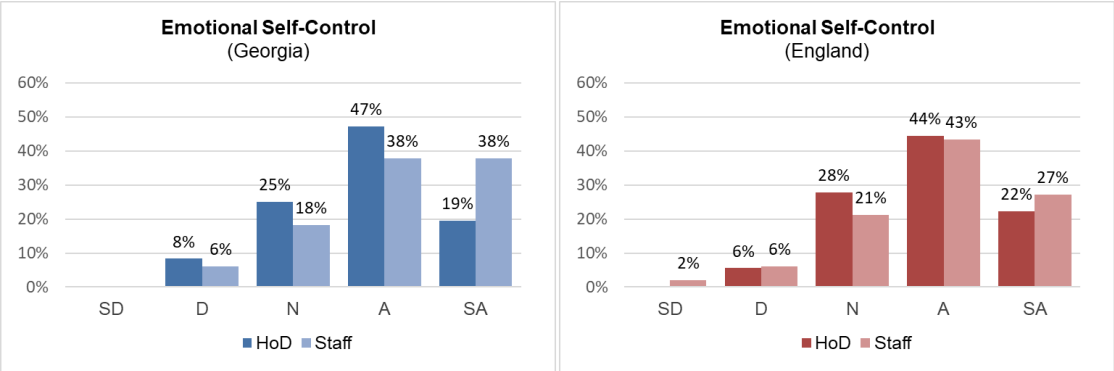
However, whether HoDs could in fact modify their behaviour based on the situation depended on the pressures they were under as well.

Emotional Self-Control

Survey. Emotional self-control addressed the HoD's ability to regulate their own emotions and impulses. Figure 4.11 displays how this competency was rated by HoDs and their staff members. Two-thirds of the Georgian HoDs reported that they were good

at managing their emotions in stressful conditions. The Georgian academic staff felt slightly more confident that their heads could maintain composure when stressed. Regarding the English sample, the scores of the two subgroups were rather similar with about two-thirds of responses being positive. It is worth noting that about a quarter of respondents in each country opted for a neutral answer category. In terms of difference testing, no significant difference was found between the ratings of the HoDs and the academic staff.

Figure 4.11 Emotional self-control: Comparison of ratings across subgroups



Interviews. The Georgian HoDs mostly believed they kept their emotional responses in check when faced with interpersonal conflict. They realised the importance of stepping back, weighing what to follow up and what to let go. As they discussed the vignette involving encounter with an underperforming academic, they stated they would try not to act on impulse. They would first gather evidence about the lack of performance, have a conversation with the person involved and listen to their side of the story. HoD[Ge6] stressed that she would approach any colleague with tact, respect and understanding.

13. *No need to shout, no need to, say, take punitive actions or cause insult. I think every member of staff would agree that I have never offended anyone.*

    არ არის სავალდებულო ყვირილი, არ არის სავალდებულო, ვთქვათ, ვინმეს დასჯა და შეურაცხმყოფელი სიტყვების გამოყენება. მე მგონი ყველა თანამშრომელი დამეთანხმება, რომ არასოდეს მე ვინმესთვის შეურაცხყოფა არ მიმიყენებია.

HoD[Ge6]

The Georgian academic staff seemed fairly satisfied with the way their department heads handled emotionally tense situations. It was pointed out that the leader's display of emotions affected the entire department. Therefore, it was crucial that the HoD consciously regulated negative feelings and navigated stress.

The English HoDs reported that managing emotions when interacting with difficult staff was less of an issue. What they struggled with were the initiatives or lack of initiatives from people higher up in the university. They often disagreed with the directions they received from those above in the institutional hierarchy. Hence, the challenge was feeding this back to senior management and not getting angry.

14. *When decisions are made by people who aren't really in your own discipline, I find it very hard that someone says 'you can't do that'. You kind of think 'who are you to tell me that' and I get quite cross about those kinds of things. And I allow them to annoy me more than they <u>should</u> and I perhaps become more grumpy and difficult in my situation I suppose.*

HoD[En4]

HoD[En2] also admitted that the strategies of 'the higher echelons' made her lose composure. Yet, instead of suppressing her feelings, she turned her anger into an assertive behaviour.

15. *I think actually feeling a little bit the anger that you feel is probably a good thing because it allows you to speak... clearly in my case, I think, more forcedly than I otherwise would.*

HoD[En2]

Speaking of the English staff's perceptions of the HoD's emotional self-control, cases of managing down were reported rather than managing up. Overall, few references were made to the HoD's emotional outbursts, which explains about a quarter of neutral answers to the survey.

Positive Outlook

Survey. Positive outlook was about the HoD's degree of optimism as perceived by heads themselves and academic staff. The scores from the two countries are summarised in Figure 4.12. About three-quarters of the Georgian HoDs agreed that they tended to see people and situations in a positive rather than a negative light. The agreement was also high among the Georgian academic staff resulting in similar scores between the two subgroups. However, the self and other ratings in the English sample appeared to differ significantly (U = 1651.5, Z = -2.321, p < .02 (2-tailed), r = -.19, small effect) with about a quarter of the staff giving neutral or negative responses.

Figure 4.12 Positive outlook: Comparison of ratings across subgroups

Interviews. The Georgian HoDs believed that the leader had to stay optimistic and persistent in the face of obstacles. They were aware of the challenges that academic staff had to cope with on a daily basis and felt responsible for energising their

departmental team. They emphasised the importance of a healthy work atmosphere for raising group productivity.

16. *The type of work we are doing, it is not possible to successfully accomplish it in a hostile and negative environment. The right attitude is essential, good working relationships must be there to do this job as we are meant to do it.*

    ჩვენ ისეთ საქმეს ვემსახურებით, აქ არ შეიძლება უსიამოვნო და უარყოფით გარემოში აკეთო ეს საქმე კარგად. აუცილებელია განწყობა, აუცილებელია მოწესრიგებული ურთიერთობები, რომ ეს საქმე ჩვენ შევასრულოთ ისე, როგორც გვევალება.

HoD^{Ge4}

Most Georgian staff did not directly comment on their HoD's display of positive outlook, but acknowledged it was crucial for setting the right tone in the workplace. Besides, they did not place full responsibility for the department's emotional climate on the HoD. They argued that each and every member of the department had to spread optimism, get over resentment and move forward.

The English HoDs also highlighted the need to maintain a positive attitude while navigating the hurdles. It was pointed out that the leader's mood was contagious and it could either lift the team morale or undermine it.

17. *If I walk around with a smile on my face, spring in my step, and giggle or laugh, and then that naturally creates more of the same around me. And if I'm having a bad day which I have occasionally, then... that spreads the mood as well.*

HoD^{En3}

While the heads complained about the current HE climate in the UK, they were fairly happy with their academic team. They could see the good in their colleagues and recognised their achievements. HoD^{En1} found it important to thank people on a regular basis and thought it bizarre some overlooked it: *'It's free, just say "thanks very much, I <u>really</u> appreciate what you did".'* HoD^{En6} radiated positivity when speaking about her staff:

18. *And the team that I manage, they are all lovely staff, you know. They are all really, really hard-working. And they all want to do the best that they can. And that makes a big difference.*

HoD[En6]

The English academic staff agreed that recognition and appreciation created a positive morale in the workplace. Having their hard work acknowledged made them feel they were a valued member of the department. However, some staff on teaching contracts did not feel fully appreciated for the amount of work they did. They wished to see teaching regarded as highly as research and given the same status. What is more, part-time staff believed they had to work harder to be seen as a proper member of the department.

19. *There is plenty of respect for who I am and what I do, but there is also a sense of 'And how many hours do you work for us?' and you know, there is a difference made and I think that is something you have to manage quite carefully there.*

Staff[En14]

These factors may have accounted for the negative survey responses regarding the HoD's positive outlook. Yet, the interviewed staff did not attribute the existing emotional climate solely to the HoD's leadership. They also made impersonal references which held the whole system responsible for failing to get priorities right.

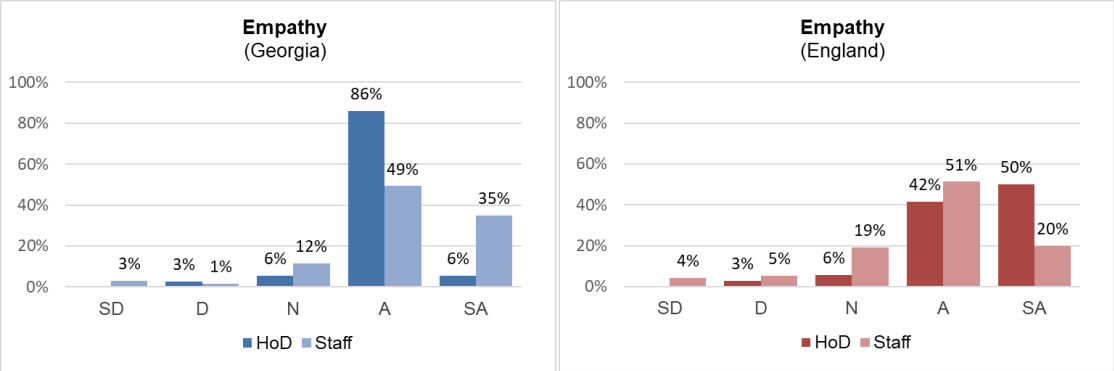
4.4.3 Social Awareness

Empathy

Survey. Empathy entailed the HoD's capacity to sense and respond to others' feelings and points of view. Figure 4.13 shows a direct comparison of the scores across the subsamples. The majority of the Georgian HoDs agreed that they understood staff members' emotions and perspectives. The staff rated their department heads lower in empathy, but the difference between the scores was not found statistically significant.

The gap was more pronounced between the ratings of the English subgroups. Again, the HoDs appeared more confident than their academic staff about their ability to empathise with others. The Mann-Whitney U test revealed the difference in their perceptions to be significant (U = 1287.5, Z = -3.689, p < .001 (2-tailed), r = -.30, small to medium effect).

Figure 4.13 Empathy: Comparison of ratings across subgroups



Interviews. The Georgian HoDs thought of themselves as empathetic and accommodating leaders. They tried to remain sensitive to others' emotional cues and if sensing a problem, they would try to understand what was causing it. Each interviewed HoD acknowledged that when staff had either family or health issues, they made sure people felt well-supported through challenging times. For example, it was a common practice to make informal arrangements to temporarily cover for an academic in need or collect money within the department if a colleague required financial help. HoD^{Ge4} stressed that is was a fundamental human quality to respond to a person experiencing difficulty with understanding and compassion: *'We are humans, it's unimaginable without it' ('ადამიანები ვართ, ამის გარეშე წარმოუდგენელია').* In addition to being perceptive about their colleagues' feelings and concerns, the HoDs pointed out the need to listen to another person to see their perspective. HoD^{Ge6} reported that whenever she came across a staff member who looked a bit sad, she would ask them how they were.

The Georgian staff generally agreed that their HoDs showed concern and care and that the department had good support practices in place. They believed that an empathetic approach had a positive impact on staff members' motivation and raised their productivity. Staff[Ge7] commented that when she felt appreciated and cared for, she cared back and became more committed.

20. *When someone treats me with respect, shows me forgiveness and steps into my shoes, I want to do better and prove that I deserve their compassion.*

    როდესაც ვინმე პატივს მცემს, მომიტევებს და გამიგებს, მინდა, რომ უფრო მეტი გავაკეთო და დავუმტკიცო, რომ მე ამ თანაგრძნობის ღირსი ვარ.

    Staff[Ge7]

It was also suggested that empathy was more than a skill an individual possessed. It had to be cultivated in a group and a culture of compassion had to be built. Staff[Ge8] found the emotional connection between his department members was linked to the values they held. *'We view our workplace as a second family' ('ჩვენ წარმოდგენილი გვაქვს ჩვენი სამსახური, როგორც მეორე ოჯახი'),* he maintained. Therefore, being compassionate and making compromises felt as natural at work as one would expect in a family.

The English HoDs considered empathy was central to their roles. They were aware of what academic work involved having done it themselves. Therefore, they could recognise the stresses and strains academic staff were under. HoD[En5] thought it was important to understand people's 'pinch points' and avoid putting more pressure on the staff who were already struggling. HoD[En6] tried to connect with her team by getting to know every staff member and by taking an interest in their needs.

21. *If I am walking past their office or if I see them in the canteen or if I see them in the corridor, I always stop and have a chat and just find out how they are.*

    HoD[En6]

Display of empathy was particularly pronounced in the context of redundancy. The HoDs admitted that a staff review was a difficult time for all and they tried to face the issue with compassion. They felt the pain of the people who were at risk of being sacked, listened to them empathetically and attempted to see the world from their point of view. However, they did not expect their staff to understand how difficult these times were for the HoDs as well.

22. *Sometimes people are angry and I don't think they need to be thinking… I don't think people should feel they've got to be empathetic to me in the sense.*

HoD^{En2}

While practising empathy seemed channelled in one direction, it was suggested that understanding staff's perspective did not necessarily mean one agreed with them. However, it was important that the HoD demonstrated that s/he could understand why somebody felt or thought the way they did.

23. *The important thing is to listen to people because... you may not be able to do anything about what they wanna say, but you've got to give them the time and listen to them because otherwise what's the point of doing the job really?*

HoD^{En5}

Despite agreeing on the benefits of empathy in leadership, its limits were also recognised. HoD^{En2} acknowledged that she struggled to understand mental illness since she had never experienced depression herself. Therefore, it was hard to empathise with an academic suffering from mental health issues. At times she found it hard not to think *'Pull yourself together, just get up in the morning and get on with it'*. Nonetheless, she saw the need to perform empathy that she did not actually feel. HoD^{En4} held a contrary opinion. He argued that sometimes it was necessary to draw a line and disconnect from staff members' emotions to let them face the reality of their own situation. This was for the academic's sake to make them aware where they were going with their careers.

24. *Sometimes you have to be judgmental, sometimes you just have to say 'well, I have got no empathy in this situation because... I don't think you're doing well enough. And I think objectively the facts say you aren't doing well enough.'*

HoD[En4]

Considering the HoDs' alternative approaches to displaying empathy, it was no surprise that the English staff members' perceptions of their leaders' emotional understanding varied. Some reported that they worked with heads who had a high degree of empathy, who were very in tune with academic staff's needs, their aspirations and concerns. However, whether the HoD could realistically change a difficult situation was another thing. Some even wondered what the point of empathy was if not followed by a supportive action. Others believed their HoDs were only interested in getting the job done. They did not even bother to know what was going on personally as the quotes below demonstrate.

25. *It was very much, 'This is it, you do your job. If you are struggling, well, go get another job'. It was that type of approach.*

Staff[En2]

26. *You certainly can have a situation where it's more of a 'pull yourself together and get on with it' […] so very much people feel that that they are left to sink. And then they get castigated for sinking rather than supported to get out. So there is a definite culture of, you know, 'sink by yourself'.*

Staff[En3]

27. *More it was I need someone to do this work, get on with it. If you have a problem come and speak to me, but I'm not really gonna be interested in listening.*

Staff[En9]

While the staff typically highlighted that empathy was a sign of good leadership, some thought that it was not always necessary for HoDs to be aware of a staff member as a person. Sometimes people simply wanted to be left on their own if they were having a bad day and did not require *'to have this all enveloping supportive figure all the time'* (Staff[En2]). Staff[En6] went even further arguing that one could run a department beautifully

having zero empathy. He had worked for ‘total tyrants’ who he claimed were very ‘effective’. In addition, Staff[En15] thought that the HoD’s role was so demanding that they did not have a great deal of time to devote to practising empathy.

28. *I think HoDs try to do what they can, but at the end of the day, they are pressured as well. They're getting pressure from above to meet targets.*

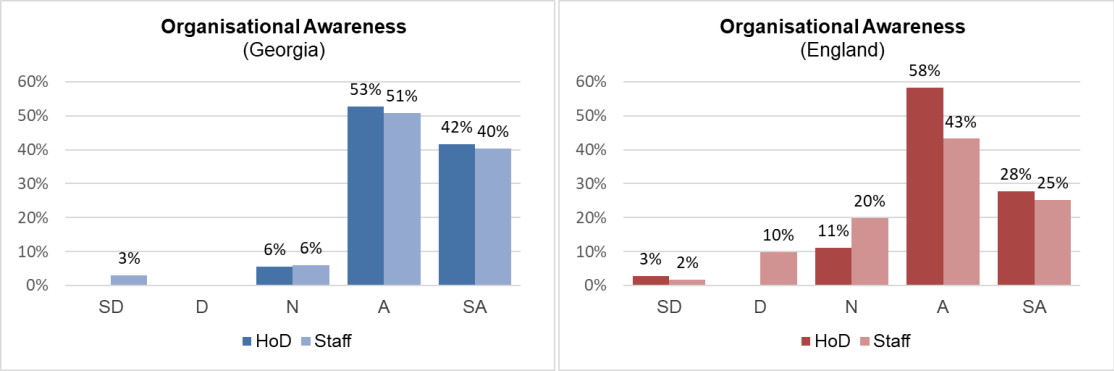
Staff[En15]

Staff[En9] also realised *‘where the head was coming from’* and thought the leader had to be given more support. This showed that HoDs were also seen as human beings who had the right to have it wrong, who had the right to need help and support. In a sense, the capacity to empathise with the HoD resonated with the Georgian academic staff’s argument about building a culture of empathy with mutual respect and understanding.

Organisational Awareness

Survey. Organisational awareness addressed the HoD’s ability to read internal group dynamics, recognise the team’s unwritten rules and the values guiding staff members’ actions. Nearly all HoDs in Georgia thought they understood the existing power relationships in the department. Likewise, most Georgian academic staff indicated moderate or strong agreement with the statement. In the case of the English sample, the majority of the HoDs and about two-thirds of the staff gave favourable responses. Interestingly, around a third of the English staff were neutral or negatively disposed. The Mann-Whitney U test did not find statistically significant differences in the perspectives of the subgroups in either country. Figure 4.14 illustrates how the scores were distributed across the samples.

Figure 4.14 Organisational awareness: Comparison of ratings across subgroups



Interviews. The interview data confirmed that the Georgian HoDs were attuned to the departmental as well as the institutional culture. They felt an integral part of their departments, had known their colleagues for years and were well-aware of the power dynamics in the workplace. For example, HoD[Ge3] displayed organisational awareness when she chose not to have a direct discussion about negative student feedback with a colleague holding a senior position. She felt it would have been more appropriate to communicate the issue to the colleague by involving a third party of a similar status.

29. *There are individuals who you can't tell this in their face although you do drop a hint. I reckon this reaction was justified more than me summoning her and aggravating the problem.*

    არიან პიროვნებები, რომლებსაც ამას ასე პირდაპირ ვერ ვეტყვი, თუმცა აგრძნობინებ აუცილებლად. მე მგონი, ეს რეაქცია უფრო მიზანშეწონილი იყო, ვიდრე მე რომ ეს პიროვნება დამებარებინა და სიტუაცია გამემწვავებინა.

    HoD[Ge3]

The fact that the ethnic make-up of the participating departments was predominantly Georgian also seemed to help the HoDs to relate to the group. The academic staff noted that each department had a unique culture shaped by shared values. The awareness of these behavioural norms, which were not necessarily explicit, was essential for the HoD to get things done.

The English HoDs demonstrated that they were aware of the unspoken rules of their workplace. Some universities were perceived to be more hierarchical and some more collegial, which had a bearing on the existing support networks and power relationships in the department. For example, HoD[En4] highlighted that he had to be aware of the implicit seniority when mediating relationships with their academic staff.

30. *If he's a very senior individual and he's been teaching for 20 years and he might just say 'well, I've been doing this for 20 years, you (come along) and tell me anything'. And in that situation, yeah, you might ... get someone equivalent who is really up here in the sense of being of the same seniority to come here and look at him... rather than give the job to a first year lecturer or something.*

HoD[En4]

Apart from the university culture affecting the departmental group dynamics, the wider societal culture was also brought to the fore. It was pointed out that both HoDs and staff from a variety of ethnic backgrounds had to make an effort to fit in. HoD[En3] being of other white background origin admitted that he had to find a way to integrate and align his actions with the established norms.

31. *I had to learn a couple of things I shouldn't say, a couple of things I should say or should say differently […] but this is their country, not mine ((laughs)) I can't set the rules.*

HoD[En3]

The academic staff also highlighted the role of organisational awareness in creating an inclusive environment. Staff[En2] stated that her HoD ensured newcomers felt welcome and incorporated in the departmental life.

32. *And she had that cultural awareness of me and my needs and the fact that yes, I was nowhere in the world going to introduce myself to a roomful of all these people.*

Staff[En2]

Staff[En5], being a foreign academic, felt that his current workplace lacked human contact and commitment compared to his home department. He observed that his colleagues

were not interested in doing certain tasks that did not directly benefit their careers. They ensured they fulfilled their contractual requirements and maintained a high research profile, but they did not feel too accountable for the common goals of the department.

33. *The loyalty to the department and to do things for the growth of the department, is not one of them [priorities]. And in my experience, I've seen very few examples of people committing to do things just for the department itself and not for personal benefit. If there is no personal benefit, then people pull out.*

Staff[En5]

The staff of White British origin also echoed this sentiment highlighting a sense of isolation that is captured in Staff[En1]'s quote below:

34. *I think there's a culture certainly in this university that everybody is really on their own […] it is very much an environment of 'you keep yourself to yourself', you pursue your own interests and intend to engage with others as little as possible.*

Staff[En1]

To recap, the interviews with both home and international faculty suggested that the HoD's ability to see below the surface and read implicit organisational dynamics was instrumental in running the department successfully.

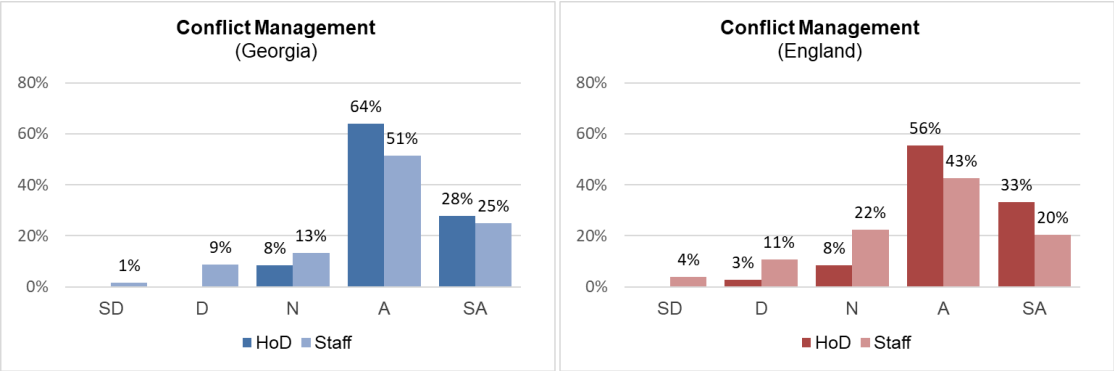
4.4.4 Relationship Management

Conflict Management

Survey. Conflict management involved the HoD's ability to negotiate differences and settle disputes skilfully. The majority of the Georgian HoDs agreed that they resolved conflict by discussing disagreements. Around three-quarters of the Georgian staff positively rated the statement as well which did not amount to a significant difference. However, the ratings of the English subgroups differed significantly (U = 1309, Z = -2.790, p < .005 (2-tailed), r = -.24, small effect). While most HoDs believed they effectively handled workplace conflicts, about a quarter of the staff chose a neutral

answer and less than a quarter expressed a level of disagreement. Figure 4.15 shows the percentage distribution of each subgroup's scores in Georgia and England.

Figure 4.15 Conflict management: Comparison of ratings across subgroups



Interviews. Although the survey responses indicated that the Georgian HoDs tended to bring disagreements into the open, the interview findings proved somewhat contradictory. The heads seemed to take different approaches to handling conflict. While some preferred having an open conversation about a difficult situation, others would rather communicate the issue indirectly or simply avoid interacting with the conflicting party. Regardless of the leader's preferred approach, it was pointed out that the most appropriate strategy was context dependent.

35. *Sometimes you need to become angry, be harsh even. It depends, each person has to be approached differently.*

    ხანდახან გულიც უნდა მოიყვანო, მკაცრადაც კი უნდა მიმართო. ამიტომ გააჩნია, ყველა ადამიანს თავისი მიდგომა უნდა.

    HoD[Ge5]

Avoiding confrontation and making a compromise was deemed best with certain personalities. As mentioned above (see quote 29, p. 114), HoD[Ge3]'s indirect communication with the underperforming academic was part of 'the implicit code' and seemed the right thing to do on that particular occasion. Even more, HoD[Ge1] decided to

ignore the issue altogether when an hourly-paid academic remained dissatisfied with the workload distribution.

36. *I left everything as it was and I just don't react to that lady's actions. I simply assumed that she is not in my department, she can do whatever she pleases as long as she delivers her lectures.*

    დავტოვე ყველაფერი ისე და საერთოდ, არ ვრეაგირებ ქალბატონის ქმედებებზე. საერთოდ ჩავთვალე, რომ ჩემ დეპარტამენტში არაა, რაც უნდა ის გააკეთოს, ლექციებს არ აცდენს და.

HoD[Ge1]

Whether this speaks for the HoD[Ge1]'s apathy or unrecognised frustration, this sentiment was not echoed in the Georgian staff's interviews. The staff largely believed it was better to resolve dispute in a timely manner not to let hostile feelings fester.

The English HoDs recognised that leadership inherently involved conflict. Therefore, the ability to adopt the right strategy to work through the issue was considered essential for attaining goals. A typical challenge was stated to be dealing with difficult members of staff who refused to comply.

37. *Academics are <u>very</u> difficult people to manage because they are <u>fiercely</u> independent, <u>fiercely</u> intelligent and... clearly know their own mind and often are quite happy to share that with you. And therefore, they can be very difficult people to get to do things often when they don't want to do it.*

HoD[En1]

When handling challenging behaviour, it was thought more reasonable to avoid disciplinary type actions and work with the academic to accommodate their needs. HoD[En6] believed that taking a staff member down the capability route would inflame the situation, cause unnecessary grievance and lower productivity. *'I probably wouldn't have got any more work out of that person, I probably would have got less'* – she observed recalling her encounter with an underperforming academic.

The ability to empathise with others allowed the HoDs to understand their staff's frustration while emotional self-control helped them manage their own feelings in emotionally tense situations. This in turn either avoided workplace conflict or facilitated its resolution. For instance, HoD[En2] thought that if people were legitimately angry about something, they needed to reflect this to her and not worry she would fire back.

38. *Actually when some of the people who've been cross about the review, I thought, you need to be able to take it for people, because you know, what else can they do, they need to be able to say 'I am very upset and this isn't fair'. And they don't want to hear that you say 'oh, I think I'm upset too'. You know, they don't need that.*

HoD[En2]

The English staff acknowledged that academics were a hard audience since they all had *'a bit of academic arrogance'* (Staff[En3]) or *'too many ideas about how things should be done'* (Staff[En7]). This could explain the reluctance from some HoDs to engage in open discussion with difficult members of staff and sometimes even their preference to *'hide in the corner'* (Staff[En1]). A few staff members partially justified the avoidance of confrontation arguing that conflict was destructive.

39. *It's never happened to me, I'm a much more emollient character, you know, I don't have clashes with people ((laughs)) but I have seen it happen and it is always damaging.*

Staff[En6]

In contrast, others argued that conflict could be constructive without damaging workplace relationships. Staff[En11] was proud to say that his HoD discussed issues openly, was willing to listen and consider alternative perspectives.

40. *In terms of 'I don't agree with what you are doing, I don't think we should follow the university', yeah that happens all the time ((laughs)). But the relationship I think is strong enough.*

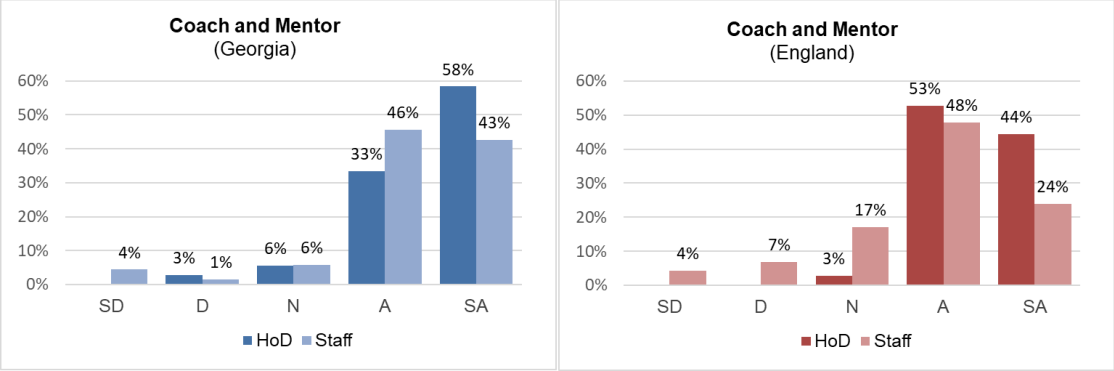
Staff[En11]

Overall, differences in the perceptions of conflict resolution techniques seemed to be rooted in academics' own experiences, personality styles and individual values.

Coach and Mentor

Survey. This competency assessed the extent to which the HoD cared about staff members' development and invested time in mentoring them. Most Georgian HoDs agreed that they tried to help staff through constructive feedback. The majority of the Georgian academic staff also supported the statement. The English heads felt even more strongly about their commitment to coach and mentor staff. Nearly all of them confirmed that they helped others develop. However, there was a bit more variability in the English staff's responses and the difference between the two subgroups' perceptions was found significantly different ($U = 1382$, $Z = -3.366$, $p < .001$ (2-tailed), $r = -.27$, small effect). The distribution of the ratings regarding the coaching capacity is depicted in Figure 4.16.

Figure 4.16 Coach and mentor: Comparison of ratings across subgroups



Interviews. The Georgian HoDs reported they had a facilitative coaching style that made them easy to approach. It was thought important that staff trusted the head that there would be a solution if they struggled with a personal or an academic issue. It was essential that staff had the confidence that they would find a friend in the HoD

rather than a boss. If a staff member was disengaged from work, the HoD needed to assess carefully how the person could be supported.

41. *Some lecturers react in a way that… why do their lectures require to be observed? Why are we checking their qualification?*

    ზოგიერთ ლექტორს ისეთი რეაქცია აქვს, რომ… რაში ჭირდება მას ლექციაზე დასწრება? რატომ ვამოწმებთ მის კვალიფიკაციას?

    HoD[Ge2]

Therefore, one had to ensure that feedback was effectively communicated making it specific, positive and helpful. A greater sensitivity was needed when suggesting to older academic staff that they embraced innovation in teaching.

42. *Teaching methods and techniques keep changing. Sometimes you have to deal with an older generation of academics who prefer to teach the old way. Before you ask them to deliver a lecture using new methods, train them first.*

    სწავლების მეთოდები და ხერხები იცვლება. ზოგჯერ გიხდება უფროსი თაობის პიროვნებებთან შეხვედრა, რომელთაც ძველი ხერხებით ურჩევნიათ ასწავლონ. ვიდრე მოთხოვ ახალი მეთოდებით ლექციის ჩატარებას, ჯერ ასწავლე.

    HoD[Ge5]

Most HoDs stated they kept their staff informed of relevant training courses in their field and encouraged them to pursue different opportunities of professional development. Seemingly, that being the case, the Georgian staff largely felt part of a supportive team that helped them improve their skills and academic performance. While they did not refer to formal coaching mechanisms in the department, they spoke of close friendships that served as a source of support and a platform for learning from each other.

The English HoDs thought it was their duty to coach staff helping them take their careers to the next level. *'You have to be supportive of your staff because... who else is gonna support them?'* – wondered HoD[En2]. Interestingly, half of the interviewed heads

stated that seeing people develop was the most rewarding aspect of their leadership role. They made sure the training budget was well-spent and new staff members were given opportunities to become good academics in their own right.

43. *It's great to see them moving on in their careers and I've been able to facilitate their promotion and development as academics. That for me is the most enjoyable part of this.*

HoD[En1]

They generally found that by being supportive they could get more work out of people. When a staff member was not performing well, the HoDs considered it reasonable to find a way to make better use of the person's skills. They felt that very few academics came to work wanting to do a bad job. Yet, sometimes people ended up being in a role that was not best suited to their abilities. It was the HoD's responsibility to accurately assess the staff member's strengths and weaknesses and if possible, move them into a more suitable role.

44. *If you can show that you are there to try and support them and to try and help them to do their job to the best ability, then usually they are grateful that you are taking that angle.*

HoD[En6]

Apart from earning gratitude and building effective relationships, enabling staff to identify their developmental needs and helping them reach their goals was observed to make staff more committed and benefit the whole institution. Similarly, the English academic staff thought that the HoD had to see the performance of the department in the long term. Their experience was that if people were allowed to be people and given time and support, it translated into much better performance in the long run. They also argued in line with the HoDs that the majority of academics were highly driven and wanted to do their best. Yet, some difficulties were unavoidable which the department head needed to handle with patience and empathy.

One interesting observation was that HoDs acted supportive simply because they were expected to. While some sincerely cared and were prepared to help their staff, other heads were perceived to see it as a bother. When Staff[En1] was analysing the vignette story, where the hypothetical HoD character Susan was approached by an academic in need, he commented:

45. *There's people that say… 'let me know if I can help' where the worst possible thing for them would be you ask them for help. […] I should think Susan sitting there thinking 'I wish you hadn't knocked on my door'.*

Staff[En1]

A few staff members wished to see more formal and easily accessible mentoring schemes in place. For example, Staff[En3] complained that staff development at her institution lacked structure and new academics often felt *'tossed into it'*.

46. *You know, they talk very much about mentoring, but you are just told to go and find yourself a mentor and if you haven't tried to do that, you know, some pool of people you don't know, how is that supportive? So I think there are a lot of issues around actually genuinely helping people to grow as academics.*

Staff[En3]

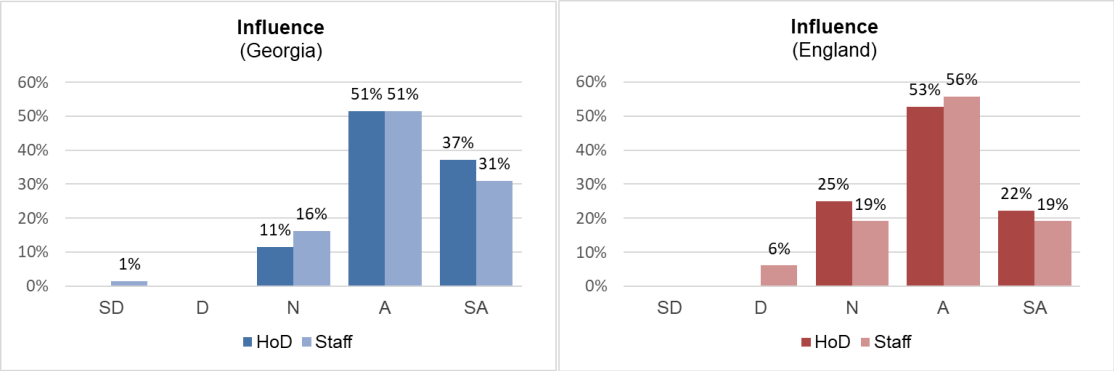
These unfavourable experiences partly explain a significant difference in the English subgroups' survey responses. Although 97% of the surveyed HoDs were convinced they offered their staff constructive support (which was confirmed by the HoDs' narratives), several interviewed academics noted that authenticity and care was missing in the coaching relationship.

Influence

Survey. The competency of influence involved the power to take action and persuade others to follow. Most Georgian HoDs agreed that they were able to convince staff to gain support for their initiatives. This perspective was shared by the majority of the

Georgian academics with less than a quarter giving neutral responses. The distribution of scores was similar in the case of England. Three-quarters of the HoDs and academic staff expressed agreement while around a quarter neither agreed nor disagreed. No significant difference was found between the subgroup scores in either country. Figure 4.17 provides a comparison of the ratings regarding the competency of influence.

Figure 4.17 Influence: Comparison of ratings across subgroups



Interviews. The Georgian HoDs' perceptions of their influencing skills turned out fairly mixed. Some complained about a lack of enthusiasm in their academics to challenge the status quo. This made it difficult to gain staff's commitment when initiating change. HoD[Ge2] feared he would face resistance if he encouraged innovation in teaching as an initiative of his own. He would rather present it as a directive from above that the department had to comply with. Otherwise, he imagined difficult members of staff would react saying: *'Well, you don't really know more than me in my subject' ('აი შენ ახლა ჩემზე მეტი ჩემს საგანში არ იცი')*. While HoD[Ge5] argued that the department head needed to have enough power over staff to secure their support, HoD[Ge6] rejected the idea of using power as a means of persuasion. She maintained that the team's trust and respect was the HoD's best asset on the path to creating a positive change.

The Georgian academics considered the HoD's influence to be limited highlighting that the department head was the subject of the authority of the dean. Centralised university governance did not allow them to make independent decisions.

47. *They are not decision-makers, they have virtually no rights.*

    ისინი არ არიან გადაწყვეტილების მიმღებები, ისინი ფაქტიურად უუფლებო არიან.

    Staff[Ge5]

48. *Basically the department is run by the dean, the HoD's name is only written on a piece of paper.*

    ფაქტიურად დეპარტამენტს დეკანი მართავს, მისი სახელი მხოლოდ ფურცელზე არის დაწერილი.

    Staff[Ge10]

Being viewed as 'decision implementers' as opposed to 'decision-makers' seemed to have a bearing on the HoD's sense of power. This might explain HoD[Ge2]'s apprehension that he would not be able to fully convince his staff if he relied on his own authority.

The English interviews also revealed issues with the HoD's ability to influence and mobilise staff. A major challenge was to persuade academics to do certain tasks that they were not interested in doing.

49. *When I'm trying to hand out teaching and administrative tasks, there's not often a long queue... to sign up to this stuff. And so the job is to try and get people to do this work that they don't wanna do, but has to be done.*

    HoD[En1]

Reported tactics for persuasion involved (a) having an open conversation to explain the need for action, (b) connecting with people to invoke reciprocity, and (c) imposing power to deliver targets. The strategy of resorting to formal authority was primarily associated with permanent headship. It was assumed that a permanent position gave the

HoD more power compared to a rotational contract. It allowed them to take longer term decisions on their own even if the decisions were deemed unpopular.

50. *If you aren't gonna be head in a year's time, and someone else is gonna be in charge, then you obviously, that's in the back of your mind, isn't it? You've either got to take the team with you or why not put off the decision until the next person has taken over, yeah, why make yourself unpopular?*

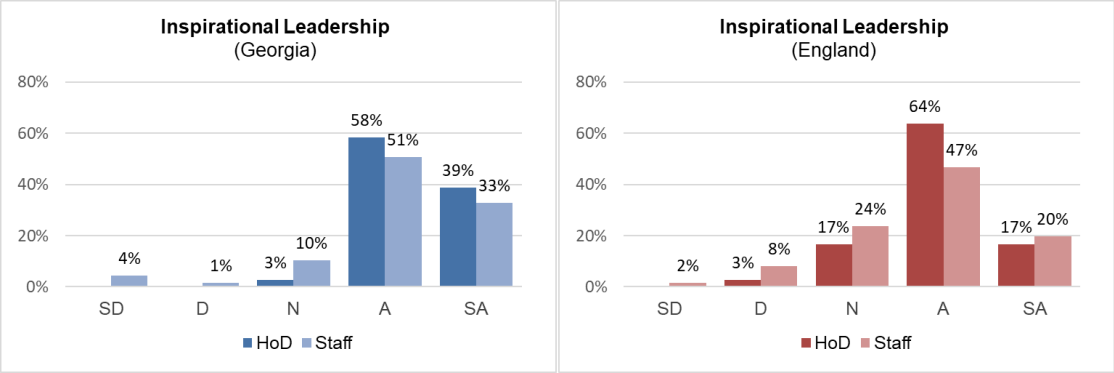
HoD[En5]

Indeed, the academics from pre-1992 universities largely confirmed that the department head did not have a huge authority. Their influencing ability was viewed as enforcement of the institutional policies and regulations. Staff[En5] compared the HoD to a policeman whose role entailed checking that everything happened rather than enabling things to happen. Similarly, Staff[En9] stated that the department head was seen as *'someone a bit over the head with a big stick.'* The only interviewed academic from a post-1992 university also alluded to the HoD's lack of authority, which did not align with HoD[En5]'s argument about a greater sense of power linked to a permanent contract.

Inspirational Leadership

Survey. This competency was related to the HoD's capacity to guide and energise their team while serving as a source of inspiration. Nearly all HoDs in Georgia agreed that they inspired their staff to achieve more. Most Georgian academics also felt their department heads encouraged commitment. The difference between the subgroup ratings was not found statistically significant. Neither did the scores of the English subgroups differ significantly. The majority of the surveyed heads and about two-thirds of the staff in England were in favour of the statement. Figure 4.18 demonstrates the agreement levels reported by each of the four subsamples.

Figure 4.18 Inspirational leadership: Comparison of ratings across subgroups



Interviews. The Georgian HoDs did not appear to make a deliberate effort to inspire staff and create a sense of direction. They did not articulate clearly what actions they took to generate enthusiasm. However, they did refer to long-lasting relationships with their colleagues which helped them understand people's motivation and aspirations. The leader's ability to empathise coupled with care was thought to make collegial bonds stronger and increase the team's engagement level. The idea about the benefits of leading through close relationships was also expressed by the interviewed academics. It was pointed out that the skill to inspire others was linked to making an emotional appeal. In order to make the team committed, the HoD had to show passion and engage people's emotions.

51. *I think that the leader himself/herself should carry some degree of enthusiasm and then have the ability to engender enthusiasm about the idea in others.*

    მგონია, რომ გარკვეულ ენთუზიაზმს თავად უნდა ატარებდეს ხელძღვანელი და მერე ქონდეს უნარი ამ იდეის ირგვლივ გამოიწვიოს ენთუზიაზმი სხვაში.

    Staff[Ge3]

However, not everyone saw the need for the HoD to be inspirational. It was noted that it did not take a special person to run the department as the quote below demonstrates.

52. *Department leader is not some kind of world historical figure, you know, they are someone who send emails, take phone calls and have meetings. And I think anyone can be a department head.**

Staff[Ge6] *(*Interview conducted in English)*

This argument emphasises an administrative side of departmental leadership and suggests that tapping into group emotions was not seen as part of the HoD's role.

The English HoDs acknowledged that bringing people together and setting a direction was crucial for moving the department forward. In line with the Georgian heads, they emphasised the importance of an emotional bond in energising the team. Otherwise, the HoD was feared to end up with a group of staff who were rather disaffected. In order to inspire others, department leaders themselves had to be inspired to make a positive change.

53. *You know, you have to have a real passion I think for wanting to do the best you can for your staff and for the students underneath you. And I think if you go into it, probably with the wrong motivation behind it, then you know, I'm not sure that you make such an effective department head.*

HoD[En6]

It was also stated that encouraging academics to reach far required sensitivity. Ambitious goal setting had to be carefully combined with adequate support to maintain people's morale.

54. *It's a fine balance between gently reminding people what they've got to do and then stressing them out by continually saying 'you haven't got a grant, have you?'*

HoD[En4]

In terms of articulating the overall strategy for the department, alternative perspectives were adopted. On the one hand, some observed that an inspirational leader had to possess some charisma - *'that kind of quality about them that make people actually want to work with them and go with them'* (HoD[En6]). On the other hand, being

charismatic was not perceived as an essential attribute for motivating people. The focus was shifted from the authority of an individual leader to the power of team members. HoD[En3] claimed that the vision could be extracted from the staff by empowering them to create their own direction.

55. *You could lead the followers, or you could lead the leaders. If you could create a framework for other people to lead, that's probably how I would like to lead, it's not by 'follow me'. Because if they feel shared ownership, it's always easier to make it happen afterwards.*

HoD[En3]

Regarding the English academic staff's perceptions of the HoD being inspirational, there were mixed opinions. On the one hand, the department head was not necessarily viewed as a *leader*, rather someone *'who knows very well the regulations'* (Staff[En5]), who one only has to see for administrative issues (Staff[En10]). On the other hand, the HoD was expected to be a person of charm and steer the department like *'the captain of the ship'* (Staff[En7]). They had to model the way and spark excitement among team members. It was by living their values that they would inspire commitment and bring out the best in others. As Staff[En2] put it, it all came down to *'Who do you want to follow?'* In contrast, others suggested that the idea of inspirational leadership was outdated and not suitable for academia. Staff[En11] argued that the power of academia rested on independently-minded people who tried to think differently and wished to be neither followers nor leaders.

56. *There's far too much focus on leaders. There's far too much focus on setting up, you know, here's the person that drives us all. Academics aren't like that, academics are a lot more independent.*

Staff[En11]

However, some staff members did feel that too much freedom and a lack of a hierarchical structure could weaken accountability and obscure the strategic vision. It

could contribute to the sense that academics as individuals had to pave their own way without aligning their actions with institutional priorities.

57. *There's no coordination, there's no leadership that say this is where we want to be in five years, you need to now concentrate your efforts to help us get there. […] Get on with it. You just do what you want to do. So it's very fragmented and everybody then has their own view of what they want to do.*

Staff[En1]

58. *You have this kind of sense that none of us really know what the strategic direction is. Are we trying to get good student surveys or are we all about research money? Are we just a money-making enterprise? And if so, are we really academics? There is no structure of having that kind of conversation.*

Staff[En3]

This line of reasoning illustrates that even 'independently-minded' academics required some form of guidance as to where the department wanted to go and what people had to do to achieve common goals.

Teamwork

Survey. Teamwork was about working with others collaboratively to achieve a common purpose. This competency attracted the highest positive responses from the surveyed HoDs in both contexts. All department heads were unanimous that they encouraged cooperation among their staff members. Only a small proportion of the academic staff in Georgia and England disagreed with the statement and less than a quarter opted for a neutral answer choice in each country. Figure 4.19 displays the percentage frequency distribution across the sample groups. When the Mann-Whitney U test was run to measure the difference between the views of the subsamples, significant differences were found in Georgia ($U = 938$, $Z = -2.300$, $p < .021$ (2-tailed), $r = -.22$, small effect) as well as in England ($U = 1590$, $Z = -2.757$, $p < .006$ (2-tailed), $r = -.22$, small effect).

Figure 4.19 Teamwork: Comparison of ratings across subgroups

Interviews. The Georgian HoDs typically portrayed themselves as team-oriented. They believed that cooperation among staff contributed to the success of the department. They felt that their teams enjoyed working together and functioned cohesively. *'The atmosphere is so friendly that whoever, whenever is in need, all of us are ready to help each other out' ('ისეთი მეგობრული ატმოსფეროა შექმნილი, რომ ვისაც როდის უჭირს, ყველანი მზად ვართ, რომ ერთმანეთს მივეხმაროთ')* – assured HoD[Ge6]. However, against a rosy picture of cohesive teams, some problems with teamwork seemed evident. These issues surfaced when academics had to work together on course development or joint publications. HoD[Ge4] noted that whenever a task required a team effort, it was usually a few individuals doing work and the rest remained passive evading responsibility.

59. *I personally have concluded from my experience that if I initiate something together with the colleagues, I will have to bear the main burden.*

    მე პირადად, ამ გამოცდილებიდან გამოვიტანე დასკვნა, რომ თუკი რაიმეს წამოვიწყებ კოლეგებთან ერთად, მთავარი სიმძიმე გადავა ჩემზე.

    HoD[Ge4]

Several staff members echoed the opinion about teamwork being problematic in the department. They attempted to explain the reluctance to commit to shared goals by the fact that academics were overworked, yet paid little. *'People have multiple jobs, one*

has no energy left, no enthusiasm' ('ადამიანებს აქვთ რამდენიმე სამსახური, ეს ენერგია აღარ გრჩება, ეს ენთუზიაზმი') – commented Staff[Ge3]. Moreover, there were references to how competing for academic positions affected collegiality in the department. Staff[Ge9] felt that the question of staying employed could turn friends into foes. The tension culminated during the time of competitions, held every two-three years to fill academic posts, and would defuse afterwards.

Nonetheless, alternative views were strong emphasising that people got on well together, made compromises and drew on each other's strengths, which created a family culture.

60. *If a staff member does not perceive the department as their family to some degree, it would be somewhat difficult to create a team spirit.*

    გარკვეულწილად ოჯახად თუ არ აღიქვა თანამშრომელმა დეპარტამენტი, ცოტა არ იყოს რთული იქნება ალბათ გუნდური განწყობის შექმნა.

    Staff[Ge12]

Indeed, a non-Georgian visiting academic observed that the department was so close it could be even confused with nepotism.

61. *Lots of teachers, professors, lecturers have worked with each other and have graduated together. There's an intense history that is part of each teacher's identity. They studied under someone and someone studied under (another), there's a mother and daughter […] And even teachers who are not family, there's kind of value dynamic about it, you know, they attend weddings and parties together, birthdays together...**

    *Staff[Ge6] (*Interview conducted in English)*

The above quote suggests that long-lasting close relationships accounted for a heightened sense of belonging among academics and contributed to a collegial atmosphere in the Georgian departments.

The English HoDs held the view that the leader set the tone for a cooperative culture. They tried to engender team spirit by creating a sense of mutual appreciation. HoD[En1] found that having transparency of workload helped to clarify roles and build group cohesion. *'Everybody knows what everybody else is doing and therefore, you get that sense of "we're all in this together"'* – he argued. Some academic staff members felt likewise. For example, Staff[En14] maintained *'There is not really anybody that isn't doing what they can possibly manage… there is a sense very much that we are all doing as much as we can'*. In contrast to the Georgian counterparts, the English staff felt that colleagues within the department were not competing with each other. Rather, there was institutional competition to attract students and the need to survive in the market-oriented environment made the department fairly unified. *'Everyone realises that if we want to stay here, we need to stick together'* – observed Staff[En13].

Alongside references to collegiality, it was also stated that preference for group work varied among people. Some liked to put in joint bids and write papers together while some did not like to collaborate, which was not seen as problematic. Some suggested that being independent as opposed to interdependent could be part of an academic's nature.

62. *Some people, academic stars need to be working in isolation a bit really, don't they? They need that sense of being able to focus.*

HoD[En2]

However, others attributed *'working in isolation'* to the departmental culture rather than academic brilliance. Staff[En1] observed that cooperation in certain departments simply was not viewed as a route to success.

63. *Over here, you can see that today the doors are open, people have open doors. In [department], you keep your door shut, you don't want to see people. Very different approach.*

Staff[En1]

Even more, several participants believed that there was a growing sense of isolation in academia due to the changing university culture. It was emphasised that a high level of collegiality, the practice of basing decisions on human interactions was getting gradually eroded.

64. *The broader context in [university], lots of stupid things going on. Things like values like H index where they try to judge you on the basis of a single number. The problem is this sort of… it dehumanises things.*

Staff[En11]

65. *There's no interdependency at the department, everyone's basically doing their own thing now, aren't they?*

Staff[En6]

A heavy workload of the academic job and a lack of support from leadership also seemed to have its share in creating a less collegial work environment. *'Because there isn't support from above, you end up with everybody being bogged down in their own needs'* – argued Staff[En3]. What is more, research and part-time staff felt they were not well integrated into the life of the department. For example, staff[En13] stated that he mainly worked with his project director and did not necessarily see much of the departmental culture. Therefore, it was deemed essential that the HoD took steps to bring people together and promoted inclusiveness within departments.

4.4.5 EI and Demographic Characteristics

Gender Differences

Survey. The Mann-Whitney U test was run to see whether the scores of self/other-rated EI competencies differed with regard to the HoD's gender. Interestingly, no significant

difference was found between the way the male and female HoDs perceived their own leadership either in Georgia or in England. Neither did the English academic staff rate their male and female HoDs differently. However, there were differences in the Georgian staff's perceptions of how the two genders led the department. The EI competencies that received significantly different other-ratings were:

- *Empathy* (U = 216.5, Z = -4.098, p < .001 (2-tailed), r = -.49, medium effect)
- *Organisational awareness* (U = 264.5, Z = -3.294, p < .001 (2-tailed), r = -.4, medium effect)
- *Coach and mentor* (U = 269, Z = -3.122, p < .002 (2-tailed), r = -.38, medium effect)
- *Teamwork* (U = 276, Z = -2.965, p < .003 (2-tailed), r = -.36, medium effect).

In order to identify the nature of the differences, crosstabulations of the HoD's gender and the above variables were examined. It appeared that the Georgian staff rated women much higher than men on the given EI scale items. Nearly all female HoDs as opposed to less than three-quarters of the male heads were scored positively on each of the four identified competencies.

Interviews. Nvivo matrix coding query was applied to the qualitative data to compare the perceptions of EI grouped by the HoD's gender. When analysing the interviews with the Georgian HoDs, it was found that women were better at self-awareness than men. The female HoDs seemed more reflective and concerned by how their reactions influenced their colleagues and the department as a whole. For example, HoD^{Ge6} described how she apologised to a colleague to mend a relationship and resolve tension in the workplace. On the other hand, the male HoDs did not articulate the emotions they experienced when dealing with difficult situations. For instance, HoD^{Ge1}

reported neglecting confrontation with a staff member without recognizing what he felt himself or how his emotional response was received by others (see quote 36, p. 118).

The interviews with the Georgian academic staff did not show gender differences in the perceptions of the HoD's EI. Even when reflecting on the hypothetical scenario, which involved a female HoD dealing with a male senior academic, gender was not brought up as an issue. This was in contrast to the survey results, where the Georgian staff's responses indicated gender differences regarding the emotional skills of male and female department heads.

While the quantitative test did not reveal any gender differences in the perceptions of the English sample, the matrix coding comparison showed some variations in this regard. Based on the HoDs' interviews, the female heads seemed more likely to exercise empathy. The interviewees felt that women tended to be more agreeable and less confrontational compared to men. As HoD[En4] stated, *'women would be less inclined to complain upwards and pick fights'*. This view was also voiced in the interviews with the academic staff:

66. *It is still much harder as a woman to come out and challenge something because people would see you as being hysterical and that is not something you would ever hear about men. It's not a comfortable word to be applied to.*

Staff[En3]

In addition, women in leadership were perceived to be *'more supportive in the little things'* (Staff[En2]) appreciating family commitments.

67. *You, know, she was part of that, she understood which helped, of course. I mean having a female HoD who has children... umm, does make a big difference that they have commitments.*

Staff[En14]

However, some female HoDs were reported to be difficult to work for and with. Specific examples varied, but overall, a large proportion of the interviewed academics avoided making generalisations based on the leader's gender.

HoD's Age, Years in Post and Department Size

Survey. Spearman rank correlations were used to examine the relationship between self/other-rated EI competencies and three demographic variables: HoD's age, HoD's years in post and department size. Institution type had to be excluded from the analysis since the sample size for post-1992 universities in England was too small (see Table 4.3, p. 85). The correlation test between self-rated EI and the selected demographic characteristics did not return any significant relationships in Georgia. However, several other-rated EI competencies were positively correlated with the given variables. Table 4.7 shows the correlation values indicating significant relationships in bold. None of the marked values suggest a strong relationship between EI and the given demographic variables.

The analysis of the Georgian academic staff's responses revealed a low positive correlation between the HoD's age and adaptability. The HoD's years in post was also positively correlated with achievement orientation, adaptability, positive outlook, conflict management and teamwork. Regarding the department size, the number of academic staff in the department was positively related to the competencies of emotional self-awareness and teamwork. With the English sample, the only significant relationship was found between the HoD's years in post and self-rated organisational awareness.

Table 4.7 Correlations between self-/other-rated EI and demographic variables

Georgia	Demographic Variables					
EI Competencies	**HoD Age**		**HoD Years in Post**		**Department Size**	
	HoD	Staff	HoD	Staff	HoD	Staff
Emotional Self-Awareness	.129	.093	.144	.215	-.136	**.324****
Achievement Orientation	.063	.096	-.038	**.251***	.056	.196
Adaptability	.027	**.329****	-.058	**.338****	.120	-.093
Emotional Self-Control	.180	.147	-.106	.231	-.005	.211
Positive Outlook	-.169	.186	-.150	**.409****	.261	.148
Empathy	-.281	.208	-.175	.216	.035	.176
Organisational Awareness	.046	.234	-.070	.220	-.040	.198
Conflict Management	-.029	.108	.109	**.371****	.058	.158
Coach and Mentor	.051	.200	.137	.204	.112	.214
Influence	.212	.013	.260	.146	.233	.128
Inspirational Leadership	.105	.036	.306	.168	.197	.217
Teamwork	-.151	.146	-.229	**.265***	.214	**.290***

England	Demographic Variables					
EI Competencies	**HoD Age**		**HoD Years in Post**		**Department Size**	
	HoD	Staff	HoD	Staff	HoD	Staff
Emotional Self-Awareness	-.326	.011	.177	-.122	-.016	.056
Achievement Orientation	-.091	-.084	.113	.029	.043	.003
Adaptability	-.011	-.084	.095	-.104	.267	.077
Emotional Self-Control	.167	-.025	.114	.041	.118	.067
Positive Outlook	-.069	-.099	.281	.054	.274	.073
Empathy	.032	-.076	.260	.093	.185	-.012
Organisational Awareness	.279	-.122	**.345***	-.102	.120	.027
Conflict Management	-.020	-.148	.151	-.113	.271	.084
Coach and Mentor	.020	-.111	.139	-.038	.045	-.144
Influence	-.024	-.135	.061	-.108	.062	.067
Inspirational Leadership	-.079	-.123	.194	-.055	.036	-.069
Teamwork	-.080	-.018	-.036	-.043	.247	-.026

* $p < .05$ (2-tailed), ** $p < .01$ (2-tailed).

Interviews. The qualitative data yielded conflicting findings considering the observed correlations in the survey data. In contrast to the positive correlation between the HoD's age and other-rated adaptability ($r_s = .329$, $p < .01$, 2-tailed), some Georgian academic staff argued that older HoDs found it harder to adapt to new experiences. It was also suggested that achievement drive decreased as one advanced in age. One no longer sought new avenues for personal development and complacence tended to replace youthful enthusiasm.

68. *The one who has already served long in a leadership post, believe me, s/he probably does not strive and has no willingness left to develop leadership skills.*

    ხელმძღვანელ პოზიციაზე რომ უკვე დიდი ხანია ნამუშევარი, ის დამერწმუნე ალბათ არც ცდილობს და აღარც აქვს იმის სურვილი, რომ განავითაროს მართვის უნარ-ჩვევები.

Staff[Ge11]

In terms of the department size, the number of academic staff seemed to be negatively related to the HoD's ability to practice empathy. For example, when analysing the interview vignette, HoD[Ge3] noted that she may have missed the signs of her staff member struggling because of a large number of people in her department. Smaller departments not only allowed the HoD to connect with their staff, but also helped to eliminate conflict.

69. *The smaller the department, the easier to deal with problems. It basically determines this warm and peaceful environment.*

    რაც უფრო პატარაა დეპარტამენტი, პრობლემები მით უფრო იოლად გვარდება. ეს განაპირობებს მნიშვნელოვანწილად ამ თბილ და მშვიდ გარემოს.

Staff[Ge7]

In addition, a small team was argued to have better group dynamics and facilitate cooperation. It created opportunities to develop close interpersonal relationships with colleagues while a larger workplace could alienate people as Staff[Ge3] explains:

70. *It could be due to the fact that you have colleagues here, who you simply don't know whereas this would not be an issue in a small group of people.*

    თუნდაც იმის გამო, რომ ჩვენთან არიან თანამშრომლები, რომლებსაც უბრალოდ არ იცნობ და პატარა კოლექტივში ეს მომენტია გამორიცხული.

    Staff[Ge3]

This argument did not align with the quantitative findings either which suggested a positive correlation between the department size and other-rated teamwork (r_s = .290, p < .05, 2-tailed).

The English interviews suggested a possible relationship between the HoD's term length and achievement orientation. It was noted that the rotational nature of the HoD's post in pre-1992 universities could produce reluctant leaders. Senior members of the department were expected to be a head for a fixed time regardless of their wish or leadership potential. Being forced into this role because of collegial responsibility, the HoDs lacked motivation to meet or go beyond expectations (see quotes 8-9, p. 101). What is more, a fixed term of three years was deemed insufficient for acquiring the right skill set to excel in leadership.

71. *You get people coming for three years. One year you are learning. The second year you just about got it. The third year you are looking to the exit. And you say 'well, I'm not doing anything now because the next person is coming.'*

    HoD[En1]

The HoD's term length also seemed to be related to teamwork. On the one hand, the HoD with a fixed-term contract seemed more likely to enter into consultation and take collegial decisions. On the other hand, the HoD on a permanent contract did not feel the need to consult with the team every time decisions were made.

72. *I'd like to create a consensus, and then... take a consensus as the guiding principle, like we all agreed, by majority we agreed on so and so and so, (then) we should do it rather than me saying 'it's me saying so'.*

HoD[En3]

73. *You probably get more authority with a permanent position... to actually make more individual decisions. So you don't have to bring the team with you on every occasion.*

HoD[En5]

Similar to the Georgian interviews, a negative association was observed between the department size and the HoD's ability to empathise with staff. It was noted that while the HoD may have wished to get to know people as individuals, it was a challenge in large departments.

74. *It's harder to get inside their heads, would take a long time I think to sort of work out what everyone was thinking and who they were.*

HoD[En4]

The department size also had a bearing on the perceptions of teamwork. It was proposed that small departments were more collegial while large ones struggled to remain cohesive. For instance, HoD[En6], whose department counted over 50 academics, commented that they only met as a department a couple of times a year. Instead, it was the programme areas that would meet on a regular basis.

75. *It is a large department, typically people, especially new members interact just with their group, something of the order of 10 people, more or less.*

Staff[En10]

The above quote suggests that the division of a large department into smaller academic units could lead to distancing groups of people within a department and have implications for their sense of belonging and interdependence.

4.5 RQ #2: Values Tied to Emotions of Leadership

- *How do HoDs' and academic staff's cultural values relate to their perceptions of EI in departmental leadership?*

The second research question sought to understand how cultural values interacted with perceived emotions of departmental leadership. It was a non-directional relational question looking for associations in the quantitative data rather than causality. As outlined in Chapter 2, the aim was not to cover a full range of cultural values. The study focused on a specific dimension of cultural variation – individualism and collectivism (IC) considering its applicability to shaping emotional experiences.

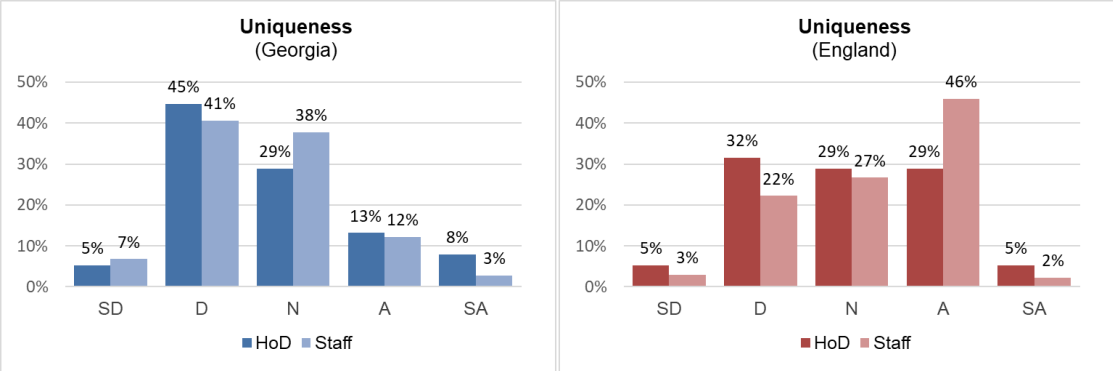
The survey contained 10 Likert scale items measuring the respondent's IC values at individual, relational, and group levels. The items were measured on a 5-point agreement scale: 'strongly disagree' (SD), 'disagree' (D), 'neither agree nor disagree' (N), 'agree' (A), 'strongly agree' (SA). A 'Not sure/difficult to answer' response category was not provided for this group of questions. The quantitative data in relation to IC are summarised below. Spearman rank correlations are computed to determine the association between the IC values and the EI competencies, as rated by self and others. The findings presented in correlation tables have the values for statistically significant relationships marked in bold.

4.5.1 Individualism and EI

The variables measuring the individual-oriented values were: uniqueness, independence, self-interest and competitiveness. They emphasised the representation of the self as an autonomous entity separate from others. The responses reported in relation to three of the four values were broadly similar across the subgroups in Georgia

and England. However, a marked difference was observed in relation to the value of uniqueness (see Figure 4.20). Around half of the Georgian academics did not consider themselves rather different from others while around a third of the English HoDs and about half of their academic staff saw themselves as unique individuals.

Figure 4.20 Uniqueness: Comparison of ratings across subgroups



The correlation analysis showed both positive and negative significant relationships between the individualist values and self/other-rated EI competencies (see Table 4.8). All the significant relationships ranged from low to modest. The largest negative correlation found in the Georgian dataset was between the HoD's self-interest and self-rated empathy (r_s = -.441, p < .01, 2-tailed). The highest positive correlation was between the HoD's competitiveness and self-rated capacity for influence (r_s = .466, p < .01, 2-tailed). Examining the English data returned the highest negative relationship between the HoD's independence and self-rated empathy (r_s = -.376, p < .05, 2-tailed) whereas the largest positive relationship was found between the HoD's competitiveness and self-rated achievement orientation (r_s = .370, p < .05, 2-tailed).

Table 4.8 Correlations between self/other-rated EI and individualism

Georgia	Individualism							
EI Competencies	**Uniqueness**		**Independence**		**Self-interest**		**Competitiveness**	
	HoD	Staff	HoD	Staff	HoD	Staff	HoD	Staff
Emotional Self-Awareness	.320	-.079	.185	.140	-.014	-.152	.256	-.013
Achievement Orientation	.166	-.118	.217	.086	-.072	-.080	.265	-.080
Adaptability	-.138	-.078	-.137	-.002	**-.355***	-.083	-.003	.091
Emotional Self-Control	.083	-.124	.176	.141	-.120	-.196	-.222	-.133
Positive Outlook	**-.345***	**-.247***	**-.385***	-.076	-.141	.095	-.188	-.149
Empathy	.062	.097	-.320	.046	**-.441****	-.068	.021	-.054
Organisational Awareness	.053	.003	.109	.220	-.182	-.171	.096	.129
Conflict Management	.200	-.190	-.124	.066	-.075	-.133	.003	-.140
Coach and Mentor	.083	.016	.002	**.251***	.113	-.055	.091	.007
Influence	.107	.031	.039	.091	-.063	-.048	**.466****	.007
Inspirational Leadership	.175	.071	-.139	.002	.228	.056	.156	-.033
Teamwork	.015	-.015	-.268	.207	-.283	-.157	.038	.031

England	Individualism							
EI Competencies	**Uniqueness**		**Independence**		**Self-interest**		**Competitiveness**	
	HoD	Staff	HoD	Staff	HoD	Staff	HoD	Staff
Emotional Self-Awareness	-.119	-.138	-.158	-.112	-.112	-.066	-.122	.121
Achievement Orientation	.136	-.070	.129	.025	-.104	.119	**.370***	.045
Adaptability	.104	-.068	.187	-.087	-.154	.022	.042	-.005
Emotional Self-Control	-.294	-.153	-.026	.111	-.008	-.047	-.024	.174
Positive Outlook	-.213	-.144	-.193	-.154	**-.360***	.001	.092	.031
Empathy	-.212	-.059	**-.376***	-.167	-.310	**.203***	-.179	-.018
Organisational Awareness	.052	-.115	.009	-.084	-.197	.013	.177	.094
Conflict Management	-.102	-.158	-.098	-.005	-.317	.065	-.026	.049
Coach and Mentor	.056	-.069	-.077	-.099	-.050	-.063	.052	.092
Influence	-.077	-.098	-.097	.060	.089	-.065	.169	.129
Inspirational Leadership	-.042	-.039	-.119	-.092	-.044	.013	.102	.023
Teamwork	-.025	-.089	-.239	-.028	-.085	.093	.026	.022

* $p < .05$ (2-tailed), ** $p < .01$ (2-tailed)

4.5.2 Relational Collectivism and EI

Relational collectivism was measured by: having a sense of belonging to the department, feeling interdependence on team members, seeking advice from colleagues, and valuing harmony in working relationships. The first three items attracted mostly positive responses across the Georgian and English subgroups. However, there was a notable difference in the ratings of the variable *harmony* – the tendency to avoid disagreements. This item in the HoD's version of the questionnaire referred to avoiding an argument with staff whereas the staff's parallel version differentiated between other staff members and HoD. Table 4.9 crosstabulates three ratings for this variable, one given by the HoDs and two by the academic staff in Georgia and England.

Table 4.9 Harmony: Crosstabulation of ratings across subgroups

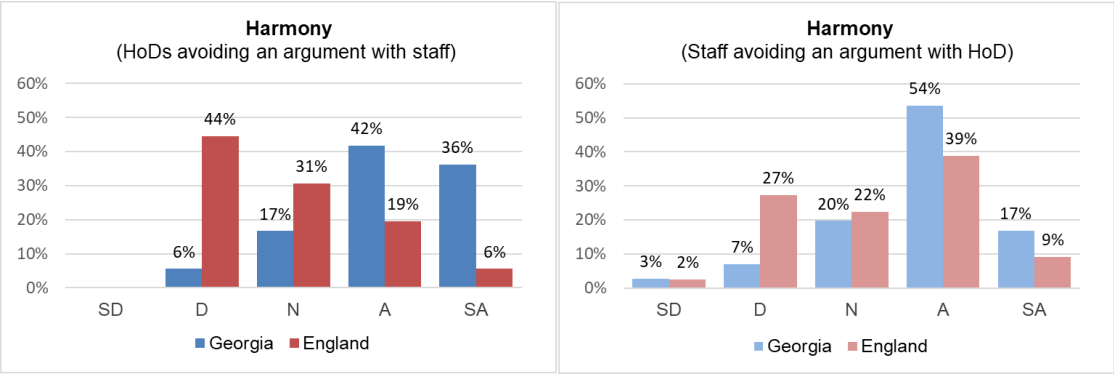
Country			Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Total
Georgia	HoD[1]	Count	0	2	6	15	13	36
		% within Role	0.0%	5.6%	16.7%	41.7%	36.1%	100.0%
	Staff[1]	Count	1	6	17	37	11	72
		% within Role	1.4%	8.3%	23.6%	51.4%	15.3%	100.0%
	Staff[2]	Count	2	5	14	38	12	71
		% within Role	2.8%	7.0%	19.7%	53.5%	16.9%	100.0%
England	HoD[1]	Count	0	16	11	7	2	36
		% within Role	0.0%	44.4%	30.6%	19.4%	5.6%	100.0%
	Staff[1]	Count	4	29	25	56	8	122
		% within Role	3.3%	23.8%	20.5%	45.9%	6.6%	100.0%
	Staff[2]	Count	3	33	27	47	11	121
		% within Role	2.5%	27.3%	22.3%	38.8%	9.1%	100.0%

[1] Avoiding an argument with academic staff, [2] avoiding an argument with HoD.

As shown in Table 4.9, about three-quarters of the Georgian HoDs reported concern for maintaining harmony as opposed to about two-thirds of their academic staff. In the case of England, only about a quarter of the HoDs would refrain from having an argument compared to around half of their academic staff. Regarding the different reference

points in the staff's version of the survey item, both the Georgian and English staff were largely as likely to maintain a harmonious relationship with other staff members as with their HoD. If we graphically compare the score distribution across the countries, the contrast is rather sharp between the two cultural contexts. Figure 4.21 demonstrates that the Georgian HoDs and academic staff perceived themselves as much more agreeable as opposed to their English counterparts.

Figure 4.21 Harmony: Crosstabulation of ratings across countries



The correlation analysis revealed significant positive associations between the variables measuring relational collectivism and the self/other-rated EI competencies in both sample groups. Interestingly, the Georgian academic staff's sense of belonging was positively related to each of the 12 other-rated EI competencies, the highest correlation being with teamwork ($r_s = .65$, $p < .01$, 2-tailed). In England, the largest correlation was between the HoD's tendency to seek advice and self-rated coaching and mentoring competency ($r_s = .39$, $p < .05$, 2-tailed). None of the significant relationships in either country were more than modest (see Table 4.10).

Table 4.10 Correlations between self/other-rated EI and relational collectivism

Georgia	Relational Collectivism								
EI Competencies	**Belonging**		**Interdependence**		**Advice**		**Harmony**		
	HoD	Staff	HoD	Staff	HoD	Staff	HoD[1]	Staff[1]	Staff[2]
Emotional Self-Awareness	.231	**.439****	.000	.135	-.021	.238	**.335***	-.051	-.027
Achievement Orientation	.156	**.440****	**.483****	**.248***	.003	**.421****	.319	.089	.075
Adaptability	**.416***	**.335****	**.437****	.064	.210	**.277***	.120	-.067	-.010
Emotional Self-Control	.250	**.587****	-.026	**.247***	.263	**.382****	.248	.062	.159
Positive Outlook	.245	**.275***	-.039	.157	**.343***	**.403****	-.120	.205	**.274***
Empathy	.207	**.478****	.278	.229	.261	**.302***	-.095	.076	.107
Organisational Awareness	.147	**.475****	.280	.158	.279	.112	.156	-.014	-.030
Conflict Management	-.085	**.378****	.014	**.307***	.283	**.407****	.009	.211	.198
Coach and Mentor	.063	**.579****	.324	.171	.112	**.341****	.164	.163	.066
Influence	-.057	**.455****	**.358***	**.258***	.038	.170	.098	.090	.127
Inspirational Leadership	.067	**.440****	.329	.097	.069	**.308***	.116	.003	.027
Teamwork	**.392***	**.650****	.269	.156	.278	**.326****	.146	.235	.132

England	Relational Collectivism								
EI Competencies	**Belonging**		**Interdependence**		**Advice**		**Harmony**		
	HoD	Staff	HoD	Staff	HoD	Staff	HoD[1]	Staff[1]	Staff[2]
Emotional Self-Awareness	-.035	**.214***	**.366***	.039	.209	.050	-.033	.042	.053
Achievement Orientation	.079	-.045	.149	**-.191***	.280	-.044	.105	-.113	-.064
Adaptability	.125	.100	.075	-.040	**.369***	.079	.143	.104	.070
Emotional Self-Control	.103	.023	.030	-.065	**.354***	-.001	.042	.137	.181
Positive Outlook	.239	.154	.135	.003	.146	.148	-.062	-.100	-.063
Empathy	.275	**.186***	.200	-.063	**.364***	.058	.048	-.018	.036
Organisational Awareness	.045	.101	.124	.017	.243	-.001	-.087	.025	-.020
Conflict Management	**.337***	**.222***	.124	-.037	.291	.047	.029	-.040	-.015
Coach and Mentor	.138	.092	.113	-.053	**.390***	.043	.166	-.150	-.082
Influence	.041	.073	.110	-.083	.233	.043	-.130	.006	.005
Inspirational Leadership	-.034	.041	.189	-.024	.182	.077	-.188	-.056	-.089
Teamwork	-.112	**.204***	.121	-.128	.184	-.009	-.040	-.003	-.013

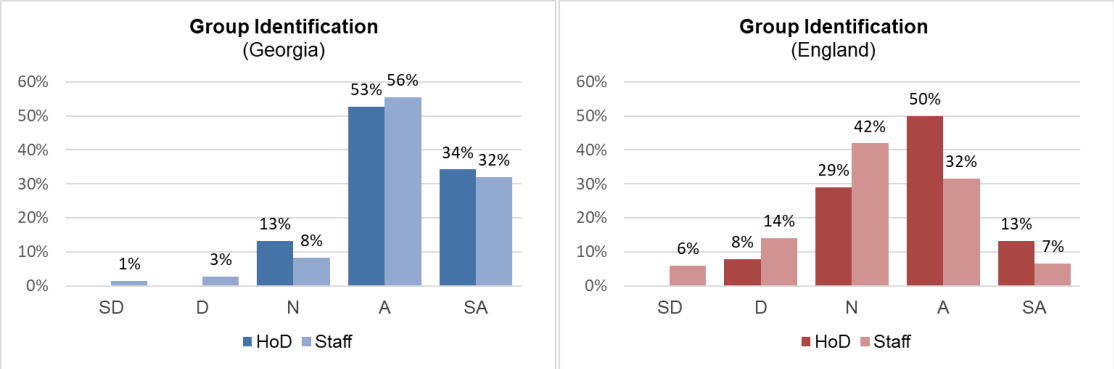
* $p < .05$ (2-tailed), ** $p < .01$ (2-tailed).

[1] Avoiding an argument with academic staff, [2] avoiding an argument with HoD.

4.5.3 Group Collectivism and EI

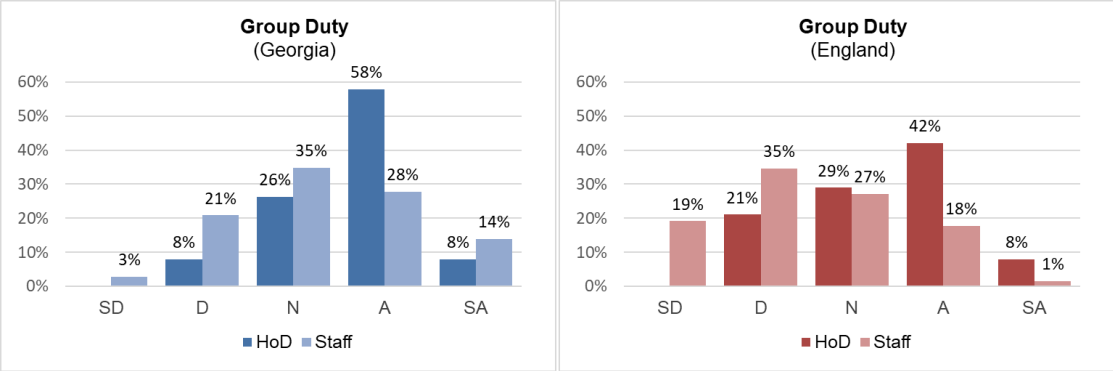
The core aspects of group collectivism were group identification and group duty. The former referred to the tendency to view oneself as embedded within a larger collective (in this case, university) while the latter implied obligations to organisational welfare. The majority of the Georgian HoDs and academic staff agreed that they shared the guiding values of their university. In comparison, the proportion of the English respondents who identified with their institution was smaller. About two-thirds of the HoDs and just over a third of the academic staff in England seemed to internalise their organisational values as Figure 4.22 illustrates.

Figure 4.22 Group identification: Comparison of ratings across subgroups



Regarding group duty, about two-thirds of the Georgian HoDs and less than half of the academic staff indicated that they would give up their personal interest for the benefit of their university. However, the English sample felt less obliged. Only half of the HoDs and less than a quarter of the academics were willing to sacrifice their self-interest for their institution's sake as depicted in Figure 4.23.

Figure 4.23 Group duty: Comparison of ratings across subgroups



The correlation test between the values of group collectivism and self/other-rated EI competencies returned several significant, low to modest positive relationships. The highest correlation in the Georgian dataset was between the HoD's sense of group duty and self-rated inspirational leadership ($r_s = .49$, $p < .01$, 2-tailed). In the case of England, the largest correlation was between the HoD's group identification and self-rated positive outlook ($r_s = .512$, $p < .01$, 2-tailed). The correlation coefficients for all the variables are shown in Table 4.11.

To summarise, correlating the IC values with the EI competencies suggested significant associations at each of the three IC levels in both countries. Significant negative relationships were found only at the individual level of IC. In terms of the two dimensions of collectivism, both showed some significant positive relationships with the HoD's self/other-rated EI competencies the implications of which are discussed in the next chapter.

Table 4.11 Correlations between self/other-rated EI and group collectivism

Georgia	Group Collectivism			
EI Competencies	**Group Identification**		**Group Duty**	
	HoD	Staff	HoD	Staff
Emotional Self-Awareness	.289	.247	.167	.125
Achievement Orientation	.290	**.334****	.147	.152
Adaptability	.151	.247	.113	.073
Emotional Self-Control	-.064	.075	.011	-.040
Positive Outlook	.177	.092	.137	-.170
Empathy	-.231	**.362****	.075	.119
Organisational Awareness	.303	**.289***	.270	**.245***
Conflict Management	-.100	.164	.061	.008
Coach and Mentor	.244	**.427****	.291	.099
Influence	.131	.063	.287	.150
Inspirational Leadership	.294	**.356****	**.490****	.081
Teamwork	.074	**.310***	.315	.170

England	Group Collectivism			
EI Competencies	**Group Identification**		**Group Duty**	
	HoD	Staff	HoD	Staff
Emotional Self-Awareness	.113	**.222***	.226	**.320****
Achievement Orientation	**.385***	.164	**.343***	.174
Adaptability	**.422***	**.248****	.125	**.189***
Emotional Self-Control	.207	.167	-.094	.104
Positive Outlook	**.512****	**.197***	.140	.176
Empathy	.138	.157	.043	.102
Organisational Awareness	**.339***	.156	.024	.131
Conflict Management	**.395***	.146	.070	.119
Coach and Mentor	**.370***	**.182***	.269	.149
Influence	.233	.154	.040	.109
Inspirational Leadership	.200	**.203***	.071	.126
Teamwork	**.407***	**.200***	.138	.049

* $p < .05$ (2-tailed), ** $p < .01$ (2-tailed).

4.6 RQ #3: Emotion in Leadership Development

❖ *What role should EI play in departmental leadership development?*

The third research question drew on the qualitative phase of the study and explored the emotional aspects of departmental leadership development at Georgian and English universities. It aimed to understand the role of EI in the existing mechanisms of leadership development and sought implications for further supporting HoDs.

The interview data revealed that none of the Georgian HoDs had been provided with any formal leadership development programme either before or after their appointment. However, most of them had already held positions of formal authority prior to assuming the HoD role. The experience in dealing with people over years had given them the confidence to take over the department. They stated they had a flair for leadership and it was a natural progression of their career trajectory. HoD^{Ge2}'s comment captures the path to departmental headship:

76. *I was ready because I had the experience. From a lab assistant's role to professorship, I have taken every step on the ladder including being a lecturer, a senior lecturer, then a docent and now a Professor. […] I served as a deputy dean of the faculty for several years and was pretty much coordinating the teaching process and it all. So being in charge of a department was not something new and extraordinary.*

    მზად ვიყავი, იმიტომ რომ გამოცდილება მქონდა. ლაბორანტობიდან მოყოლებული ყველა საფეხური მაქვს გავლილი. მასწავლებელი, უფროსი მასწავლებელი, მერე დოცენტი, ახლა პროფესორი. […] რამდენიმე წლის განმავლობაში ფაკულტეტის დეკანის მოადგილე ვიყავი, რასაც ფაქტიურად, სასწავლო პროცესს და ყველაფერს ვკურირებდი. ასე, რომ ახალი რაღაც განსაკუთრებული დეპარტამენტისათვის არ ყოფილა.

    HoD^{Ge2}

Yet, some of the HoDs felt less confident and found themselves thrown in at the deep end. HoD^{Ge1} struggled to motivate underperforming staff to raise the department's

research profile. While HoD[Ge3] enjoyed good support within the department, her challenge was managing relationships with senior colleagues who '*were held in high esteem'*. For HoD[Ge4], it was about finding courage and developing resilience. Generally, the HoDs admitted that it took them conscious efforts to acquire the necessary skills to lead, largely by doing it wrong the first few times.

While the interviewees were not familiar with leadership training targeting 'people skills', most of them believed it would be useful. It was proposed that such courses should be offered to potential HoDs before taking on the leadership role rather than after appointment. HoD[Ge3] speculated this could provide a recipe for handling difficult situations, something she had to learn the hard way. An interesting opinion was voiced by HoD[Ge2] who thought leadership programmes would be more suitable for younger HoDs rather than someone of his age.

77. *I don't know. I may be told 'if you have been a HoD for such a long time, what leadership skills development do you require…' ((laughs)) say, it could be for new, somewhat beginners who are developing these skills from scratch and learning how to lead a department.*

    არ ვიცი ახლა. მეტყვიან ახლა ,,თუ ამდენი ხნის განმავლობაში დეპარტამენტის ხელმძღვანელი ხარ, რაღა ლიდერის უნარ-ჩვევების..." ((იცინის)) ვთქვათ, ეს შეიძლება იყოს ახალი, დამწყებისთვის ერთგვარად, რომელიც ავითარებს მთლიანად ამ უნარ-ჩვევებს და დეპარტამენტის მართვას სწავლობს.

    HoD[Ge2]

Several staff members echoed this argument stating that leadership courses would benefit relatively novice HoDs. This view was based on the assumption that younger leaders might be more enthusiastic and achievement driven (see quote 68, p. 139). However, the majority of the staff did not refer to the HoD's age as a barrier to leadership development. They argued that everyone had different parts of personality that could come out in different situations with a bit of encouragement and training. It

was suggested that nothing was innate and it required hard work to perfect the art of human leadership. HoD[Ge5] and HoD[Ge6], who were in their 60s, stated that they were *'never too old to learn'* and would welcome such training opportunities if they were provided.

78. *Why not? Occasionally I still make mistakes to this very day. Then I reflect that it may not have been the right thing to do. Times have changed and I need to keep up with the change.*

    რომ იყოს, სიამოვნებით. მე ბევრი რამე ახლაც მეშლება ხანდახან. დავუფიქრდები, რომ შეიძლება არ უნდა გამეკეთებინა. დღეს სულ სხვა დროა და ვცდილობ არ ჩამოვრჩე.

    HoD[Ge5]

Yet, even when the motivation for personal growth was preserved, some participants doubted whether certain skills could be taught or acquired and whether anyone could make an outstanding HoD. Therefore, instead of selecting ineffective leaders and then trying to train them, it was wiser to identify, prepare and appoint the right candidate from the very start.

Prioritising the leadership candidate's academic credentials was generally viewed in a positive light. Seniority was considered important since it was associated with greater experience. Successful academics as HoDs were believed to have more credibility and authority within the department. Without having a high scholarly profile, the HoD could struggle to urge staff members to pursue academic excellence. In addition, it was suggested that one could not possibly excel as an academic if they did not possess some leadership capacity.

79. *Expertise also presupposes that an expert would not lead inadequately. […] You cannot be an expert in your field without having basic social competencies.*

პროფესიონალიზმი გულისხმობს იმასაც, რომ პროფესიონალის მართვა არაადეკვატური არ იქნება. [...] შენ საქმეში პროფესიონალი რაღაც მინიმალური სოციალური უნარ-ჩვევების გარეშე ვერ იქნები.

Staff[Ge3]

Most participants agreed that leadership programmes could contribute to raising awareness about the emotional and social skills in leadership. Ultimately, it was up to the HoD's willingness, though, to identify gaps in their skill set, reflect on their practice and make the decision to act in an emotionally intelligent way. It was thought desirable to have an evaluation mechanism of HoDs' leadership performance as a channel for providing feedback and support.

Most HoDs in England appeared to have received some formal leadership training certain aspects of which were appreciated and certain aspects not considered useful. What they found helpful was more practical skills, such as the strategies for motivating staff, getting the best out of people and dealing with difficult situations. However, they did not see much value in generic leadership courses delivered by trainers giving motivational talks. *'Some guy wanted us to do creative writing and you know, write poems... I just thought of "what's the point of this?"'* – wondered HoD[En4].

Instead, the HoDs wished trainers were senior academics having worked in leadership positions themselves. They preferred if leadership development programmes drew on specific examples of academic life and involved a discussion of the challenges of the post. In addition, the benefit of going on external courses was noted as an opportunity to work with a range of people from other universities and companies. HoD[En5] observed that it would allow him to take a step back and gain a better understanding of the intricacies of the role.

The English staff members had mixed opinions about the usefulness of leadership programmes in teaching relationship-oriented skills. While some thought there were general guidelines that could be borrowed and applied, others emphasised that the success of learning relied on people engaging with the programme behaviourally. Whether every HoD would make a conscious effort to discover what they needed to acquire, was doubted. For example, HoD[En1] himself admitted that he was not motivated to improve his leadership and questioned the implications of leadership courses for practice.

80. *Trying to train me up as a reluctant manager is probably a waste of time because I don't really wanna do it. I've just done it because it was my turn.*

HoD[En1]

Moreover, some people were considered naturally less responsive than others making it difficult to train them as the quote below illustrates.

81. *It's not even a skill, it's almost an innate thing, that almost makes it sound genetic. What I mean is something that you can't really train […] You know, you get university courses on how to empathise […] If you go to this three-hour session, then we've ticked the boxes and people can now empathise. It doesn't work like that.*

Staff[En11]

Similar to the Georgian case, it was proposed that leadership programmes should be supplemented with further support and some form of evaluation system of the HoD's leadership. What the participants largely agreed on was the value of having a mentor/coach. It was believed that mentoring helped HoDs think strategically and manage difficulties with staff more effectively. For instance, HoD[En6] thought access to mentoring was immensely useful because of the *'one-to-one support with some deep talk-through issues'* it provided. Another source of support was reported to be an informal peer network. Having congenial peers, who HoDs could regularly chat to and share problems with, was assumed to make a difference.

82. *You need another head of department who's been doing it for a while to go and say 'I've got this problem. How do you think I should handle it?' And then you could talk through your scenarios with them.*

HoD[En1]

In addition to problem-solving, peer support seemed to play a role in coping with the emotional pressures of middle leadership. It allowed the HoD to network and *'offload some of the stuff that you can't offload either up to your bosses or down to your staff'* (HoD[En2]). Interestingly, while HoD[En3] had built such a network in his own faculty, HoD[En5] thought it was better to work with colleagues outside the faculty not to end up with people who could be part of the issue one wanted to discuss.

It was also pointed out that the HoD's role had evolved over the years. About 30 years back, department heads were believed to be engaged mostly in academic work. They did not have to run budgets, worry about recruitment or hitting targets. Therefore, it was thought unrealistic to have the same model today with a senior academic being in charge of the department. *'I'm not skilled to do it, I'm skilled to carry out research, not to manage budgets and run people'* – argued HoD[En1]. He remembered being overwhelmed upon assuming the leadership role because of the amount of responsibility that fell on him. Yet, he felt that at his institution it was an expectation to *'get on with it'*.

Some participants held the university guilty of not having a proper succession plan in place. They criticised the current HoD selection criteria, which did not seem to account for the candidate's emotional and social skills. HoD[En2] noted that when she wrote an application for the HoD's role, *'emotional well-being, the emotions were not mentioned there at all. It was all sort of abstracted from that'*. Several staff members also observed that when leading a department, the HoD's skills to connect with people mattered more

than academic achievements. If one was good at nurturing people around them, then others could supply that *'extra bit of brilliance'* (Staff^{En9}).

83. *Their writing is really good, their intellect is really good, but they don't have the foggiest idea how to talk to somebody who's got an emotional problem... You know, it's just not what they're good at. I don't say that against them, it's just different people have different skills. And they should not be heading departments.*

Staff^{En15}

84. *There are people who are very poor intellectually, but get by on sheer force of personality. You know, they are attractive figures and people listen to them.*

Staff^{En2}

It was suggested that the university should hire a professional manager to run the department and let the academics carry on with their teaching and research activities. There could be a notional head whose responsibilities would be limited to academic work and mentoring staff. Instead, a department manager would take over the administrative side of the role.

4.7 Summary

The chapter reported the findings from the mixed methods study integrating the quantitative and qualitative data. The perspectives and experiences of the HoDs and academic staff in Georgia and England were compared at multiple levels. I summarised the quantitative data through frequency distributions, tested for between-group differences and examined the relationship between the variables of interest. The interview data were subjected to thematic analysis to uncover the participants' patterned responses across the two cultural contexts. Combining the complementary evidence from different methods helped to develop a more nuanced picture of emotion in leadership than using a single method could have offered. The next chapter grounds the discussion of the research findings in the relevant literature.

CHAPTER 5: DISCUSSION

> *'When you write a book, you spend day after day scanning and identifying the trees. When you're done, you have to step back and look at the forest.'*
>
> *Stephen King*

5.1 Introduction

The chapter discusses the research findings in relation to the reviewed literature. The discussion is organised into three main themes, which I named using the participants' words as: (a) *walk in my shoes*, (b) *get on with it*, and (c) *learn the ropes*. The themes were derived following a six-phase approach to thematic analysis outlined in Chapter 3. I searched for commonalities in the HoDs' and academic staff's accounts of their emotional experiences of departmental leadership. As I connected the data to the research questions, I drew inferences not only from what was overtly stated, but also from what was missing from the participants' stories. The theme *'walk in my shoes'* was the strongest illuminating the power of the heart leading the head (of department). It was linked to the first research question and served as a lens to see an emotional person behind a rational academic. Another theme *'get on with it'*, which aligned with the second research question, was the least salient. It was identified through interpreting the implicit ways of processing interpersonal relationships and HoD-staff emotional encounters. The third theme *'learn the ropes'* spoke to the final research question. It outlined recurring patterns in the HoDs' paths to leadership as well as implications for departmental leadership development. While the themes primarily drew on the interview narratives, they were also informed by the survey results. As I integrate qualitative and quantitative analysis, I highlight how the results align with the existing scholarship. After addressing the three themes across the two contexts, I reflect on the challenges of synthesising the findings through methodological and data triangulation.

5.2 Theme 1: Walk in My Shoes

This theme captures the importance of human connection in departmental leadership. The capacity for emotional understanding and engagement was consistently woven in the participants' accounts as they shared their experiences of either walking alone or in others' shoes.

In Georgia, empathy was perceived as an attribute that made people *human*, be it HoD or staff. Mutual understanding and respect was thought integral to generating trust and building a culture of compassion. It was observed that empathetic leadership reached the heart (see quote 20, p. 110) - consistent with previous research that found the HoD's ability to empathise vital to effective departmental leadership (Bryman, 2007; Parrish, 2015). Interestingly, the survey results showed that the academic staff rated female HoDs higher in empathy, which provided support for Goleman's (1998) argument that, on average, women seem to empathise better.

In terms of the HoD engaging the heart, the views were mixed. The interview data revealed that some staff members did not find inspiration in their HoD's leadership. They recognised that the role was necessary to ensure the department was attached to the central administration, but there were few explicit references to leadership actions driving engagement and aligning people around a shared vision. It seemed that departmental leadership was not associated with offering solutions to complicated problems. The HoDs were primarily viewed as *'decision implementers'* rather than *'decision-makers'* (see quotes 47-48, p. 125). The role was perceived to be loaded with administrative duties as opposed to charisma suggesting that the HoD was not *'some kind of world historical figure'* (see quote 52, p. 128). It echoed Sergiovanni's (2001) argument that a leader cannot be 'a messiah' (p. ix) and resonated with Kouzes and

Posner (2002) that leadership is not a privilege of few, but a process anyone can engage in by 'liberating the leader within' (xxiii).

In England, it was largely believed that genuine leadership required an understanding of others' perspectives and motivation. The HoDs emphasised that they tried to listen to their staff (see quote 21, p. 110) and understood their pressures having 'been there'. This was in contrast with a recent study (Ruttan *et al.*, 2015), which found that having a shared experience does not necessarily make people more empathetic. Regarding the HoD's gender and their degree of empathy, the qualitative data indicated that female heads could be more supportive (see quote 67, p. 136), but this did not align with the quantitative results, which did not show any significant gender differences.

The HoDs demonstrated that they cared by stepping up for their staff and challenging utilitarian decisions from the centre. It resonated with Knight and Trowler (2001), who argue that leadership is not only about driving desired change but also challenging undesired change. Interestingly, HoD[En2] tried to display empathy even when she failed to empathise, which signalled *emotional labour* – the need to act appropriate feelings (Hochschild, 1983). In their 'quest to do the right thing' (Sergiovanni, 2001, ix), the HoDs did not expect much support or empathy themselves (see quote 22, p. 111) and seemed to experience a form of 'wounding' (Ackerman & Maslin-Ostrowski, 2004). The findings indicated that the HoDs also required understanding and guidance when tackling the emotional challenges of the role.

In common with the Georgian participants, some staff members argued that the EI competencies were not necessarily part of the required skillset of the HoD. They saw the role in terms of articulating things and complying with the regulations. The HoD did not necessarily have to *lead* with emotions or make the department feel harmonious.

What is more, some did not even want to be *led* and resisted being identified as *followers* (see quote 56, p. 129). It was consistent with previous research in the UK academia suggesting that the term *leadership* may not carry positive connotations because of being 'bound up with feelings of dependency' (Bolden *et al.*, 2012, p. 35).

5.3 Theme 2: Get on with It

This theme maps an array of emotional challenges inherent in departmental life. The phrase *'get on with it'* was used multiple times by the participants alluding to a sense of resilience and isolation, the need for interdependency and care.

In Georgia, against the background of HE restructuring, underfunding and low salaries, academics had chosen to 'get on with it' *together*. While issues with collective commitment were noted, the interviews conveyed a sense of interdependency and academic loyalty. The majority of the interviewees had served in their departments long enough to develop lasting friendships giving their workplace a family feeling (see quotes 60-61, p. 132). A low staff turnover enabled the HoDs to identify influencers and analyse implicit power structures that had formed over time. In line with the EI literature (Goleman *et al.*, 2002), organisational awareness helped them to mediate relationships with emotional sensitivity (see quote 29, p. 114). Indeed, the descriptive summary of the survey data showed a marked preference for maintaining group harmony (Table 4.9, p. 145). The correlation analysis also suggested positive significant associations between the dimensions of collectivism and the HoD's self/-other rated EI competencies (see Table 4.10, p. 147 and Table 4.11, p. 150).

One possible determinant for a heightened sense of closeness could have been practical logistics. My field notes indicated that the interviewed academics in Georgia often

shared a bustling staff room. The absence of individual offices had naturally created a common collaborative space where relationships were built and nurtured. It could be linked to Hargreaves's notion of *emotional geographies*, which suggests that spatial distribution can 'draw people together or keep them apart' (Hargreaves, 2008, p. 144). However, it should be noted that the interview sample in Georgia was drawn from two regional universities. The dynamics of workplace relationships in the universities located in a larger city might have been perceived differently.

In England, there was a strong sense that universities were increasingly run by business principles, which affected the participants' sense of belonging to their departments and institutions. The HoDs, *'swarmed'* by a pile of administrative duties, had grown more distant from those whose hearts they were meant to engage (see quotes 25-27, p. 112). As academic staff struggled to maintain balance between teaching and research, they felt confused about institutional priorities (see quotes 57-58, p. 130). They maintained that academia was turning into a *'money-making enterprise'* and core academic values were being undermined (see quotes 63-65 p. 134). This was consistent with the wider literature about HE being perceived as an industry and neglected as a place of enquiry (Naidoo, 2003; Naidoo *et al.*, 2011). It also resonated with recent research about a growing culture of managerialism at the UK universities (Bolden *et al.*, 2014; Deem, 2012; Docherty, 2011).

The sheer workload of academic work was found to affect collegiality. Even if people wanted to help, many seemed *'bogged down in their own needs'* (Staff^{En3}) and kept their doors shut (Staff^{En1}). Some staff members believed that it was the HoD's responsibility to try and ensure that workloads required of individual academics were indeed manageable. This was in common with Harris (2007), who argues that distressed

staff may long for a ‘fairy godmother’ to rescue them (p. 36). Part-time and research staff, who had limited contact with the HoD, felt particularly distanced from the day-to-day life of the department. Preference to work from home was also common, which, as Gentle and Forman (2014) put it, turns academics into an ‘invisible cohort’ hard to influence and manage (p. 23). Regarding the staff on teaching contracts, they felt their work was not appreciated as much as research and were concerned they were not viewed as *‘proper members’* of the department (see quote 19, p. 108). It echoed the literature about research activities being associated with profit and teaching becoming ‘devalued’ (Strike, 2010, p. 81).

5.4 Theme 3: Learn the Ropes

This theme focuses on the experiences of grasping the complexity of the HoD’s role. Since the origin of the phrase *‘learning the ropes’* is linked to sailing, metaphorically it suited the HoD, who was still viewed by some as *‘the captain of the ship’*.

Leadership development. In Georgia, the interviews showed that the HoDs did not have access to formal leadership development mechanisms. Yet, having stepped into the position with varying levels of leadership experience, they all shared a high degree of organisational awareness. They had spent a long time in the institution, were familiar with the implicit workplace norms and derived support from close interpersonal relationships. This seemed to facilitate their leadership development in the absence of any formal training provision or mentoring. This finding resonated with the argument on *implicit learning* – lessons learnt through experience (Goleman *et al.*, 2002; Zenger & Folkman, 2009).

The interviewees generally believed that the leader's people skills could be honed – a view endorsed by some (Goleman *et al.*, 2002; Higgs & Dulewicz, 2002) and questioned by others (Burke, 2006; Cherniss, 2006; Claxton, 2005). While some staff members suggested that older HoDs were less motivated to adapt to new experiences (see quote 68, p. 139), it was not supported by the observed positive correlation between the HoD's age and other-rated adaptability ($r_s = .329$, $p < .01$, 2-tailed), meaning that the older the HoD was, the more adaptable he was viewed by academic staff. Relating this to the EI literature, the quantitative results echoed Goleman (1998), who argues that a person's EI increases with age.

In England, most HoDs had taken leadership courses, but they were not considered particularly useful. This was consistent with earlier research on leadership development at the UK universities (Johnson, 2002), but inconsistent with a later study reporting a positive change in the design of such programmes (Bolden *et al.*, 2008). The existing training provision, as described by the participants, did not seem to have a clear focus on emotional aspects of leadership and failed to prepare HoDs for the intricacies of being a mid-level 'manager academic' (Deem, 2004).

The courses were described as too general in nature and delivered by trainers who did not have an academic background. Therefore, some HoDs deemed such training irrelevant to their needs and were left wondering *'what's the point of this?'* (HoD^{En4}). It resonated with Hallinger's (2016) call to design leadership development programmes that help educational leaders to situate their learning by relating it to their context. It also supported the argument about the questionable effectiveness of stand-alone leadership development courses (Boyatzis *et al.*, 2013) and the preference for a more

holistic approach to leadership development involving mentoring (Granville-Chapman, 2016).

Some English HoDs did have access to mentoring and informal peer networks, which they deemed immensely valuable, as found by Bolden and colleagues (2008). If in the Georgian case, there were conflicting findings in terms of the relationship between the HoD's age and flexibility to learn and grow, the findings in England did not suggest such an association. Instead, the interview data indicated that the HoD's term length could be negatively related to the HoD's commitment to lead. The HoDs on rotational contracts in pre-1992 universities seemed to be 'forced' to take up the role irrespective of their leadership skills or desire to lead. As HoD[En1] articulated, he was *'damned to do it'* and looked forward to the end of his term. There was support for this sentiment in the academic staff's interviews, where the HoD was observed to have a *'don't expect me to do anything'* attitude (see quotes 8-9, p. 101). It echoed the literature about the mismatch between people's capacities and their career stages (Zenger & Folkman, 2009). When promoted to the position of power at a wrong time in one's career, people tend to remain as individual contributors and fail to transition into mentors providing guidance to others. Moreover, a fixed term spanning three years was not considered long enough to learn the ropes (see quote 71, p. 140) or make any long-term decisions (see quote 50, p. 126).

Leadership selection. In Georgia, it was suggested that one had to reach a certain level of seniority to be a HoD. The rationale for this line of thought was that senior staff would have had more opportunities to develop their emotional and social skills having dealt with a variety of people throughout their career. However, there were concerns about aging HoDs and the need to revitalise the department by promoting enthusiastic

younger faculty to leadership positions (see quotes 5-6, p. 100). Those HoDs who had served 10 years or longer, having ongoing/permanent contracts, felt it was time to step aside. This was inconsistent with the correlation test results which indicated a positive relationship between the HoD's years in post and other-rated achievement orientation (r_s = .251, p < .05, 2-tailed), meaning the longer the HoD had served, the more achievement oriented they were perceived by academic staff.

In England, the dominant practice of senior academics assuming HoD positions was criticised. It was argued that the 'soft skills' of leadership were missing from the big picture and seniority did not necessarily imply one could connect with people (see quote 83, p. 157). As outlined in Theme 1, the ability to empathise with others was deemed crucial. An individual with a weak academic record, but personal charisma could compensate for lack of a scholarly profile by delegating work and empowering others (see quote 84, p. 157). Hence leadership potential was proposed to be prioritised over academic achievements when selecting HoDs. This was consistent with Rich (2006), who advocates appointing HE leaders with people skills, but in contrast with Bolden and colleagues (2012), who note that academic credibility counts in HE leadership and the leader's academic achievements may determine whether they are trusted and 'followed'.

Leader-scholar balance. In Georgia, although a high volume of work was noted, the HoDs did not point to the leader-scholar conflict highlighted in the literature (Gmelch, 2015). Neither did the academic staff refer to the sacrifice of the HoD's research time, which was in contrast with Mercer and Pogosian's (2013) research in post-Soviet academia. It should be considered, though, that their case study was an elite Russian university in a large city, whereas the Georgian interviews were conducted at

regional universities. Despite the fact, that the HoD responsibilities were not reported to interfere with the HoD's research career, there was still a notable lack of enthusiasm among the interviewed HoDs to continue leading the department (see quotes 4-6, p. 100).

In England, the participants emphasised the difficulty of combining research activities with running the department, which was in common with Parker (2004). It was generally felt that HoDs were expected to do too much, which had detrimental effects on their research career. The staff noted that in order to provide outstanding leadership, HoDs had to be internally driven. Motivation had to be fuelled by finding pleasure in what one did and believing in the significance of their work (see quote 53, p. 128). It begged the question whether HoDs could remain passionate if they lamented that their research profile suffered, whether they could drive the department forward if they felt the role was a chore. Indeed, several HoDs did not come across as dedicated to their work, which was also observed by the academic staff (see quotes 8-9, p. 101). The suggestion was that the university should hire professional managers to run departments and allow academics get on with their academic responsibilities.

To recap, the findings from both contexts reaffirm the argument in the literature that the duty of 'captaining the boat away from the icebergs' may feel overwhelming (Parker, 2004, p. 56). It can evoke reluctance to assume the HoD role viewing it as a chore rather than a privilege (Bolden *et al.*, 2012; Rich, 2006). The study points to the need of reframing the HoD position in a way that it does not deter committed and capable leaders from pursuing the role.

5.5 A Word on Data Alignment

The study employed methodological and data triangulation strategies to maximise data quality. Methodological triangulation, adopting alternative methods of data collection, helped to corroborate findings by comparing survey and interview results. I did not seek data alignment between the methods to 'confirm' the findings as the semi-structured interview guide was not tightly aligned with the questionnaire. Harris and Brown (2010) argue that 'the cost of confirmation through strong alignment may lead to the loss of rich complementary data' (p. 1). What is more, the question I investigated was sensitive, intangible and conceptually complex. As Fineman (2000a) observes, people's emotions accessed through interviews are 'texturally different' from those elicited through structured questionnaires (p. 13). Therefore, inconsistencies were expected, which were treated as complementary. As for data triangulation, the views reported by the HoD/staff subgroups enabled to explore the issue from multiple perspectives. Table 5.1 shows an excerpt from a table triangulating the findings across two methods, two data sources and two contexts.

Table 5.1 An excerpt from a table triangulating the findings

EI	Country	Survey Data		Interview Data	
		HoD	Staff	HoD	Staff
Empathy	Georgia	Most HoDs felt they understood staff member's emotions and perspectives. HoD gender and empathy: No significant differences found	Academic staff rated HoDs slightly lower in empathy. Difference between self/other ratings was *not* found statistically significant HoD gender and empathy: Females rated higher (U=216.5, Z=-4.098, p <.001 (2-tailed), r = -.49, medium effect)	HoDs believed they displayed emotional sensitivity and supported staff through challenging times. HoD gender and empathy: Females found better	Staff felt HoDs cared and department had good support practices. Empathy was viewed as shared, cultivated in a group rather than as a capacity of an individual. HoD gender and empathy: No differences found
	England	Most HoDs felt they understood staff member's emotions and perspectives. HoD gender and empathy: No significant differences found	Academic staff rated HoDs much lower in empathy. Difference between self/other ratings was found statistically significant (U= 1287.5, Z= -3.689, p <.001 (2-tailed), r = -.30, small to medium effect) HoD gender and empathy: No significant differences found	HoDs felt they could understand the pressures academic staff were under, tried to listen even if they could not help. The limits of empathy were discussed and the need sometimes to disconnect from others' emotions. HoD gender and empathy: Females found better	Staff expressed mixed views, some had positive experiences of empathetic HoDs, others were left 'to get on with it'. The need for empathy in leadership was questioned, emotional demands of the HoD role were acknowledged. HoD gender and empathy: Females found better

As seen in Table 5.1, there was some discrepancy between the HoDs' self-perceptions of their level of empathy and the academic staff's evaluations of the extent to which the HoD demonstrated this competency. This finding echoed the literature highlighting that multi-rater assessments of behavioural manifestations of EI may return a low self-other agreement (Boyatzis *et al.*, 2015a). In the survey, the HoDs consistently scored themselves higher and in the interviews, they communicated a more positive image of their leadership. The Mann-Whitney U test applied to the quantitative data returned fewer significant differences between the subgroup ratings in Georgia compared to

England. Only two out of 12 EI competencies had significantly different scores in Georgia as opposed to eight out of 12 in England. However, the effect size for each of the significant difference was found only small to medium in each context.

A higher divergence between the English HoD/staff ratings could be attributed to the staff's lower familiarity with HoD, a view also supported by the descriptive analysis of non-attitude reporting. There was a higher proportion of 'difficult to answer/don't know' responses in England in relation to the HoD's EI competencies. A possible explanation may be found in the interview data, which suggested that part-time and research staff were not well-integrated in the departmental life. This may have had an impact on the degree of their familiarity with HoDs, their perceptions of departmental group dynamics and satisfaction with the support provided. Alternative explanations could be related to the unstable nature of human conceptions (Hopfl & Linstead, 1993), the difficulty in accessing one's inner feelings (Fineman, 2000a), and the differences in emotional experiences depending on the individual's position in the organisational hierarchy (Elfenbein, 2007).

To conclude, while the study showed the value of using mixed methods and multiple data sources in examining a research problem more comprehensively, it also indicated that integrating data was not straightforward. Conflicting perceptions of the HoDs and academic staff across quantitative and qualitative datasets posed a challenge of making the results directly comparable. It served as a reminder that when approaching 'a complex terrain, any synthesis is partial' (Marginson, 2006, p. 2) and 'the reality of what you see depends on the direction in which you look, and the colour of the lenses you wear' (Boyatzis *et al.*, 2015a, p. 10).

5.6 Summary

The chapter discussed the findings in the context of the wider literature. Integrating the data from the two phases of the study provided a vivid account of the emotional experience of departmental leadership through the perceptions of HoDs and academic staff. Three broad themes were developed in relation to the research questions and presented in a way which helped to tell a story of two academic cultures. The analysis of the findings reinforces the importance of context in making sense of the emotions of educational leadership. The study carries both theoretical and practical implications, which are addressed in the final chapter.

CHAPTER 6: CONCLUSIONS

'There is no real ending. It's just the place where you stop the story.'

Frank Herbert

6.1 Introduction

The chapter concludes the thesis bringing the main arguments together. First, I provide an overview of the adopted research design and summarise the key findings of the study. Next I discuss the theoretical and methodological contribution of this work and consider its implications for practice. Then I reflect on the limitations of the study and offer suggestions for further research. I close the chapter with a personal note highlighting what this journey meant to me and how it broadened my horizons.

6.2 Overview of the Study

The overarching question that the study set out to answer was: *'How does the emotional experience of departmental leadership vary across Georgian and English universities?'* It aimed to understand (a) how EI was perceived and experienced in departmental leadership, (b) how cultural values interacted with the perceptions of EI, and (c) what role EI played in departmental leadership development. Two theoretical models, behavioural EI and three-dimensional IC, provided an analytical framework for the study. A mixed methods explanatory sequential design was adopted combining an online survey questionnaire with semi-structured individual interviews. The qualitative phase was given a relative priority and helped to understand the quantified meanings. In total, 296 individuals responded to the survey and out of those surveyed, 39 participated in the interviews.

The quantitative and qualitative data were first separately analysed and then brought together when reporting and discussing the findings. For the quantitative data, descriptive statistics was used to provide a detailed overview of the results, Mann-Whitney U test was run to compare the perspectives of different subgroups and Spearman's rho was calculated to explore possible correlations between the variables of interest. For the qualitative data, thematic analysis was conducted and matrix coding queries were used to examine patterns in the interview narratives. Triangulating the survey and interview results across two cultural contexts allowed the research problem to be seen from multiple angles providing complementary rather than confirmatory evidence.

The empirical analysis suggested that the emotional experience of departmental leadership was shaped by unique contextual features of the comparison academia. External pressures related to market-oriented mechanisms of governance seemed to have translated differently to the emotional context of academic departments at Georgian and English universities. There was a greater emphasis on interdependence, emotional connection and group harmony in Georgian academic departments. In comparison, the impact of HE marketisation was more strongly felt in English departments, which some argued 'dehumanised' workplace relationships. The results showed discrepancies between the HoDs' self-perceptions of their leadership and the way it was perceived by the academic staff. Yet, there was general agreement that the HoD's ability to walk in others' shoes and engage the hearts was central to departmental leadership. Apart from highlighting the academic staff's concerns, the analysis revealed the hopes and worries of the person behind the HoD. It indicated the need to understand the emotional demands of the role and offer support through formal and informal leadership development mechanisms.

6.3 Strengths of the Study

The strengths of the study lie in its theoretical, methodological and practical value. Below I explain how this research makes an original contribution to knowledge in each of the three areas.

6.3.1 Theoretical Contribution

The study contributes to the literature on cross-cultural HE leadership since it is the first to compare the emotional dimensions of departmental leadership at Georgian and English universities. Despite a growing interest in the emotions of educational leadership, research on HoD-staff interactions in academia remains fragmented. The study helps to fill this gap by capturing the emotional experiences of HoDs and academic staff within university settings. Moreover, the existing research on EI in the workplace tends to be universalistic ignoring cultural and occupational variations. The study draws on the IC values to contextualise emotion in departmental leadership across Georgian and English HEIs. Finally, the study addresses the Anglo-American bias in the current theories of educational leadership. To date, there is no published research on the HoD role at Georgian university. The study illuminates unexplored dynamics of middle leadership in Georgian HE and adds to the limited knowledge base on the former Soviet academia.

6.3.2 Methodological Contribution

The study also makes a methodological contribution with its innovative research design. First, a mixed methods approach has been under-utilised in HE research. The study overcomes the quantitative/qualitative 'divide' by adopting an approach, which allows to measure as well as explain the emotional aspects of departmental leadership. Second,

quantitative cross-cultural education research has been criticised for lack of rigour. The main concern has been the difficulty of developing equivalent survey measures across different cultures and languages. The study contributes to cross-cultural survey methodology by using an unconventional survey pretesting method – cognitive interviewing. This technique has been rarely used by education researchers and has never been applied in the Georgian language and culture. The analysis of the pilot study findings illustrates the potential of cognitive pretesting to understand the complexity of question-response process better, overcome the weaknesses of back-translation and develop more comparable survey measures. Third, the study uses a creative qualitative research technique – vignette-based interviewing. Incorporating a brief imaginary story into the interview guide allows to tap into participants' feelings, beliefs and values. The results of the study lend support to the application of the vignette method when exploring sensitive topics in cross-cultural education research.

6.3.3 Practical Implications

The study has practical implications for building an emotionally intelligent departmental leadership. In the age of globalisation, HoDs need to demonstrate cultural and emotional sensitivity to work effectively with an increasingly diverse workforce. The study draws attention to the importance of context in engaging the hearts of academic staff and creating a supportive work environment. It provides insight into effective strategies for departmental leadership development and contributes to the discussion on whether HoDs should be academics or professional managers. The research findings should appeal to policy makers, HE leaders and more widely, members of academic communities.

6.4 Limitations and Future Research

The generalisability of the conclusions is limited by sample size, self-reported data, specific context and time period. First, due to an unequal response rate across the surveyed HEIs and barriers to accessing academic staff, the sample overrepresented research-intensive universities both in Georgia and England. Considering sampling bias, the findings cannot be generalised to the entire target population of respective countries. Nonetheless, the study gathered a wide range of perspectives across the sector and the reported experiences may resonate with academics' lives in other contexts. Researchers should use their judgement to determine whether the findings are applicable to their own study populations. Future research may attempt to obtain a more representative sample and do a comparative analysis of different subsections of the Georgian and English HEIs (public/private and pre/post-1992). In the English context, the scope could be extended to privately funded universities, which did not form a separate subgroup in the stratified sampling plan of the study (as outlined in section 3.3.6, p. 57).

Second, it was a study of perceptions rather than actual leadership behaviour. I do not suggest that the emotional processes of departmental leadership truly unfold in the comparison academia as described. However, I did attempt to enhance the validity and reliability of self-reported survey data by cognitive pretesting. In terms of interview data, a vignette served as an indirect technique to access the participants' perceptions and personal experiences. To generate rich insights, the perspectives of HoDs and academic staff were triangulated across different methods. Future research could also include the views of non-academic support staff since they are an important part of the day-to-day life of departments. Research methodology may also be further diversified by making use of observational techniques. Observations could uncover the leadership

nuances that academics may not be aware of or unwilling to report in a survey or an interview.

Third, the study explored the emotional experience of departmental leadership across Georgian and English universities through the lens of one dimension of culture - IC values. Future studies could employ additional value dimensions, such as power distance, for a more comprehensive account of cultural variations in the perceptions of emotion in leadership. Moreover, linguistic analysis of interview data may help to understand better how cultural values relate to the perceptions of self and others. Examining the use of first person singular and plural pronouns ('I' versus 'we') may reveal patterned ways of positioning the self in relation to HoD, department or institution.

Finally, in terms of contextual specificity, the research was carried out in the challenging times for HEIs in Georgia and England, which may have affected the findings. Even though it does not lower the value of this work, the thesis should be viewed as a snapshot of subjective experiences specific to the given context and point in time. A longitudinal study may bring to light how evolving cultural values may reshape perceptions of emotion in HE leadership over time.

6.5 Final Thoughts

As I pause to reflect on my research journey, I do not see a straight path going through a sunny valley. Rather, I see a winding trail paved through a misty woodland. Regardless of the challenges, I enjoyed the changing scenery with all its trial and error. Finding my way, I learnt how to deal with uncertainty and reconcile contradictions. I grew more aware of the subtlety of web survey design, the benefits of cognitive and

vignette-based interviewing, and the convenience of computer-aided data analysis. Along the way, I experienced an overwhelming support through my doctoral supervision and peer network, which underscored the power of human connection bringing my research to life. The most engaging part of the project was listening to the stories of my participants in two languages, in two countries. I look forward to conducting studies wider in scope and more varied in methods. So far, having examined the inherent emotionality of departmental life in cross-cultural academia, I hope to have enriched our understanding of the interplay between emotion, HE leadership and culture.

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APPENDICES

[1]The survey questionnaire used a single online form to collect responses both from HoDs and academic staff. Most questions were identical and where they differed, display logic was used to show relevant questions to the respondent depending on their role. Appendix B highlights which parts of the questionnaire were visible to which sample subgroup.

[2]The interview guide had mostly identical questions for HoDs and academic staff. The parts of the guide that were different across the sample subgroups are shaded.

Appendix A: Sample Recruitment Emails

A-1: Survey Invitations

To: Head of Department

Dear [title, last name],

I am writing to invite you to participate in a study which is part of my PhD research at the University of Warwick, UK. The aim of the project is to explore the interplay between emotions, higher educational leadership and culture. The research findings will improve our understanding of emotional aspects shaping departmental leadership across different cultures.

This questionnaire is intended for heads of department and should take around 15 minutes to complete. Individual responses will remain confidential and the results will be presented in an aggregated and anonymised form. I would appreciate if you could fill in the questionnaire.

Please follow this link to the online survey: Take the survey

Another version of this survey is intended for academic staff members at the department. I would be grateful if you would agree that I also invite them to take part in the study. Their feedback is important to the research since staff members may experience the emotional side of leadership differently from heads of department. If you would be willing that I contact them, please either indicate this on the survey (in which this appears as a question) or through direct email to me.

The research project has been approved by the Ethics Committee of the Centre for Education Studies, University of Warwick. If you have any queries or would like any further information about the project, please do not hesitate to contact me at the address below.

Thank you very much for your time.

Kind regards,

Natia Sopromadze

Doctoral Researcher
Centre for Education Studies
University of Warwick
Coventry, UK
Tel: [Researcher's phone number]
Email: n.sopromadze@warwick.ac.uk
www.warwick.ac.uk/natiasopromadze

To: Departmental Administrator (HoD Cc'd)

Dear [title, last name],

I am writing to request your assistance in circulating a survey link among the academic staff members at the Department of [...]. This survey is part of my PhD project at the University of Warwick and I have obtained consent from Dr [HoD's name] for staff involvement in the study.

The questionnaire addresses the interplay between emotions, higher educational leadership and culture. The research findings aim to improve our understanding of emotional aspects shaping departmental leadership across different cultures.

I would be grateful if you could circulate this survey link: […]

Please let me know if you require any further information about the project.

Thank you very much for your help.

Kind regards,

Natia Sopromadze

Doctoral Researcher
Centre for Education Studies
University of Warwick
Coventry, UK
Tel: [Researcher's phone number]
Email: n.sopromadze@warwick.ac.uk
www.warwick.ac.uk/natiasopromadze

To: Academic Staff

Dear [title, last name],

I am writing to invite you to participate in a study which is part of my PhD research at the University of Warwick, UK. The aim of the project is to explore the interplay between emotions, higher educational leadership and culture. The research findings will improve our understanding of emotional aspects shaping departmental leadership across different cultures.

The questionnaire should take around 15-20 minutes to complete. Individual responses will remain confidential and the results will be presented in an aggregated and anonymised form. The research project has been approved by the Ethics Committee of the Centre for Education Studies, University of Warwick. I have also obtained the consent of heads of department for staff involvement in the study and would be grateful if you could fill in the questionnaire.

Please follow this link to the online survey: Take the survey

If you have any queries or would like any further information about the project, please do not hesitate to contact me at the address below.

Thank you very much for your time.

Kind regards,

Natia Sopromadze

Doctoral Researcher
Centre for Education Studies
University of Warwick
Coventry, UK
Tel: [Researcher's phone number]
Email: n.sopromadze@warwick.ac.uk
www.warwick.ac.uk/natiasopromadze

A-2: Survey Reminder

To: Head of Department and Academic Staff

Dear [title, last name],

I hope you have received my earlier email invitation asking you to participate in my PhD research on emotions and higher educational leadership. Many thanks if you have already completed the survey but if you have not, I would like to renew my invitation.

I understand how busy you are, but the questionnaire should only take 15 minutes to complete. I still require responses to reach the target number of completed surveys and your participation will help me move forward with data analysis.

Please follow this link to complete the survey: Take the survey

If you would like any further information about the project, please do not hesitate to contact me at the address below.

Thank you very much for your time.

Kind regards,

Natia Sopromadze

Doctoral Researcher
Centre for Education Studies
University of Warwick
Coventry, UK
Tel: [Researcher's phone number]
Email: n.sopromadze@warwick.ac.uk
www.warwick.ac.uk/natiasopromadze

A-3: Interview Invitation

To: Selected Survey Respondents

Dear [title, last name],

You might recall that you recently completed a questionnaire regarding the role of emotions in higher educational leadership. The survey was part of my PhD research at the Centre for Education Studies, University of Warwick. In the questionnaire, you kindly indicated your willingness to participate in an interview of approximately 30-40 minutes. I am writing to you now to ask if we can arrange an interview.

Would you be available for an interview between [day, month] and [day, month]? If these dates are not convenient, could you please suggest an alternative date that suits you best.

Thank you for your interest in the research.

Kind regards,

Natia Sopromadze

Doctoral Researcher
Centre for Education Studies
University of Warwick
Coventry, UK
Tel: [Researcher's phone number]
Email: n.sopromadze@warwick.ac.uk
www.warwick.ac.uk/natiasopromadze

Appendix B: Questionnaire

B-1: Questionnaire for HoDs and Academic Staff (English)

Select another language

THE UNIVERSITY OF WARWICK

Research on Emotion in Higher Education Leadership

Participant Information

Purpose

The study aims to explore the role of emotion in higher education leadership from a cross-cultural perspective. The survey is collecting information both from heads of departments and academic staff members at English and Georgian universities. The research findings will contribute to our understanding of emotional aspects shaping departmental leadership across different cultural contexts.

Procedures

The survey consists of four sections and should take about 15 minutes to complete. The questions are designed to elicit demographic details and gather views on emotions and work-related values in relation to departmental leadership. Questions marked with asterisks (*) require a response to proceed.

Participation

Participation in this study is entirely voluntary. You do not have to answer every question and you have the right to withdraw from the study at any point.

Benefits

While there are no direct benefits to you as a participant, your participation is important to reveal how people experience the emotional side of higher education leadership.

Confidentiality

The information you provide will be kept confidential. The names of individuals, departments and universities will not be used in the reports. Only group results will be reported without linking an individual to his/her data. The research findings will be processed for a PhD project and are expected to be reported in academic journals/conferences.

Contact details

If you have any questions or concerns about this study, please contact:

Natia Sopromadze
Doctoral Researcher
University of Warwick, UK
Email: n.sopromadze@warwick.ac.uk
Web: www.warwick.ac.uk/natiasopromadze

In case of complaints during the course of this project, you may contact the Director of Delivery Assurance at the University of Warwick, details as below:

http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/complaints_procedure

Ethical approval obtained from the Ethics Committee, Centre for Education Studies, University of Warwick.

☐ I confirm that I have read the above participant information and agree to take part in the study.*

Part 1: About You

Gender

- ○ Male
- ○ Female
- ○ Rather not say

Age group

- ○ 21 – 30
- ○ 31 – 40
- ○ 41 – 50
- ○ 51 – 60
- ○ Over 60

Education (highest degree achieved)

- ○ Bachelor's Degree
- ○ Master's Degree
- ○ Doctoral degree
- ○ Other (please specify) _____

Ethnic group

(Please choose an option that best describes your ethnic background.)

- ○ White – English/Welsh/Scottish/Northern Irish/British
- ○ White – Irish
- ○ White – Gypsy or Irish Traveller
- ○ Any other White background
- ○ Mixed – White and Black Caribbean
- ○ Mixed – White and Black African
- ○ Mixed – White and Asian
- ○ Any other Mixed/Multiple ethnic background
- ○ Asian/Asian British – Indian
- ○ Asian/Asian British – Pakistani
- ○ Asian/Asian British – Bangladeshi
- ○ Asian/Asian British – Chinese
- ○ Any other Asian background
- ○ Black/African/Caribbean/Black British – African
- ○ Black/African/Caribbean/Black British – Caribbean
- ○ Any other Black/African/Caribbean background
- ○ Arab
- ○ Any other ethnic group (please specify) _____
- ○ Rather not say

Country of birth _____

Nationality _____

Native language _____

Number of years living in England

- 0 – 5
- 6 – 10
- 11 - 20
- Over 20

Leadership experience

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

(Please write a number in each row. Count part of a year as 1 year.)

[ ] Year(s) heading your current department

[ ] Year(s) working in similar leadership roles (excluding your current position)

Work experience

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "Staff"

(Please write a number in each row. Count part of a year as 1 year.)

[ ] Year(s) working at your current department

[ ] Year(s) working in similar academic roles (excluding your current position)

Part 2: Emotions and Departmental Leadership

To what extent are you aware of the concept of *'Emotional Intelligence'* (EI) on a scale of 1 to 5?

(1=Not at all, 3=Moderately, 5=To a great extent)

	1	2	3	4	5	
Not at all	○	○	○	○	○	To a great extent

Comments (if any) on your understanding of/familiarity with the concept of EI:

How important do you consider these competencies for a Head of Department to be a successful leader?

(Please drag a slider handle to indicate your opinion.)

	Not important 1	2	Moderately important 3	4	Very important 5
Self-awareness (ability to understand one's own emotions)					
Self-management (ability to manage one's own emotions)					
Social awareness (ability to understand others' emotions)					
Relationship management (ability to manage others' emotions)					

Comments (if any) on the importance of the above competencies in departmental leadership:

Part 3: About your Role as Head of Department (HoD)

Page entry logic: This page will show when: Invite variable "Role" is exactly equal to "HoD"

Term length of your HoD position

- ○ Fixed-term contract
- ○ Ongoing/Permanent contract

Number of academic staff currently working in your department

- ○ Under 10
- ○ 10 – 20
- ○ 21 – 30
- ○ 31 – 40
- ○ 41 – 50
- ○ Over 50

Thinking of <u>your role as Head of Department</u>, to what extent do you agree or disagree with the following statements?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I recognise how my emotions affect my actions.	○	○	○	○	○
I seek new ways to lead more effectively.	○	○	○	○	○
I show flexibility to adapt to changing demands.	○	○	○	○	○
I am good at managing my emotions in stressful situations.	○	○	○	○	○
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I tend to see people and situations in a positive rather than a negative light.	○	○	○	○	○
I understand staff members' perspectives and emotions.	○	○	○	○	○
I understand the existing power relationships in the department.	○	○	○	○	○
I resolve conflict by discussing disagreements.	○	○	○	○	○
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I try to help staff through constructive feedback.	○	○	○	○	○
I am able to convince staff to gain support for my initiatives.	○	○	○	○	○
I inspire staff to achieve more.	○	○	○	○	○
I encourage cooperation among staff members.	○	○	○	○	○

Overall, how would you describe your working relationship with your academic staff?

(1=Ineffective, 3=Average, 5=Very effective)

	1	2	3	4	5	
Ineffective	○	○	○	○	○	Very effective

Part 3: About your Head of Department (HoD)

Page entry logic: This page will show when: Invite variable "Role" is exactly equal to "Staff"

Thinking of <u>your Head of Department</u>, to what extent do you agree or disagree with the following statements?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not sure/ difficult to answer
Recognises how his/her emotions can affect his/her actions.	○	○	○	○	○	○
Seeks new ways to lead more effectively.	○	○	○	○	○	○
Shows flexibility to adapt to changing demands.	○	○	○	○	○	○
Is good at managing his/her emotions in stressful situations.	○	○	○	○	○	○
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not sure/ difficult to answer
Tends to see people and situations in a positive rather than a negative light.	○	○	○	○	○	○
Understands staff members' perspectives and emotions.	○	○	○	○	○	○
Understands the existing power relationships in the department.	○	○	○	○	○	○
Resolves conflict by discussing disagreements.	○	○	○	○	○	○
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not sure/ difficult to answer
Tries to help staff through constructive feedback.	○	○	○	○	○	○
Is able to convince staff to gain support for his/her initiatives.	○	○	○	○	○	○
Inspires staff to achieve more.	○	○	○	○	○	○
Encourages cooperation among staff members.	○	○	○	○	○	○

Overall, how would you describe your working relationship with your Head of Department?

(1=Ineffective, 3=Average, 5=Very effective)

	1	2	3	4	5	
Ineffective	○	○	○	○	○	Very effective

Part 4: Beliefs and Values

To what extent do you agree or disagree with the following statements?

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I consider myself rather different from others.	○	○	○	○	○
I would rather rely on myself than depend on others.	○	○	○	○	○
My personal well-being is my primary concern.	○	○	○	○	○
I try to perform a task better than others.	○	○	○	○	○

Thinking of <u>your work environment</u>, to what extent do you agree or disagree with the following statements?

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I feel a sense of belonging to my department.	○	○	○	○	○
I enjoy cooperating with my staff.	○	○	○	○	○
I consult with my staff before making important work-related decisions.	○	○	○	○	○
I try to avoid an argument with my staff.	○	○	○	○	○
I share the guiding values of my university.	○	○	○	○	○
I would give up my personal interest for the benefit of my university.	○	○	○	○	○

Thinking of <u>your work environment</u>, to what extent do you agree or disagree with the following statements?

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "Staff"

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I feel a sense of belonging to my department.	○	○	○	○	○
I enjoy cooperating with my departmental colleagues.	○	○	○	○	○
I consult with my colleagues before making important work-related decisions.	○	○	○	○	○
I try to avoid an argument with other staff members.	○	○	○	○	○
I try to avoid an argument with my Head of Department.	○	○	○	○	○
I share the guiding values of my university.	○	○	○	○	○
I would give up my personal interest for the benefit of my university.	○	○	○	○	○

Comments (if any) on your current work environment:

Follow-up

Would you be willing if your academic staff are invited to take part in this study?*

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

- ○ Yes
- ○ No

Would you consider taking part in an interview of 30-40 minutes as a follow-up to the information you have provided?*

- ○ Yes
- ○ No

Please leave your contact details below:

Question logic: Hidden unless: Question *"Would you consider taking part in an interview of 30-40 minutes as a follow-up to the information you have provided?"* is the answer ("Yes")

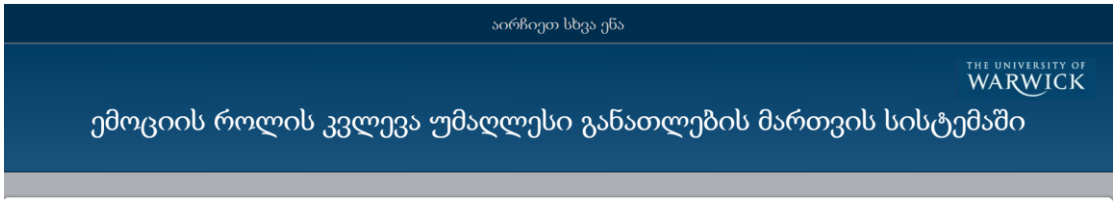
First Name _____ Last Name _____

Email Address* _____

Submit

Thank you for taking time to complete the survey. Your response has been recorded.

B-2: Questionnaire for HoDs and Academic Staff (Georgian)



ინფორმაცია კვლევის მონაწილეთათვის

მიზანი

წინამდებარე პროექტი უმაღლესი განათლების მართვის სისტემაში ემოციის როლის შესწავლას ისახავს მიზნად. მოცემული კითხვარი ინგლისისა და საქართველოს უნივერსიტეტებში დეპარტამენტების ხელმძღვანელებისა და მათი თანამშრომლებისთვის არის განკუთვნილი. კვლევის შედეგებმა სხვადასხვა კულტურულ ჭრილში უნდა აჩვენოს, თუ რა როლს თამაშობს ემოცია დეპარტამენტის მართვის პროცესში.

სტრუქტურა

კითხვარი ოთხი ძირითადი ნაწილისგან შედგება და მის შევსებას დაახლოებით 15 წუთი დასჭირდება. შეკითხვები შედგენილია იმგვარად, რომ შეაგროვოს დემოგრაფიული მონაცემები და გამოავლინოს შეხედულებები დეპარტამენტის მართვის ემოციურ ასპექტებზე და პიროვნულ ფასეულობებზე. საჭირო ველი, რომელიც მონიშნულია ფიფქით (*), მომდევნო გვერდზე გადასასვლელად პასუხს მოითხოვს.

მონაწილეობა

გამოკითხვაში მონაწილეობის მიღება ნებაყოფლობითია. ყველა კითხვაზე პასუხის გაცემა სავალდებულო არ არის და თქვენ უფლება გაქვთ ნებისმიერ დროს უარი თქვათ კვლევაში მონაწილეობაზე.

სარგებელი

აღნიშნულ პროექტში მონაწილეობისთვის უშუალო სარგებელს ვერ მიიღებთ. თუმცა, თქვენი პასუხები მნიშვნელოვანია, რომ განვსაზღვროთ როგორ აღიქვამს უნივერსიტეტის აკადემიური პერსონალი დეპარტამენტის მართვის ემოციურ მხარეს.

კონფიდენციალობა

გამოკითხვაში კონფიდენციალობა დაცულია. პროექტის გაშუქების დროს უნივერსიტეტების, დეპარტამენტების და მონაწილეების სახელები არ იქნება მოხსენიებული. კვლევის შედეგები სადოქტორო ნაშრომისთვის იქნება გამოყენებული და შესაძლოა აკადემიურ ჟურნალებში გამოქვეყნდეს ან კონფერენციებზე იყოს წარდგენილი.

საკონტაქტო ინფორმაცია

დამატებითი შეკითხვების ან კომენტარების შემთხვევაში გთხოვთ, დამიკავშირდეთ:

ნათია სოფრომაძე
დოქტორანტი
ვორვიკის უნივერსიტეტი, დიდი ბრიტანეთი
ელ-ფოსტა: n.sopromadze@warwick.ac.uk
ვებ-გვერდი: www.warwick.ac.uk/natiasopromadze

აღნიშნული პროექტის მსვლელობის დროს თქვენი უკმაყოფილების შემთხვევაში, შეგიძლიათ მიმართოთ ვორვიკის უნივერსიტეტის ეთიკის კომიტეტს შემდეგ მისამართზე:

http://www2.warwick.ac.uk/services/rss/researchgovernance_ethics/complaints_procedure

კვლევის ჩატარებაზე თანხმობა მოპოვებულია ვორვიკის უნივერსიტეტის განათლების მეცნიერებების ცენტრიდან.

☐ ვადასტურებ, რომ წავიკითხე ზემოთ მოცემული ინფორმაცია და თანახმა ვარ კვლევაში მონაწილეობა მივიღო.*

ნაწილი **1:** თქვენს შესახებ

სქესი

- მამრობითი
- მდედრობითი
- პასუხისგან თავს შევიკავებ

ასაკობრივი ჯგუფი

- 21 – 30
- 31 – 40
- 41 – 50
- 51 – 60
- 60-ზე მეტი

განათლება (მოპოვებული უმაღლესი ხარისხი)

- ბაკალავრის ხარისხი
- მაგისტრის ხარისხი
- დოქტორის ხარისხი
- სხვა (გთხოვთ, მიუთითოთ) _____

ეთნიკური ჯგუფი

(გთხოვთ, მიუთითოთ თქვენი ეთნიკური წარმომავლობა.)

- ქართველი
- თურქი
- აზერბაიჯანელი
- სომეხი

- აფხაზი
- ოსი
- რუსი
- უკრაინელი
- ბერძენი
- ებრაელი
- ქურთი
- ქისტი
- სხვა ეთნიკური ჯგუფი (გთხოვთ, მიუთითოთ) _____
- პასუხისგან თავს შევიკავებ

დაბადების ადგილი (ქვეყანა) _____

ეროვნება _____

მშობლიური ენა _____

საქართველოში გატარებული წლების რაოდენობა

- 0 – 5
- 6 – 10
- 11 - 20
- 20 -ზე მეტი

ხელმძღვანელ თანამდებობაზე მუშაობის გამოცდილება

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

(გთხოვთ, მიუთითეთ წლების რაოდენობა. წელი დაამრგვალეთ და ჩაწერეთ მთელი რიცხვის სახით.)

☐ <u>მოცემული დეპარტამენტის</u> მართვის გამოცდილება

☐ სხვა, მსგავს ხელმძღვანელ თანამდებობაზე მუშაობის გამოცდილება (მოცემული დეპარტამენტის მართვის წლების გამოკლებით)

მუშაობის გამოცდილება

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "Staff"

(გთხოვთ, მიუთითეთ წლების რაოდენობა. წელი დაამრგვალეთ და ჩაწერეთ მთელი რიცხვის სახით.)

☐ <u>მოცემულ დეპარტამენტში</u> მუშაობის გამოცდილება

☐ სხვა, მსგავს აკადემიურ თანამდებობაზე მუშაობის გამოცდილება (მოცემულ დეპარტამენტში მუშაობის წლების გამოკლებით)

ნაწილი **2:** ემოციები და დეპარტამენტის მართვა

გთხოვთ, 5-ქულიან სკალაზე მიუთითეთ რამდენად კარგად გესმით ცნება *„ემოციური ინტელექტი“*.

(1 ნიშნავს „საერთოდ არა“, 3 - „მეტნაკლებად“, 5 - „ძალიან კარგად“)

	1	2	3	4	5	
საერთოდ არ მესმის	○	○	○	○	○	ძალიან კარგად მესმის

კომენტარები (სურვილისამებრ) თუ როგორ მოიაზრებთ მოცემულ ცნებას:

რამდენად მნიშვნელოვნად მიგაჩნიათ აღნიშნული უნარ-ჩვევები დეპარტამენტის წარმატებული მართვისთვის?

(გთხოვთ, დააჭირეთ სლაიდერის სახელურს და გადასწიეთ თქვენი აზრის შესაბამისად.)

	უმნიშვნელო 1	2	ნაწილობრივ მნიშვნელოვანი 3	4	ძალიან მნიშვნელოვანი 5
თვით-ცნობიერება (საკუთარი ემოციების შეცნობის უნარი)					
თვით-მართვა (საკუთარი ემოციების მართვის უნარი)					
სოციალური ცნობიერება (სხვისი ემოციების გაგების უნარი)					
ურთიერთობების მართვა (სხვისი ემოციების მართვის უნარი)					

კომენტარები (სურვილისამებრ) თუ რამდენად მნიშვნელოვანია აღნიშნული უნარ-ჩვევები დეპარტამენტის მართვის პროცესში:

ნაწილი **3:** თქვენი, როგორც დეპარტამენტის ხელმძღვანელის როლი

Page entry logic: This page will show when: Invite variable "Role" is exactly equal to "HoD"

დეპარტამენტის ხელმძღვანელობის ვადის ხანგრძლივობა

- ○ ვადით დანიშნული
- ○ უვადო კონტრაქტით დანიშნული

თქვენს დეპარტამენტში მომუშავე აკადემიური პერსონალის რაოდენობა

- ○ 10-ზე ნაკლები
- ○ 10 – 20
- ○ 21 – 30
- ○ 31 – 40
- ○ 41 – 50
- ○ 50-ზე მეტი

თქვენს როლთან მიმართებაში (როგორც დეპარტამენტის ხელმძღვანელი), რამდენად ეთანხმებით ქვემოთ მოცემულ დებულებებს?

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
ვაცნობიერებ, ჩემი ემოციები როგორ გავლენას ახდენენ ჩემს ქმედებებზე.	○	○	○	○	○
გუნდის მართვის უფრო ეფექტური მეთოდების გამონახვას ვცდილობ.	○	○	○	○	○
ცვალებად გარემოსთან ადაპტირებას ადვილად ვახერხებ.	○	○	○	○	○
საკუთარი ემოციების სტრესულ სიტუაციებში მართვა კარგად შემიძლია.	○	○	○	○	○
	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
დადებითს უფრო ხშირად ვხედავ ადამიანებში და მოვლენებში, ვიდრე უარყოფითს.	○	○	○	○	○
მესმის ჩემი თანამშრომლების შეხედულებები და განცდები.	○	○	○	○	○
მესმის დეპარტამენტში არსებული ურთიერთობების დინამიკა.	○	○	○	○	○
კონფლიქტს უთანხმოების განხილვის გზით ვაგვარებ.	○	○	○	○	○

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
ვცდილობ თანამშრომლებს პროფესიული რჩევის მიწოდებით დავეხმარო.	○	○	○	○	○
შემიძლია თანამშრომლების დარწმუნება, რომ მათ ჩემს ინიციატივას მხარი დაუჭირონ.	○	○	○	○	○
ვახდენ თანამშრომლების მოტივირებას, რომ მათ უფრო მეტს მიაღწიონ.	○	○	○	○	○
ხელს ვუწყობ დეპარტამენტის წევრებს შორის თანამშრომლობას.	○	○	○	○	○

საერთო ჯამში, როგორ დაახასიათებდით თქვენს აკადემიურ პერსონალთან თქვენს სამსახურეობრივ ურთიერთობას?

(1 ნიშნავს „არაეფექტური“, 3 - „საშუალოდ ეფექტური“, 5 - „ძალიან ეფექტური“)

	1	2	3	4	5	
არაეფექტური	○	○	○	○	○	ძალიან ეფექტური

ნაწილი **3:** თქვენი დეპარტამენტის ხელმძღვანელის შესახებ

Page entry logic: This page will show when: Invite variable "Role" is exactly equal to "Staff"

<u>თქვენი დეპარტამენტის ხელმძღვანელთან</u> მიმართებაში, რამდენად ეთანხმებით ქვემოთ მოცემულ დებულებებს?

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები	მიჭირს პასუხის გაცემა
აცნობიერებს, მისმა ემოციებმა როგორი გავლენა შეიძლება მოახდინოს მის ქმედებებზე.	○	○	○	○	○	○
გუნდის მართვის უფრო ეფექტური მეთოდების გამონახვას ცდილობს.	○	○	○	○	○	○
ცვალებად გარემოსთან ადაპტირებას ადვილად ახერხებს.	○	○	○	○	○	○
საკუთარი ემოციების სტრესულ სიტუაციებში მართვა კარგად შეუძლია.	○	○	○	○	○	○

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები	მიჭირს პასუხის გაცემა
დადებითს უფრო ხშირად ხედავს ადამიანებში და მოვლენებში, ვიდრე უარყოფითს.	○	○	○	○	○	○
ესმის მისი თანამშრომლების შეხედულებები და განცდები.	○	○	○	○	○	○
ესმის დეპარტამენტში არსებული ურთიერთობების დინამიკა.	○	○	○	○	○	○
კონფლიქტს უთანხმოების განხილვის გზით აგვარებს.	○	○	○	○	○	○
	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები	მიჭირს პასუხის გაცემა
ცდილობს თანამშრომლებს პროფესიული რჩევის მიწოდებით დაეხმაროს.	○	○	○	○	○	○
შეუძლია თანამშრომლების დარწმუნება, რომ მათ მის ინიციატივას მხარი დაუჭირონ.	○	○	○	○	○	○
ახდენს თანამშრომლების მოტივირებას, რომ მათ უფრო მეტს მიაღწიონ.	○	○	○	○	○	○
ხელს უწყობს დეპარტამენტის წევრებს შორის თანამშრომლობას.	○	○	○	○	○	○

საერთო ჯამში, როგორ დაახასიათებდით თქვენი დეპარტამენტის ხელმძღვანელთან თქვენს სამსახურეობრივ ურთიერთობას?

(1 ნიშნავს ,,არაეფექტური", 3 - ,,საშუალოდ ეფექტური", 5 - ,,ძალიან ეფექტური")

	1	2	3	4	5	
არაეფექტური	○	○	○	○	○	ძალიან ეფექტური

ნაწილი **4:** პიროვნული ფასეულობები

რამდენად ეთანხმებით ქვემოთ მოცემულ დებულებებს?

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
საკუთარ თავს სხვებისგან ბევრად განსხვავებულ პიროვნებად ვთვლი.	○	○	○	○	○
მირჩევნია საკუთარ თავზე ვიყო დამოკიდებული ვიდრე სხვებზე.	○	○	○	○	○
ჩემი პირადი კეთილდღეობა ჩემი მთავარი საზრუნავია.	○	○	○	○	○
ვცდილობ სხვებზე უკეთესად შევასრულო დაკისრებული ამოცანა.	○	○	○	○	○

<u>თქვენს სამუშაო გარემოსთან მიმართებაში,</u> რამდენად ეთანხმებით ქვემოთ მოცემულ დებულებებს?

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
ჩემი დეპარტამენტის მიმართ სიახლოვეს ვგრძნობ.	○	○	○	○	○
მსიამოვნებს ჩემი დეპარტამენტის წევრებთან თანამშრომლობა.	○	○	○	○	○
სამსახურთან დაკავშირებული მნიშვნელოვანი გადაწყვეტილებების მიღებამდე, რჩევას ჩემს თანამშრომლებს ვეკითხები.	○	○	○	○	○
თავს ვარიდებ ჩემი დეპარტამენტის წევრებთან უთანხმოებას.	○	○	○	○	○
ჩემი უნივერსიტეტის ძირითად ღირებულებებს ვიზიარებ.	○	○	○	○	○
ჩემი უნივერსიტეტის ინტერესებს საკუთარზე მაღლა ვაყენებ.	○	○	○	○	○

<u>თქვენს სამუშაო გარემოსთან მიმართებაში,</u> რამდენად ეთანხმებით ქვემოთ მოცემულ დებულებებს?

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "Staff"

	სრულიად არ ვეთანხმები	არ ვეთანხმები	არც ვეთანხმები და არც უარვყოფ	ვეთანხმები	სრულიად ვეთანხმები
ჩემი დეპარტამენტის მიმართ სიახლოვეს ვგრძნობ.	○	○	○	○	○
მსიამოვნებს ჩემი დეპარტამენტის წევრებთან თანამშრომლობა.	○	○	○	○	○
სამსახურთან დაკავშირებული მნიშვნელოვანი გადაწყვეტილებების მიღებამდე, რჩევას ჩემს თანამშრომლებს ვეკითხები.	○	○	○	○	○
თავს ვარიდებ ჩემი დეპარტამენტის წევრებთან უთანხმოებას.	○	○	○	○	○
თავს ვარიდებ დეპარტამენტის ხელმძღვანელთან უთანხმოებას.	○	○	○	○	○
ჩემი უნივერსიტეტის ძირითად ღირებულებებს ვიზიარებ.	○	○	○	○	○
ჩემი უნივერსიტეტის ინტერესებს საკუთარზე მაღლა ვაყენებ.	○	○	○	○	○

კომენტარები (სურვილისამებრ) თქვენი სამუშაო გარემოს შესახებ:

კვლევის შემდეგი ეტაპი

თანახმა ხართ თუ არა, რომ თქვენი აკადემიური პერსონალი აღნიშნულ კვლევაში მონაწილეობის მისაღებად მოვიწვიო?*

Question logic: Hidden unless: Invite variable "Role" is exactly equal to "HoD"

- ○ დიახ
- ○ არა

თანახმა ხართ თუ არა, რომ კვლევის მეორე ეტაპზე დაგიკავშირდეთ მოცემულ თემაზე გასასაუბრებლად, რომელიც მხოლოდ 30-40 წუთს წაგართმევთ?*

- დიახ
- არა

გთხოვთ, მიუთითეთ თქვენი საკონტაქტო ინფორმაცია:

Question logic: Hidden unless: Question *"თანახმა ხართ თუ არა, რომ კვლევის მეორე ეტაპზე დაგიკავშირდეთ მოცემულ თემაზე გასასაუბრებლად, რომელიც მხოლოდ 30-40 წუთს წაგართმევთ?"* is the answer ("დიახ")

სახელი _____ გვარი _____

ელ-ფოსტის მისამართი* _____

კითხვარის დასრულება

გმადლობთ კითხვარის შევსებისთვის. თქვენი პასუხი მიღებულია.

Appendix C: Interview Guide

C-1: Interview Guide for HoDs and Academic Staff (English)

Participant ID: _____ Date of Interview: ___/___/_____

- Stating the research purpose and the aim of the interview
- Promising confidentiality
- Asking permission to record the interview

1. I would like to start the interview with an imaginary work scenario. Please take your time to read it and then I will ask you a few questions on how the characters would or should act in this situation. There is no right or wrong answer to the questions. Some parts of the story are left vague on purpose and it is up to you how you fill in the missing details.*

Vignette - Stage 1
Susan, Head of Department, finds it challenging to deal with her underperforming staff member. She has received negative student feedback about Richard, a senior academic. Managing his absence is also becoming critical. *a) What do you think Susan should do?* *b) As HoD, would you handle the problem this way?/Would your HoD handle the problem this way?* *c) How do you think Richard would react to this action?* *d) How would your academic staff react?/How would you react?*

2. How long have been heading/working in this department?
Have you held other similar posts? If yes, how does your current role compare to your previous ones? How do you feel about the HoD's post being fixed-term/permanent? (For only HoDs: Did you have any leadership training before or after your appointment? How helpful was it?)

3. What are the most rewarding aspects of being a head/an academic of this department?
To what extent do you feel a sense of belonging to the department/university? How much do you value your relationships with colleagues? How much collaboration is going on?

4. What are the most challenging aspects of being a head/an academic of this department?
How much support do you receive with regard to these aspects?

5. How do you think HoDs should create a positive, supportive work environment?
Is it the way you/your HoD prefer(s) to lead people and manage relationships? What actions do you/they take to build an effective team?

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*The shaded parts in the vignette and the remainder of the guide are meant for academic staff interviews.

6. How do you perceive the role of emotion in departmental leadership?
How important is empathy? To what extent do you feel you/your HoD understand(s) academic staff's perspectives and concerns?

7. Let's return to the work scenario discussed at the beginning of the interview and imagine such development of events.

Vignette - Stage 2
Suppose that Susan has a discussion with Richard trying to find out the cause of the problem. Richard tells her that he is suffering from poor health. He also explains that his family financially depends on him and he cannot afford to take an action that would negatively affect his salary. *a) What do you think Susan should do?* *b) As HoD, would you do the same?/Would your HoD do the same?* *c) What do you think will happen as a consequence of this decision?* *d) Have you yourself been involved in an emotionally tense work situation with your academic staff member/HoD? If so, how was it resolved?*

8. Do you feel that leadership training could help you/your HoD develop people skills (in terms of understanding and managing own emotions and those of others)?
If so, what type, how delivered? Can these skills be learnt?

9. Do you have any final comments about the emotional aspects of departmental leadership?

10. Any questions for me?

Follow-up

- Willing to verify the interview transcript? Yes/No

If yes, participant's contact details: _____

C-2: Interview Guide for HoDs and Academic Staff (Georgian)

რესპონდენტის ნომერი: _____ ინტერვიუს თარიღი: ___/___/_____

- კვლევისა და ინტერვიუს მიზანი
- კონფიდენციალობა
- ინტერვიუს ჩაწერის ნებართვა

1. მოდით, ინტერვიუ დავიწყოთ წარმოსახვითი სამსახურეობრივი სცენარით. გთხოვთ გაეცანით და შემდეგ მე რამდენიმე შეკითხვას დაგისვამთ სცენარის პერსონაჟების შესაძლო ქმედებების შესახებ. შეკითხვებზე სწორი და არასწორი პასუხები არ არსებობს. მოცემული სიტუაცია დეტალურად არ არის ასახული და მისი ინტერპრეტაცია თქვენზეა დამოკიდებული.

სცენარი - ნაწილი 1
დეპარტამენტის ხელმძღვანელი, ქ-ნი ანა შემდეგი პრობლემის წინაშე დგას. დეპარტამენტის უფროსი თანამშრომელი, კობა ლექციებს სათანადოდ არ ამზადებს და ამ ბოლო დროს, ხშირად აცდენს. მისი სტუდენტები უკმაყოფილო არიან და ქ-ნი ანას სახელზე განაცხადს წერენ. *ა) თქვენი აზრით, როგორ უნდა მოიქცეს ქ-ნი ანა?* *ბ) როგორც დეპარტამენტის ხელმძღვანელი, თქვენ ასე მიუდგებოდით ამ პრობლემას?/თქვენი დეპარტამენტის ხელმძღვანელი ასე მიუდგობოდა ამ პრობლემას?* *გ) როგორ ფიქრობთ, ამ ქმედებაზე როგორ რეაგირებას მოახდენს კობა?* *დ) როგორ რეაგირებას მოახდენდა თქვენი აკადემიური პერსონალი?/ როგორ რეაგირებას მოახდენდით პირადად თქვენ?*

2. რამდენი ხანია, რაც ამ დეპარტამენტს ხელმძღვანელობთ/დეპარტამენტში მოღვაწეობთ?
მსგავს ხელმძღვანელ/აკადემიურ თანამდებობაზე თუ გიმუშავიათ? თუ კი, რამდენად განსხვავდება თქვენი ახლანდელი სამუშაო გარემო? რა აზრის ხართ დეპარტამენტის ხელმძღვანელობის ვადის ხანგრძლივობაზე (ვადით/უვადო კონტრაქტით დანიშნული)? (მხოლოდ დეპარტამენტის ხელმძღვანელს: გაგივლიათ რაიმე ტრენინგი ხელმძღვანელობის კუთხით, ამ თანამდებობაზე დანიშვნამდე ან დანიშვნის შემდეგ? რამდენად დაგეხმარათ?)

3. თქვენი აზრით, რა არის ამ დეპარტამენტის ხელმძღვანელად/აკადემიურ პერსონალად ყოფნის ყველაზე დადებითი მხარეები?
(რამდენად გრძნობთ სიახლოვეს თქვენს დეპარტამენტთან/უნივერსიტეტთან მიმართებაში? რამდენად აფასებთ თანამშრომლებთან ურთიერთობებს? რამდენად ახასიათებს დეპარტამენტს გუნდური მუშაობა?)

4. რაში მდგომარეობს ამ დეპარტამენტის ხელმძღვანელად/აკადემიურ პერსონალად ყოფნის მთავარი სირთულეები?
რამდენად გაქვთ ხელშეწყობა აღნიშნულ პრობლემებთან მიმართებაში?

5. თქვენი აზრით, რა უნდა მოიმოქმედოს დეპარტამენტის ხელმძღვანელმა იმისათვის, რომ დადებითი, კეთილგანწყობილი სამუშაო გარემო შექმნას?
თქვენც/თქვენი დეპარტამენტის ხელმძღვანელიც ურთიერთობების მართვის ამ ხერხებს მიმართავთ/მიმართავს? როგორ უნდა შეიკრას ეფექტური გუნდი?

6. როგორ მიგაჩნიათ, რა როლს თამაშობს ემოცია დეპარტამენტის მართვის პროცესში?
რამდენად მნიშვნელოვანია ემპათიის გამომჟღავნება? თქვენ რამდენად გესმით თანამშრომლების?/თქვენს დეპარტამენტის ხელმძღვანელს რამდენად ესმის თანამშრომლების ?)

7. მოდით, დავუბრუნდეთ ინტერვიუს დასაწყისში განხილულ სცენარს და წარმოვიდგინოთ მისი ასეთი გაგრძელება.

სცენარი - ნაწილი 2
ქ-ნი ანა კობას პირისპირ სასაუბროდ იბარებს და პრობლემის მიზეზის გარკვევას ცდილობს. კობა მას მოახსენებს, რომ ჯანმრთელობის პრობლემა აქვს. იგი ასევე აუხსნის, რომ მისი ოჯახი ფინანსურად მასზე არის დამოკიდებული და ისეთი ზომების მიღება არ შეუძლია, რასაც ხელფასის შემცირება შეიძლება მოყვეს. *ა) თქვენი აზრით, როგორ უნდა მოიქცეს ქ-ნი ანა?* *ბ) როგორც დეპარტამენტის ხელმძღვანელი, თქვენ ასე მოიქცეოდით?/თქვენი დეპარტამენტის ხემძღვანელი ასე მოიქცეოდა?* *გ) როგორ ფიქრობთ, რა შედეგი მოყვება ამ გადაწყვეტილებას?* *დ) პირადად თქვენ თუ გქონიათ სამსახურეობრივი უთანხმოება თქვენს აკადემიურ პერსონალთან/დეპარტამენტის ხელმძღვანელთან? თუ კი, როგორ მოხდა სიტუაციის განმუხტვა?*

8. როგორ ფიქრობთ, ხელმძღვანელის უნარ-ჩვევების განვითარების ტრენინგი თუ დაგეხმარებოდათ/დაეხმარებოდა დეპარტამენტის ხელმძღვანელს თანამშრომლებთან ურთიერთობების მართვის კუთხით?
თუ კი, რა სახის? ამ უნარ-ჩვევების განვითარება შესაძლებელია?

9. თუ დაამატებდით რაიმეს დეპარტამენტის მართვის ემოციურ მხარესთან მიმართებაში?

10. ჩემთან შეკითხვა ხომ არ გაქვთ?

შემდეგი ეტაპი

- სურს შეამოწმოს ინტერვიუს წერილობითი ჩანაწერის სიზუსტე? დიახ/არა

თანხმობის შემთხვევაში, რესპონდენტის საკონტაქტო ინფორმაცია: _____

Appendix D: Profile of Interview Participants

D-1: Profile of Interviewed HoDs

ID	University	Discipline	Ethnicity	Gender	Age Group	Highest Academic Qualification	Term Length	Previous Leadership Experience	Year(s) as HoD	No. of Academic Staff in Dep.	Working Relationship with Staff*
HoD^{Ge1}	Public	Science	Georgian	Male	51-60	PhD	Fixed-term	No	6	Less than 10	Effective
HoD^{Ge2}	Public	Social Sciences	Georgian	Male	51-60	PhD	Ongoing/ Permanent	Yes	14	21-30	Effective
HoD^{Ge3}	Public	Arts	Georgian	Female	31-40	PhD	Fixed-term	No	4	Over 50	Very effective
HoD^{Ge4}	Public	Arts	Georgian	Female	51-60	PhD	Fixed-term	No	3	10-20	Average
HoD^{Ge5}	Public	Science	Georgian	Male	Over 60	PhD	Ongoing/ Permanent	Yes	20	10-20	Effective
HoD^{Ge6}	Private	Arts	Georgian	Female	Over 60	PhD	Ongoing/ Permanent	Yes	10	10-20	Effective
HoD^{En1}	Pre-1992	Social Sciences	White-British	Male	41-50	Master's	Fixed-term	No	6	21-30	Very effective
HoD^{En2}	Pre-1992	Medicine	White-British	Female	51-60	PhD	Fixed-term	Yes	2	Over 50	Effective
HoD^{En3}	Pre-1992	Science	White - Other	Male	41-50	PhD	Fixed-term	No	5	41-50	Very effective
HoD^{En4}	Pre-1992	Medicine	White-British	Male	51-60	PhD	Fixed-term	Yes	1	31-40	Effective
HoD^{En5}	Post-1992	Arts	White-British	Male	41-50	Master's	Ongoing/ Permanent	Yes	2	31-40	Effective
HoD^{En6}	Post-1992	Medicine	White-British	Female	51-60	PhD	Ongoing/ Permanent	Yes	4	Over 50	Effective

*Self-reported rating of the effectiveness of working relationship with academic staff

D-2: Profile of Interviewed Academic Staff

ID	University	Discipline	Ethnicity	Gender	Age Group	Highest Academic Qualification	Year(s) of Service in Current Dep.	No. of Academic Staff in Dep.	Working Relationship with HoD*
Staff^{Ge1}	Public	Arts	Georgian	Female	31-40	PhD	12	Over 50	Effective
Staff^{Ge2}	Public	Social Sciences	Georgian	Male	31-40	PhD	11	21-30	Very effective
Staff^{Ge3}	Public	Arts	Georgian	Female	51-60	PhD	20	10-20	Very effective
Staff^{Ge4}	Public	Arts	Georgian	Female	21-30	Master's	5	10-20	Effective
Staff^{Ge5}	Public	Science	Georgian	Male	Over 60	PhD	33	Less than 10	Effective
Staff^{Ge6}	Public	Arts	Other	Male	21-30	Master’s	1	Over 50	Very effective
Staff^{Ge7}	Private	Arts	Georgian	Female	31-40	Master’s	8	10-20	Very effective
Staff^{Ge8}	Private	Social Sciences	Georgian	Male	41-50	Master’s	1	21-30	Effective
Staff^{Ge9}	Private	Arts	Georgian	Female	31-40	Master’s	4	Over 50	Effective
Staff^{Ge10}	Private	Social Sciences	Georgian	Female	41-50	Master’s	15	21-30	Average
Staff^{Ge11}	Private	Arts	Georgian	Female	21-30	Master’s	4	10-20	Very effective
Staff^{Ge12}	Private	Science	Georgian	Female	31-40	PhD	17	21-30	Effective
Staff^{En1}	Pre-92	Social Sciences	White-British	Male	51-60	PhD	1	21-30	Average
Staff^{En2}	Pre-92	Medicine	White-British	Female	41-50	PhD	2	Over 50	Very effective
Staff^{En3}	Pre-92	Medicine	White-British	Female	31-40	PhD	2	31-40	Ineffective

ID	University	Discipline	Ethnicity	Gender	Age Group	Highest Academic Qualification	Year(s) of Service in Current Dep.	No. of Academic Staff in Dep.	Working Relationship with HoD*
Staff^{En4}	Pre-92	Medicine	White-British	Female	21-30	Master's	1	Over 50	Effective
Staff^{En5}	Pre-92	Science	White - Other	Male	41-50	PhD	14	Over 50	Average
Staff^{En6}	Pre-92	Science	White-British	Male	Over 60	PhD	29	31-40	Effective
Staff^{En7}	Pre-92	Social Sciences	White-British	Female	21-30	PhD	1	21-30	Very effective
Staff^{En8}	Pre-92	Science	Asian/Asian British - Indian	Male	31-40	PhD	3	31-40	Effective
Staff^{En9}	Pre-92	Medicine	White-British	Female	41-50	PhD	2	Over 50	Average
Staff^{En10}	Pre-92	Science	White - Other	Male	21-30	PhD	1	Over 50	Average
Staff^{En11}	Pre-92	Science	White - Other	Male	41-50	PhD	20	Over 50	Effective
Staff^{En12}	Pre-92	Arts	White - Other	Female	41-50	PhD	10	10-20	Very effective
Staff^{En13}	Pre-92	Arts	White - Other	Male	31-40	PhD	1	10-20	Very effective
Staff^{En14}	Pre-92	Arts	White-British	Female	51-60	PhD	20	10-20	Average
Staff^{En15}	Post-92	Social Sciences	White-British	Male	51-60	Master's	20	10-20	Very effective

*Self-reported rating of the effectiveness of working relationship with HoD

Appendix E: Ethical Approval Form

THE UNIVERSITY OF WARWICK
Institute of EDUCATION

Application for Ethical Approval for Research Degrees
(MA by research, MPHIL/PhD, EdD)

Name of student: Natia Sopromadze

MA By research	EdD	PhD X

Project title: Emotional Leadership in Higher Education: A Cross-Cultural Comparative Study in Georgia and England

Supervisor: Dr Pontso Moorosi

Funding Body (if relevant):
University of Warwick, Chancellor's International Scholarship

Please ensure you have read the Guidance for the Ethical Conduct of Research available in the handbook.

Methodology

Please outline the methodology e.g. observation, individual interviews, focus groups, group testing etc.

The study will adopt a mixed methods approach. First, a mostly quantitative online survey of academic heads of departments (HoDs) and academic staff will be piloted in the English and Georgian languages using a cognitive interview method. The refined questionnaire will be sent to participants in selected universities in both countries. Since state and private universities in Georgia differ in terms of departmental leadership, one university will be chosen from each sector and two departments from each university. Respectively, chartered and statutory universities will be included in the English sample as they are also argued to have different leadership traditions. Thus, the survey will cover eight departments (4 Georgian/4 English) in four universities (2 Georgian/2 English). It will be followed by individual semi-structured interviews with academic heads and staff members in two departments (1 Georgian/1 English).

Participants

Please specify all participants in the research including ages of children and young people where appropriate. Also specify if any participants are vulnerable e.g. children; as a result of learning disability.

All the research participants will be adults (academic HoDs and academic staff) working in higher education institutions in Georgia and England.

Respect for participants' rights and dignity

How will the fundamental rights and dignity of participants be respected, e.g. confidentiality, respect of cultural and religious values?

Participants will be informed about the purpose of the study and voluntary consent will be obtained. The survey will be confidential and interview reports will be anonymised. Since the study explores perceptions, beliefs and cultural values, I will neither reveal my own values nor challenge or disagree with the ones expressed during interviews. Interview transcripts will be sent back for approval if interviewees wish so and will be modified on request.

Privacy and confidentiality

How will confidentiality be assured? Please address all aspects of research including protection of data records, thesis, reports/papers that might arise from the study.

Participants' right to privacy will be respected by giving them an opportunity to refrain from answering any question or to withdraw from the study at any point. Confidentiality will be guaranteed by removing names and any identifying information when reporting findings. Participants will be informed that the collected data will be used for a PhD project and will be further disseminated in academic publications and conference presentations.

Consent - *will prior informed consent be obtained?*

- *from participants?* **Yes**/No *from others?* Yes/**No**
- *explain how this will be obtained. If prior informed consent is not to be obtained, give reason:*

The introductory page of the online survey will state the purpose of the proposed research and will seek voluntary participation. At the end of the survey, participants will be asked if they would be willing to participate in an interview of 30 minutes as part of the second phase of the project. Those participants who agree to be interviewed will need to provide their names and contact details.

Prior to interviews, there will not be another written agreement to maintain cooperative ethos. A brief summary of the research aims will be explained to participants. Confidentiality will be promised and permission will be sought to use an audio recorder. It will be emphasised that participants do not have to answer all the questions and can terminate the conversation at any time.

- *will participants be explicitly informed of the student's status?* **Yes**

Competence

How will you ensure that all methods used are undertaken with the necessary competence?

I acquired the necessary skills when completing the required modules: Foundation Research Methods (FRM) and Advanced Research Methods (ARM). I also attended various workshops on research methodology offered by the WIE, Doctoral Training Centre and the Research Student Skills Programme (RSSP).

I am piloting my web-based questionnaire at the moment which will help to refine the instrument. As for interviewing, after a pilot interview I will listen to the recording to establish if there are any changes to be made in my interviewing skills. Finally, regular meetings and discussions with my supervisor will ensure that my research project is progressing in the right direction.

Protection of participants

How will participants' safety and well-being be safeguarded?

The research will not cause any physical harm or mental stress to those involved in the study. Interviews will be conducted in a friendly manner in a university environment chosen at participants' discretion.

Child protection

Will a DBS (Disclosure and Barring Service formerly CRB) check be needed?

Yes/**No** (If yes, please attach a copy.)

Addressing dilemmas

Even well planned research can produce ethical dilemmas. How will you address any ethical dilemmas that may arise in your research?

Participants will be treated with respect and dignity in line with the ethical guidelines of the British Educational Research Association (BERA). If faced with an ethical dilemma, I will try to resolve the issue with sensitivity. I will seek advice from my supervisor and consult with colleagues who do research in a similar context.

Misuse of research

How will you seek to ensure that the research and the evidence resulting from it are not misused?

The data will be processed and stored as required by the Data Protection Act in the UK. Throughout the duration of the project, the raw data will be held securely on a password-protected computer. The project will be reported on fairly and accurately. The findings will be made publicly available through academic journals/conferences.

Support for research participants

What action is proposed if sensitive issues are raised or a participant becomes upset?

I will build a close rapport with participants which will help to develop mutual trust and confidence. However, if a participant still becomes upset regardless of professional discretion used, s/he may choose not to answer the question; I would pause the interview until they recollect themselves.

Integrity

How will you ensure that your research and its reporting are honest, fair and respectful to others?

The aims of the research project and the methods employed will be fully disclosed to participants. No deception will be used to gather either survey or interview responses. Participants' privacy and confidentiality will not be compromised by any means. At the end of the project the findings will be shared with participants if requested.

What agreement has been made for the attribution of authorship by yourself and your supervisor(s) of any reports or publications?

The attribution of authorship of any future publications will be addressed in due course based on the discussion with my supervisor.

Other issues?

Please specify other issues not discussed above, if any, and how you will address them.

N/A

Research student: Signed *N. Sopromadze* Date: 28th August, 2013

Supervisor: Signed *P. Moorosi* Date: 28th August, 2013

Action

Please submit to the Research Office (Louisa Hopkins, room WE132)

Action taken

- ✓ Approved
- ☐ Approved with modification or conditions – see below
- ☐ Action deferred. Please supply additional information or clarification – see below

Name: Prof Geoff Lindsay Date: 29th August, 2013

Signature: Signed *G. Lindsay*

Stamped

Notes of Action