THE UNIVERSITY OF HULL

The heart of the Head: The emotional dimension of leadership. An examination and analysis of the role emotional intelligence plays in successful secondary school and academy leadership.

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Acknowledgments

Abstract: Education is currently in the midst of a serious crisis in terms of leadership sustainability, retention, recruitment and succession. There are those who would cite the constant barrage of educational change and reform, along with the over-emphasis on accountability for outcomes, as the major reasons for making the role of Headteacher or Principal a less and less attractive career option. However, even under increasingly difficult circumstances, there are still school leaders who continue to do an exceptional job and who are sustained and energized by it while others, facing the same leadership challenges and difficulties, fall by the wayside. This research study explores the role of emotional intelligence in explaining the disparity. The concept of emotional intelligence is a relatively new construct by comparison with cognitive intelligence, providing different insights from traditionally associated measures of intelligence. From the emergence of the construct in the early 1990s to current times much has been written about emotional intelligence in relation to the world of work and effective leadership per se, but far less specifically related to the role it can play in effective school leadership. The research study therefore sets out to root the construct firmly in the world of education by carrying out an extensive review of the literature, using the outcomes to develop a school-based emotional intelligence model of effective school leadership and testing out the credence of the developed model through a comparative study of a number of acknowledged outstanding secondary school and academy Headteachers and Principals.

The thesis is divided into five chapters. The first chapter outlines the purpose of the study that is to determine if emotional intelligence offers a different insight from those traditionally associated with effective school leadership. Further to this, it sets the scene for the exploration of the theoretical framework best suited to the purpose and nature of this research. The second chapter through an examination and review of the literature illustrates the emergence of the differing schools of thought in relation to the emotional intelligence construct and further informs the chosen theoretical framework which supports the development of a model for effective school leadership. Chapter 3 examines the possible research methodologies and approaches and considers the most appropriate forms for investigating the key elements arising from the proposed study. The fourth chapter discusses the research findings from the semi-structured interviews and the comparative outcomes from an integrated thematic analysis of the cases and further informs the developing model for effective school leadership. Chapter 5 provides an evaluation drawing conclusions and recommendations from what has been established through the research and what can be learnt from best practice. How to proceed in successfully sustaining, developing, retaining, and recruiting secondary school and academy leaders now and in the future, and the role the developed model could play in this, are proposed as opportunities for further lines of research.

The thesis as a whole not only provides new information on how the challenges and complexities of leading secondary schools and academies can be successfully met and supported, but also offers a practical model for building emotionally intelligent school communities through emotionally intelligent leadership.

The primary method of research is semi-structured interviews and the comparative thematic analysis of the findings supported by review of the literature.

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FIGURES

CHAPTER ONE

1: <u>INTRODUCTION</u>

1.1: Purpose of the study

Emotional intelligence is, by comparison with cognitive intelligence, a relatively new construct, providing different insight from traditionally associated measures of intelligence. The purpose of this study is to investigate the emergence of emotional intelligence as a construct in the early 1990s, the current thinking, just over twenty years later, around its relationship to effective school leadership and the significance of emotional intelligence in sustaining and retaining current school leaders and in developing and recruiting future school leaders as we face a crisis in school leadership retention and recruitment in the 21st Century. This research study therefore sets out to root the construct firmly in the world of education by carrying out an extensive review of the literature to unpick the relationship between emotional intelligence and effective school leadership. For the purpose of this educational research, school leader is defined as Headteacher or Principal and specifically Headteachers and Principals in the English secondary school or academy setting. The aim, following this initial investigation, is to develop a school-based emotional intelligence model of effective secondary, school and academy leadership. Akin to this I will also illuminate the role emotional intelligence can play in retaining, sustaining, developing and recruiting school and academy leaders now and in the future. I will test the credence of the developed emotional intelligence model of effective school leadership through a comparative study of a number of

acknowledged outstanding secondary school and academy Headteachers and Principals.

1.2: Historical and contextual information

Having taught in English secondary schools for over thirty years and as a current serving member of a senior leadership team in a large 11-18 comprehensive school in the north of England, which has successfully navigated its way through and out of special measures (March 2009) achieving 'outstanding' status just two years later (March 2011), I am interested in the notion of what determines and shapes effective secondary school and academy leaders and how we can grow, nurture and sustain such leaders in our schools and academies today and in the future. I believe my own biography is significant to this and will impact on the design, implementation and the subsequent evaluative process within the research. This is because I have a strong sense of what has brought me to focus on the role emotional intelligence plays in effective school leadership.

Through my previous research (Allen, 2004) into change management, I became fascinated with the newly emerging constructs of emotional intelligence and the relationship between it and effective leadership. In the research I hypothesized that: I am an effective manager of change. In attempting to support this hypothesis I asked the questions: *1. What does effective change management look like, sound like and feel like? 2. How effective have I been as a change manager? 3. How can*

lessons learnt shape my future change management practice? 4. What can others learn from my findings?

Having carried out this ethnographic study, based on empirical observation, I concluded that people react to, and cope with, change in a variety of different ways; from complete rejection to complete acceptance and that this is determined by the nature of the organisation and the nature of the people in the organisation, all of which are unique. This is what makes the management of change according to Fullan (1993; 1999; 2003; 2006), and my findings concur with this, so complex and problematic. Fullan (1999, p.14) asks the question in dealing with the complexity and messiness of change, 'if we know so much about the change process why don't people use this knowledge?' A salutary lesson learnt from this research project was that there is no answer to the question: What does effective change management look like, sound like and feel like? Fullan's (1993) complex change lessons are about everlasting tensions between diversity and reconciliation. Even when you know what research and published advice has to say you will not necessarily know exactly how to apply it to your particular situation with its unique problems and opportunities. However, Fullan (1999) teaches us to embrace this uniqueness because time and time again differences contain the seeds to creativity, but the route to reconciliation is complex and anxiety prone. He suggests the best we can do is to strive for a 'holding environment'. That is, if we provide an emotionally supportive environment for an organisation, its members

are able to hold higher levels of anxiety and therefore may be more creative and thus more able to embrace reform and change.

From carrying out this earlier research I found that I had the capacity to create this 'holding environment' for myself and my colleagues which is grounded in my belief that school leadership is inherently and inescapably emotional and it is this respect for emotion's powerful presence in all our lives which informs my leadership and guides me in seeking to create an emotionally healthy school community with and through others. I have an absolute conviction in my own moral purpose (position) which is at the heart of my 'self' (reflexivity) which drives all that I do and all that I say. As a teacher this is the desire to make a difference to the lives of children and as a school leader shaping the vision and building the culture for this to happen with and through my colleagues. I was effective and affective as a change manager because I had provided a supportive emotional environment in which participants could embrace change. I was sensitive to what De Gues (1997, p.7) would call the 'chemistry of people'. Fullan (1999, p.22), in his work on 'change management', finds 'it is the quality of the relationships among organizational members, as they evolve, that makes for long-term success'. Goleman et al (2002, p3) believe that 'great leaders work through their emotions' and that emotional intelligence may be more important than IQ in effective leadership. Advocates of emotional intelligence (Salovey and Mayer 1990; Goleman, 1996; Boyatzis & McKee, 2002; Bar-On, 2000; Higgs & McGuire, 2001) provide a different insight from those traditionally associated with leadership and view it as a potential new

construct for explaining behaviour variance not accounted for by traditional measures of intelligence. This has resonance for me on a personal level as a serving secondary school leader but also on a wider professional level as the crisis in recruiting, retaining, and sustaining Headteachers and Principals gathers pace. It is from this 'informed' position that I will approach my research.

It is my intention therefore, to firstly research the historical perspective of the construct. In doing this I will compare it with intelligence development per se and set the scene for how the new intelligence construct has emerged. Further to this I will consider the current schools of thought with regard to the relationship between emotional intelligence and effective school leadership and consider the impact this will have on my own research and vice versa. I will also consider the current research into measuring emotional intelligence and emotional intelligence tests and analyse as a potential data gathering tool in my own research. I will place this against the backdrop of a growing and deepening disillusionment in the teaching profession resulting in the well documented crisis in recruitment of future school leaders and the retention of current school leaders. This will in turn inform the model for effective school leadership I aim to develop by bringing theory and practice together.

1.3: Rationale for the study

Currently, education is in the midst of a serious crisis in terms of leadership sustainment, retention, recruitment and succession. This is of particular concern at

a time when more than 75 per cent of current Headteachers, the 'baby boomer' generation born in the Fifties, will retire within the next five to ten years, and little sign that the younger generation is willing to step up to the plate. There are those who would cite the constant barrage of educational change and reform, along with the over-emphasis on accountability for outcomes, as the major reasons for making the role of Headteacher/Principal a less and less attractive career option. However, even under these increasingly difficult circumstances, there are still school leaders who continue to do an exceptional job and who are sustained and energized by it and in turn are able to create positive resonance for others, whilst some facing the same leadership challenges and difficulties create discord for themselves and others and subsequently fall by the wayside. This research study explores the role of emotional intelligence in explaining this disparity.

Research, carried out in 2003 by the Hay Group for the National College of School Leadership (NCSL) - *Growing Tomorrow's School Leader: the Challenge* (Hartle and Thomas, 2003, p.5) cites the findings of a demographic study of the teaching profession: *The Future of the Teaching Profession* (IPPR, 2002) which paints a bleak picture for the future supply of teacher leaders. It finds that many teacher training places remain unfilled; fewer pupils are planning to become teachers; over half of the teaching profession in 2006 was over 50; one third of non-retiring teachers intend to leave the profession within five years; approximately 20% of PGCE and BEd graduates never enter the teaching profession and 25% leave the profession within five years. The report continues that given school leaders are

recruited almost entirely from the teaching population, the trends in the recruitment and retention of teachers will pose major problems in securing sufficient numbers of school leaders for the future. Their report concludes, significantly, that recruitment is also a problem today. Indeed, a report by the Educational Data Service (EDA) in 2003 indicated a record number of adverts for Headship and significantly a high level (18%) of readvertisement for these posts. The need to readvertise indicates either those applying are not of a suitable calibre and therefore first tranche recruitment is not successful, or the recruitment pool itself has been so seriously diminished that numbers applying for each post are too few from which to draw a field of candidates, or in some cases no applications at all are received for the post. NCSL reports school leadership is becoming a less attractive career option stating that 'over recent years only about a third of retirements have been at normal retirement age (60) or above, and a growing number have been early retirements after age 55', (NCSL, 2006). As a result the Government has acknowledged that the turnover of senior leaders in schools has reached crisis level and called on the NCSL to 'plan for succession' as a priority to identify and grow tomorrow's leaders. This leads one to pose the question: What is it about school leadership today, in the first decade of the 21st Century, which makes it apparently so unattractive to the current and next generation of school leaders?

In answering this question one could cite the never ending plethora of change reforms facing school leaders on a daily basis. Hargreaves & Fink (2006, p.1) supports this assertion when they state that 'change in education is easy to

propose, hard to implement, and difficult to sustain'. They continue that 'sustainable improvement depends on successful leadership but making leadership sustainable is difficult, too'. He acknowledges that 'while heroic leaders can achieve great things through investing vast amounts of their time and energy, as the years pass, this energy is rarely inexhaustible, and many of these leaders and the people who work for them ultimately burn out'. However, Hartle & Thomas (2003) do offer some solutions in terms of growing leaders by focussing on the notion of leadership as a shared operation moving away from it being the onerous and solitary responsibility of the Headteacher or Principal. As I am interested in sustaining and retaining current and future school leaders and the role emotional intelligence can play in this, the developing model for effective school leadership will have at its heart the desire to build emotionally intelligent and emotionally resilient school communities which are led by emotionally intelligent leaders whose sustainability is self fulfilling.

Clearly the pace of change in education is the biggest challenge which school leaders are faced with. The past two decades or so has seen a huge amount of education reform brought in on the pretext of underpinning the standards movement. This, one could argue, is evidenced by the increasing number of schools being placed into special measures. This is supported by the research carried out by Hargreaves and Fink (2006, p.2), who believe that leadership has 'plummeted to the depths of unsustainability, taking educational leadership down with it' (Hargreaves & Fink, 2006, p.9). Hargreaves & Fink (2006, p.2) hypothesize:

'If the first challenge of change is to ensure that it's desirable and the second challenge is to make it doable, then the biggest challenge of all is to make it durable and sustainable'. Off the back of this I pose the question: How do we equip school leaders with the wherewithal to do, endure and sustain?

In part this question could be answered by focussing on those leaders who successfully face the most challenging circumstances of all, leading a school through and out of special measures. My own experiences concur with this.

In April 2005, NCSL hosted a Leading Practice seminar which focussed on the positives for schools and school leaders which come from being placed in special measures and what Headteachers in such circumstances find rewarding and how these leaders are supported, sustained and developed. The NCSL research associate Alan Flintham, who was himself a former Headteacher of a school facing challenging circumstances, was commissioned to carry out a small series of semi-structured interviews with participants in the seminar who remained Headteachers of such schools. His subsequent report: *What's good about leading schools in challenging circumstances* (Flintham, 2006) is both illuminating and uplifting. He finds that of the Headteachers interviewed they all displayed similar characteristics which were focussed on:

Personal convictions and respect for others, tenacity in advocacy for

young people and resilience in standing by them. These are tempered by a degree of personal humility. They combined high levels of emotional intelligence and a confidence in risk taking with a passion for the development of pupils, for the school and for the role of Headteacher.

(Flintham, 2006, p.6)

Are these the characteristics therefore of effective school leaders? Many writing and researching in the field of effective school leadership would say they are. In the early 1990s Thomas Sergiovanni (1992) writes about one's 'interior world' being at the foundation of one's reality and at the heart of successful leadership. Fullan (1999, p. 1-12) towards the end of that decade talks in a similar vein about one's 'moral purpose' being imperative to successful school leadership. A decade earlier Stephen Covey's seminal work: The 7 Habits of Highly Effective People (Covey, 1989, p.96) describes ones 'principled centre' as being the heart of effective personal leadership. Covey (1989, p.95), quoting Oliver Wendell Holmes, sums up well what he believes is at the heart of effective leadership: 'What lies behind us and what lies before us are tiny matters compared with what lies within us'. What lies within us shapes and drives our own personal convictions. Akin to this, I contend, is how we manage our inner emotions and feelings and empathise with those of others. To this end Beatty (2005, p.122) poses the questions: 'Why should we consider the emotions of leadership? What goes on in the inner world of school leaders? How does emotional integrity connect with a leader's sense of

well-being and a whole schools capacity to consider some possible answers to these questions?' She argues that 'school leadership is inherently and inescapably emotional' (Beatty, 2005, p.122) and that 'a deepened, embodied respect for emotion's powerful presence in all our lives can inform good leadership and create community' (Beatty, 2005, p.122). She contests that 'leaders interactions with others affect and are affected by the emotional experience of identity – their own and others' and concludes that 'the links between who we are and how we lead, teach and learn are critical to success in schools' (Beatty, 2005, p.123). Fullan (2003, p.2), when writing about the moral imperative of leadership, supports this argument when he quotes Kotter and Cohen (2002, p.11) 'people rarely change through a rational process of analyze-think-change'. Fullan (2003, p.2) agrees with Kotter and Cohen's (2002, p.11) belief that people are 'much more likely to change in a see-feel-change sequence' in this argument they conclude that the role of the leader is to work through a process that does the following: 1. Helps people see [new possibilities and situations]. 2. Seeing something new hits the emotions. 3. Emotionally changed ideas change behaviour or reinforce changed behaviour. However, Beatty (2005, p.122) suggests that until recently 'school leaders have routinely found that their emotional selves are anything but welcome in their work' and more worryingly that it is this denial of emotions which can have serious consequences for health and well-being, contesting that 'those who allow their authentic selves to become hidden and inaccessible in the process are likely to become the biggest problem in their organisation'. Beatty continues that 'they represent the greater danger that denies openness to multiple perspectives and

cripples possibilities for a mutually respectful and relationally connected community of learners of all ages' (Beatty, 2005, p.125). Beatty (2005, p.125) urges acceptance that 'schools are built on relationships and leadership is about getting things done through people' and therefore in order to sustain and develop Headteachers they 'need to be savvy about what makes people tick'. Salovey and Mayer writing in 1990, the first acknowledged published reference to the construct, followed by Goleman in 1995, would call this being emotionally intelligent. That is 'the ability to monitor one's own and other's feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions' (Salovey et al, 2004, p10).

It is my intention, therefore, to build a theoretical model of effective school leadership, based both on what the literature says about emotional intelligence and leadership and also on my own experiences of school leadership. This will then be tested out and honed in the field that is the secondary school and academies setting. In doing this I want to demonstrate that there is a relationship between effective school leadership and emotional intelligence and that the construct is fundamental to current and future effective school leadership. I believe this is pertinent to the teaching profession as much has been written about emotional intelligence and leadership per se. My focus however is narrowed down to specifically target the role emotional intelligence plays in being effective in the role of Headteacher or Principal in secondary schools and academies, at a time when it is acknowledged there is a crisis with retention and recruitment in and to this role.

1.4: Questions to be asked in determining the theoretical framework for the study

The difficulty in determining a theoretical framework for my research lies in the confusion over an agreed definition of emotional intelligence. There is no clear consensus over what it really means. A variety of different conceptions, and definitions, of emotional intelligence have been proposed, each with an associated method of measuring the construct used in an effort to give the construct credence within the already very well established field of 'intelligence'.

Historically, however, there are two basic schools of thought surrounding emotional intelligence. I will give a brief summary here but will go into greater detail through the literature review in Chapter 2.

The first school of thought is the science driven, mental abilities based model put forward by John Mayer and Peter Salovey, both American professors of psychology, in the early 1990s. The mental abilities model shares key characteristics with cognitive and intellectual abilities. Mayer and Salovey contest that emotional intelligence, like cognitive intelligence, is an inherent given which develops, like cognitive intelligence, through childhood, reaching an optimum in adulthood and therefore cannot be learnt. Following this Daniel Goleman, an American psychologist and contemporary of Mayer and Salovey, put forward an alternative practice driven, mixed abilities model in the mid 1990s. Goleman, unlike Mayer and Salovey, courted the popular press through his seminal work:

'Emotional Intelligence – Why it may matter more than IQ' (1995), with his assertion that emotional intelligence may be more important to life chances than IQ. Goleman's mixed abilities model defines emotional intelligence in terms of abilities and skills which are learned competences which can be acquired and developed through practice throughout life. This model is attractive in relation to this research because it describes personal and social skills that can be learnt and that lead to superior performance in the world of work. All other models, for example, Bar-On (1997a), emerged from these two and are generally classed as mixed models. Further to this there is little consensus on the measurement of emotional intelligence. Mixed models are in general measured through self reporting methodologies which are not accepted as valid by the science driven school whilst ability models are measured, like cognitive intelligence, through measuring performance based abilities and currently appear to have greater validity, but this is still relatively limited. These are also fraught with problems because the empirical data is by cognitive intelligence terms very much in its infancy.

In attempting to determine the theoretical framework for my research therefore, I pose the question: What does the literature say about the relationship between emotional intelligence and effective school leadership? As this research is grounded in the leadership of secondary schools and academies in England, the school leader is defined as the Headteacher or Principal. In attempting to answer this initial question I pose the further supplementary questions:

1. What is intelligence? How can it be measured?

2. What are emotions?

3. Is there a relationship between cognition and emotion?

4. What is emotional intelligence? How can it be measured?

5. What are the characteristics of a good leader? Where does emotionally intelligent leadership fit here?

6. If there is a relationship between emotional intelligence and effective school leadership, how or can it be proven empirically? Does it have to be proven empirically?

7. Is emotional intelligence distinct from other intelligences?

8. Are emotions or emotional traits like intelligence inherent or learnt?

9. If emotional intelligence can be learnt can it be developed?

In order to answer these questions it is my intention to carry out an in-depth and rigorous exploration of what the literature says and from this establish a theoretical framework for my research. Having done this I will be in a better position to pose a research hypothesis regarding emotional intelligence and effective school leadership which will inform a developing effective school leadership model.

1.5: The significance of the study

Accepting that schools are built on relationships and leadership is about getting things done with and through people then Headteachers must be able to build and

sustain positive and productive relationships and therefore need to be sensitive to the chemistry of people. This is particularly pertinent in a climate of continuous educational change which brings with it a range of associated pressures and stresses for those who are charged with leading and managing that change. Little wonder some would argue, Hargreaves and Fullan writing in 1998 for example, that leaders are increasingly overloaded resulting in many choosing to leave the profession early. Almost a decade later it is apparent that the situation has not improved, indeed it has worsened. Hargreaves and Fink (2006, p.173) further contests that 'there is a crisis of leadership throughout our society' and that 'not only is school leadership losing its lustre, it is also losing its people'. They believe a good starting point to restore faith in leadership is in education. They conclude it is in schools where we 'encounter and are influenced by our first leaders'. Therefore, and I agree with Hargreaves and Fink, if we are to nurture and sustain effective school leaders in the here and now and talent spot, grow and develop effective school leaders for the future we must be clear about what effective school leadership looks like, sounds like and feels like. This clarity will be informed initially by unpicking the answers to the questions I pose in trying to determine a theoretical framework for this study: Is there a relationship between effective leadership and emotional intelligence? If there is, can emotional intelligence be learnt? If it can be learnt can it be developed? If it can be developed can we equip current and future leaders with the skills and abilities to manage educational change successfully to continue to bring about school improvement and whilst planning for succession to maintain and sustain standards? Having determined a

theoretical framework I will develop an hypothesis regarding emotional intelligence and leadership which will shape the methodology of the study, the subsequent data gathering tools and the associated analysis of the findings.

Drawing on the results of the literature review, a school-based emotional intelligence model of effective school leadership may then be developed, illuminating the crucial role emotional intelligence plays in creating emotionally resilient leaders who are able to create emotionally resilient communities through heightened emotional intelligence competences, which in turn sustain and energise the Headteacher or Principal. Such an understanding of the key role emotional intelligence plays in effective school leadership would then firstly better equip current Headteachers and Principals with the skills and competences needed to manage educational change and secondly identify and develop those who have these skills and competences to continue to bring about school improvement whilst planning for succession to maintain and sustain standards.

The research report which follows therefore falls into three main sections:

- A review of the literature on emotional intelligence as it may be applied to school leadership

- The development of a school-based emotional intelligence model of effective school leadership.

- The gathering of data in the field from acknowledged outstanding Headteachers and Principals and its analysis tested out against the developed model of effective school leadership and what the literature says.

1.6: The limitations and constraints of the study

As a full time Assistant Headteacher in a large comprehensive school finding the time to be out of my own school to carry out field research is a limiting factor. Whilst this will not necessarily shape the nature of the data set, if time is what is needed to collect the data this will have to be balanced against reality. Therefore, I have to consider should I collect data remotely and concentrate on broad brush strokes or should I consolidate my time by concentrating on a smaller data set but drilling deep? Time constraints therefore, will be taken into consideration when I come to making decisions on methodology and data gathering instrumentation. Ethics will clearly play a role here as I will be gathering data about the practice of fellow professionals. I am also sensitive to the impact my own 'position' and issues of reflexivity will have on its design. As a serving Assistant Headteacher I am close to the phenomenon of leadership and this will inevitably influence the position I take in perceiving the culture I wish to describe. Indeed, as Denscombe (2003, p.74) points out, 'one of the characteristic features of ethnography is the significance it attaches to the role of the researcher's 'self' in the process of research' and that the 'researcher's identity, values and beliefs become part of the equation – a built in component that can not be eliminated as an influence on the end product findings of the project'. As a result of the potential anti-positivist nature of my own research I will be immersed in thoughts, feelings, expressions and opinions. It is my intention therefore to acknowledge these feelings and in doing so I will seek to understand how to judge their value, within the context of the data, to support its validity and reliability, and how to draw inferences and

outcomes from it. This in itself will require me to be emotionally self aware which is

a significant emotional intelligence dimension.

CHAPTER TWO

2: <u>LITERATURE REVIEW</u>

What follows is an in-depth exploration of the emergence of Emotional Intelligence as a construct in Western society and its relationship with effective school leadership. In order to carry out this exploration it is my intention to firstly investigate the historical perspective of human intelligence and human emotion and the relationship between the two constructs overtime. Following on from this I will look at the impact this has had on the emergence of the relatively new construct, Emotional Intelligence, from concept to present day thinking. Finally I will consider the relationship between Emotional Intelligence and effective school leadership.

2.1:   Human Intelligence: Introduction

An exploration of the 'human intelligence' literature over time shows a multitude of definitions from simplistic to complex and all stages in between; however, human intelligence theories per se clearly subdivide into two schools of thought. The first, regarded as the traditional view, is that intelligence is a single entity, that is, general intelligence or 'g' which is an inherent given and can be measured using cognitive skills tests. The second, more contemporary view, is that intelligence is multi-faceted and is shaped by a range of internal and external factors and as such is much more difficult to measure. Indeed there are those who would contest that using psychometric tests to measure intelligence from this egalitarian stance is neither easy nor indeed desirable. One could assert, and this assertion (as I will

show) is clearly supported in the extensive literature, there are three main theories regarding the acquisition of human intelligence.

The first is *social determinism* in which intelligence is shaped and developed by external factors including, for example, physical environment, situation and or culture. The second is *biological determinism* in which cognitive ability is a genetic given, predetermined at conception, a normative which cannot be changed and therefore physical surroundings and social and cultural circumstances have no bearing on its development. Finally, there are those who believe an amalgam of both external and internal factors are significant to human intellectual development over time. Those who support the latter view believe that inherent intelligence can be significantly heightened in an environment which stimulates the mind and motivates intellectual development. These differing assertions have significant political, social and cultural connotations. Similarly, nature-nurture arguments are used when one considers the development of human emotion and emotionality. That is emotions are either physiological states being influenced by external stimuli, psychological states being influenced by internal brain functions or a combination of the two. The basic premise for the comparative arguments related to human intelligence and human emotion and the subsequent emergence of the construct Emotional Intelligence which will frame this chapter, is one of *nativism* (nature) versus *empiricism* (nurture).

To this end what follows is an in-depth exploration of the emergence of emotional intelligence as a construct in Western society and its relationship with effective school leadership. In the first instance I take an historical perspective and consider what has been written in the last two centuries about the theoretical traditions surrounding intelligence and emotion and how this has influenced current day thinking. Further to this I unpick the long running nature - nurture debate in relation to human emotion and cognition and explore the relationship between the two constructs over time. Having done this ground work I then pose the question: What is emotional intelligence? In answering this question I expose the two differing conceptualisations, one being science driven and grounded in the theories of biological determinism and the other practice driven associated with the theories of social determinism. I also show the work which has been undertaken to date on measuring the two and take a comparative view of the two cultures and associated measures in relation to the purpose of this study. Finally, I investigate the role emotional intelligence plays in effective school leadership and explain how this has led me to choose a theoretical framework for the study which in turn has shaped my chosen research hypothesis and subsequent associated research methodology and has informed a developing effective school leadership model.

2.2: Human Intelligence: The historical perspective through to contemporary thoughts

The concept of cognitive intelligence has been around for well over a century during which time scientific research has led to a better understanding of its

structure, processes and mechanisms. One could therefore conclude that today the definition of intelligence would be relatively straightforward. Indeed Salovey and Mayer (2004, p.3), when considering this question, relate the most often cited definition as being Wechsler's 1939 definition when he stated that 'intelligence is the aggregate or global capacity of the individual to act purposefully, to think rationally, and to deal effectively with his environment'. Matthews et al (2004, p.87) when considering the science, myths and facts surrounding emotional intelligence at this time are critical of this definition. They, when setting out to understand the intelligence component of emotional intelligence, state that Wechsler's 'criteria only obscure a precise conceptualisation of intelligence' and that 'the meaning of "to act purposefully" or "think rationally" varies as a function of the individual, situation, or culture and concurrently introduces the problem of teleology' (Matthews et al, 2004, p.87). That is, what happens or occurs in nature is determined by an overall design or purpose, not just by mechanical causes. They are making the point that external or environmental influence is inextricably linked with internal reason. That is, both biological (nature) and social (nurture) influences are bound together in the creation of and subsequent development of human intelligence.

Further to this, can we hope to understand emotional intelligence without a clear conception of intelligence and of emotion and indeed the impact one has on the other? Emotional intelligence, as a newly emerging construct, has according to Matthews et al (2004, p.81) 'gained a great deal of scientific credibility by linking concepts underlying the study of emotions (and emotionality) with those comprising

the investigation of human cognitive abilities (i.e. intelligence)'. Interestingly they go on to say that 'these two main ingredients of EI have sometimes been placed at opposite ends of a behavioural continuum' in that emotion has been viewed until relatively recently as 'soft' and intelligence as more 'hard core' suggesting that the current 'conceptual pairing of emotions and intelligence might be constructed as an attempt to greater legitimize the field of emotions and enhance its impact on society' (Matthews et al, 2004, p.81-82). They also argue that the rich history of the study of intelligence has much to offer the emerging construct of emotional intelligence, indeed they urge those working in the field to pay due regard to the deep intelligence literature and thus avoid 'reinventing a wheel that is scientifically and conceptually sophisticated' (Matthews et al, 2004, p.82).

Gardner (1999, p.1), when attempting to reframe intelligence, adds weight to this argument when he states that 'every society features its ideal human being', continuing that 'over the past few centuries, particularly in Western societies, a certain ideal has become pervasive: that of the *intelligent person'.* Indeed Anderson (2000, p1) highlights when discussing the science of cognition, 'our species is referred to as *homo sapiens or* human, the intelligent'. Interestingly Anderson (2000, p7) is of the opinion that until the 19th Century 'cognitive psychology suffered because of our egocentric, mystical and confused attitude about ourselves and our own nature'. Anderson concludes 'only in the last 125 years has it been realized that human cognition could be the subject of scientific study rather than philosophical speculation' (Anderson, 2000, p.7). It was perhaps

the abandonment of 'philosophical speculation', or if not, certainly the acceleration of the exploration of the 'science of human cognition', that in fact in Western societies at the start of the 20th Century intelligence was largely thought of as a single entity that is general intelligence which became known as *'g'.*

However compelling *'g'* was at this time developments in both scientific investigation and philosophical enquiry, as the century progressed, subsequently led to the emergence of a plethora of intelligences and intelligence theories. As we moved into and through the 20th Century psychological exploration really gathered pace and two distinct schools of thought began to emerge. Anderson (2000, p6) describes these two positions as '*nativism* (nature), which held that children come into the world with a great deal of innate knowledge and *empiricism* (nurture), which held that all knowledge comes from experience'.

2.2.1: Human Intelligence: Nature versus nurture and the associated comparative arguments

In order to investigate the origins of the nature – nurture debate and understand the two ideologies and the impact they have on today's thinking we need to go back to the middle of the 19th Century. The first school of thought, *nativism* (nature), has its beginnings in Charles Darwin's (1859) assertion that the transmission of inherited intelligence was the first step in human evolution, driving our simian ancestors apart from the other apes. Darwin's theories stimulated much of the intellectual development of this era and generated a fascination with

genetics and natural selection. A forerunner to this was the work of scientist and physician Franz Gall (1808), the founder of phrenology. He studied the connection between intelligence and inherent physical factors. Gall was the first modern scientist to believe that different parts of the brain are responsible for different functions claiming that, 'there do not exist general mental powers, such as perception, memory and attention; but, rather, there exist different forms of these for each of the several intellectual facilities, such as language, music or vision' (Gardner, 1983, p13). Whilst no reference to feelings or emotions is made as facets of intelligence by Gall, he did pave the way for others later in the century to further explore the science of human intelligence.

In 1875 the German Wilhelm Wundt, the widely regarded father of experimental psychology, took forward the alternative position of *empiricism* (nurture) by establishing the first psychological laboratory in the world, in Leipzig, focusing on the function of the senses. Wundt did make reference to emotions in that he suggested that senses and feelings combine to become ideas and perceptions. This perception forms meanings based on association with past experience. Wundt could be credited with being one of the first to consider feelings as a component of intelligence and that intellectual development is based on experience or external factors. The basic belief was that the workings of the mind should be open to self-observation under carefully controlled conditions, resulting in the identification of the 'primitive experiences out of which thought was constructed' (Anderson 2000, p7). William James, a contemporary of Wundt's working in America in 1890, did not

agree with Wundt on association. He believed that certain inborn capacities of the mind existed and they helped order the world and thus started the nature-nurture debate in earnest.

The inborn intellectual capacities James advocated complemented the work of Francis Galton at the beginning of the intelligence testing movement. Galton, the English psychologist and the younger cousin of Charles Darwin, published a number of books and articles (1869, 1879, 1883) documenting his research into inherent intellect. He was one of the first who attempted to measure intelligence and is considered to be the father of eugenics, the movement devoted to improving human kind through selective breeding. Galton determined from his large scale study of family performance over several generations that human talents could be passed from generation to generation. He published his findings in *Hereditary Genius* in 1869. Galton believed intelligence was an inherent given and that external factors like education had no role to play in its development. Galton believed that people vary in their intellectual abilities and the difference matters, to them personally and to society. He argued that the status of great men is due to their natural gifts which can be traced back through families. Great humans he believed breed true. His belief was so strong that he even proposed a eugenics program and determined such a move was essential to the improvement of society. He established in London in the early 1900s the first anthropometric laboratory for the purpose of assembling empirical evidence of people's intellectual differences and set about developing some method of measuring the intelligence of those who

would be best suited to procreate a society of superior beings. He did this by testing reaction times, colour perception and steadiness of hand in the belief that more intellectually refined individuals would have keener sensory capabilities. For the next two decades intelligence research was dominated by the theories of nativism.

A further compelling school of thought about the nature of intelligence emerged from the work in the 1890s of Alfred Binet the French psychologist. He argued that mental functioning could only be assessed by looking at more complex abilities, such as judgement, memory and language. Binet, like Galton, was also fascinated by the notion of being able to measure intelligence and published his findings in the early 1900s (1905a, 1905b, 1916/1983). Binet, along with Theodore Simon, in 1904, produced the Binet-Simon scale, one of the first intelligence scales against which intelligence could be measured. Initially it was used to identify retarded school children, and Binet and Simon revised the test in 1908 to identify children who would benefit from further instruction. However it was a former British Army Officer, Charles Spearman, a peer of Binet's, who made a conceptual and statistical breakthrough and on which decades later Herrnstein and Murray (1994) based their seminal work – The Bell Curve: Intelligence and Class Structure in American Life. Herrnstein and Murray contest this earlier work into cognitive intelligence 'has shaped the development and much of the methodological controversy about mental tests ever since' (1994, p.2). Indeed Binet kept working to refine the definition of intelligence throughout the rest of his life. Much like

today's multiple-intelligence psychologists, he sought a more sophisticated understanding of mental capacity.

Charles Spearman, equally as influential at this time, was working on his now famous two factor theory of intelligence and published his work in the early to mid 1900s (1904, 1923, 1927). He was attempting to model and provide a series of theories to explain intelligence. He restricted the concept of intelligence to linguistic and mathematical abilities. He was aided by the considerable progress that had been made in statistics, and specifically the concept of *correlation coefficiency* which enabled scientists to exact how much of a relationship existed, on a scale ranging from −1 to +1. Spearman developed a method of estimating how much sharing was going on in a given set of data. From almost any such collection of mental or academic test scores, Spearman's method of analysis uncovered evidence for a unity mental factor, which he named *'g'* for "general intelligence". Significantly Spearman determined a positive correlation between the results of differing mental abilities tests which involved cognitive skills tests being undertaken by individuals. This became known as factor analysis. Spearman hypothesised that *'g'* is a general capacity for inferring and applying relationships drawn from experience, for example the relationship between pairs of words. This differed subtly from the more prevalent idea that intelligence is the ability to learn and to generalise what is learned. The cause of learning is affected by intelligence in Spearman's view, but it was not the thing itself. Spearman deduced that intelligence was a measure of a person's capacity for complex mental work.

Complementing Spearman's work, the German psychologist William Stern, in 1912, developed a scoring system used to determine an individual's intelligence quotient (IQ) which involved dividing the mental age with the chronological age finding that the ratio was fairly constant. This led to the first widespread systematic measurement of cognitive intelligence. He also transferred the test to different audiences. Following Stern, in 1916, the American Stanford psychologist, Lewis Terman, began extensive research into child intellect. Terman adapted the Binet-Simon test by creating what he considered to be a more accurate test for American students which became known as the Stanford-Binet test and is the standard by which all later intelligence tests have been judged. Terman was of the Galtonian school and believed that intelligence was genetic and thus an inherent given. In the opening chapter of his manual for test uses, Terman noted the conflicting impulses of both eugenicists and egalitarians that have characterised the history of the intelligence testing movement. Speaking as a eugenicist, he asserted that identifying retarded students would ultimately result in curtailing the reproduction of feeble mindedness and in the elimination of an enormous amount of crime, pauperism and industrial inefficiency. At the same time Terman, the egalitarian, said that the test would help schools respond appropriately to bright children and to assign all children to the appropriate school grades.

In the 1920s the second school of thought, *empiricism*, began to challenge the work of the nativism theorists. The American journalist Walter Lippman, already an influential media critic, political commentator and philosopher and one of the

founding editors of *The New Republic Magazine* (1913), was one of the most prominent refutilists of the work of the intelligence testers of this time. He entered into a debate with Lewis Terman, the developer of the Stanford-Binet IQ test, in the 1920s. Lippman wrote:

I hate the impudence of a claim that in fifty minutes you can judge and classify a human being's predestined fitness in life. I hate the pretentiousness of that claim. I hate the abuse of scientific method which it involves. I hate the sense of superiority which it creates and the sense of inferiority which it imposes.
(Herrnstein and Murray, 1994, p. 6)

The eminent psychologist Edward Thorndike, a professor at Columbia University and an important figure in early American scientific psychology, took a *behaviourist* approach to intelligence which was, like Lippmann's approach, also at odds with the views of *introspectives* like Galton. 'Behaviourists held the view that psychology was to be entirely concerned with external behaviour and was not to try to analyze the workings of the mind that underlay this behaviour' (Anderson, 2000, p9). Significantly it is at this point that Thorndike makes the probable first reference to anything akin to emotional intelligence, '*social intelligence*'. In doing this Thorndike developed a theory of learning that was directly applicable to the school situation. He is credited with being one of the world's first educational psychologists. His research into animal intelligence and its application to human educational

experience at the turn of the 20th Century made him one of the leaders in this field at the time. His work is acknowledged as being central to shaping the field of educational psychology, including intellect measurement. Thorndike used objective measurements of intelligence on human subjects as early as 1903. In doing this he made a significant contribution to the behavioural revolution. Indeed Skinner, the famous behaviourist, drew on Thorndike's earlier research and expanded on it in the 1930s and beyond. Thorndike significantly, and somewhat controversially for the time, put forward the argument that intelligence went beyond cognitive ability and achievement.

In 1920, in an article Thorndike published in Harper's Magazine titled *Intelligence and its use*, he drew the distinction between three classes of intelligence. The first *'abstract/scholarly intelligence'* that is the ability to understand and manage ideas, the second *'mechanical intelligences'* the ability to visualize relationships among objects and understand how the physical world works and thirdly, and perhaps most significantly, *'social intelligences'* the ability to understand and manage people and function successfully in interpersonal situations. He also understood that standard intelligence tests measured only cognitive intelligence and would seem to be ahead of his time when he called for instruments to develop measures for these other types of intelligences.

The first of these was the George Washington Social Intelligence Test (GWSIT). Like the Stanford-Binet Intelligence Test it was divided into a number of subsets,

for example, *judgment in social situations, observation of human behaviour, recognition of the mental states behind words* and *recognition of mental states from facial expression* (Hunt, 1928, p317-334)*.* Thorndike, it would appear, was the first to put forward the notion that there was a range of intelligences. His intellectual development of this multi-factored approach to intelligence contributed to a great debate with Spearman (1923) who at this time was still proposing a two factor theory of '*g*' general intelligence and '*s'* specific intelligence. 'Specific factors are unique to performance on any cognitive test, whereas the general factor permeates performance in all intellectual tasks' (Schulze et al, 2005, p.5). Spearman claimed that '*g*' alone is of psychological significance and that differences in *'g'* amongst individuals is attributed to the amount of mental energy invested in any given task. Spearman's model of *'g'* gave no place for rational intelligence and was thought by other contemporaries to be too simplistic and narrow. Wechsler (1939), for example, designed the first adult test in his role as head of psychology at New York's Bellevue Hospital. He, like Thorndike, felt Spearman's theory was too restrictive and interestingly felt it overlooked the factor of motivation and personality. It was Louise Thurstone (1938) who came up with the first plausible alternative to Spearman's two factor theory in the 1930s which consisted of Primary Mental Abilities (PMAs), of which there were seven, *verbal, comprehension, word fluency, number, memory, perceptual speed, reasoning* and *spatial visualisation.* However, Thurstone's list of primary mental abilities did not include or make any reference to traits of emotional intelligence. Whilst both Wechsler and Thurstone agreed, like Thorndike, that Spearman's definition of

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intelligence was too narrow both were also critical of Thorndike's notion of 'social intelligence' taking the view that one's interpersonal skills were an aspect of one's general intelligence and saw this simply as a skill used to manipulate others to get them to do what you want them to do dismissing it as just general intelligence applied to social situations. To this end the inability to discriminate between social intelligence and general intelligence led to declining interest in the GWSIT. At the end of the 1950s Cronbach (1960) reports that despite '50 years of intermittent investigation; social intelligence remains undefined and unmeasured' concluding that 'enough attempts were made to indicate that this line of approach is fruitless' (Cronbach, 1960, p.319). Indeed at this time attacks on testing for *'g'* faded into the background. Interestingly Herrnstein and Murray (1994, p.7) raise the issue that 'psychometricians must have known that the tests were capturing human differences that had unsettling political and social implications' but that the 'political agenda of the 1940s and 1950s, whether of New Deal Democrats or Eisenhower Republicans, were more pragmatic than ideological'. They sum up by stating, 'yes intelligence varied, but this was a fact of life that seemed to have little bearing on the way public policy was conducted'. They acknowledge however that this was soon to change with the onset of the 1960s which brought with it a new controversy about intelligence tests which, they assert, continues today. This arose, they believe, from a new outlook on public policy resulting in a shift taking place regarding the nature of the inequalities in American society fired by the developing civil rights movement and the 'War on Poverty'. Herrnstein and Murray reported at

this time, 'nowhere was the shift more pervasive than in the field of psychology' (Herrnstein and Murray, 1994, p.8).

The simmering academic debate over the racial implications of IQ testing came to public attention after the Westinghouse Learning Corporation concluded in a 1968 report that 'Head Start', a government initiated social policy programme designed to lead children from poor backgrounds on a path out of poverty which emphasised the development and delivery of a comprehensive system of compensatory education, health services, nutrition services, social and psychological services, and parent and family involvement had not produced long-term gains in IQ scores of disadvantaged preschool children. The next year, Arthur Jensen, a Professor of Educational Psychology at the University of California and a major proponent of the hereditarian position in the nature versus nurture debate, the position that concludes genetics play a significant role in behavioural traits such as intelligence and personality, sparked a storm of controversy in the scholarly and popular press when he blamed the differences in black and white IQ scores on hereditary factors. Having compared IQ scores of blacks and whites, he concluded that blacks consistently scored lower than whites and argued that racial difference is predominately genetic. Public acceptance of IQ waned considerably following Jensen's controversial claims. Indeed Jensen's name became synonymous with a 'constellation of hateful ways of thinking' (Herrnstein and Murray, 1994, p.9). J.P.Guilford, a Professor of Psychology at the University of Southern Carolina at this time, would have us believe that subsequently some would lament the demise

of the simple and straight forward definition of general intelligence suggesting that, 'there are many individuals who long for the good old days of simplicity, when we got along with one unanalyzed intelligence' (Guilford, 1967, p119). He continues:

> *Simplicity certainly has its appeal. But human nature is exceedingly complex, and we may as well face that fact. The rapidly moving events of the world in which we live have forced upon us the need for knowing human intelligence thoroughly. Humanity's peaceful pursuit of happiness depend upon our control of nature and our own behaviour; and this, in turn, depends upon understanding ourselves, including our intellectual resources.*
>
> *(Guilford, 1967, p.119)*

Guilford's thoughts on 'humanity's peaceful pursuit of happiness' being dependent on the self control of one's own behaviour and self awareness including awareness of one's own intellectual capabilities, one could argue, has considerable resonance today over forty years on. As does his call for the need to 'know human intelligence thoroughly'. It is only in the last decade or so that psychologists have proposed that understanding one's own emotions and those of others is the key to self fulfilment and a satisfying life and, as a consequence, emotional intelligence as a construct in modern day psychological research begins to emerge. Though some would disagree, Bradberry and Greaves (2005) for example, contest that descriptions of emotional intelligence are as old as accounts of human behaviour. They cite

(Bradberry and Greaves, 2005, p24) 'both testaments of the Bible to Greek philosophers, Shakespeare, Thomas Jefferson, and modern psychology, the emotional aspects of reason have been discussed as a fundamental element of human nature'. Even Charles Darwin (1839), when establishing the scientific case for the origin of evolution of all species which gave rise to the scientific study of intelligence in the last half of the 19th Century, showed a curiosity in emotions as well as intellect as both being human psychological traits.

As the century progresses others did widen the view of intelligence in their *structural models of intelligence*, for example Vernon's (1956) 'Hierarchical Model', Guildford's (1967) 'Structure of Intellect Model' containing 120 factors in three dimensions and the Cattell-Horn (1971) Gf-Gc theory of cognitive abilities. That is the theory of fluid (Gf) and crystallised (Gc) structural models of intelligence. This theory established that Gf depends to a lesser extent on formal education experience and is influenced by physiological and genetic factors whilst Gc is related to some particular area of expertise, something individuals have specifically learnt or experienced e.g. arithmetic, vocabulary, general information.

All of these structural models had their roots in the mental process and whilst much wider than Spearman's naturist view of '*g*' none contained facets akin to emotional intelligence. However, there were a number of psychologists who took a wider view of intelligence than the psychometric's science-bound view. The early experimental psychologist O.H Mowrer (1960, p307-308), for example, in his book *Learning*

Theory and Behavior, concludes that 'the emotions are of quite extraordinary importance in the total economy of living organisms and do not deserve being put into opposition with intelligence they are, it seems, themselves a high order of intelligence'. Mowre's views regarding emotions and behaviour are echoed by Leuner in her work in Germany in the 1960s. Leuner, significantly, is credited with the first formal mention of emotional intelligence in an article titled *Emotional Intelligence and Emancipation* published in the German journal *Praxis der Kinderpsychologie und Kinderpsychiatrie* (1966, p196-203). Leuner (1966) explores the link between females who were separated in infancy from their mothers and their subsequent rejection of their social role as mothers in adulthood. She equates this behaviour to a lack of 'emotional intelligence' which she hypothesises is nurtured by the mother figure at an early age and is subsequently developed through the mother-child relationship. This article is interesting in that it indicates emotional intelligence is learnt (nurture) and not a given (nature).

It is Wayne Payne (1986) who is attributed with being the first English speaking author to use the term emotional intelligence in an unpublished doctoral dissertation, *A study of emotion: Developing emotional intelligence; self integration; relating to fear, pain and desire*. Payne (1986, p440 – p441) hypothesises that both thought and feelings are inextricably linked believing that:

> *Emotion is a valid, necessary component in the decision making process. Emotion has been degenerated for generations by those who*

would associate it with romanticism, sentimentalism, egotism, self-indulgence and immature behaviour. There are few cultures throughout the world in which emotional energy is freely experienced and openly expressed. It is unnatural for living beings to resist chronically the flow of emotional energy or its expression. The consequences are ultimately fatal for the individual and for mankind.

(Payne, 1986, p.440-441)

It would appear Payne was ahead of his time in that he predicted the importance of emotional intelligence in the education system when he stated that:

If we are to move ahead with emotional intelligence, there are a number of issues we must face socially and individually. At the social level, for example, we must bring emotional education into our public schools. This will be no easy task, politically, because parents will, by and large, resist it. By comparison it will make new math introduced in the 60s seem easy, in terms of the social unrest it will likely create. But we must come to terms with this or continue to raise generations of adults who behave in emotionally ignorant and, therefore, destructive ways.

(Payne, 1986, p.441)

Matthews et al (2002, p10) ironically suggest that, 'given the wide spread interest in EI, Payne may well go on to be one of the most cited authors never to have made it through the peer-review process'. Sadly he died some years later and was not able to defend or take further his research. Payne's work did however give further credence to the notion that emotional intelligence can be learnt and therefore developed and is not necessarily a genetic given. He also rooted its importance firmly in the public school system. However, even with the significant work of Thorndike and then Guilford, the strong influence of analytical intelligence stood solid until the early 1980s when two new areas of psychological research came to the fore. Psychologists like Zajonc (1980) and Bower (1981) started to examine the impact emotions had on thought and thought on emotions. Alongside this came theories of multiple intelligence with the work of Gardner (1983) and Sternberg (1985).

2.2.2: Human Intelligence: An overview of the traditional Structural Models and the emergence of the new thinking Systems Models

In the last two decades of the 20th Century a new school of psychologists led by Harvard's Howard Gardner, spurned the IQ tests as reflections of an outdated, narrow view of intelligence. Gardner directly challenged the philosophical basis of IQ. Equally, Jensen continued to be active in pursuing IQ's genetic and biological basis. This led to a demarcation between the two, they being the traditional structural models as compared with the newly emerging wider views of intelligence, referred to as systems models.

It was structural models like Spearman's (1920s) psychometric *'g'*, Thurstone's (1938) *Primary Mental Abilities (PMAs)* and Guilford's (1967, 1988) *Structure of Intellect* which dominated the world of intelligence up until the late 1980s and on into the early 1990s. However, Sternberg (1985) and Gardner (1993) in the later part of the 20th Century proposed much wider theories of intelligence which encompassed the internal and external world of the human being. This was viewed as a radical reconceptualisation of intelligence and a significant move away from the traditional structural concepts of intelligence all of which rely on the statistical technique of factor analysis. Because such theories began to view intelligence as a complex system, influenced by a wide range of internal as well as external factors, they were and continue to be referred to as *system models*, to demarcate them from the earlier *structural models.*

Herrnstein and Murray (1994, p.14-19) refer to exponents of the structural models of intelligence as the '*classicist'*, who 'work within the tradition begun by Spearman'. Further to this are the '*revisionists'* who put forward the argument that 'the theory of intelligence need not be structural' in that 'the emphasis may be on process rather than structure. That is 'it may try to figure out what a person is doing when exercising his or her intelligence, rather than what elements of intelligence are put together'. However, Herrnstein and Murray (1994, p.14-19) propose that 'the revisionist shares much with the classicist' in that 'they accept that a general mental ability much like Spearman's *'g'* has to be incorporated into any theory of the structure of intelligence' and conclude, 'where they differ with the classicists is

their attitude towards intellectual structure and the tests used to measure it'. For example, 'if a person is a wonderful visualizer but can barely compose a sentence, and another person can write glowing prose but cannot begin to visualize the simplest spacial image, what do we really learn about these two people if they are reported to have the same IQ?' Revisionists are more concerned with the ways in which people process the information they receive. Interestingly Herrnstein and Murray (1994, p.18) refer to exponents of multiple intelligence theories as *'The Radicals'* who 'reject, virtually without qualification, the notion of a general intelligence factor', which is to say they deny *'g'.*

In the mid 1980s Sternberg (1985), a *revisionist,* according to Herrnstein and Murray's (1994, p.15) definition, had 'challenged mental abilities researchers to pay more attention to creative and practical aspects of intelligence', and Gardner (1983), a *radical,* by Herrnstein and Murray's (1994, p.17) definition, 'even defined an intrapersonal intelligence that concerns access to one's feeling life, the capacity to represent feelings, and the ability to draw up on them as a means of understanding and a guide for behaviour' (Salovey et al, 2004, p.63). He called for scientists and educators to embrace a wider conceptualisation of intelligence to include a broader range of mental abilities which went way beyond the traditional mathematical and linguistic intelligences. His motivation, by recognising and understanding individual learning styles, was to realise the potential of all students. This belief was, and continues to be, significant because it gave a more optimistic, multi-faceted, view of intelligence being influenced by external as well as internal

factors as compared with the potentially more pessimistic traditional views of the hereditary general intelligence or *'g'.*

Dr Howard Gardner's (1983) theories regarding Multiple Intelligences could be seen to have their foundations in Thorndike's much earlier work on intelligence classification. Gardner (1983) puts forward the theory in his book *Frames of mind: The theory of multiple intelligences,* that people possess different types of 'smartness'. Two of Gardner's original multiple intelligence categories include interpersonal and intrapersonal skills which can be clearly linked to Thorndike's social intelligences. Sternberg (1985) followed with his *triarchic theory* of human intelligence the *componential, experiential* and *contextual* and moves away from the traditional conceptualisation of intelligence, defining it as 'purposive adaptation to, and selection and shaping of, real-world environments relevant to one's life' (Sternberg, 1985, p.45). He argues that intelligence is not fixed and that it can be modified. Gardner (1999, p3) empathises with Sternberg's stance and embraces his view that 'intelligence is too important to be left to the intelligence testers' (Gardner, 1999, p.3). Matthews et al (2004), in their critique of Sternberg's triarchic theory, acknowledge that his was a 'departure from traditional conceptualizations of intelligence' and that 'by recourse to various analogies shows that ''academic'' intelligence, as assessed by psychometric tests, is imperfectly related to the ability to function intelligently in everyday life' (Matthews et al, 2004, p.123). Sternberg illustrates his theories with examples of academically able individuals who do not function well in academic settings because of emotional difficulties. Matthews et al

(2004), question the scientific validity of these anecdotal accounts. Sternberg himself remains open minded about the work of others in that he suggests that earlier theories of intelligence are not incorrect but simply incomplete. His description of *practical intelligence* which he suggests is fundamental to the effective functioning of academic intelligence believing that it is practical intelligence which helps us in everyday life, a concept which as Matthews et al point out is 'not at all dissimilar from emotional intelligence' (Matthews et al, 2004, p.124).

Emotional intelligence as a construct came to the fore with Greenspan's chapter on Emotional Intelligence in the book *Learning and education: Psychoanalytic perspectives* edited by Field et al and published in 1989. However, it is Peter Salovey and John Mayer in their pioneering article published in 1990, *Emotional Intelligence: Imagination, cognition, and personality*, who are widely acknowledged as the scientific founders of the construct as we know it today. As Sternberg (Matthews et al, 2004, p.*xii*) states 'Salovey and Mayer and their colleagues certainly provided the first delineated theory and the first systematic programme of research'. However, it is Daniel Goleman (1996) and his book *Emotional Intelligence: Why it can matter more than IQ* published in the wake of Richard Herrnstein's and Charles Murray's (1994) controversial but acclaimed book *The Bell Curve: Intelligence and Class Structure in American Life,* who is credited with bringing the construct to both the popular and academic masses. Herrnstein and Murray's book led to a huge revival of the nature/nurture debate. The Bell Curve's

authors, self- acknowledged intelligence *'classicists'*, clearly supported the former (nature) which led famously to a rebuttal by exponents of the latter (nurture). At this point it is worthwhile unpicking the huge significance of the Bell Curve to the human intelligence debate and the impact it had subsequently on significantly increasing the pace of the emergence of the new construct emotional intelligence and fundamentally bringing it to the masses.

2.2.3: Human Intelligence: The significance of The Bell Curve

Herrnstein and Murray in many ways follow in the footsteps of Arthur Jensen's controversial work from two decades earlier. Although the authors of The Bell Curve, then and now, hotly dispute that it is not as controversial as some would have us believe it is essentially about the cognitive stratification of American society. Herrnstein and Murray (1994, p.xxi), at the outset of the book, state that 'this book is about the difference in intellectual capability among people and groups and what those differences mean for America's future'. They acknowledge that 'the relationships we will be discussing, are among the most sensitive in contemporary America – so sensitive that hardly anyone writes or talks about them in public' (Herrnstein and Murray, 1994, p.xxi). However, whilst acknowledging that 'many feel that discussing intelligence will promote racism' (Herrnstein and Murray, 1994, p.xxi) they assert strongly this is not their intention. Indeed Murray writes as an 'afterword' to his book, 'it is my thought too, as I am sure it would be Richard Herrnstein's, if there is one objective that we shared from the beginning, it was to write a book that was relentlessly moderate in its tone, science, and arguments'

(Herrnstein and Murray,1994, p.554). He poses the question: "If The Bell Curve is in fact a book of mainstream science cautiously interpreted, why did it cause such a stir?" (Herrnstein and Murray, 1994, p.554). He concludes 'the obvious answer is race the omnipresent backdrop to discussion of social policy in the United States' (Herrnstein and Murray, 1994, p.554).

One main line of attack on The Bell Curve is that Herrnstein and Murray accept there is such a thing as a general factor of cognitive ability on which human beings differ, the famous *'g'.* In their work Herrnstein and Murray draw heavily from the classical tradition of intelligence. They do this in the belief that, 'by accepted standards of what constitutes scientific evidence and scientific proof, the classical tradition has in our view given the world a treasure of information that has been largely ignored in trying to understand contemporary policy issues' (Herrnstein and Murray, 1994, p.19). They hypothesise that there is such a thing as a general factor of intelligence on which human beings differ; IQ tests are the most accurate measure of this general factor; IQ scores are stable over much of a person's life; properly administered IQ tests do not discriminate against social, economic, ethnic or racial groups; cognitive ability is substantially heritable. To prove their hypothesis they draw on the *National Longitudinal Survey of Youth (NLSY)* a study, which began in 1979, of 12,686 youths aged 14-22. Herrnstein and Murray (1994) believe its use is valid because it 'combined detailed information on the childhood environment and parental socioeconomic status and subsequent educational and occupational achievement and work history and family formation and crucially for

our interest – detailed psychometric measures of cognitive skills' (Herrnstein and Murray, 1994, p.119). In their extensive work Herrnstein and Murray (Herrnstein and Murray, 1994, p.117) argue that 'different levels of cognitive ability are associated with different patterns of social behaviour' and conclude that 'high cognitive ability is generally associated with socially desirable behaviours, low cognitive ability with socially undesirable ones'. They concur that intelligence itself determines social behaviour. Further to this they draw a positive correlation between cognitive class, of which there are five divisions "very high", "high", "mid", "low" and "very low" (Herrnstein and Murray, 1994, p.120) and the predilection for poverty, unemployment, family matters, welfare dependency, poor parenting and crime. They acknowledge that socioeconomic factors play some small part in this but conclude for each that it is low IQ that is the root cause. For example, they argue that, the high rates of poverty are determined more by intelligence than by socioeconomic background. They are damning of America's social policy agenda when they state that 'the people who exhibit the behaviours and problems that dominate the nation's social policy agenda have limited cognitive ability' (Herrnstein and Murray, 1994, p.386). In response to the obvious solution to have a social policy agenda which aims to raise cognitive intelligence through better schooling, improved living conditions and better nutrition, they determine that 'taken together, the story of attempts to raise intelligence is one of high hopes, flamboyant claims, and disappointing results'. They conclude that 'for the foreseeable future, the problems of low cognitive ability are not going to be solved by outside intervention to make children smarter' (Herrnstein and Murray, 1994,

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p.339). Similarly they are critical of affirmative action policies which positively discriminate in favour of Blacks in higher education and the workplace. Such policies were motivated by the landmark 1967 case, Hobson V Hansen. Black parents in Washington DC challenged the school systems use of intelligence tests to assign students to academic tracks, charging that the policy was racially biased. The D.C Circuit Court found that because the test had been calibrated for a white, middle class group, it was inappropriate to use. That case marked a new reluctance by public schools to use intelligence tests to make routine educational decisions. This affected most children. Also in 1971, the Griggs V Duke Power Company decision by the Supreme Court struck a death blow at general aptitude tests administered by employers on the grounds of discrimination. Employers had to prove that such tests were not racially biased against black recruitment and black employment opportunities. Herrnstein and Murray argue against such affirmative action policies stating that:

> *Our largest reason for wanting to scrap job discrimination law is our belief that the system of affirmative action, in education and the work place alike is leaking poison into the American soul. This nation does not have the option of ethnic Balkanization. The increasing proportions of ethnic minorities – Latino, East Asian, South Asian, African, East European – make it more imperative, not less, that we return to the melting pot as a metaphor and colour blindness as the ideal. Individualism is not only America's heritage. It must be its future.*
>
> *(Herrnstein and Murray, 1994, p.508).*

Significantly it is Herrnstein and Murray's work on the ethnic differences in cognitive ability in which they draw a distinction between the cognitive ability of Whites, Asians and Blacks which proves to be so controversial. They assert that data gathered from The National Longitudinal Study of Youth consistently shows 'one standard deviation (fifteen IQ points) separates American blacks from whites and that a fifth of a standard deviation (three IQ points) separates East Asians and whites' (Herrnstein and Murray, 1994, p.298). They also take a middle ground of intelligence being 60% due to heritability but acknowledge that to improve the environment of those in the most disadvantaged positions has not been proven to improve cognitive ability for a sustained period of time. It is this pessimistic and fatalistic view, which in reality covers only two chapters of a four part, twenty two chapter, and eight hundred page book, which shadows the rest of their work. In defending their work Murray (1994, p.557) concludes that 'one main line of attack on *The Bell Curve's* science has been mounted not against anything in the book itself but against the psychometric tradition on which it is based'. He continues 'specifically Herrnstein and I accept that there is such a thing as a general factor of cognitive ability on which human beings differ: the famous '*g*''. Salovey et al conclude, 'paradoxically, instead of crystallizing support for the genetic intelligence position, the effect of *The Bell Curve* was to energize many educators, investigators, and journalists to question whether the traditional view of intelligence was conceptualized too

narrowly, and to embrace the notion that there might be other ways to be smart and succeed in the world' (Salovey et al, 2004, p.63).

This hopeless view of American Society was highly criticised by many, however no one was more vitriolic in his condemnation of The Bell Curve and its authors than Stephen Jay Gould. Gould an American Harvard palaeontologist, and evolutionary biologist, who Herrnstein and Murray (1994, p.17-19) classed as one of intelligence school *'radicals',* was a staunch critic of the notion of *'g'*. He published his book *The Mismeasure of Man* (1981) to critical acclaim. The fact that it went on to be a best seller and won the National Critics' Circle Award Herrnstein and Murray (1994, p.12) believe, illustrates the 'new received wisdom about intelligence'. This is a "wisdom" which they would refute. Gould examines the history of intelligence testing stating that it was peopled by 'charlatans, racists and self-deluded fools' and concludes that 'ranking people according to a single scale of intelligence, no matter how numerically sophisticated, have recorded little more than social prejudice' (Gould, 1981, p.27-28). Gould's book is a history and critique of the methods and motivations underlying biological determinism, the belief that 'social and economic differences between human groups – primarily races, classes, and sexes – arise from inherited, inborn distinctions and that society, in this sense, is an accurate reflection of biology' (Matthews et al, 2002, p.203). Gould argues that data can be manipulated to fit a desired outcome. For example a high positive correlation between parent and child IQ can be taken as either evidence that IQ is genetically inherited or that IQ is inherited through social and environmental

factors. Since the same data can be used to argue either side of the case, the data in and of itself is not useful.

Gould questions whether there is such a thing as intelligence at all concluding that 'intelligence is a bankrupt concept' and 'whatever it might mean – and nobody really knows even how to define it – intelligence is so ephemeral that no one can measure it accurately' (Herrnstein and Murray, 1994, p.12). He also attacks "aptitude" tests, including the IQ test, as being culturally biased and claims that such tests do not predict anything except success in school, indeed 'all that tests really accomplish is to label youngsters, stigmatizing the ones who do not do well and creating a self-fulfilling prophecy that injures the socioeconomically disadvantaged in general and black in particular' (Herrnstein and Murray, 1994, p.13). Finally, Gould (1981) points out that he is not opposed to the notion of "biological variability" which is the premise that heredity influences intelligence. Instead, he criticises the notion of "biological determinism" which is the idea that genes determine destiny and there is nothing we can or should do about this. Whilst the popular and literary press almost universally praised the book, it has been highly controversial in some quarters, particularly among psychologists, indeed numerous reviews in technical journals have been critical. Some have accused Gould of selective reporting, distorting the viewpoint of scientists and significantly letting his viewpoints be influenced by political and ethical biases and that many of his claims about the validity of intelligence measures, such as IQ, contradict mainstream psychology. Indeed Herrnstein and Murray (1994, p.559)

argue that on the matter of IQ 'Gould is wrong when he implies that by using an alternative method, an analyst can get rid of *'g'* and conclude, 'you can make *'g'* hide, but you cannot make it go away' (Herrnstein and Murray, 1994, p.559)

Gardner (1999, p.2), whilst no supporter of Herrnstein and Murray's work, is less vociferous than Gould in his criticism and even acknowledges that there is in no doubt that The Bell Curve was significant even going so far as to say 'one would have to go back half a century to a landmark treatise on black-white relations, Gunnar Myrdal's *An American Dilemma*, to find a social science book that engendered a comparable buzz'. He does, however, find the interest in the book and its authors' theories somewhat puzzling as none of the book's major arguments he concludes were new to the educated public. What Herrnstein and Murray did do according to Gardner (1999) however, which was significantly different, is 'move beyond a discussion of measuring intelligence to claim that many of our current social ills are due to the behaviour and capabilities of people with relatively low intelligence' (Gardner, 1999, p.8). Using extensive data from *The National Longitudinal Study of Youth* they draw a correlation between low intelligence and the likelihood of being on welfare, coming from broken homes and being involved in crime. Gardner (1999, p.8) is critical of the pair noting that 'while they did not take an explicit stand on well-known data showing higher IQs among whites than among blacks, they left the clear impression that these differences were difficult to change and, therefore were a product of genetic factors'.

Herrnstein and Murray interestingly state in the introduction to The Bell Curve that:

> *With regard to the radicals and the theory of multiple intelligences, we share some common ground. Socially significant individual differences include a wide range of human traits that do not fit within the classical conception of intelligence. For certain spheres of life, they matter profoundly. And even beyond intelligence and talent, people vary temperamentally, in personality, styles and character. But we confess to reservations about using the intelligence to describe such factors as musical abilities, kinaesthetic abilities, or personal skills.*

> *(Herrnstein and Murray, 1994, p.20)*

They accept that 'many people conclude that if they see someone who is sensitive, humorous, and talks fluently, the person must surely have an above average IQ' (Herrnstein and Murray, 1994, p.21). However, they conclude 'this identification of IQ with attractive human qualities in general is unfortunate but wrong' (Herrnstein and Murray, 1994, p.21). On these grounds they would dismiss the existence of Emotional Intelligence as a construct. Daniel Goleman's (1996) book – *Emotional Intelligence: Why it can matter more than IQ'*, in which he outlines his theories of emotional intelligence being developed through both internal and external factors which are very different to Herrnstein and Murray's theories of inherent intellect, significantly, was published to even greater acclaim. Sternberg (Matthews et al,

2002, pxi) however, 'suspects that this field would have evolved in much the same way as it has even if Herrnstein and Murray's book had never been written'. He concludes that, 'emotional intelligence is of such great interest in its own right that it no doubt would attract attention regardless of what other views and books were around'. Matthews et al (2002, p.6) however, would not necessarily agree with Sternberg. In their book *Emotional Intelligence: Science and Myth* (2002) they write 'another attractive feature of EI, and as a plausible reason for the immediate acceptance and widespread and often uncritical embracing of the construct, is that it countered the pessimism contained in Richard Herrnstein and Charles Murray's book' (Matthews et al, 2002, p.6). They suggest that Goleman's emotional intelligence theories were an 'egalitarian rebuttal' (Matthews et al, 2002, p.7) of Herrnstein and Murray's belief that IQ was inherent and further more inherently higher in those from economically and educationally advantaged backgrounds. This is a somewhat fatalistic view. Indeed, Herrnstein and Murray devote a series of pessimistic chapters describing the relationship of IQ to poverty, school dropout, unemployment, divorce and illegitimacy, welfare, parenting, crime and citizenship. Murray acknowledges that he and Herrnstein believe that IQ is not malleable, which led, in his opinion, to unfair criticism that they 'destroyed hope' for those who were deemed to be of low IQ. However, in the Afterword section of The Bell Curve (Herrnstein and Murray, 1994, p.572), Murray assert they do express hope in that he calls for America's social policy makers to 'get serious' about 'how best to accommodate the huge and often intractable individual differences that shape human society' (Herrnstein and Murray, 1994, p.575). Stating that 'it is time to

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rethink America's social policy which since the 1960s has been carried on in a never-never land where human beings are easily changed and society can eventually become a Lake Woebegon where all the children are above average' (Herrnstein and Murray, 1994, p.575). He concludes that 'this is a counsel not of despair but of realism, including realistic hope' calling for the 'system' to 'let people everywhere in the normal range of the bell curve to live morally autonomous satisfying lives' whilst acknowledging the 'limits facing low IQ individuals in a post industrial economy' (Herrnstein and Murray, 1994, p.575). However hopeful Murray believes his work to be, the rift between psychologists over the value of IQ continues, stemming from the stark difference in the way they define intelligence driven by the continuing nature-nurture argument. One camp sees a central, dominant intelligence, the other envisions multiple types of intelligence offering, it is argued, considerable hope for a more egalitarian society.

2.2.4: Human Intelligence: Concluding thoughts on intelligence theories

As physiological and psychological research into multiple intelligences has gathered pace in the last decade of the 20th Century and on into the 21st Century, still the debate surrounding their relationship with the traditional general intelligence continues. Buckhalt (1999) in his review - *Defending the science of mental ability and its central dogma -* of Jenson's (1998) book *The G Factor: The Science of Mental Ability'* concludes that 'Jenson seems to be speaking not only to scientists within his discipline, but also to scientists across disciplines and to non-

scientists' (Buckhalt, 1999, p.2). Interestingly Buckhalt (1999, p.2) determines that to non-scientists, Jenson is saying:

> *My scholarship on this topic is within the domain of science. If you wish to understand what I have concluded, you must step inside the scientific realm and abide by the rules. Rhetoric outside of these parameters is quite another matter.*
>
> *(Buckhalt, 1999, p.2)*

To scientists, he is saying:

> *Psychometric testing is a legitimate scientific enterprise. It has rules of observation, quantification, measurement, and logic. What I propose is testable within the rules of science. Everything I conclude is subject to empirical disconfirmation, and those who wish to challenge me should bring data.*
>
> *(Buckhalt, 1999, p.2)*

To this end Schulze and Roberts (2005), in their book *Emotional Intelligence: An international handbook,* acknowledge the importance of the publication of John. B. Carroll's seminal work *Human Cognitive Abilities: A Survey of Factor Analytic*

Studies (1993) which provides a much needed systematic organisation and integration of extensive research on the structure of human cognitive abilities. In his work Carroll re-examined data from over 460 human abilities data sets covering over 100 years of psychometric-based research. Carroll's reanalysis of each data set led him to a model having three strata or levels. On Level 1 are the primary mental abilities. On Level 2 are the broader crystalline (Gc) and fluid (Gf) intelligence theories. Finally, on Level 3, is a general intelligence factor. Anything akin to emotional intelligence is not apparent in any one of these strata. What is significant however, is that Carroll suggests there is evidence for the domain of behavioural knowledge certainly in some data sets and indeed he calls for more careful and systematic exploration of the field.

In the field of system theories of intelligence Carroll acknowledges the significant work of Gardner (1983) and Sternberg (1985). Gardner's theories of multiple intelligence deal with both the internal and external world of human beings. Two of his original seven intelligences, interpersonal and intrapersonal intelligences, cover the individual's attempts to understand both their own and others people's behaviour, motives and or emotions. Sternberg's (1985, p.45) triarchic theory in which he defines intelligence as, 'purposive adaptation to, and selection and shaping of, real-world environment relevant to one's life' is clearly a departure from the traditional conceptualisation of intelligence purported by the structural model theorists. Sternberg suggests that cognitive intelligence, as assessed by psychometric tests, is imperfectly related to the ability to function intelligently in

everyday life. By comparison, with structural models of intelligence, the newly emerging systems theories of intelligence which are relevant to the emotional intelligence construct have a long way to go in terms of valid scientific exploration but by the mid 1990s the race to catch up had begun in earnest. The starting point for many began with the exploration of emotion and theories of emotion posing the question: "What is emotion?" Clearly attempting to answer this question is fundamental to this study and the desire to identify a theoretical framework in which to ground it. What follows therefore, is a systematic study of the historical and current contemporary views of emotion expressed through the literature.

2.3:   Human Emotion: Theoretical traditions and contemporary views

Although a common and frequently used word the term *emotion* has no single universally acceptable definition. This is because emotion as the subject of scientific research has many dimensions including behaviour, physiological, subjective and cognitive. However, one could accept that emotions are easily recognised, we know what emotions feel like but emotion is difficult to define because emotion is a complex entity with many components. Some elements are internal such as physiological responses to neurological stimuli whilst others could be described as external sensory input resulting in certain behaviours or emotional expressions. Historically, debates on the sources of emotion have addressed the issues of whether emotions are centrally or peripherally generated. That is, 'whether emotions are a direct reflection of some brain system or whether

emotions are constructed from cues provided by peripheral signals e.g sweaty palms', (Schulze et al, 2005, p.11).

Centralist thinking can be traced back to Charles Darwin and his work on the evolution of the species in the late 1800s. Specifically, his studies of emotion aimed to show that emotional responses were innate physical reactions to trigger stimuli. Darwin argued that emotions are intuitive. He drew attention to the fact that emotions are part of the evolved psychological mechanisms of human beings in his publication, *The Expression of Emotion in Man and Animals* (1872). Most research in this area has focused on physical displays of emotion including body language in animals and facial expressions in humans.

Alternatively, early peripheral thinking was perpetuated by William James (1843-1910), the great forefather of modern American psychology and a key exponent of the psychological basis for emotion. James strongly held the peripheralist perspective in his work. James and the Danish physiologist Carl Lange, at the same time, but independently of each other, in the 1880s, developed a theory which proposed that emotions occur as a result of physiological reactions to events, that is you see an external stimulus that leads to a physiological reaction. Your emotional reaction is dependent upon how you interpret your physical reaction. That is, emotions are feelings that come about as a result of these physiological changes and not that the changes occur as a result of the emotion or feeling. These changes might be visceral, postural, or facially expressive. This has

become known as the *James-Lange Theory of Emotion.* Indeed the American neuroscientist LeDoux (1996, p.43), over one hundred years later, suggests that, 'a major goal of emotion research is still to elucidate this stimulus-to-feeling sequence to figure out what processes come between the stimulus and the feeling'.

Peripheralism fell out of favour in the first part of the twentieth century when the James' theory was challenged in the 1920s by psychologists and centralist thinkers such as Walter Cannon and Philip Bard, who had been researching the bodily responses that occur in states of hunger and intense emotion. Cannon theorised that physiological changes are caused by emotions. That is we feel the emotion before the physiological changes have occurred. This is known as the *Cannon-Bard Theory of Emotion.* The physiological aspects of the James-Lange theory were empirically discredited by Cannon (1927) in the second edition of *Bodily Changes in Pain, Hunger, Fear and Rage.* Cannon's research led him to propose the concept of an 'emergency reaction'. The bodily responses that made up the emergency reaction were believed by Cannon to be mediated by the sympathetic nervous system, a division of the autonomic nervous system (ANS). Cannon proposed that the thalamus is the centre for emotion in the brain and that events activate this section of the brain resulting in an emotional and physical state concurrently. In neuorobiological terms, the thalamus receives a signal and relays this to the amygdala, which is connected with emotion. The body then signals via the autonomic nervous system resulting in tense muscles, sweaty palms and a racing heart, for example. Cannon differed from James in that he did not think the

brain read the peripheral signals as these would be too slow to account for the rapid response to the stimuli. He believed in a central innate response as we are already feeling the emotion by the time these ANS responses occur. This had sound scientific support and therefore was favoured in preference to the James-Lange theory.

Later, in the mid 1900s, the cognitive perspective of emotion began to emerge. Researchers in this field believed that thought and in particular cognitive appraisal of the environment is an underlying causal explanation for emotional processes. In the 1960s Stanley Schachter, the noted Columbia University social psychologist revived the issue of where our feelings come from and proposed a new solution to the James-Cannon debate. He proposed the cognitive arousal theory that our emotional experience is a function both of a physiological state and a cognitive interpretation of that state. He argued that cognition (thoughts) fill the gap between the non-specificity of feedback and the specificity of felt experience. This is also known as the *two factor theory* based on environmental and social cues which generate an arousal which is then interpreted as an emotional state. The environment, particularly the behaviour of other people, is used to explain the physiological state.

However Schachter, along with his contemporary Singer, it was felt, had not adequately explained how we deal with emotional responses once they occur which became known as the *concept of appraisal.* During the 1960s this view was

perpetuated in the cognitive revolution which led to a fundamental re- examination of every area of psychology. An extension of this, the *cognitive mediational theory*, was developed by Lazarus through his controversial experimental work in the 1960s and significantly addressed the issue of appraisal which Schachter and Singer had failed to do. Lazarus subjected male volunteers to watch films of the ceremonial circumcision performed by a primitive culture as a rite of passage. The emotional responses of the observers varied depending on the orientation given to the subject and their strategy for dealing with the distressing material. Distress, for example, was reduced usually when the observer was told that the incisees welcomed the operation. Such findings, concluded Lazarus, indicate the importance of the appraisal of events.

LeDoux (1996, p.51) would argue that, 'appraisal remains the cornerstone of contemporary cognitive approaches to emotion' and that up until the 1980s was just about the only approach. This began to change with the publication of a paper by social psychologist Robert Zanjonc (1980): *'Feelings and Thinking: Preferences Need No Interference'.* In this paper Zanjonc held the view that we feel first and think later. That is, the emotional state strongly influences the cognitive appraisal. LeDoux (1996, p.53) concludes that this was a 'very persuasive argument, on the basis of logic and clever experiments, that preferences (which are simple emotional reactions) could be formed without conscious registration of the stimuli'. Contemporaries of Zanjonc, Robert Plutchik (1980) and Joseph LeDoux (1986) support the work he undertook in perpetuating the neurological tradition. Plutchik

came up with one of the most influential classification approaches in the study of emotion with his eight primary emotions. These consist of anger, fear, sadness, disgust, surprise, curiosity, acceptance and joy. Like primary colours, primary emotions are believed to blend together to form the full spectrum of human emotional experience. Plutchik argues these are evolutionary in their primacy as they relate to survival behaviour and therefore are part of our biological heritage and built into human nature e.g fear motivates flight, anger motivates fight.

Joseph LeDoux (1996, p. 12), the eminent professor of neural science at New York University, similarly views emotion as, 'biological functions of the nervous system' and believes that 'figuring out how emotions are represented in the brain can help us understand them'. This is based on discoveries made through neural mapping of the limbic system. The neurobiological explanation of human emotion is that emotion is a pleasant or unpleasant mental state organised in the limbic system of the mammalian brain. LeDoux acknowledges that this is in sharp contrast with the psychological study of emotion whilst accepting and recognising its value concludes that, 'an approach where emotions are studied as brain functions are far more powerful' (LeDoux,1996, p.12). LeDoux does propose however that early research into the limbic brain being the centre of emotion has wrongly, in his opinion, perpetuated the view that 'emotion is a single faculty of the mind and that a single unified system of the brain evolved to mediate this faculty' (LeDoux, 1996, p.102-103). He states proponents of this theory, MacLean (1952) for example, were not wrong in that they saw 'emotion as a brain function involved in survival of

the species but that since different emotions are involved with different survival functions – defending against danger, finding food and a mate, caring for offspring, and so on – each may well involve different brain systems that evolved for different reasons' (LeDoux, 1996, p.102-103). He concludes 'as a result there may not be one emotional system in the brain but many' (LeDoux, 1996, p.103).

Matthews et al (2004, p.134) suggest LeDoux's approach is easier said than done when they conclude that, 'although we all experience emotions, they appear among the most difficult elements of psychology to conceptualize scientifically'. They determine this is because, 'although emotions have physical counterparts such as facial expressions, brain activity and characteristic behaviours, emotions are defined primarily by labels that we attach to conscious awareness: feelings of joy, sadness, anger, and so forth' and therefore, 'consciousness is a difficult thing to build into a scientific theory' (Matthews et al, 2004, p.136). They believe the issue is one of scientifically proven correspondence. That is, proving scientifically a particular emotional state has a corresponding physical state in the brain. In doing this one could determine a concrete correlation between an emotion and a physical reality.

Relatively recent scientific thinking into the significant theory of consciousness was illuminated in the important work of the neurologist Antonio Damasio (1999). He refers to this as core consciousness or feeling a feeling. Damasio describes emotions as a collection of neural dispositions in a number of brain regions which

he calls an *internal emotional state*. Therefore an emotion, according to Damasio, is an unconscious neural reaction to a certain stimulus, realised by a complex ensemble of neural activations in the brain. Once such an internal emotional state occurs, it entails modification of both the body state and the state of other areas of the brain. The neural activations prepare the body, as a consequence of this internal emotional state; the outcome will be an externally observable emotional state*.* What follows is a feeling, still unconscious, sensing of the body state manifested as an *external emotional state.* Finall*y*, *core consciousness*, or *feeling a feeling* is what happens when the organism becomes aware of the changed bodily state, that is becomes consciously aware of the feeling. This notion is based on the organism detecting that its own body state, the *proto-self,* has been changed by the occurrence of a certain object, for example, emotion inducing music. According to Damasio the proto-self, 'is a coherent collection of neural patterns which map, moment by moment, the state of the physical structure of the organism (Damasio, 1999, p.177). Clearly the study of emotion and emotionality is as complex and thought provoking as the study of intelligence and therein lies the rub in a study which combines the two.

Both psychologists and physiologists agree that it is now widely understood that emotions are complex mental states. It is also acknowledged that there is a diverse range of outlooks on emotion. Salovey and Mayer (2004) neatly combined centralist and peripheral theories when they define emotion as 'organised responses, crossing the boundaries of many psychological subsystems, including

the physiological, cognitive, motivational, and experiential systems' (Salovey and Mayer, 2004, p.2-4). They go on to say 'emotions typically arise in response to an event, either internal or external, that has a positive or negative valenced meaning for the individual'. This is in tune with the notion of Damasio's "feeling the feeling". Contemporary psychological theorists, Oakley and Jenkins (1996), for example, claim there are three main relative constants. That is, emotions involve an appraisal of kind, they involve some tendencies to action and finally emotions are characterised by some experience or affect. To this end emotions are not the enemy to rationality and reason that psychology once thought they were but rather they are fundamental to all thinking. They are evaluative and motivational states. Emotions have a cognitive and hence rational context. They are as vital to the practical development and execution of planned action as reason with which historically they were often contrasted.

The rapid advances in scientific research over the last 20 plus years on several key subjects such as brain function, human intelligence, human performance and neurophysiology have further shaped the current debate over whether emotions are primarily a quality of the brain (neuroscience) or mind (psychology). This has led psychologists to acknowledge biology whilst still emphasising the psychological basis for emotions similarly cognitive scientists have proposed that there may be different components to our response to stimuli but it is not productive to segregated them into cognitive versus emotional categories. Therefore in the next section of this study, to further support my quest to identify a theoretical framework

in which to ground my research hypothesis, I will consider what the historical and contemporary literature says about the relationship between emotion and cognition.

2.4: Emotion and Cognition: An exploration of the relationship between the two constructs over time

The battle between respecting and denying emotions is a longstanding one in Western thought, indeed a term that joined emotion and intelligence together could well be considered by some to be an oxymoron as intelligence is to do with the ability to reason whilst emotions, according to the stoic movement, convey the idea of unreasonableness. Stoicism has its foundations in the philosophies of ancient Greece in which 'the wise person admitted no emotion or feeling whatsoever' and that 'rather they were willed away in the process of self-control until all that was left was rationality and logic' (Payne, 1986, p.17-19). Stoicism was further endorsed as a way of being in early Christian doctrines, resulting in a strong anti-emotional undertone in much of Western thought. Romanticism as an antecedent to stoicism came in the 1960s which 'represented a decade-long emotional rebellion against the forces of rationalism' (Mayer, Caruso and Salovey, 2000, p.94), in which emotionality became positively linked to personal growth through both the civil rights movement and the women's movement at this time. However, conflict between emotion and reason continued into the late 20th Century in Western society. Indeed Payne in his much cited but unpublished 1986 doctoral thesis on Emotional Intelligence claims 'many of us fear uncontrolled emotional expression,

such as weeping, with an intensity that rivals our fear of death'. He concludes, 'is it any wonder, when we consider the strength of its suppression among our ancestors?' (Payne, 1986, p.21). As we move into the 21st Century, with a greater understanding of the science of the brain, such exponents as LeDoux have begun to use science to explore the relationship between emotion and cognition. LeDoux terms cognition and emotion as 'reason and passion' (LeDoux, 1996, p.24-25) and poses the question: 'Are emotion and cognition two sides of the same coin, or different currency?' (LeDoux, 1996, p67). He prefers to use the term 'mind science' rather than 'cognitive science' in an effort to show that both cognition and emotion are indeed two sides of the same coin. However, he acknowledges that historically the preference was for a 'different currency', citing the long tradition of separating passion from reason as being the root cause. Plato (429 – 347 BC), one of the main forefathers of philosophy, broke down the soul into three parts: reason, desire, and emotion. Plato, believed that passion and desire and fear made it impossible for us to think and that emotions were like wild horses having to be reined in by intellect (Flew, 1964). Whilst Descartes (1596 – 1650), the founder of modern philosophy, who coined the famous philosophical conclusion, "cogito, ergo sum" (I think therefore I am), recognised the interdependence of thinking, feeling and behaviour. Interestingly, LeDoux (1996) comments on the French legal system which supports the notion that feeling or passion is independent of thought in that it 'treats 'crimes of passion' differently from premeditated transgressions' (LeDoux, 1996, p.24). Cognitive scientists traditionally talk about thinking, reasoning and intellect in relation to the mind and leave emotions out; LeDoux working in the field

of cognitive science broke this mould in the mid 1990s. Similarly Daus (2005) argues that for years, certainly not until the late 1980s and early 1990s, psychologists did little to promote the 'legitimacy of emotion as important a human aspect, in its own right, as cognition' (Daus, 2005, p.306). However, she further contests that at last the 'tides have again shifted, and it is somewhat universally recognised that affect and cognition should be recognized and considered as parts of a universal, integrated system' (Daus, 2005, p.306). LeDoux strongly supports this when he states that, 'minds without emotion are not really minds at all - they are souls on ice – cold, lifeless creatures devoid of any desires, fears, sorrows, pain, or pleasure' (LeDoux, 1996, p.25). He asks: 'Why would anyone want to conceive of minds without emotions?'. Schultz, Izard and Abe (2005) hold with this notion when considering the pros and cons of emotion in relation to cognitive thought and behaviour. They agree that we have all, on occasions, regretted an uncontrolled emotional outburst. They go on to contest however, 'we often overlook that throughout our daily lives our emotion response – including anger – help us to respond intelligently and adaptively to our world' (Schultz et al, 2005, p.52). Further to this, when considering the emergence of the EI construct, Schultz et al suggest that, 'the starting point for considering the development of emotional intelligence (EI) is this: Emotions themselves are intelligent' (Schultz et al, 2005, p.52). LeDoux would readily agree with this but also acknowledges the strong historical division between emotion and rational thought and therefore poses the question: 'How do we get emotion and cognition back together?' (LeDoux, 1996, p.25). Daus (2005, p.306) also considers this conundrum in her work on the fundamental nature of

emotion and cognition when she states that, 'for centuries, there has seemingly existed an antagonism between emotion and cognition'. She cites DeSousa's 1987 classic work on the topic: *The Rationality of Emotion,* as being significant in beginning to bring the two constructs together, in which he states that, 'despite a common prejudice, reason and emotion are not natural antagonists' and contests that 'on the contrary I shall argue that when calculi of reason have become sufficiently sophisticated, they would be powerless in their own terms, except for the contribution of emotion' (DeSousa, 1987, p.21).

It is not until a decade later however, when Goleman (1996) calls for us to go back to basics 'to better grasp the potent hold of the emotions on the thinking mind – and why feeling and reason are so readily at war – to consider how the brain evolved' (Goleman, 1996, p.9). In terms of brain evolution over millions of years, the most primitive part is the brainstem surrounding the top of the spinal cord which is a set of pre-programmed regulators which control basic functions like breathing, as well as controlling the bodies reaction to danger to ensure survival. From this most primitive root - the reptilian brain, emerge the emotional centres. Millions of years later in evolution, from these emotional areas evolved the thinking brain or the 'neocortex'. According to Goleman (1996, p.10), 'the fact that the thinking brain grew from the emotional brain reveals much about the relationship of thought to feeling; there was an emotional brain long before there was a rational one'. LeDoux (1996, p.40) explains this further when he states, 'we know our emotions by their intrusions (welcome or otherwise) into our conscious mind but emotions did not

evolve as conscious feelings', he continues, 'they evolved as behavioural and physiological specializations, bodily responses controlled by the brain that allowed ancestral organisms to survive hostile environments and procreate'. He concludes that, 'if the biological machine of emotion, but not cognition, crucially includes the body, then the kind of machine that is needed to run emotion is different from the kind needed to run cognition'. The very fact that human emotional development is as a result of millions of years of biological evolution has led to its complexity and it is this complexity that makes it so very challenging to study. Indeed, knowledge of specific brain mechanism involved in emotions has been described by LeDoux (2000, p.159) as 'bleak'. Schulze et al (2005, p.54) would agree when they state that, 'although brain imaging techniques have identified specific areas of the brain that are activated when emotion perception or arousal occurs, an understanding of the roles of many of these neural connections play within emotion experience remains unknown'. However what is known is there are at least five anatomically distinct networks in the human brain. One of which is the emotional/memory network that plays a critical role in the conditioned associations between various stimuli and emotions evolved over aeons as a mammalian survival mechanism. Cacioppo and Bernston (1999) when discussing the interplay of affect and emotion state that, 'the affect system works hand in glove with the cognitive system to appraise the significance of stimuli and to execute appropriate actions. It directs attention, guides decision making, stimulates learning, and triggers behaviour' (Cacioppo and Bernston, 1999, p.133). So are we any closer to understanding the place emotions play in human intellect?

2.4.1: Emotion and Cognition: Concluding thoughts

It would appear from the literature that there are two distinct traditions related to emotion and cognition, on the one hand is the view that emotion inhibits cognition and therefore must be controlled and on the other hand is the belief that cognition is less effective without an emotional dimension. The first tradition considers emotions as being uncontrolled interruptions of mental activity. This tradition can be traced back to as early as the first century B.C. when Publius Syrus said, 'rule your feelings, lest your feelings rule you'. Later, in psychology, Young (1936, p.457-458) considers pure emotion as 'a complete loss of cerebral control containing no trace of conscious purpose' and he goes on, in his later work, to define emotions as 'acute disturbances of the individual as a whole' (Young, 1943, p.263). The second tradition contradicts the first in that it views emotion as an organised response because it actively focuses cognitive activity and subsequent action. Leeper (1948), for example, suggests that emotions are, 'processes which arouse, sustain, and direct activity' (Leeper, 1948, p.17). Modern theories of emotion also see it as directing cognitive activities adaptively (Mandler, 1975; Simon, 1982; LeDoux 1996). LeDoux, the well known brain scientist, working in the field of cognition and emotion, hypothesises that 'based on trends in brain evolution, the struggle between thought and emotion may ultimately be resolved, not simply by the dominance of neocortical cognitions over emotional systems, but by a more harmonious integration of reason and passion in the brain, a development that will allow future humans to better know their true feelings and to use them more effectively in daily life' (LeDoux, 1996, p.21). This leads LeDoux

(1996) to conclude that research has established that emotions can both serve and inhibit intellect and thus can have both useful and pathological consequences. Emotions require, I argue, attention and can and do interrupt cognitive processing and therefore primacy should be given to both emotion and cognition as equal parts of the mind.

Jack Mayer and Peter Salovey, and colleagues, were the first to publish scientific articles linking emotion and cognition together under the newly emerging construct of emotional intelligence in the early 1990s. Although Daniel Goleman, later in the 1990s, has clearly been the most influential in bringing the concept to the masses. In his early work on emotional intelligence he begins to track the progress of our scientific understanding of the realms of the emotional brain made possible by the advances in brain imaging technology. He argued at this time, some would say rather naively (Mathews et al, 2004; Schulze et al, 2005; Murphy, 2006), that 'science is finally able to speak with authority to these urgent and perplexing questions of the psyche at its most irrational, to map with some precision the human heart' (Goleman, 1996, pxi). He suggests that this offers a challenge to those who subscribe to a narrow view of intelligence, arguing that IQ is a genetic given that cannot be changed by life experiences, and that destiny in life is largely fixed by aptitude. However, he asks the question, 'what can we change that will help our children fare better in life?' (Goleman, 1996, pxii). He goes on to ask, 'what factors are at play for example when people of high IQ flounder and those of modest IQ do surprisingly well?' Goleman believes this is down to high emotional

intelligence. That is those who have high emotional intelligence make best use of the given IQ. Matthews et al (2004) whilst sceptical about Goleman's scientific claims agree with him partially in that they state, 'if we know what emotions are for, perhaps EI relates to how well emotions achieve their intended purpose' (Matthews et al, 2004, p.133). Matthews et al (2004) also point out an alternative view that perhaps those with a higher IQ are able to think more intelligently about emotions. Goleman refers to this as our 'two minds' (Goleman, 1996, p.8-9). He states that the emotional/rational dichotomy approximates the folk distinction between 'heart' and 'head'; knowing something is right 'in your heart' is a different order of conviction – somehow a deeper kind of certainty – than thinking so with your rational mind' (Goleman, 1996, p.8).Goleman frequently cites the work of the neuroscientist LeDoux (1996) when he claims to 'recognise the importance of bringing emotion and cognition together through scientific exploration and explanation' (Goleman, 1996, p.8). Goleman (1996, p.27) states 'the connections between the amygdala (and related limbic structure) and the neocortex are the hub of the battles or cooperative treaties struck between head and heart, thought and feeling'. He continues, 'the circuitry explains why emotion is so crucial to effective thought, both in making wise decisions and in simply allowing us to think clearly'. Goleman believes that, 'LeDoux's research explains how the amygdala can take control over what we do even as the thinking brain, the neocortex, is still coming to a decision' (Goleman, 1996, p.15-16). Goleman calls this the 'neural tripwire' (Goleman, 1996, p.16). However, Goleman also acknowledges there is a second kind of emotional reaction which he calls a 'more extended appraisal' (Goleman,

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1996, p.293). This kind of emotion begins in our thoughts and may simmer more slowly whilst we mull over our response. This second kind of emotional response is defined by thought proceeding feeling, for example anxiety preceding a forthcoming exam. Goleman (1996) believes our most intense feelings are involuntary reactions; we cannot decide when they are going to erupt. For example, Goleman (1996) quotes Stendahl , 'love is like fever that comes and goes independently of the will'. He concludes that whether emotion is feeling or thought led, 'the workings of the amygdala and its interplay with the neocortex are at the heart of emotional intelligence' (Goleman, 1996, p.16). LeDoux would support this in his concluding thoughts on the relationship between emotion and cognition:

The experimental study of the mind should be done in a framework that conceives of the mind in its full glory. The artificial separation of cognition from the rest of the mind was very useful in the early days of cognitive science and helped establish a new approach to the mind but now it is time to put cognition back into mental context – to reunite cognition and emotion in the mind. Minds have thoughts as well as emotions and the study of either without the other will never be fully satisfactory. "Mind science" is the natural heir to the united kingdom of cognition and emotion. To call the study of cognition and emotion cognitive science is to do it a disservice.

(LeDoux, 1996, p.38-39)

What LeDoux is describing here is the amalgamation of cognition and emotion which combine to form the newly emerging construct emotional intelligence. In the fifteen years or so since LeDoux's proclamation, extensive research has been and continues to be carried out and subsequent accounts written by and for, educators, psychologists, scientists and human resources professionals and as a result, emotional intelligence as a potential new construct for explaining behaviour variance, not accounted for by traditional measures of intelligence, has emerged. What follows is an exploration of the current thinking behind how we define the construct and the associated models of emotional intelligence that have come to the fore over the last decade. I consider this to be the final piece in the literature review jigsaw. This will inform the theoretical framework that I will use to frame the hypothesis for this study which is grounded in the relationship between emotional intelligence and effective school leadership.

2.5:   Emotional Intelligence: An exploration of the major schools of thought

In 1990 it was the two American Professors of Psychology, Peter Salovey and John Mayer, and their colleagues, who published the first of a number of academic articles dealing with the new construct – emotional intelligence. These writings introduced emotional intelligence to the mainstream of scientific research. Five years later, Goleman, a fellow psychologist who for many years reported on the brain and behavioural science in the popular press including the *New York Times,*

published his best-selling book *Emotional Intelligence: Why it might matter more than IQ* which introduced the construct to a much wider audience than that which Salovey and Mayer had been writing for.

From this point on and as we move into and through the first decade of the new millennium the field of emotional intelligence study has become extensive and diverse gaining widespread public attention. Matthews et al (2004, p.3) cite a recent Google Internet search for "emotional intelligence" which elicited 900,000 results. Interestingly an Internet search carried out for the emotional intelligence construct in both 'scientific' and 'popular' publications prior to 1980 resulted in zero findings. The subsequent massive explosion in the literature, in the following three decades, of a previously unknown construct, has understandably led to a number of conflicting representations of what emotional intelligence is. Interestingly 'Emotional Intelligence was selected as the most useful new words or phrases of 1995 by the American Dialect Society' (Mayer, Salovey and Caruso, 2000, p.92).

Mayer, Salovey and Caruso (Mayer et al, 2000, p.92-113) consider there to be three main meanings of the term 'emotional intelligence'. They subdivide the construct into a '*zeitgeist* or *cultural trend'*. They define zeitgeist as 'the spirit of an age', 'an intellectual or passionate trend that characterises the moment' (Mayer et al, 2000, p.92) or 'cultural movement of the times (Mayer et al, 2000, p.111). They attest this to Goleman's popularisation of the construct in 1995 as a rebuttal to the pessimism of cognitive intelligence being an inherent given which could not be

changed or improved upon. Mayer et al consider this to be the 'popular realm' (Mayer et al, 2000, p.97) of the construct. Their second definition is founded in the tradition of behavioural science when they explore *'emotional intelligence as personality'* (Mayer et al, 2000, p.97-105). That is as a 'synonym or near synonym for personality' (Mayer et al, 2000, p.111). In doing this they pose the question, 'should the term emotional intelligence be used to describe all of personality?' (Mayer et al 2000, p.98). They concede that 'emotional intelligence is used by some researchers to refer to a long list of attributes that appear drawn from a number of aspects of personality' (Mayer et al, 2000, p.101). They extrapolate two points from this. Firstly that 'many of the attributes measured by newer scales of emotional intelligence have been carefully studied before, and second, such overlap as does exist suggests that new scales of emotional intelligence have breadth of coverage that is not all that different from measures traditionally referred to as omnibus scales of personality'. In the science of psychology, for example, the Big Five Personality Traits (Goldberg, 1993) are five broad factors or dimensions of personality discovered through scientific empirical research.

The Big Five factors and their constituent traits can be summarised as:

1. **Openness** (sometimes also referred to as intellect) – appreciation for art, emotion, adventure, unusual ideas, imagination, curiosity and variety of experiences.

2. **Conscientiousness** – a tendency to show self-discipline, act dutifully, and aim for achievement; planned rather than spontaneous behaviour.

3. **Extraversion** – energy, positive emotions, surgency, and the tendency to seek stimulation and the company of others.

4. **Agreeableness** – a tendency to be compassionate and cooperative rather than suspicious and antagonistic towards others.

5. **Neuroticism –** a tendency to experience unpleasant emotions easily, such as anger, anxiety, depression or vulnerability; sometimes called emotional instability

(McCrae and Costa, 1990)

Mayer, Salovey and Caruso (2000, p.111) are not in favour of separating emotional intelligence from work already undertaken in the psychology of personality, indeed they see this as negating the 'well-understood aspects of personality psychology' (Mayer et al, 2000, p.111). The dichotomy for them is the claim that emotional intelligence can be learnt (Goleman 1995b, p.34), and yet extensive research into personality traits, many of which are listed as aspects of the 'mixed model' of emotional intelligence, 'indicates that they can have rather considerable genetic, biological, and early learning contributions, which, as with other parts of personality, make them difficult, albeit not impossible, to change' (Mayer et al, 2000, p.111). They conclude that 'the term emotional intelligence, when used to designate tests that are not appreciably different from the general scales of personality, may be more of a distraction than a clarification' (Mayer et al, 2000, p.105).

Finally Mayer, Salovey and Caruso (2000) outline their preferred definition of emotional intelligence based on the work they have been involved in since the early 1990s, that is, emotional intelligence is defined as a group of '*mental abilities, skills and capacities'.* 'We chose to employ this term *emotional intelligence* after a careful review of the intelligence literature convinced us that an emotional intelligence – even more than a social intelligence – could be operationalised and measured as distinct from previous described intelligences and other parts of personality (Mayer and Salovey, 1993, p.433-444). They acknowledge in their later work 'it is no secret by now that we believe emotional intelligence is a tantalising term best applied to scientific research and, perhaps, to cultural practices' and 'one that may better explain how personality, and people, function'(Mayer et al, 2000, p.112).

Matthews et al (2004), in their recent work conclude that the answer to the question: *"What is this thing called emotional intelligence?"* is by no means straightforward. This view is supported extensively by others in the literature e.g Mayer, Salovey and Curuso, 2000; Matthew, Zeidner & Roberts, 2002 and Schulze, Roberts, Zeidner & Matthews 2005. This is in some part, according to Sternberg (2002, p.*xi)*, because two schools of thought have grown up surrounding the constructs 'bifurcated origins', that being the *scholarly field* of emotional intelligence led by Salovey and Mayer and the *popular field* of emotional intelligence led by Goleman. As a result of this, two distinct models of emotional intelligence became apparent. Interestingly, it is this bifurcated view of emotional

intelligence with which one can draw parallels to the earlier concepts of general intelligence debate. Matthews et al (2004, p.85) point out 'it is the types of issues that dogged the early pioneers of intelligence that seem to be among those providing the most serious challenges to researchers interested in EI'. This is certainly the case with Salovey and Mayer (1990) who favour their 'mental abilities model' over Goleman's 'mixed model' in which he combines the ability concept with a number of personality traits.

Goleman is accused of making exaggerated claims (Mattews et al, 2004; Salovey and Mayer, 2006) which do not hold up to the scientific fields agreed code of conduct for ethical scientific research. Particularly those related to the use of appropriate psychometric procedures, to the avoidance of false or deceptive public statements and to the correction of misrepresentation of their work. Therefore when Goleman, at the outset of his crusade to bring this new intelligence construct to the populace, claimed EI might be more important than IQ the scientists were sceptical and strongly critical of his lack of sound scientific validity, which they protested was in breach of their widely agreed code of conduct. Salovey's and Mayer's approach on the other hand is seen as being more measured in that they provided the first clearly delineated theory and the first systematic program of research. However, Matthews et al (2002, p.*xxi)* contest that whilst Goleman's work does not represent a systematic scientific program of research, at least in the usual sense of the term, in that there appear to be no refereed published studies

where hypotheses are predicatively tested against data, they do concede however that it stirred the imagination of many people, myself included.

Murphy and Sideman (2006, p.39) would contest that, 'one reason for the controversy over EI is that there is no clear consensus about what EI really means'. When considering this notion Gowing (2001, p.85) calls for the distinction to be drawn between two terms *emotional intelligence* and *emotional competence.* Gowing (2001, p.85-87) suggests that *Emotional Intelligence* refers to a person's basic underlying capability to recognize and use emotion, as defined by Mayer and Salovey (1997) and later Mayer, Salovey and Caruso (2000) in their abilites model of EI. These authors have also attempted to measure intelligence itself using their self designed *Mayer, Salovey and Caruso Emotional Intelligence Test* (MSCEIT). Goleman (1998), Bar-On (1997b) and others have preferred to examine emotional intelligence through the exploration of emotional competence. *Emotional Competence* describes the personal and social skills that lead to superior performance in the world of work. In essence Gowing (2001, p.86) concludes that, 'Mayer and his colleagues built on the foundation of personality theory in developing their emotional intelligence assessments' whilst 'Boyatzis and Goleman began with a theory of performance in the world of work' and 'Reuven Bar-On seemed to draw on both personality theory and the theory of performance in the workplace'. The different theories underlying each of the measures of these researchers have resulted in different measurement tools, all dedicated to measuring aspects of emotional intelligence. Therefore, the three most widely

accepted models for defining emotional intelligence are those put forward by Mayer and Salovey (1993; 1997), Bar-On (1997a; 1997b; 2000) and Goleman (1998; 2001).

Mayer and Salovey's model first put forward in 1990 and subsequently up dated in 1997, is classed as a *mental abilities* model as they argue that emotional intelligence shares key characteristics with cognitive and intellectual abilities. They contest that emotional intelligence develops gradually through childhood but levels off in adulthood and is somewhat difficult to change. Goleman's model put forward in 1995, which acknowledges the work of Salovey and Mayer, is however classed as a *mixed model* because he defines emotional intelligence in terms of learned competences, that is, skills and abilities that can be acquired and developed through practice. This model is focussed on successfully negotiating social interactions and on managing one's own emotional behaviour and that of others. In recent years Reuven Bar-On (1997a) has come to the fore in the field of emotional intelligence as a result of his Emotional Quotient Inventory (EQ-i). The Bar-On model is also a *mixed model* and defines emotional intelligence in terms of an extensive set of character traits and abilities that are related to coping with and adapting to ones environment in ways that promote psychological well-being. This model spans both personality and ability domains. Other, less well known conceptualisations of emotional intelligence: Cooper and Sawaf (1998), Weisinger (1998), Dulewicz (1998), Higgs and McGuire (2001), Schutte and Malouff (2005), for example, are also classed as mixed models. Neubauer and Freudenthaler

(2005, p.32-33) suggest that 'proponents of emotional intelligence can be placed in two distinctive groups, those who favour the *ability models* and those who favour the *mixed models'.* Neubauer and Freudenthaler (2005, p.32-33) however, also state in their critique of the construct that 'ability versus mixed models of EI not only vary considerably regarding the scope of conceptualisation but also with respect to the proposed instrument used to measure EI'. That is mixed models rely on self report measures of emotional intelligence while the ability model centres on performance-based measures of emotional abilities. Interestingly, Murphy et al (2006, p.43), consider this to 'represent a clash of cultures'. That is, 'many of the participants in the EI controversy (e.g., proponents and opponents of EI in general, opponents and proponents of specific approaches to EI) appear to be acting on incompatible assumptions, pursuing different goals, articulating different values, and using different criteria to determine what to do and how to evaluate what they have done', (Murphy et al, 2006, p.43). They believe that many of the participants in the EI debate can be sorted into two broad groups, those who are *'science driven'* and those who are *'practice driven'.* The former, according to Murphy et al (2006, p.43), 'can be characterised by an emphasis on precision, empirical confirmation, and scientific caution', whilst the latter 'can be characterised as following a practice driven culture, an approach that emphasizes attempting to solve world problems, without necessarily waiting to work out all the details of the underlying theory or the empirical tests'. The practice driven mixed models, originated by Goleman in the mid 1990s, Murphy et al believe (2006), are attractive largely as an antidote to the sort of fatalism and pessimism that is endemic to

research on IQ. However they suggest, if you are studying emotional intelligence because you believe that, Binet, Thorndike and Weschsler, for example, were right in believing the domain of ability extended to cover one's social interactions, you will probably be drawn to the science driven abilities model of Salovey and Mayer.

Murphy and Sideman (2006, p.55) call for the one or other of the two emotional intelligence cultures to take ownership of the construct or use some other term to describe it. However, they acknowledge this is not likely to happen in the foreseeable future. They therefore suggest we accept that there are two distinct versions of emotional intelligence each emerging from fundamentally different assumptions. When carrying out research they suggest you must make the initial decision as to which model of emotional intelligence you are interested in. Acting on this advice, what follows is a detailed exploration of the two cultures, through the extensive literature, which will inform the decisions I make when choosing the emotional intelligence model best suited for the purpose of my research. That is the science driven culture which favours the *ability model* of emotional intelligence founded by Peter Salovey and John Mayer or the practice driven culture who favour the *mixed model* whose most famous exponent is Daniel Goleman. By investigating each culture separately and then comparing the two I intend to align myself with one or other of the cultures. From this stance I am able to determine a model of emotional intelligence which has resonance for my research and from which I can determine a theoretic framework for my study.

At this point it is pertinent to reiterate the focus of this study. That is I am interested in emotional intelligence as a potential new construct for explaining behaviour variance in leadership not accounted for by traditional measures of intelligence. This is of interest to me as an educationalist and a secondary school leader in that I want to find out about the role emotional intelligence plays in effective school leadership. By studying the two cultures through the literature, that is the science driven *abilities model* and the practice driven *mixed models*, the intention is to inform the development of a school-based emotional intelligence model for effective school leadership which will subsequently shape the research hypothesis and associated methodology. Getting this right is fundamental to and will have a significant impact on the research findings and subsequent research outcomes.

2.5.1: Emotional Intelligence: The Science Driven culture from conceptualisation to measurement

> *Scientists study a wide range of phenomena, but they share a broad commitment to the same general method of working. The defining feature of a scientific approach to problems is the use of methods that emphasize formulating, testing, and revising hypotheses, sharing and criticizing work in a public forum, and a generally sceptical and cautious approach.*
>
> *(Murphy & Sideman. 2006, p.45).*

Salovey & Mayer and their science driven associates have, to a large extent, emphasized the norms and values of a science driven culture in their work on emotional intelligence. 'The emphasis in scientific research is on "getting it right", that is, clearly articulating constructs and theories, measuring variables with precision, making and testing specific predictions, and revising theories and assumptions in the light of what data show' (Murphy et al, 2006, p.45).

Salovey and Mayer's article on *Emotional Intelligence* (Salovey and Mayer, 1990)*,* published in the New York Times, is widely acknowledged as the first scientific based study published on the construct. In it they suggested a new concept of how to synthesize the two psychological concepts of intelligence and emotion, drawing on what the literature was saying about emotion and emotionality in relation to personality and the ability to process and to adapt to emotional information. From this the authors offered a formal definition of emotional intelligence 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 own*
> *thinking and action.*
> *(Salovey, Brackett & Mayer, 2004, p.35).*

This led them to develop a framework comprising of three distinct mental processes involving emotional information. These processes are:

(a) The appraisal and expression of emotion.

(b) The regulation or control of emotion.

(c) The utilization of emotion in adaptive ways.

(Salovey and Mayer, 1990)

Salovey and Mayer further subdivide the three processes into *self* and *others* and draw a distinction between perceiving and regulating one's own emotions and those of others. Over the next decade Mayer & Salovey continued research into the construct and in 1997 presented a revised definition as they believed their earlier definition seemed 'vague in places and impoverished in the sense that they talked only about perceiving and regulating emotions, and omit thinking and feeling' (Salovey, Brackett and Mayer, 2004, p.35). The revision, they believed, corrected these problems and concluded that:

> *Emotional intelligence involves the ability to perceive accurately, appraise and express emotion; the ability to access and/or generate feelings when they facilitate thought; the ability to understand emotion and emotional knowledge; and the ability to regulate emotions to promote emotional and intellectual growth.*

> *(Salovey, Brackett and Mayer, 2004, p.35)*

From this Salovey and Mayer (1997) formally introduced their revised framework for emotional intelligence: *The four branch abilities model of emotional intelligence* (figure 1, page 91). Their revised model shows a collection of emotional abilities which are divided into four branches.

Branch 1: Perception, appraisal and expression of emotions.

This branch of the model concerns the accuracy with which one is able to recognise and respond to emotions in oneself and in others. In this branch Mayer and Salovey (2004, p.36) show the development of emotional competence in childhood and the impact this has on the emotional health and well-being of the adult. For example, the infant early on develops the ability to distinguish the emotional facial expressions of the parent and how to respond to those expressions, in addition a child will learn to accurately identify their own muscular and bodily sensations and social surroundings. As a result of this a mature adult can recognise and carefully monitor their own internal feelings and also recognise those feelings in other people. They can also connect emotionality to other objects e.g. artwork. Further to this the individual is also able to express feelings accurately and to express needs surrounding those feelings and because emotionally intelligent individuals know about the expression and manifestation of emotion, they are also sensitive to its false or manipulative expression.

Branch 2: Emotional facilitation of thinking

This branch describes the use of emotions to enhance reasoning and process various emotional events that assist in intellectual processing. That is emotion acting on intelligence. Mayer and Salovey (2004, p.38) believe that emotion serves as an alerting system, essentially from birth. The infant cries when it needs milk and laughs in response to smiles. Included in this branch are emotions that direct attention to important information. That is, as the person matures, emotions begin to shape and improve thinking by directing a person's attention to important changes. An adult with better developed thinking skills than a child, for example, would move to complete an imminent task before concerns about non completion take over. This branch also includes one's ability to think about different emotions and the impact they have on reasoning and be able to draw on these emotions to facilitate thinking on demand. Mayer and Salovey (2004, p.38) call this the "emotional theatre of the mind' or 'more technically, a processing arena in which emotions can be generated, felt, manipulated, and examined, so as to better understand'. They believe the more fine-tuned this ability is the better one is able to make choices about life courses. In this branch Mayer et al (2004, p.38) also propose that individuals who are adept at shifting moods can lead one to consider more possibilities, concluding this will be an advantage in conditions of uncertainty.

MAYER AND SALOVEY'S 1997 REVISED ABILITY MODEL OF EI

Level 1: Perception, Appraisal, and Expression of Emotion

Ability to identify emotion in one's physical states, feelings and thoughts.	Ability to identify emotions in other people, designs, art-work, etc., through language, sound, appearance, and behaviour.	Ability to express emotions accurately, and to express needs related to those feelings.	Ability to discriminate between accurate and inaccurate, or honest versus dishonest expressions of feelings.

Level 2: Emotional Facilitation of Thinking

Emotions priorities thinking by directing attention to important information.	Emotions are sufficiently vivid and available that they can be generated as aids to judgment and memory concerning feelings.	Emotional mood swings change the individual's perspective from optimistic to pessimistic, encouraging mutual points of view.	Emotional states differentially encourage specific problem approaches such as when happiness facilitates inductive reasoning and creativity.

Emotional Intelligence

Level 3: Understanding and Analysing Emotions; Employing Emotional Knowledge

Ability to label emotions and recognize relations among the words and the emotions themselves, such as the relation between liking and loving.	Ability to interpret the meanings that emotions convey regarding relationships, such as that sadness often accompanies a loss.	Ability to understand complex feelings: simultaneous feelings of love and hate, or blend such as awe a combination of fear and surprise.	Ability to recognize likely transitions among emotions, such as the transition from anger to satisfaction, or from anger to shame.

Level 4: Reflective Regulation of Emotions to Promote Emotional and Intellectual Growth

Ability to stay open to feelings, both those that are pleasant and those that are unpleasant.	Ability to reflectively engage or detach from an emotion depending upon its judged informativeness or utility.	Ability to reflectively monitor emotions in relation to oneself and others, such as recognizing how clear, typical, influential, or reasonable they are.	Ability to manage emotion in oneself and others by modifying negative emotions and enhancing pleasant ones, with out repressing or exaggerating information they may convey.

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Figure 1

Further to this is the more sophisticated ability to understand how different moods are considered that may facilitate different forms of reasoning, for example, deductive versus inductive reasoning.

Branch 3: Understanding and analysing emotions; employing emotional knowledge
The third branch concerns the ability to understand emotions and to utilize emotional knowledge. This involves cognitive processing of emotions and comprises four representative abilities involving abstract understanding and reasoning about emotions. These components range from the ability to label emotions, which begins in childhood as a child recognises an emotion he learns to label it. This is followed by a more sophisticated ability to recognise relations among the words and emotions themselves e.g between liking and loving, annoyance and anger. Mayer and Salovey (2004, p.39) contest that 'emotional knowledge begins in childhood and grows throughout life, with increased understanding of these emotional meanings' and that 'the growing person also begins to recognise the existence of complex, contradictory emotions in certain circumstances'. That is the ability to recognise likely transitions among emotions and sequences of emotions, for example, 'anger may intensify to rage, be expressed, and then transformed to satisfaction or to guilt' (Mayer et al, 2004, p.39). Mayer and Salovey (2004, p.39) use a further analogy, 'the individual who feels unlovable might reject another's care for fear of later rejection'. They (Mayer et al, 2004, p.39) conclude that 'reasoning about the progression of feelings in interpersonal relationships is central to emotional intelligence'.

Branch 4: Reflective regulation of emotion to promote emotional and intellectual growth

This branch is considered by Mayer and Salovey (2004, p.39) to be the highest level branch because it begins with one's ability to be open to feelings. It refers to the ability to manage emotions in oneself, and in others, in order to enhance emotional and intellectual growth. This ability comprises the most advanced skills, ranging from the ability to stay open to feelings – both pleasant and unpleasant ones – as Mayer and Salovey (2004, p.39-40) assert that 'only if a person attends to feelings can something be learned about them', to the ability to manage emotions in oneself and others by enhancing pleasant emotions and moderating negative ones. That is the ability to, where necessary, separate emotion from behaviour. A parent will to this end teach a child basic rudimentary emotion control strategies e.g. count to 10 when you are angry. Emotionally mature adults will learn to consciously think through emotional situations and how they felt. Mayer and Salovey (2004, p.40) call this meta-experience of mood. They subdivide this into meta-evaluation of the mood and the meta-regulation of the mood. That is feeling the feeling and learning from it. This branch represents an interface of many factors including motivational, emotional, and cognitive factors that must be recognised and balanced in order to manage and cope with feelings successfully. Mayer and Salovey (2004, p.40) conclude that, 'one quality that seems important is that emotions are understood without exaggerating or minimizing their importance'.

The four branches are expressed in levels which suggest that there is a hierarchy of skills that build up the capability to be emotionally intelligent. The concept of self-awareness in Mayer and Salovey's model is seen as the baseline from which to develop, with emotional management seen as the pinnacle of emotional intelligence in action.

Mayer and Salovey (2004, p.41), in 1997, having updated their conceptualisation of emotional intelligence, set out to determine, 'whether emotional intelligence is, say, one true intelligence, or whether it is multiple skills unrelated to general intelligence, or something in between'. Being science driven, they understood this would depend upon its measurement and assessment. That is, having conceptualised emotional intelligence abilities they recognised that in order to be able to work with emotional intelligence as a valid construct they needed a robust measurement tool. Matthews et al (2004), when exploring what they call the facts and myths surrounding the construct, state that, 'logically, it might seem that theory should precede measurement' but that 'in common with many individual difference constructs, including IQ, the road to understanding EI has started from attempts to develop a satisfactory operational definition of the construct' (Matthew's et al, 2004, p.24). Mayer and Salovey (2000) having proposed that emotional intelligence involves the capacity or ability to reason with and about emotion saw the necessity for an explicitly designed EI test in an intelligence or ability testing tradition. They conclude that using a psychometric performance test of the proposed emotion-related abilities, enabling discrimination between correct and

incorrect responses to demonstrate and prove the existence of emotional intelligence. Matthews et al (2004, p.24) conclude that, 'broadly, EI may be conceptualized as a spectrum of levels of ability, perhaps following a normal bell curve, as does IQ' and that 'we need tests of EI that pick out the emotional geniuses and the emotionally challenged at the ends of the spectrum, and discriminate different levels of ordinary EI in the middle part of the range'. Developing such tests, according to Matthew et al (2004, p. 25), 'places EI within the sphere of *differential* psychology, that is the psychology of individual differences'.

The major tool of differential psychology is psychometrics or measurement of the mind and or its constituent mental processes. Measurement accuracy is referred to as reliability or internal consistency which is fundamental to validity within the realms of psychometric testing. To do this Mayer et al (1999) first developed the Multifactor Emotional Intelligence Scale (MEIS) to measure *emotional intelligence* as opposed to *emotional competencies* this involved 12 performance tasks to measure the four branches of their emotional intelligence ability model. Mayer and Salovey explicitly focussed on internal concepts of emotional intelligence – the precision, use, understanding, and management of emotion, predicting that, internal abilities have external consequences. This was the first attempt at such a measure but had problems with low reliability of some subscales and with scoring procedures.

Following this they developed the closely related Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT). The test, current version MSCEIT V.2, assesses the four branches of Mayer and Salovey's 1997 emotional intelligence ability model. The 141 item MSCEIT V.2 provides a total EI score and four branch scores for: Perception of Emotion, Integration and Assimilations of Emotion, Knowledge about Emotion and Management of Emotion. It also includes eight subtests, two for each of the four branches. Two scoring procedures are used for the MSCEIT: a general consensus criterion which is based on the answers of more than 2000 participants, and an expert-consensus criterion which is based on the assessment of 21 members of the International Society of Research in Emotion. Factor analyses indicate that emotional intelligence can be represented as a two-level hierarchy. At the top of the hierarchy is Emotional Intelligence, an overall emotional intelligence factor that represents a fairly cohesive group of skills. The factors are then broken down into four subdivisions; emotional perception, emotional facilitation, emotional understanding, and emotional management.

Salovey & Mayer's EI Scale -MSCEIT is considered by the science driven culture as one of the better measures of emotional intelligence. Matthews et al's (2004, p.28) detailed and often cited critique of emotional intelligence and associated measures suggest that whilst there are a number of measures of EI and its constituent attributes which are of variable quality and reliability, they do agree that the MSCEIT 'has sufficient reliability and validity to justify its use as a research instrument'. Others, Conte and Dean (2004), who are also sceptical about EI

measurement scales per se, in that they regard all measures as being problematic in various ways, conclude however that the MSCEIT is closest in its measurement properties to other validated ability tests and that much of the research on this model has been validated in peer-reviewed journals (e.g., Mayer, Caruso, & Salovey, 1999; Mayer and Salovey, 1993; Mayer et al., 2001; Salovey & Mayer, 1990). However, Neubauer and Freudenthaler are less optimistic (2005, p.40) when they call into question the empirical status of the MSCEIT suggesting 'it requires the emergence of a body of independent research supporting its psychometric properties and construct validity'. Whilst considerable progress has been made, since Salovey and Mayer's founding of the construct in the early 1990s, in measuring emotional intelligence following the psychometric testing science driven tradition, clearly there is still much work to be done.

I now turn my attentions to the mixed model, practice driven culture, as compared to the mental abilities model, science driven culture, of emotional intelligence.

2.5.2: Emotional Intelligence: The Practice Driven culture from conceptualisation to measurement

Mixed models of emotional intelligence are substantially different to the mental ability models. In contrast to Mayer and Salovey's ability conceptualisation of emotional intelligence, mixed models notably: Goleman, (1995, 2002); Bar-On, (1997); Cooper & Sawaf, (1997), and Weisinger, (1998) do not, according to Neubauer and Freudenthaler in their appraisal of emotional intelligence models

(2005, p.40), 'exclusively refer to emotion or intelligence, they claim that emotional intelligence is often used as a label for a diverse group of personality characteristics that might predict success in professional and everyday domains'. Goleman (1998) was the first of those working in the practice driven field of emotional intelligence to put forward such a definition stating that:

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)

Goleman's model (figure 2, p100.) is classed as a mixed model as it contains both ability and personality traits. The model's four domains are subdivided into two areas of competence, that is, personal competences and social competencies.

Area one: Personal Competence including:

(a)   Self awareness.

(b)   Self management.

Area two: Social competences including:

(c)   Social awareness.

(d)   Relationship awareness.

Goleman (2003, p.46) conscious of his science driven critics, contests that his model 'is an emotional intelligence model that more clearly links clusters of competences to the underlying brain dynamics that drive them'. Goleman believes that findings about the brain and the sentinels for emotion in the brain, by such individuals as LeDoux (1996), have led to a greater understanding of the neurological basis of these competences. He goes on to link each of the four subsets of competencies to related areas of the brain in an effort to show a link between emotional ability and personality traits.

Self-awareness

'Self-awareness means having a deep understanding of one's emotions, as well as one's strengths and limitations and one's values and motives' (Goleman, 2003, p.49). Goleman argues that people with a strong sense of self-awareness are honest with themselves about themselves and about themselves with others. He contests those who are self-aware are realistic and are not afraid to acknowledge their limitations. They are also reflective and thoughtful thinkers. Goleman links this competence to brain circuits in the prefrontal cortex between the amygdala and the left prefrontal lobe, citing the work of Davidson et al (2000) on motivation. He contests that this area of the brain controls one's motivating feelings and can make a difference between 'a pessimist who dwells too much on what's wrong and so loses hope, and an optimist, who keeps going despite difficulties by holding in mind the satisfaction to come when the goal is met' (Goleman, 2003, p.51).

GOLEMAN'S 2002 REVISED MIXED MODEL OF EI

1. PERSONAL COMPETENCES: These capabilities determine how we manage ourselves

SELF- AWARENESS

Emotional self awareness: Reading one's own emotions and recognizing their impact; using 'gut sense' to guide decisions.
Accurate self-assessment*:* Knowing one's strengths and limits.
Self-confidence*:* A sound sense of one's self-worth and capabilities.

SELF-MANAGEMENT

Emotional Self-control: Keeping disruptive emotions and impulses under control.
Transparency: Displaying honesty and integrity; trustworthiness.
Adaptability: Flexibility in adapting to changing situations or overcoming obstacles.
Achievement: The drive to improve performance to meet inner standards of excellence.
Initiative: Readiness to act and seize opportunities.
Optimism: Seeing the upside in events

Emotional Intelligence

2. SOCIAL COMPETENCES: These capabilities determine how we manage relationships

SOCIAL AWARENESS

Empathy: Sensing others' emotions, understanding their perspective, and taking active interest in their concerns.
Organizational awareness: Reading the currents, decision networks, and politics at the organization level.
Service: Recognizing and meeting follower, client, or customer needs.

RELATIONSHIP MANAGEMENT

Inspirational leadership: Guiding and motivating with a compelling vision.
Influence: Wielding a range of tactics for persuasion.
Developing others: Bolstering others' abilities through feedback and guidance.
Change catalyst: Initiating, managing, and leading in a new direction.
Conflict management: Resolving disagreement.
Building bonds: Cultivating and maintaining a web of relationships.
Teamwork and collaboration: Cooperation and team building

100

Figure 2

Self-management

'From self-awareness – understanding one's emotions and being clear about one's purpose – flows self-management' (Goleman, 2003, p.56). Goleman states that is when we do not know what we are feeling, that is, being savvy about our own emotional feelings and thoughts, then we are not in a position to be reflective about and control these thoughts and feelings. Goleman's concern is that if we allow a negative emotional surge, which is the brains way of making us pay attention, to take over in times of threat, stress or danger, the thinking brain's capacity to focus on the task at hand is swamped. Goleman cites the work carried out using brain scanning technology to observe the brain in a state of anxiety which shows high activity in the amygdala and the right side of the prefrontal area in particular. Goleman calls this an 'amygdala hijack' (2003, p.56). Goleman (2003, p.57) again cites the research work of Davidson (2000) and colleagues who have produced 'some' evidence pointing to the connections from the prefrontal cortex having inhibitory effects on neurons in the amygdala, when he states, 'the left side of the prefrontal area, researchers believe, is part of a key circuit that inhibits neurons in the amygdala, and keeps a person from being captured by distress'. Goleman (2003, p.57) concludes that 'self-management, then – which resembles an ongoing inner conversation – is the component of emotional intelligence that frees us from being prisoners of our feelings'.

Social-awareness

Goleman also calls this empathy. Goleman (2003, p.60) states that, the ability to empathise, in its most basic form, stems from neurons in extended circuitry connected to, and in, the amygdala that read another person's face and voice for emotion and continually attune us to how someone else feels as we speak with them'. Goleman draws our attention to the work of the scientists Lewis et al (2000) who term this attunement as *limbic resonance* or 'a symphony of mutual exchange and internal adaptation' (Goleman 2003, p.60). Goleman (2006, p.60) also states that, 'this zone of the brain also holds the key to motivation; as these positive visions spread, a group catches fire around that common group'. Goleman (2003, p.61) gives the example of Martin Luther King's seminal 'I have a dream' speech. Goleman (2003, p.63) also believes being socially aware is a critical skill in the growing global economy where 'getting along with diverse work-mates and doing business with people from other cultures' is crucial.

Relationship-management

'The triad of self-awareness, self-management, and empathy all come together in the final EI ability: relationship management' (Goleman, 2003, p.64). According to Goleman (2003, p.64) 'managing relationships skilfully boils down to handling other people's emotions'. Goleman urges this must be sincere for if one acts disingenuously or manipulatively, for instance, the emotional radar of followers will sense a note of falseness and they will instinctively distrust that person. Goleman

(2003, p.64) concludes, 'the art of handling relationships well, then, begins with authenticity: acting from one's genuine feelings'.

Goleman's mixed model of emotional intelligence, significantly differs from the Mayer and Salovey abilities model of emotional intelligence, in that Goleman believes that emotional competences are not innate abilities but learned competences. He concludes that as they are learned, there is much scope for them to be developed. It is this which leads him to hypothesise that emotional intelligence is primal to effective leadership and that effective leadership can therefore be learnt and developed. In determining this Goleman set about developing self-reporting tools for EI measurement as a starting point for the development of EI training programmes.

Goleman and his colleague, Richard Boyatzis, designed a measure closely parallel to the Goleman framework. They drew upon research into hundreds of competency models from private and public sector organisations employing several million workers to develop their Emotional Competence Inventory (ECI) measurement tool. Their ECI has a nearly one-to-one relationship with Goleman's original emotional intelligence framework. The original ECI, developed by Goleman (1995, 1998) contained five domains made up of clusters of behavioural groups of the desired competencies which was later simplified to four domains. The current ECI model (Boyatzis, Goleman and Rhee, 2000), includes 20 separate competences. The clusters were consolidated in the light of the results of the pilot test of the first

version of the ECI and discussions with research staff of Hay/McBer that drew on the Hay/McBer database of competency assessment information from hundreds of companies.

The ECI consists of four dimensions or clusters: Self-Awareness, Social Awareness, Self-Management, and Social Skills which are closely akin to Goleman's four competences framework of emotional intelligence. The ECI is a 360-degree assessment that gathers self, subordinate, peer, and supervisory ratings on twenty social and emotional competences. Survey respondents use a 6-point scale to describe themselves or another person on each competence. Each step on the scale is progressively labelled, starting from - *the behaviour is only slightly characteristic of the individual* - through to – *the behaviour is very characteristic of the individual.* The first version was pilot tested in 1998 with 596 people. The sample included managers and salespeople from several different industrial corporations and graduate students on masters degree programmes in management, engineering and social work. After analysis for reliability and intercorrelation of the items a revised version was published in 1998. Following discussion with the research team at Hay/McBer the current version, ECI-2, has 72 items and 18 competency scales. For scoring purposes, *tipping points,* are identified which, determined by prior studies, is the score at which the individual is expected to be tipped over into superior performance in terms of competency.

The ECI tool was developed in response to the mixed model of emotional intelligence as it is designed to assess emotional competencies and positive social behaviour (Boyatzis, Goleman & Rhee, 2000; Sala, 2002). Boyatzis and Sala (2004, p.149) define an emotional intelligence competence as 'an ability to recognize, understand, and use emotional information about oneself or others that leads to or causes effective or superior performance'. Spencer (2001, p.47) sets out to demonstrate that using the ECI tool to predict superior performance which adds economic value to a company or business, is one way of enhancing the professional longevity, credibility, and satisfaction of ECI researches and practitioners. He concludes companies are more likely to adopt ECI programs if one can show that they will through improved performance add economic value to the organisation. Concluding that 'economic value-added data can provide powerful measures of HR programs' quality' (Spencer 2001, p.47). He backs this up citing 'fifteen years of published meta-analytic data show that ECI-based staffing, training, and performance management interventions can add economic value, although the effect size shifts produced by ECI input, rather than knowledge content input, have not been conclusively established' (Spencer 2001, p.80-81). Further to this he urges ECI researchers and practitioners to report the value and change in economic value added (EVA). He finishes with a serious word of warning, 'the alternative is that ECI methods and variables will continue to be viewed as a "junk science" fad by many who could benefit from them' (Spencer 2001, p.81). He concludes that, 'acceptance of emotional intelligence competency

(ECI) concepts and programs by academic, professionals, and organizations will ultimately depend on their demonstrated validity and utility (Spencer, 2001, p.45).

Since the early 1980s one of the pioneers in the measurement of emotional and social intelligence, reports Gowing (2001, p.107), is Reuven Bar-On. Bar-On (2000) defines emotional and social intelligence as 'a multi-factorial array of interrelated emotional, personal and social abilities that influence our overall ability to actively and effectively cope'. Bar-On adds that this non-cognitive intelligence is an important factor in determining one's ability to succeed in life, to cope with daily situations, and to get along in the world. This, Bar-On (1997a, 1997b) contests, has a direct influence on individual emotional health and well-being or ones psychological condition. Based on this definition, Bar-On coined the term *emotional quotient* (EQ) for his measure, as a parallel to the term *intelligence quotient* (IQ) used with cognitive measures.

Over the last two decades or so, Bar-On has developed and refined a theoretical framework for emotional and social intelligence. He has based his work, as a clinical psychologist, on the notion that some individuals are more able to succeed in life than others. This is based on personality characteristics rather than cognitive intelligence alone. To this end Bar-On initially identified five broad dimensions: *intrapersonal skills; interpersonal skills; adaptability; stress management; general mood.* He further subdivided these into 15 subscales or factors of EI. More recently (2000) Bar-On has refined his model which he knows terms 'a model of emotional

and social intelligence' (figure 3, p.109). His current model consists of ten major constituent components which are: *self-reward; emotional self awareness; assertiveness; empathy; interpersonal relationship; stress tolerance; impulse control; reality testing; flexibility; problem solving* and five key facilitators which are: *self-actualization; independence; social responsibility; optimism; happiness*. Based on this, Bar-On developed the Emotional Quotient Inventory (EQ-i), which is a self-reporting, personality-based EI measure that has 133 items and takes approximately 30 minutes to complete. The measure yields an overall EQ score and scores for the five composite scales: Interpersonal, Intrapersonal, Adaptability, General Mood and Self Management.

Gowing (2001, p.107), in her comparative work on measures of emotional intelligence, draws attention to the overlap and similarities between Goleman's emotional competence framework and Bar-On's EQ-i scales. However, unlike the Goleman and Boyatzie's ECI, which draws on 360-degree data, Bar-On's Emotional Quotient Inventory (EQ-i) is a self-report measure of emotional and social competent behaviour which provides an estimate of one's emotional and social intelligence but as such can still be regarded as a mixed model. Supporters of Bar-On's work, Gowing for example (2001, p.117), draw encouragement from the large scale data base of over fifty thousand subjects he has amassed. However, others, Conte & Dean (2006, p.63) for example, report questions have been raised about whether the dimensional structure of the EQ-I has been adequately supported by empirical analyses. They conclude that, 'few peer-

reviewed studies have examined whether the EQ-I provides incremental predictive validity above the contributions of established predictors such as the Big Five Personality Dimensions (McCrae and Costa 1990) and General Mental Ability' (Conte & Dean, 2006). This concern is also levelled at other self-report emotional intelligence measures including the Wong, Law & Wong Emotional Intelligence Scale, WLSEI (Wong, Law, & Wong, 2004). Interestingly Wong et al concluded their study by noting that because EI is traditionally defined as an ability facet, ability-based tests of EI might be better employed than self-report measures. Schutte et al's (2005) Emotional Intelligence Scale (EIS) similarly raised concerns about self-reporting in that they were susceptible to faking good, and their validity must be brought into question if used for selection and should only be used with individuals who were looking to improve performance and who want a valid assessment. Further to this EIS has been carried out by Austin et al (2004). Theirs is an easy to administer self-report EI measure but again questions were asked about its discriminant validity from the Big Five personality dimensions and the incremental validity above existing individual difference measures. For example Matthews, Zeidner and Roberts (2002, p.225) pose the question, 'How can one distinguish the effects of emotional intelligence from that of personality?' They conclude that 'one way is to design an EI test that has little overlap with personality' (Matthews et al, 2002, p.225). However, they contest that this has not yet happened and indeed state that 'existing accounts of EI tend to be bloated with superfluous concepts' (Matthews et al, 2002, p.225) and that the 'role of questionnaire-based assessment may be

BAR-ON'S 2000 REVISED MODEL OF EMOTIONAL AND SOCIAL INTELLIGENCE

TEN MAJOR CONSTITUENT COMPONENTS

1. Self-regard: being aware of, understanding and accepting oneself.

2. Emotional self-awareness: bring aware of and understanding one's emotions.

3. Assertiveness: expressing one's emotions, ideas, needs, and desires.

4. Empathy: being aware of and understanding others' emotions.

5. Interpersonal relationship: forming and maintaining intimate relationships

6. Stress tolerance: actively and positively coping with stress.

7. Impulse control: resisting or delaying an impulse or drive, and controlling one's emotions.

8. Reality testing: validating ones thinking and feelings.

9. Flexibility: adjusting one's feelings, thoughts, and behaviour to changing conditions.

10. Problem solving: solving personal and social problems constructively.

Emotional & Social Intelligence

1. Self-actualization: Realizing one's potential capacities.

2. Independence: being self-directed, self-controlled and free of emotional dependency.

3. Social responsibility: demonstrating oneself as a constructive member of one's social group.

4. Optimism: maintaining positive attitudes.

5. Happiness: feeling satisfied with one's life.

FIVE KEY FACILITATORS

Figure 3

more to fill in some of the bricks missing from existing personality structures, rather than to construct a whole new edifice' (Matthews et al, 2002, p.230). Gowing (2004), in her comparative appraisal of the differing EI measures covering both ability and mixed model conceptualisation of emotional intelligence, does however end on a more positive note stating that:

It is important to understand that many of the measures presented are fairly new in design and application. The results to date are most encouraging, and these researchers will surely continue to play a major part in furthering our understanding of the role of emotional intelligence in the workplace and in our lives.

(Gowing, 2004, p.131)

Having studied the two distinct emotional intelligence cultures and their associated methods of measurement, I will finally draw a comparison between the two and determine if one rather than the other best suits the purpose of this intended study.

2.5.3: Emotional Intelligence: A comparative review of the two cultures and associated measures in relation to the purpose of this study

Having investigated what the literature says about the two cultures, one grounded in personality theory and based on the science driven definition of emotional

intelligence as an inherent given and the other grounded in the theory of performance in the workplace based on the practice driven definition of emotional intelligence as a set of learnt competences, I do not find myself, at this stage, drawn to one in preference to the other. I can see some value in terms of this research in both.

I can see some merits in the science driven abilities model of emotional intelligence as it is led notably by the very well respected Peter Salovey and John Mayer and has undergone significant peer review since its conception as a construct in the late 1980s. I also like the idea that it is measured using a psychometric test which some would argue is more robust than the self reporting measures used by the practice driven culture of emotional intelligence which by their very nature can be open to 'self' manipulation. However, I do find some appeal in the 360 degree version which does not rely purely on self reporting but takes account of the views of colleagues including peers, subordinates etc. Much research using this methodology has been undertaken by James Kouzes and Barry Posner using their highly acclaimed 360 degree assessment tool, Leadership Practices Inventory (LIP). I can see a link between both emotional intelligence as an inherent given which can be measured using traditional psychometric methods and emotional competences or personal and social skills which can be learnt which are measured using self report methodologies and the outcomes can be used, according to the practice driven culture, to heighten and improved performance in the work place. Therefore would the solution for my research be to devise a model which draws on

both cultures? Would this better suit my needs? That is could the science driven measure be used to identify one's inherent emotional intelligence which is then validated by using a practice driven self reporting methodology? Conte and Dean (2006, p.68 – 69) however, sound a word of caution to those who are considering combining the two as a research tool. They outline a number of studies that have set out to examine the overlap between competence-based and ability-based emotional intelligence measures. Mayer et al (2000) reported that the MSCEIT and the EQ-i correlated .36, whereas Bracket and Mayer (2003) found that the MSCEIT and the EQ-I correlated .21. Conte and Dean (2006, p.69) conclude that the 'weak relationship between different EI measures raises serious questions whether they are all actually measuring the same construct. Barchard and Kakstian (2004) add weight to this argument when they determine that self-report EI measures may be better understood as measures of self-perceptions of emotional abilities rather than as measures of EI abilities themselves. However I believe there can be an element of consensus as there is common ground between the two definitions. Both acknowledge emotional intelligence as a construct but where they differ is that one advocates emotional intelligence as a set inherent given whilst the other advocates that emotional intelligence is a set of competences which can be learnt and therefore developed through out life if one works on one's emotional competences. However, one could argue that the former determines the latter. Therefore the two cultures are interlinked and therefore there is a place for both. Is it the difference between a good leader who uses their inherent cognitive intelligence to recognise they need to develop emotional competences to be a more effective leader in the

work place and an outstanding leader who has natural emotional intelligence and uses this to recognise their natural leadership talent and heighten this through further developing emotional competences? Perhaps an outstanding leader works at the meta emotion level. Could it be that good leaders have well developed emotional intelligence competences but it is their inherent emotional intelligence combined with the heightened development of emotional intelligence competences which makes for outstanding leadership? If we accept that EI is an inherent given, perhaps those who are born with high levels of emotional intelligence have a head start on those who are not and it is these individuals who make outstanding leaders? In order to pursue this notion further I now turn to what the literature says about the relationship between emotional intelligence and effective leadership and what resonance it has with the intentions of my research.

2.6: Leadership: A timely reminder of why I am interested in the emotional dimension of leadership

As I have articulated earlier in this thesis, in 2000 I began a research study into change management for a Masters Degree dissertation: *Change has happened at Ulverston Victoria High School: How has that change been managed and what lessons have been learnt?* (Allen, 2004). It is timely, in exploring the notion of effective leadership, I return to it now. The purpose of my research was to investigate the current theoretical thinking about managing change and to link theory to my own practice as a senior leader. This was done in relation to one specific area of change at the school which was the introduction of a

Complementary Curriculum at key stage four. This involved a small but significant number of disaffected students specifically targeted each academic year using a number of clearly defined inclusion criteria. My aim was to analyse my own management of the reform initiative and to use lessons learnt to effectively lead change in the future. I hypothesised that I was an effective manager of change because I understood the fundamental importance of collaboration and why collaborative cultures work. 'The way ahead in managing the change process was rooted in collegiality: shared values, shared meaning, shared understanding and shared vision; power with, not power over' (Allen, 2004, p.12). Fullan (1999, p.1) believes that 'in a postmodern society, more than ever before, a strong commitment to the role of moral purpose in education reform is crucial'. 'At the micro level, moral purpose in education means making a difference to the life-chances of all students' and 'at the macro level moral purpose is education's contribution to social development and democracy' (1999, p.1). Fullan also illuminates through his change management research that effective managers of change are grounded in their own moral purpose which is perceived by others as being authentic which in turn leads them to develop mutual empathy and relationships across diverse groups. The research I carried out involved gathering data about my effectiveness as a manger of change. I used face-to-face interview methodology to gather ethnographic data from key stakeholders including students and their parents, teachers, middle leaders and senior leaders. Having carried out the research I concluded that 'people react to, and cope, with change in a variety of different ways, from complete rejection to acceptance which is determined by the

nature of change, the nature of the organisation and the nature of the people in the organisation, all of which are unique' (Allen, 2004, p.87). Fullan's (1999, p.77) change lessons teach us to embrace this uniqueness because 'time and time again differences contain the seeds of creativity, but the route to reconciliation is complex and anxiety prone'. He suggests the best we can do is strive for a 'holding environment' (Fullan, 1999, p.77). That is, if we provide a supportive emotional environment for an organisation, its members are able to hold higher levels of anxiety and therefore may be more creative and embrace reform and change. I concluded that 'I believe I have been an effective manager of change, and the research data substantiates this, because I have created a 'holding environment' for the participants in the change innovation' (Allen, 2004, p.88). I 'celebrated diversity and conflict' (Fullan 1999, p.22-23) and in doing so achieved 'connectedness and coherence' (Fullan 1999, p.27-28) through 'knowledge creation' (Fullan, 1999, p.27-28) in a collaborative and supportive emotional environment. For me this wasn't the end of my journey but the beginning. I had realised an absolute conviction in my own moral purpose that 'the spiritual dimension of education reform involves elevating the debate and commitment to making a difference in the lives of all students' (Fullan, 1999, p.81). Fullan led me to the work of Daniel Goleman when he poses the question: 'Why did Goleman's 1995 book on Emotional Intelligence become an instant million-dollar seller?' (Fullan, 1999, p.81). He determines this is because 'people have a deepening interior need to find and give meaning to life' and that 'there are few professions other than teaching where gaining personal meaning through improving the lives of

others years and even generations to come is so palpable and profound' (Fullan, 1999, p.82). It was this which awakened in me the need to explore further this newly emerging notion of emotional intelligence and the compelling relationship it has with transformational leadership and led me to read firstly Daniel Goleman's: Emotional Intelligence: Why it can matter more than IQ initially (1995), followed by The New leaders: Transforming the Art of Leadership into the Science of Results (2002) which got me started on the study of the relationship between emotional intelligence and effective school leadership. What follows is an extensive exploration of leadership, through the literature, and the place of emotional intelligence.

2.6.1: Leadership: The place of Emotional Intelligence

What is leadership? Davies (2005, p.2) answers this question succinctly and eloquently when he states that, 'there is an Anglo-Saxon noun 'lād' with a long 'a', which means a course, way or journey and a verb 'lædan' which is to lead or mark'. Davies (2005, p.2) concludes, 'so the etymology of leadership may be constructed as one who shows others the way on a journey'.

'People have been arguing about and writing about leaders and leadership for at least 2,000 years' (Boyett & Boyett, 1998, p.1). Boyett and Boyett illustrate this point by quoting from the bible. Matt. 15:14 warns that 'if the blind lead the blind, both shall fall into the ditch' (Boyett & Boyett, 1998, p.1). They go on to explore in detail the *'characteristics, attributes, mega-skills, and ingredients of leadership'*

(Boyette & Boyette, 1998, p.1). They explore the commonality and differences of the leadership characteristics put forward by different exponents describing what makes effective leaders: Warren Bennis's *Basic Ingredients of Leadership* include: *guiding vision, passion, integrity, trust, curiosity, daring* which are echoed and added to by others, for example Max DePree's *Attributes of Leadership* include: *integrity, vulnerability, discernment, awareness of the human spirit, courage in relationships, sense of humour, intellectual energy and curiosity, comfort with ambiguity.* However, Boyett & Boyett (1998) conclude what is common to all leaders is 'willing followers' (1998, p.12) and that 'having willing followers is the only thing which clearly differentiates leaders from non-leaders. Kouzes and Posner (2002) would agree with Boyett et al but they take the argument further in that they believe that 'leadership is a reciprocal process between those who aspire to lead and those who choose to follow' (Kouzes and Posner, 2002, p.23). They explore this notion from data gathered over three decades between 1987 and 2005 by asking thousands of business and government executives one simple open ended question: 'What values (personal traits or characteristics) do you look for and admire in your leader?' (Kouzes and Posner, 2002, p.24). They conclude (figure 4, p.120) that in almost every survey they have conducted, honesty has been selected more often than any other leadership characteristics; overall it emerges as the single most important ingredient in the leader-constituent relationship. Kouzes and Posner (2002, p.27) conclude, 'it's clear that if people anywhere are to willingly follow someone – whether it be into battle or into the boardroom, the front office or the front lines – they first want to assure themselves

that the person is worthy of their trust' and that 'they want to know that the person is truthful, ethical, and principled'. Interestingly honesty, Kouzes and Posner (2002, p.28) contest, is by far the most significant 'personal' characteristic. This is echoed time and again in the vast literature surrounding leadership. John West-Burnham (1997), when exploring school leadership for the 21st Century reflects on Block's (1993, p.260) assertion that 'we search, so often in vain, to find leaders we have faith in; our doubts are not about our leaders talents, but about their trustworthiness'. Gardner (1999, p.126) defines such leaders as 'story tellers'. They do not bring about change in a tyrannical and coercive manner in which 'the leadership is only as effective as the force that grasps the trigger, and once the coercion has been removed, the leader's effectiveness wanes' (Gardner, 1999, p.126). Rather those leaders who succeed in making changes without coercion. These leaders he argues 'achieve effects primarily by telling stories and by embodying those stories in their own lives' (Gardner, 1999, p.126). They frame events and possibilities so that followers can think differently about the world and their place in it. They display strong interpersonal skills by understanding the fears and aspirations of others, and are keenly aware of their own strengths and weaknesses. Goleman (1995), of course, would call these emotional intelligence competences. Current thinkers acknowledge that the job of leading educational transformation in schools is becoming more and more challenging and therefore, some would contest (Fullan, 1993, 1999, 2003; Hargreaves & Fullan, 1998; Kouzes & Posner 2003; Davies, 2005; Goleman, Boyatziz & McKee, 2002) less and less appealing because of this. In their writings on leading transformational

change, James and Connolly (2000, p. 146) agree that 'responses to change may be influenced by very powerful non-rational emotional forces' and 'any set of leadership principles must be founded on an understanding that the emotional dimension of leadership is crucial'. Michael Fullan is particularly interested in the notion of sustaining leaders through the emotional dimension of leadership now and in the future which he explored over a decade in his change management trilogy (Fullan, 1993, 1999 & 2003). In discussing leadership and leadership sustainability in the new millennium Fullan states:

What "standards" were to the 1990s, "leadership" is to the 2000s. Standards have only minor leverage over systems change. System transformation is different. It can't be accomplished without making leadership at all levels of the system pivotal. This is going to be difficult as we are losing scores of talented people as demographic change and early retirements increase. This, of course, also provides an opportunity for new leaders, but the volume is such that we will need to devote massive attention to the leadership "problem".
(Fullan, M. 2003, p.91)

Day et al (2000, p.176) writing at the turn of the 20th Century also ponder the problem of the sustainability of school leaders. They state that 'effective leaders have been shown to be reflective, caring and highly principled people who emphasise the human dimension of the management enterprise' who 'place a high premium upon personal values and are more concerned with

Characteristics of Admired Leaders

_____

Percentage of Respondents Selecting That Characteristic

_____

Characteristic	2002	1995	1887
Honest	88	88	83
Forward looking	71	75	62
Competent	66	63	67
Inspiring	65	68	58
Intelligent	47	40	43
Fair-minded	42	49	40
Broad-minded	40	40	37
Supportive	35	41	32
Straightforward	34	33	34
Dependable	33	32	33
Cooperative	28	28	25
Determined	24	17	17
Imaginative	23	28	34
Ambitious	21	13	21
Courageous	20	29	27
Caring	20	23	26
Mature	17	13	23
Loyal	14	11	11
Self-controlled	8	5	13
Independent	6	5	10

Note: These percentages represent respondents from six different continents: Africa, North America, South America, Asia, Europe, and Australia. The majority are from the United States. Since we asked people to select seven characteristic, the total adds up to 700 percent.

Source: The Leadership Challenge by James M. Kouzes and Barry Z. Posner. 2002

Figure 4

cultural rather than structural change'. They conclude that effective leaders 'have moved beyond a narrow rational, managerial view of their role to a more holistic, value-led approach guided by personal experience and professional preferences' (Day et al, 2000, p.176). They express grave concern about the lack of synergy between developing and sustaining effective leadership competencies for the 21st Century and the current training programmes which are still rooted in the 'managerial model' rather than the 'centrality of personal values, self-awareness and interpersonal skill proficiency within effective leadership practice' (Day et al, 2000, p.176). The prognosis, at this time, they believe is poor. They call for the development of training programmes which focus on:

- *analysis of personal and professional values;*

- *critical reflective thinking;*

- *promotion of people centred continuing professional development;*

- *emphasis on intra and well as inter personal skill development;*

- *recognition of the importance of successful learning and achievement of attending to the emotional as well as cognitive mind;*

- *problem solving and the management of competing forces.*

(Day, C., Harris, A., Haddfield, M., Tolley, H., and Beresford, J., 2000, p. 176)

It is apparent that their call and the call of others working in the field of school leadership is being taken up. Beatty (2005, p.126) five years later, for

example, when writing about emotional leadership asks the reader to question 'the lexicon of professionalism that omits the substance of self'. She continues 'by addressing and validating the relevance and power of the seamless blend of thinking and feeling that is the human mind we may increase our chances of breaking through the new, more authentically collaborative ways of being and leading in school and the wider world' (Beatty, 2005, p.124-125). She warns against those 'who allow their authentic selves to become hidden and inaccessible in the process are likely to become the biggest problems in their organisation' as 'they represent the greater danger that denies openness to multiple perspectives and cripples possibilities for a mutually respectful and relationally connective community of learners of all ages' (Beatty, 2005, p.125). Owen et al (2004) when considering the different behaviour leaders display writes at length about the notion of transformational leaders. 'The essence of transformational leadership is that it completely changes the relationship between leaders and followers' (Owen et al, 2004, p.313). That is transformational leaders identify their own values and those of people in the organisation to guide their actions, thus developing a shared, conscious way of behaving and acting. Power is distributed because transformational leaders do not see it as being limited but extendable. Owen et al (2004) illustrate through their research the natural linkage between transformational leadership and distinct aspects of emotional management and who agree that leadership effectiveness has an intuitively compelling relationship with emotional intelligence. Owen and her

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colleagues (2004, p.97- 109) acknowledge this when they suggest that 'EI provides the "follow your heart" side of leadership and works in conjunction with cognitive abilities, technical expertise and strategic thinking' (2004, p.97).

In 2003 Fullan illustrates a healthier outlook for leadership and leadership sustainability than the one expounded only three years earlier by Day et al (2000) when he writes 'fortunately, there is significant conceptual and empirical work underway as people converge on the question of figuring out leadership under dynamically complex conditions' (Fullan, 2003, p.91). Specifically he focuses on the work of Daniel Goleman when he considers leading in a culture of change. Goleman and his colleagues (2002) talk about the importance of *"resonant leaders"* who, because of their emotional intelligence, develop "in sync" relationships with and among those in the organisation: 'they form an emotional bond that helps them stay focused even amid profound change and uncertainty' (Goleman, 2002, p.21). Like Fullan, I am also compelled by Goleman's work into Primal Leadership which has had significant resonance for me as a school leader and therefore believe it is worthy of a more detailed exploration at this stage of my investigation into what the literature has to say about the construct in relation to effective school leadership.

2.6.2: Leadership: Realising the power of emotional intelligence

Great leaders move us. They ignite our passion and inspire the best in us. When we try to explain why they are so effective, we speak of

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strategy, vision or powerful ideas. But the reality is much more primal: Great leadership works through the emotions. No matter what leaders set out to do – whether it's creating strategy or mobilizing teams to action – their success depends on how they do it. Even if they get everything else right, if leaders fail in this primal task of driving emotions in the right direction, nothing they do will work as well as it could or should.

(D. Goleman et al, 2002, p.3)

Whilst Goleman et al (2002) acknowledge that cognitive intellect plays a significant role in effective leadership and that they see 'intellect and clear thinking largely as the characteristics that get someone in the leadership door' and indeed, 'without those fundamental abilities, no entry is allowed' (Goleman et al, 2002, p.33). However, they concur that 'intellect alone will not make a leader; leaders execute a vision by motivating, guiding, inspiring, listening, persuading and most crucially, through creating resonance' (Goleman et al, 2002, p.33-34). It is this notion of leaders creating 'resonance' so that others will choose to follow which intrigued me when first reading Goleman's work on 'primal leadership'. As a senior school leader myself it has led me to question this notion of 'primal leadership'. Is it the 'x' factor which makes a leader significantly more effective in their leadership role? Is it that extra ingredient which creates exceptional leaders? Goleman, when

hypothesising that intellect alone is not enough in leadership quotes Einstein, who cautioned:

We should take care not to make the intellect our God. It has, of course, powerful muscles, but no personality. It cannot lead, it can only serve'

(D. Goleman et al, 2002, p.34)

Goleman advocates that if a person is not in tune with his or her own feelings then they will be oblivious to the feelings of others. Leaders who lack emotional self awareness are less empathic to the emotions of others. Goleman believes that 'by being attuned to how others feel in the moment, a leader can say and do what is appropriate, whether that means calming fears, assuaging anger, or joining in good spirits' (Goleman et al, 2002, p.38). Being in tune with other's emotions therefore lets a leader sense the shared values and priorities of the group as opposed to a leader who lacks empathy and is self-absorbed and therefore is out of tune with the group and can unwittingly act in ways that sets off negative reactions. Therefore, emotionally intelligent leaders build resonance by tuning into people's feelings, their own and those of others, and guide them in the right direction. Goleman, cites new findings in brain research, which illustrate how this happens. The neural systems responsible for intellect and for emotions are separate, but they have intimately interwoven connections. According to Goleman et al (2002, p.34), 'the brain circuitry which interweaves thought and feelings provides the neural basis of

primal leadership'. Goleman et al state, 'resonance, in terms of brain function, means that people's emotional centres are in synch in a positive way' (Goleman et al, 2002, p.40). Goleman and his advocates believe that the four Emotional Intelligence domains, that is: *Self-Awareness, Self- Management, Social Awareness* and *Relationship Management* are the basic ingredients of effective *primal leadership of resonance.* Goleman's subsequent mixed model of emotional intelligence which combines both emotional intelligence abilities and emotional intelligence competences flows from this assertion, and whilst it is in conflict with Salovey and Mayer's pure abilities emotional intelligence model for me, as a serving senior secondary leader, it has greater resonance. It has greater resonance because of its message of hope and whilst I acknowledge it is not accepted necessarily in terms of scientific validity it is accepted in terms of good practice in the work place and therefore it sits well with the aim of my research which has its roots in developing and sustaining effective school leaders through a heightened and enhanced understanding of the relationship between emotional intelligence and effective leadership in schools. It is with this in mind that I now consider the role of emotional intelligence in relation to the work place in more depth.

2.6.3: Leadership: Emotional intelligence in the workplace

Ryback (1998) when writing about the characteristics of the perceived 'ideal' leader in the twentieth-century workplace determines this is 'somebody who tends to have strong but hard personal qualities, somebody who is arrogant but inspiring'. This

has shifted in the twenty-first century workplace to being someone 'who can demonstrate a greater empathy and concern for people issues and those who do not rely on position or rank for their status' (Ryback, 1998, p.1).

Ryback (1998) accepts that emotional intelligence has begun to make its mark on the workplace but believes that 'successful leaders have always been attuned to human interaction and their decisions were imbued with emotional sensitivity but that it was hardly discussed openly; rather it was like an underground secret' (Ryback, 1998, p.1). He concludes, 'finally, the underlying essence of successful leadership is being revealed for all to consider' (1998, p.1). This notion expressed by Ryback sits well with the extensive work Stephen Fineman carried out in exploring the role of emotion and emotions in management learning through a number of articles and publications beginning in the early 1990s. In his first edition of *Emotion in Organisation* (1993) Fineman characterises organisations as *emotional arenas.* He suggests that as emotional arenas organisations can both bond and divide their members. Concluding that:

> *Workaday frustrations and passions are deeply woven into the way roles are enacted and learned, power is exercised, trust is held, commitments formed and decisions made. Emotions are not simply excisable from these, and many other organisational processes; they both characterise and inform them.*
> *(Fineman, 1993, p.1)*

Clearly, for Fineman, emotion is inextricably linked to management learning. He explores this further in his articles, *Emotion and Management Learning*, written in the journal *Management and Learning* (1997). In this article he argues that what and how learning takes place for managers is inextricably emotional, or of emotions. He suggests that the traditional cognitive approach to management learning has obscured the presence and role of emotion. In the article the conceptual positioning of emotion is reviewed, illustrated through `competencies' and `business ethics'. He determines that we need more explicit frameworks, derived from the wider organisational literature on emotion, to place emotion as both a product and process of learning and that special attention is required to the growth of corporate emotion engineering.

Ergo to this, Bar-On and Parker (2000, p.432) when pondering the question 'Why focus on emotional intelligence in the workplace?' give four primary reasons. Firstly they assert that such emotional and social competences as 'self-confidence, flexibility, persistence, empathy, and the ability to get along with others' (Bar-On 2000, p.434) are critical to effective job performance and cite a significant number of studies which link superior performance to emotional and social competences (Boyazis, 1982; Lusch & Serpkeuci, 1990; McCelland, 1999; Rosier, 1994-1996; Spencer & Spencer, 1993). Goleman would support this when he contests that 'almost 90 percent of the competences necessary for success are social and emotional in nature'. Secondly Bar-On believes the development of emotional intelligence competences is essential in the work place as so many join

the work place without them. Thirdly, it makes sense to provide training in such competences because employers have the means and the desire to do so. Finally, they conclude that if nothing else developing such emotional and social competences is important to individual health and well-being which impacts on corporate health and well-being as individuals spend more time at work than any other place. Cherniss and Goleman (2001, p.160) also follow this theme in *The Emotionally Intelligent Workplace.* They assert that potentially the quickest way to increase emotional intelligence competencies in members of an organisation is to select, when recruiting, individuals who already demonstrate those competences and behaviours. However, they add the caveat that this has to be a critical mass of at least 20 percent of the workforce for it to have an impact. They concede though, that typical human resource selection processes tend to focus on what appears on the applicant's resume: education, skills and experience. They therefore acknowledge the best way is for organisations to develop and maintain emotional intelligence in their present employer population but that 'the commitment to developing emotional intelligence must be made at the top' (Cherniss and Goleman, 2001, p.173). Fineman (2006, p.4) argues that this raises challenging technical and moral questions for 'learning' theorists and practitioners. To this end Fineman asks the question: What degree of emotional engineering can we tolerate, even enjoy, and why? (Fineman, 2006, p.5) And further to this - what happens to the true self under regimes of emotional management? In answering these questions he determines that the very concept of self is misconceived and cites others who would agree – (Fairclough, 1992; Harre and Gillet, 1994; Eriksen,

1997) concluding that 'the distinction between the authentic and the inauthentic is not a matter of true versus contrived' (Fineman, 2006, p.6) but that 'our sense of self, in this view, is malleable and multifaceted, rather than arranged in a different hierarchical, layers of authenticity'. Goleman (2001) concurs that, 'developing emotional competence in organisations will be successful only if leadership values such competencies and communicates the importance of emotional intelligence to its members' (Goleman et al, 2001, p.177). Kouzes and Posner (2002) strongly support this when they assert that leaders have a key role to play here and that credibility is the foundation of effective leadership. They call for leaders to 'model the way, inspire a vision, challenge the process, enable others to act, and encourage the heart' (Kouzes and Posner, 2002, p.23). Kouzes and Posner began their research into *characteristics of admired leaders* in the mid 1980s and continue their research to current date. What they have found consistently is that the data clearly shows (figure 4, p.120) for people to follow someone willingly, the majority of constituents must believe the leader is:

- *Honest*

- *Competent*

- *Forward-looking*

- *Inspiring*

(Kouzez and Posner, 2001, p.24)

Through their acclaimed research Kouzes and Posner (2001, p.28) show that:

When they're performing at their peak, leaders are doing more than just getting results. They're also responding to the expectations of their constituents, underscoring the point that leadership is a relationship and that relationship is one of service to purpose and service to people.

(Kouzez and Posner, 2001, p.24)

Clearly those who support the practice driven emotional intelligence school of thought, and I do, are in tune with Goleman's resonant primal leadership theories as has been explored above. However, even those from the alternative science driven culture acknowledge, although in a more tempered way, the importance of emotional intelligence competences in the work place. Caruso and Salovey (2004) in their book: *The Emotionally Intelligent Manager* for example, whilst expressing concern about the enthusiastic response to Daniel Goleman's work which led, they believe, 'unfortunately, to many wild claims as to what emotional intelligence is and what it predicts' (Caruso and Salovey, 2004, p.xxi), believe there is a place for the development of emotional competence skills in the work place to enhance leadership. However, they warn that 'if you are looking for a cure for leadership woes, then you'll have to look elsewhere' (Caruso and Salovey, 2004,p.xxi). They also concur that:

Becoming an emotionally intelligent manager is not an easy task. The skills needed and the path to acquiring them that we've described for you are not suitable for everyone. Nor can the skills of emotional intelligence replace technical expertise, general analytical intelligence, specific competencies, or experience. However, be assured that the emotional skills we outline do provide you with a valuable set of tools that can help you in your everyday work life, whether as a team member, project manager or a CEO.

(Caruso and Salovey, 2004, p.xxi)

This is a clear acknowledgement from the science driven culture that whilst they are remaining true to their core principle which 'views emotional intelligence as a true intelligence' that is an inherent, set given; they are also accepting that emotional competence skills can be learnt and therefore developed. Caruso and Salovey (2004, p.195) also agree that 'rational thinking involves the emotions and that the two cannot easily be separated'. They pose the question then, 'Where does this idea get you?' and conclude, 'We say it can get you a long way towards becoming a leader rather than a manager' (Caruso and Salovey, 2004, p.195).

At this point I consider it worthwhile to return to the purpose of this study which is exploring the emotional dimension of effective leadership and look at how Ofsted (Office for Standards in Education) view this. The starting point for this is to look at

the criteria Ofsted use to define outstanding school leadership and consider is there a clearly defined role for emotional intelligence within it. I am doing this firstly because it is against this criteria that the success and effectiveness of Headteachers and Principals in secondary schools in England and Wales are judged through the accountability process of inspection. Secondly, I assert that if the theory of effective school leadership and specifically the emotional dimension of that effectiveness is to go beyond just that, theory, then it is the Ofsted inspection process which has a significant role in driving it forward in practice.

2.6.4: Leadership: Ofsted inspection

Ofsted, in its February 2009 publication: *Conducting the Inspection: Guidance for Inspectors*, outline five key points of inspection focus to determine the quality of leadership and management in a school:

1. The judgement about *self-evaluation* relates to the quality of the school's self-evaluation work including the accuracy and effectiveness of monitoring and evaluation processes across the whole school, including at governing body level. This judgement will often bear a close relationship to the judgement on capacity to improve. Yet schools may have secure self-evaluation but yet still not have this capacity.

2. The judgement on *challenging targets* should not be reached according to any set mathematical expectations. The judgement should be based on whether standards in national assessments and examinations have risen

over a three year period, on the performance of the most vulnerable and lowest-attaining groups, and whether the school's targets are likely to lead to further improvement by being both challenging and realistic. In specialist schools, consider the effectiveness of specialist school targets. In schools where standards are significantly low, consider whether learners are making sufficient progress in English and Mathematics, in particular, to close the attainment gap; this is unlikely to be the case if there is evidence of significant underachievement.

3. The judgement on *promoting equality and tackling discrimination* should have a focus on the social aspects of school life, such as the strategies for tackling any discriminatory behaviour between groups of learners, and the participation by learners in all the opportunities that the school provides. There is an expectation that schools should know about which groups of learners are benefiting, or not. For example, schools should know whether there are gender imbalances in its upper ability sets, or which groups of learners by ethnicity are participating in after-school sport. They should have strategies in place for addressing any weaknesses.

4. In coming to an overall view of the *quality of leadership and management* it is essential to take account of the effectiveness of the Headteacher, the SMT and other layers of management.

5. It is also essential to investigate in every inspection whether the *child protection* arrangements to safeguard children are secure and comply with statutory requirements.

Of the five key points number four is of the most interest in this study in that whilst all other points are outcomes of effective school leadership, point four is about the effectiveness of leadership itself. Ofsted clearly have a leadership and management agenda to work to but does it have a blueprint for successful leadership? A recent report (February 2009) compiled by Her Majesty's Chief Inspector (HMCI) Christine Gilbert - *Twelve Outstanding Secondary Schools – excelling against the odds.* Indicates there is a common theme to successful leadership. The reports showcases twelve schools in challenging circumstances who have been rated 'Outstanding' in at least two inspections and examines the elements that have created this success. What is common to these schools reports Gilbert (2004) is that 'they put students first, invest in their staff and nurture their communities; they have strong values and high expectations that are applied consistently and never relaxed; they operate with a very high degree of internal consistency; they have outstanding and well-distributed leadership'. So what is it about the leaders, and specifically the Headteacher in these schools which has lead to their success? Extracts from the report about the Headteachers help answer this question.

- *The Headteacher inherited a long-established staff when she arrived. Changing the school culture and the collective mind-set was a priority.*

- *The long-serving Headteacher showed great skill in foreseeing and pre-empting problems, investing in the people and resources needed to tackle issues.*

- *Not only does the school continue to improve but it takes other schools under its wing and turns them around. All of this is done in a matter-of-fact way which belies the underlying confidence, courage and commitment of its leadership. The school provides educational excellence, human warmth and moral authority.*

- *The Headteacher, in every sense, leads by example. His involvement, drive and vision are admired by staff who strive to emulate these attributes. He and the governors have built a team of staff that espouse the core values and high ambitions of the school.*

- *The Headteacher sets a clear tone for relationships. Staff see her as approachable and 'incredibly encouraging'. They also see her as very forward-looking and 'able to pick things up on the radar'. She also has a refreshing humility.*

- *"Unsurprisingly this sense of commitment begins with the Headteacher. When asked about his strengths staff frequently cite 'moral purpose', 'integrity' and 'trust'.*

- *The Headteacher is a strong and persuasive role model. She points out to her pupils that she is a local girl made good and what she did they can do too.*

- *He has a very strong presence in the school, routinely walking into classrooms to talk to teachers and question students. He knows the staff*

and students very well and interacts with them personally at every opportunity.

What can be deducted from these extracts, from the report, is that the Headteachers in the study whether they be male or female, well-established or newly appointed, home grown or from afar, demonstrated what Goleman (2002) would call 'primal leadership'. 'Throughout history and in cultures everywhere, the leader in any human group has been the one to whom others look for assurance and clarity when facing uncertainty or threat, or when there's a job to be done' (Goleman et al, 2002, p.4). Goleman et al contest in such challenging circumstances, as those for example outlined in Gilbert's 2009 report, the 'leader acts as the group's emotional guide' (Goleman et al, 2002, p.4). The role of 'primal' leader' according to Goleman and his colleagues is to sway everyone's emotions positively. They (Goleman et al, 2002, p.6) contest that 'if people's emotions are pushed toward the range of enthusiasm, (as is reported time and time again in the case studies of these twelve schools) performance can soar; if people are driven toward rancour and anxiety, they will be thrown off stride'. What is not clear however is if the Headteachers participating in the study had innate emotional intelligence abilities as favoured by the science driven school of thought, which they used to outstanding effect or if they had developed emotional intelligence competences, as favoured by the practice driven school of thought, which they had modified, honed and strengthened on their journey to outstanding. Goleman (Goleman et al, 2002, p.6) who is the founding father of the practice driven culture

of emotional intelligence strongly supports the latter believing that 'the key to making primal leadership work to everyone's advantage lies in the leadership *competences* of emotional intelligence: how leaders handle themselves and their relationships'. He concludes that 'leaders who maximize the benefits of primal leadership drive the emotions of those they lead in the right direction'. This is hugely resonant to me as a serving secondary school senior leader and is of particular significance to this research study.

2.7: Conclusion: Which model of Emotional Intelligence best suits the purpose of this research?

As I have clearly stated at the outset, my interest in carrying out this research is two fold. Firstly, as a senior leader in a large 11-18 secondary school, I am interested in the role emotional intelligence plays in the effectiveness of my own leadership practice and that of my fellow senior leadership team colleagues in the secondary school setting. Secondly, I am conscious of the wider challenges facing school leaders and particularly secondary schools and academies in England in the 21st Century at a time of crisis within leadership retention and recruitment. As a senior leader with responsibility for the school improvement agenda and the continuous professional development of others I am particularly interested in the wider role emotional intelligence could play in maintaining and sustaining leaders now and in the future. A model of emotional intelligence which predominantly focuses on competences which can be developed and enhanced therefore appeals and such a model would potentially best meet the needs of this research.

Goleman's practice driven, mixed abilities model of emotional intelligence therefore resonates. His model enables individuals to recognise and give meaning to those competences and in doing so shows how they can be develop and enhanced in oneself and in others. This clearly gives hope at a time of leadership uncertainty. Alternatively, Salovey and Mayer's science driven, abilities-based emotional intelligence model is more akin to the traditional concept of cognitive intelligence as an inherent given. Whilst this model acknowledges there is some scope for developing emotional intelligence competences to enhance one's set emotional intelligence abilities, it does not go far enough for me and is much less hopeful than Goleman's definition. As I am interested in the practice of effective leadership within the workplace, that workplace being specifically secondary schools and academies, it is Goleman's practice driven model of emotional intelligence and its associate measures which I am therefore most drawn to and will therefore align my research with. However, having made this decision I am still interested in the notion that there are individuals who are intuitively more emotionally intelligent than others and that it is these individuals who are most able to recognise and understand the importance of developing emotional intelligence competences and it may be this which transforms good leaders into outstanding leaders. I therefore remain open minded to this.

However, having accepted there are two distinct versions of emotional intelligence, that is the scientific driven model and practice driven model, and I do, for the purpose of my research I will focus on the practice driven model because I am

interested in the emotional intelligence competences which take leaders from good to great in the work place and specifically school leaders working in secondary schools and academies in England.

Having determined the theoretical framework for this study I now set about using this to develop a specific model for effective school leadership based on a set of emotional intelligence competences and grounded in the notion of 'primal leadership' (Goleman et al, 2002). Primal leaders work through the emotions, they have the capacity to be in tune with their own emotions and therefore can empathise with the emotions of others which allows the leader to sense and drive forward the shared values and priorities of the group. In doing this they create a resonance which others will follow by developing quality relationships with and amongst the schools members. They are able to orchestrate, in an authentic way, thought and feeling by tuning into the feelings of others which they use to guide the decision making process. That is bringing thought and feelings together that is having an intelligent heart. A leader who is able to do this can model the way, inspire a vision, challenge the process, enable others to act, and encourage the heart. Primal leaders understand how to use emotions for the good. They are sensitive to the chemistry of people and are able to build emotionally intelligent school communities in which individuals and groups can embrace change and reform in an emotionally secure and emotionally resilient environment in which stakeholders are not afraid to take risks and to be creative solution seekers and problem solvers. Crucially Goleman (2002) hypothesises, and I am sympathetic to

this, that such communities are self supporting and self fulfilling and are therefore able to achieve long-term success. This is the nub of my research and through it I am keen to add further credence to Goleman's assertions.

To this end the following model which I have devised, the Allen Model for Effective School Leadership (figure 5, p144.), takes the practice driven model of emotional intelligence as its starting point and is grounded in the theoretical framework of effective leadership in the workplace through the notion of primal leadership. What follows is an explanation of how the model has been developed and my initial thoughts on how it could be tested out in practice with a view to being fine tuned and modified through the research study process until it is fully fit for purpose.

2.8: The Allen Model for Effective School Leadership: Building Emotionally Intelligent School Communities through Emotionally Intelligent Leadership.

Introduction:

This model **(**figure 5, p.144**)** has at its base the notion of primal leadership in that primal leaders are emotionally self aware and understand how feelings feel, that is meta emotions, how they shape values and thoughts which in turn impact on deeds and actions, that is their *moral purpose*. 'At the micro level, moral purpose in education means making a difference in the life chances of all students – more of a difference for the disadvantaged because they have further to go' and 'at the macro level, moral purpose is education's contribution to societal development and

democracy' (Fullan, 1999, p.1). To achieve a collective moral purpose in any organisation, Fullan argues, there is a need to develop mutually empathic relationships across diverse groups. This, I propose, comes from achieving self actualisation in and across groups. To firstly engender and then embed a 'common' moral purpose in all levels of an organisation, Fullan (1999) contests that 'it is the quality of relationships amongst organizational members, as they evolve, that makes for long-term success' (Fullan, 1999, p.13). Morrison (2002, p.57) would support this when he explores the idea of leadership for self-organisation and emergence suggesting that to achieve this leaders must move away from 'command and control and towards democratic, person-centred and relational styles of leadership' arguing that 'leadership in the emergent, self-organising school requires considerable emotional intelligence in order to foster the positive interpersonal relationships required for self-organisation' (Morrison, 2002, p.57). Indeed, De Gues (1997, p.3) believes that 'companies die because their managers focus on the economic activity of producing goods and services, and they forget that their organisation's true nature is that of a community of humans'. Goleman (2006, p.29) talks about the 'glow of simpatico' where there is rapport between people. However, he believes rapport goes far beyond that pleasant feeling one has when one has rapport with another person. Rapport matters Goleman (2006, p.29) argues because when people are in rapport they can be 'more creative together, more efficient in making decisions' and further to this rapport 'feels good, generating the harmonious glow of being *symbiotic,* a sense of friendliness where each person feels the other's warmth, understanding and genuineness'. This sits

well with the model I am proposing, that emotionally intelligent leadership leads to emotionally intelligent communities which in itself sustains and develops emotionally resilient leaders and emotionally resilient community members, 'top down mandates and bottom up energies need each other' (Fullan, 1999, p.19). Fullan (2003, p.12) suggests that for a school to be successful, that is for its students to fulfil their potential, the school's moral purpose must be 'writ large'. He suggests achieving this 'moral purpose must go beyond the individual; must be larger and more collective in nature', Goleman's (2006) notion of symbiotic rapport clearly has a key role to play here. Hargreaves and Fullan (1998, p.85) support this when they state that 'in divers, complex and turbulent times, partnerships, networks and community-building with people beyond the school are vital for improving the quality of learning'. However, they call for deep and meaningful partnerships which are neither superficial nor bureaucratic. They call for educational partnerships which are 'sound in purpose, steeped in mutual learning, and full of passion' (Hargreaves and Fullan, 1998, p.87). These arguments have a great resonance for me as a member of a learning community and as a senior leader. In the Allen Model for Effective School Leadership (figure 5, p.144) I have set out to achieve this productive partnership in two ways, that is emotionally intelligent school leaders and emotionally intelligent school communities need each other. This I will now expand upon.

The Allen Model for Effective School Leadership
Build Emotionally Intelligent School Communities through Emotionally Intelligent Leadership

Personal Competences

A1: Headteachers/Principals who are attuned to their own *Moral Purpose* which leads to-

A2: *Emotional Self Awareness* and *Emotional Self Management* which leads to:

DOMAIN A:
EMOTIONALLY INTELLIGENT SCHOOL LEADERS

A4: The *Ability* to *Flex* the *Emotional Self* with the *Emotional Self* of *Others* which leads to:

A3: *Awareness* of the *Emotional Self of Others* which leads to:

Social & Relational Competences

Building the capacity for -

Personal Competences

B1: *Others* in the school community being *Emotionally Self Aware* which leads to -

B2: Others being able to *Flex Emotional Self* with *Emotional Self* of *Others* in the school community which leads to -

DOMAIN B:
EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES

B4: An *Emotionally Aware* and *Emotionally Secure School Community* based on a shared *Moral Purpose* which sustains individuals and itself further -

B3: *Emotional Intelligence Synergy* at all levels of the school community which leads to -

Social & Relational Competences

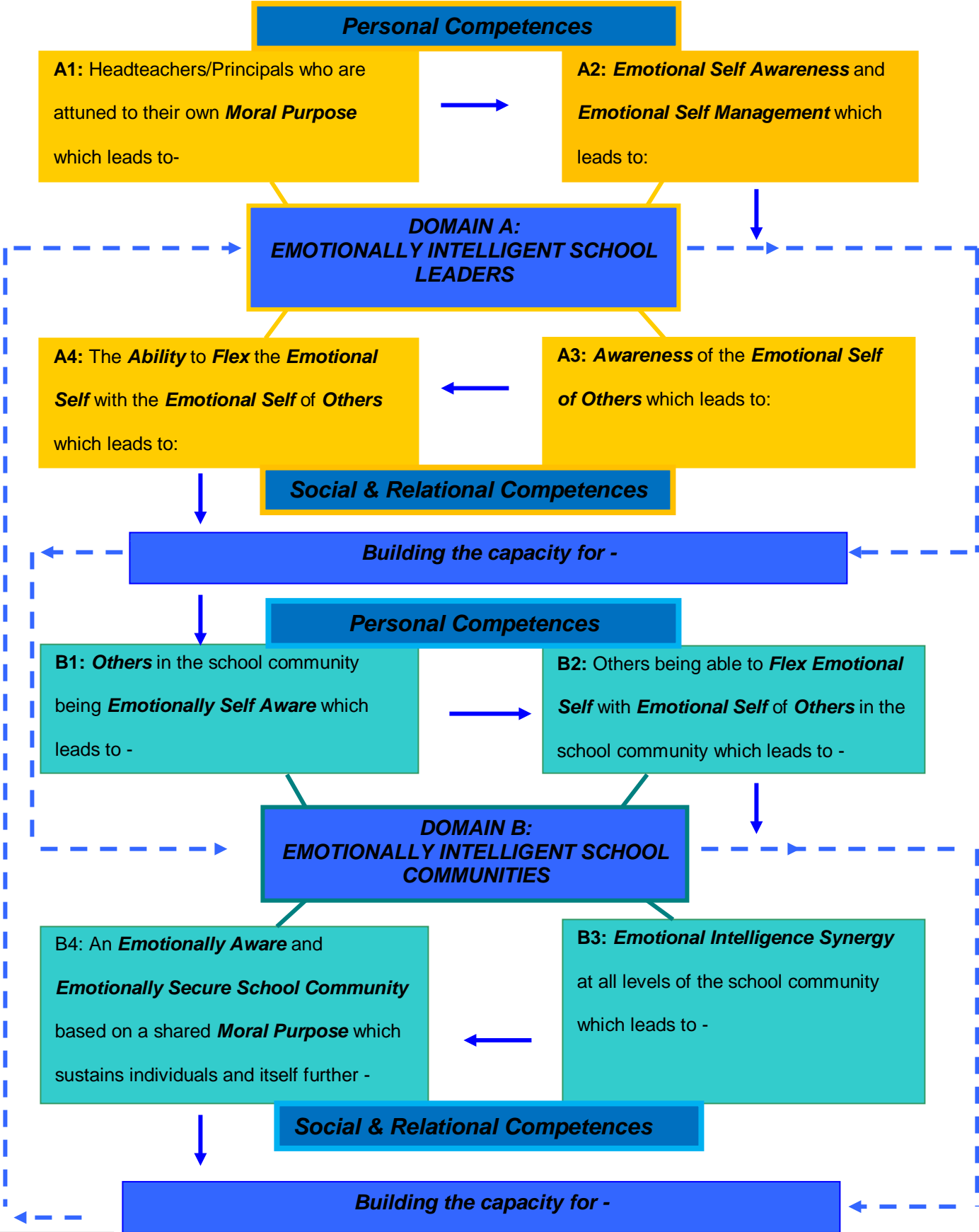**Building the capacity for -**

Figure 5

2.8.1: Domain A: Emotionally Intelligent School Leaders

In Domain A of the model I strongly assert that to develop emotionally intelligent school and academy communities the lead has to come from the Headteacher or Principal. That is not to say they lead in a dogmatic or even autocratic way, indeed the reverse. Emotional resilience, I argue, comes from emotionally secure relationships at all levels of the school organisation. However, I also argue, it is the Headteacher's or Principal's mastery of a set of emotional intelligence competences which enables him or her to build the organisations capacity for this by modelling the way for others to want to follow. The model, I have developed, is a blueprint for this.

The first part of the Model therefore, deals with the central taxonomy of *Emotionally Intelligent School Leaders (Domain A)* which has *four interlocking themes*. The first two themes focus on *Personal Competences* – being attuned to one's *Own Moral Purpose (A1)*, that is knowing who you are and what values guide, shape and drive who you are and what you do, leads to *Emotional Self Awareness and Emotional Self Management (A2),* that is being in tune with your own emotions and how to manage them for the best outcome. The remaining two themes, within Domain A of the model, focus on *Social and Relational Competences.* By being adept at understanding and managing one's own emotions one understands and has an *Awareness of the Emotional Self of Others (A3)*, this leads to self-actualisation. Self-actualisation however, is not achieved in a vacuum, neither is it finite in itself. I argue, the ever evolving 'self' is

reliant on the ability to *Flex One's Emotional Self with the Emotional Self of Others (A4)* whilst acknowledging the potential for conflict as a positive thing from which synergy will come.

From the extensive literature about the emotional intelligence construct I conclude that one's own moral purpose is what shapes the 'self'. In understanding how one's emotions guide one's thoughts and actions, one is able to better understand what shapes one's own thoughts and actions and those of others. However, whilst leaders may strongly believe one has to be true to one's self, that is one's guiding principles, in order to lead effectively, they recognise that it is pragmatic to be able to 'flex' one's thoughts and actions to accommodate and understand those of others, to be empathic. However, I strongly believe, the 'flex' must be grounded in authenticity and not simply an act of manipulation.

Spencer (2007, p.22- 25), reporting on a new independent study into school leadership states that 'rather than senior leaders trying to fulfil an increasing number of roles such as accountant, architect and human resources manager, they need to distribute leadership roles among a broader range of professionals with the expert skills for the job'. This is about developing a shared approach to leadership and to do this effectively it is argued, one has to understand the emotional dimension of leadership in order to build effective relationships and to firstly recognise and acknowledge the talents, skills and abilities of the individuals in the learning organisation and then to bring out and use them from a wide range of

individuals to collectively lead the school forward. To achieve this, Fullan (2003, p.93) cites the factors of 'hope (unwarranted optimism), enthusiasm, and energy' as characteristics of proven effective leaders. He also believes, and this is of particular significance to this research, that leaders don't have to be born with such personal traits and that 'one's vitality can be sapped or enhanced by the conditions under which one works or lives' (Fullan, 1999, p.93). However, those who display such personal qualities tend to engage others in their energy and are in turn energised by the activities and accomplishment of the group' (Fullan, 2000, p.93).

This brings us back to Goleman's (2006) notion of being in synch with others through rapport and symbiotic interactions. Gladwell (2000, p.173) believes if you want to change people's beliefs and behaviour 'you need to create a community around them, where these new beliefs could be practical, expressed and nurtured'. Fullan (2003, p.2) argues that 'selecting and supporting good leaders is a crucial starting point for beginning to change the context in powerful, new ways' and that 'the key to change is new experiences'. In the Allen Model for Effective School Leadership (figure 5, p.144) it is strongly argued that it is the Headteachers and Principals job to enable the school community to see new possibilities and new ways of being. Kotter and Cohen (2002, p.11) would support this when they contest that people are much more likely to change when in a 'see-feel-change sequence'. This, I propose, builds the capacity for emotionally intelligent communities which sits well with the second part of the Allen Model for Effective School Leadership (figure 5, p.144).

2.8.2: Domain B: Emotionally Intelligent School Communities

Part two of the model has a further four interlocking themes around a central taxonomy of *Emotionally Intelligent School Communities (Domain B)* which is subdivided into *Personal Competences* and *Social and Relational Competences.* I contest, in the second part of the model, that emotionally intelligent school communities are developed by emotionally intelligent leaders who build the capacity for *Others in the School Community to be Emotionally Self Aware (B1)* which leads to them being able to *Flex their Emotional Self with the Emotional Self of Others (B2)* in the school community. This leads to *Emotional Intelligence Synergy at all Levels (B3)* and *An Emotionally Aware and Emotionally Secure School Community (B4)* grounded in a shared *Moral Purpose.* It is this which sustains individuals in the organisation and which sustains the organisation itself. Such sustainability, I argue, is crucial at a time when teaching and school leadership, as the research literature shows, is in crisis.

In summary, in order to develop the collaborative potential in schools, leaders need support in deepening their emotional understanding of everyone in the school community and those who interface with that community. Emotion, Beatty (2005, p.123) would argue 'is the embodied knowledge of self that separates and connects, constricts and releases, shapes and reflects our sense of reality and possibility'. 'If we want people to learn from each other in dynamic, trusting, learning communities we need to consider the interpersonal obstacles to creating

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them' (Beatty, 2005, p.124). Fullan (2003, p.3) would agree with Beatty in that he acknowledges that focusing on change through individualistic assumptions: 'what students should know and be able to do and what teachers and administrators should know and be able to do' is important, but that in itself is not enough. He holds the view that if you only focus on this then 'good teachers will not stay long or come in the first place'. However, where the focus is on 'changing the culture and working conditions' (Fullan, 2003, p.3), Headteachers and Principals, Fullan would argue, are going to be far more successful in bringing about collective change for the good. He calls this the 'moral imperative' of school leadership (Fullan, 2003, p.3). This, in essence, is the foundation of the model I am proposing for effective school leadership.

The two aspects of the model are fundamental to the success of the separate parts and also to the whole as *emotionally intelligent leaders* build the capacity for *emotionally intelligent school communities* and indeed the reverse of this holds true in that *emotionally intelligent communities* clearly support *emotionally intelligent school leaders* which in turn leads to emotionally resilient individuals and groups. Whilst I acknowledge that one part of the model is ineffective without the other, I reiterate my strongly held belief that it is the leader of the school or academy who has the key responsibility, or as Fullan (1999) would say 'the moral imperative', to drive forward change but that they need the right people around them to do this. To make this happen we need to move away from the leadership style which has its foundations in the lexicon of 'suffering in silence', a leadership

style which denies self and hides emotion at the risk of appearing weak. 'The impossible workload of ever mounting responsibilities demands what some might consider an unreasonable surrender of self' (Beatty, 2005, p.130). Indeed if we think about Maslow's Hierarchy of Needs (1943), to reach self actualisation and thus fulfil one's potential one must first be emotionally safe and secure. This security must come from self but must be supported by those around us. Sergiovanni (1992; 2000) when writing about moral leadership and getting to the heart of school improvement believes for a school leader, this involves effecting a deliberate culture shift towards an emotionally interactive learning community (Segiovanni, 1992; 2000). At the same time James and Connolly (2000, p.161) warn us though that 'emotions, particularly anxiety, have a significant effect on the processes of organising and the structuring of organisations' and that 'individuals and institutions will seek to defend themselves against the very pain that difficult emotions bring'. Emotions and the defences against it, James and Connolly (2000) contest, can therefore become major sources of organisational dysfunction or alternatively close the gap between individuals and groups. The latter, according to James and Connolly (2000, p.162) is fundamental if the institution is to flourish. Goleman (2006, p.14) would argue that 'every interaction has an emotional subtext' and that 'emotions pass from person to person, from outside to inside hopefully for the best'. However, Goleman (2006, p.14) warns that 'a downside to emotional contagion comes when we take on a toxic state simply by being around the wrong person at the wrong time'. Fullan (2003, p.9) addresses this notion of emotional contagion, in his critique of Jim Collins' (2001) analysis of companies

that go from good to great when he considers Colllins (2001, p.12) starting point, 'first who – then what'. That is:

We expected that good-to-great leaders would begin setting a new vision and strategy. We found instead that they first got the right people on the bus, the wrong people off the bus, and the right people in the right seats – and then they figured out how to drive it.

(Fullan, 2003, p.9)

Beatty (2005, p.142) adds weight to this argument when she concludes that 'emotionally integrative leaders and teachers can afford to face their challenges together and are far more likely to develop the kind of professional learning communities we are all going to need for a better future'. Parker Palmer (1998) terms this as leading from the 'Heart of Hope'. He urges teachers to revisit their moral purpose by asking themselves the following questions:

Why did I become a teacher in the first place?

What do I stand for as a teacher?

What are the gifts I bring to my work?

What do I want my legacy to be?

What can I do to 'keep track of myself' to remember my own heart?

(Livsey with Palmer, 1999, p.16)

Collins' (2001) solution would be that the answers to the above questions be collective in nature if you are to have the right people in the right places and who

are in synch with the Headteacher and each other. Further to this, school leaders need to ask themselves why they chose to take up the leadership mantel. This is particularly pertinent in the current climate of school leadership drought. Caldwell (1997, p.258), when pondering the issue of leadership for the future, poses the question: 'How is it that some leaders are enervated by the dramatic transformation that is occurring in school education around the world, and look forward to every day with a sense of adventure, while others are traumatised, surviving on nostalgia or the false hope that all will be well again if they wait it out'. It has been consistently argued that the quality of leadership matters in determining the motivation of teachers and the quality of teaching which takes place in the classroom. The many recent studies of effective educational leadership confirm that they are person-centred and strongly driven by sets of personal values which create a passionate conviction to build, implement and monitor a vision for excellence in learning and achievement. They are driven by beliefs and trust in self alongside high levels of emotional commitment, and they are able to manage tensions and dilemmas brought about by competing values through capacity building in others. Day et al (2000) sum this up succinctly when pondering the thorny issue of leading schools in times of change when they state that 'effective leadership requires an intelligent head with an intelligent heart'. Goleman (2006, p.17) would view such leadership as being imperative in driving the 'mood' of an organisation in a collectively positive and hopeful direction. This notion sits well with my proposed model, The Allen Model of Effective School Leadership (figure 5, p.144), for building emotionally intelligent communities through emotionally

intelligent leadership which have at their heart the moral imperative to make a difference to the life chances of each and every student in the school community which in turn impacts positively on society as a whole. Indeed Fullan (2003, p.20) argues 'one of the great strengths of good leaders, especially in troubled times, is a strong sense of moral purpose'. Indeed he concludes that even though today's leaders are constantly experiencing overload, and this is in itself is a problem, 'far more damaging is if they lose track of their moral compass' (Fullan, 2003, p.20).

Being grounded in one's own moral purpose is particularly pertinent in a climate where leadership is being viewed very much as not the responsibility of the few but the responsibility of the many. However, I have strongly contested that it is the responsibility of the one that is the Headteacher or Principal who is grounded in a strong and unwavering moral purpose, to determine how to distribute leadership amongst the many, that is the school community. Therefore, distribution of leadership by the Headteacher or Principal cannot and should not be arbitrary it must be thoughtful, measured and well considered and absolutely grounded in his or her own passion to enable all in the school community to realise their full potential.   Hargreaves and Fink (2006) write about 'guided distribution' and acknowledge distribution by design can 'create strong professional learning communities' (Hargreaves and Fink, 2006, p.121). I argue, however, that effective distributive leadership goes beyond guided, as guided has both positive (supportive) and negative (manipulative) connotations. I believe that a positive culture of distributive leadership is best effected when it is created in the image of

the lead leader, that is in the Headteacher or Principal's own image, which is strongly aligned to and driven by his or her own moral purpose. I would call this creating a culture of "wholeschoolness" that is, "a collective way of being" to which all in the school community are affiliated. That is not to say however that those selected are 'clones' of the Head. It is healthy and desirable, if not imperative, to have a wide range of talents, skills, personalities and characters to drive the school forward in a productive, imaginative and creative way but I still argue that it is the values which underpin the vision of the Headteacher or Principal that drives the 'cilmate' or 'ethos' of the school. Emotional intelligence competences are significant to this because it is about understanding self (intra personal) as well as others (inter personal) and building collaborative relationships to get things done with and through people. Not power over but power with. Distributive leadership is the "buzz word" of the moment, indeed is deemed essential, if the Headteacher or Principal is to be sustained. I believe, however, effective leadership must be modelled and the lead has to come from the Headteacher or Principal for this to be most effective. I pose the questions therefore: How does the Headteacher or Principal lead by example? How does this influence leadership through out the school or academy? Cherniss and Goleman (2001, p.160) believe 'the quickest way to increase emotional intelligence competencies in members of an organisation is to select individuals who already demonstrate those competencies and behaviours'. Even as early as 1996 Schein when considering Leadership and Organisational Culture: Leaders of the Future (1996, p.59 – p.69) acknowledges quite correctly that 'perhaps the most salient aspect of future leadership will be that

these characteristics will not be present in a few people all the time but will be present in many people some of the time, as circumstances change and different people develop the insight to move into leadership roles' (Schein, 1996, p.68). The role of the Headteacher will be as 'diagnostician, who will be able to empower different people at different times and to let emergent leadership flourish' (Schein, 1996, p.68).

Professor Brent Davies and Dr Barbara Davies (2009) in their work for the Specialist Schools and Academies Trust (SSAT) – *Talent Management in Academies* strongly support this notion of diagnostician when they talk about the imperative for organisations to be able to spot leadership talent and have a planned strategy for managing talented people and properly using their abilities. In doing this they call for us to 'separate the idea of performance from the notion of potential' (Davies and Davies, 2009, p.5). Indeed they cite the 2008 research work of the Hay Group (Davies and Davies, 2009, p.5) who argue that 'being a top performer in a current job, or expressing personal ambition and drive are not particularly good predictors of long-term potential'. Further to this they assert that 'ambitious, achievement-orientated, self confident people often have a short term focus, arrogance and an inability to listen and a lack of self control'(Davies and Davies, 2009, p.5). They continue 'this does not fit the elements of being an effective leader which focuses on open and honest communication, humility, the creation of trust, self-awareness and flexibility' (Davies and Davies, 2009, p.5). When reflecting on leadership talent potential spotting they divide the paradigm

into three sections. *1: How a person thinks:* They are able to think about the bigger picture, master basics of their own role and look for more challenge quickly, are self-motivated and self-starters, are intellectually curious and are able to problem solve. *2: How a person works with others:* They are self confident and credible, inspire others, are caring and have concern for others, show empathy and are also able to learn from others and have a passion for making a difference. *3: How flexible a person is (resilient and persistent):* They are resilient and know how to finish a job, crave action and get involved, endure confusion with a willingness to embrace ambiguity and are opportunistic. When comparing the characteristics of talented people with those of emotionally intelligent individuals there is clearly a positive relationship between the two. Indeed, I would argue, spotting emotional intelligent individuals in the school setting is the key to identifying people with leadership potential. The Allen Model for Effective School Leadership (figure 5, p.144) therefore, I believe, facilitates the management of the school leadership potential talent pool, so crucial at a time of growing school leadership skill shortage. This is fundamental, I conclude, if schools are to develop people who are capable of making a difference to school performance in the short-term but in the long-term society itself.

2.8.3: Conclusion: The Allen Model for Effective School Leadership

In the Allen Model for Effective School Leadership (figure 5, p.144) it is asserted that high levels of emotional intelligence and a strong moral imperative go hand in hand in developing, maintaining and sustaining talented and effective school leaders, that is people who have the capacity to build emotionally intelligent learning communities in which students and staff realise their full potential. Further to this, I contest that if we do not acknowledge the significant role emotions have to play in effective leadership then we are at risk of further developing an emotionally impoverished school system and therefore an emotionally impoverished society. It is this proposition which leads me to pursue the hypothesis, through testing out research, that there is a relationship between the mastery of emotional intelligence competences and effective school leadership and that effective school leaders are able to build emotionally intelligent school communities in which both students and staff are high performing and realise their full potential. What follows is an amplification of the proposed hypothesis.

2.9: Research hypothesis

Having studied the emotional intelligence construct in great detail from its emergence in the early 1990s through to present day, it has been used to inform the development of a theoretical effective school leadership model. The Allen Model for Effective School Leadership (figure 5, p.144) argues that high levels of emotional intelligence and a strong moral purpose are imperative when developing, maintaining and sustaining effective school leaders, that is school

leaders who have the capacity to build emotionally intelligent learning communities in which all achieve self/group actualisation and thus realise their full potential. It is further argued that if we do not acknowledge the significant role emotions have to play in effective school leadership then we are at risk of further developing an emotionally impoverished school system and therefore an emotionally impoverished society.

I have hypothesised, through the Allen Model for Effective School Leadership (figure 5, p.144) which has at its heart the Goleman (1995) practice driven, mixed abilities model of emotional intelligence, that schools are built on relationships and leadership is about getting things done with and through others and therefore I contest that Headteachers and Principals in secondary school and academies in England need to have a mastery of, or develop a mastery of, emotional intelligence competences based on being sensitive to the chemistry of people. In being in tune with their own emotions and the emotions of others they are able to build quality relationships with and amongst the school members thus developing emotionally intelligent individuals who collectively build an emotionally intelligent school community which makes for long-term success in the school organisation. It is this proposition which requires the pursuit through further research of the hypothesis that there is a relationship between high levels of emotional intelligence and effective school leadership and that effective school leaders are able to build emotionally intelligent school communities in which all stakeholders are able to realise their full potential. The hypothesis I pose, therefore, is:

There is a relationship between emotional intelligence and effective secondary school and academy leadership and that it is the Headteacher's and Principal's mastery of a range of emotional intelligence competences which explains the behaviour variance amongst Headteachers and Principals in English secondary schools and academies beyond that associated with the traditional conceptualisation and measures of intelligence.

To test-out the hypothesis I set out to answer the following questions through this school based research study:

1. Do acknowledged 'outstanding' Headteachers and Principals display common emotional intelligence competences and traits and if so what role do these emotional intelligence competences and traits play in effective leadership?

2. How do effective Headteachers and Principals use emotional intelligence competences and traits to build emotionally intelligent, high performing school communities?

3. Are intellectually able and emotionally intelligent Headteachers and Principals better able to achieve outstanding outcomes than those who are emotionally impoverished but intellectually able and therefore might

emotional intelligence matter more than cognitive intelligence in maintaining, sustaining and recruiting effective secondary school leaders?

4. Does it matter what's at the 'heart' of the Head?

5. What can we learn from emotionally intelligent effective Headteachers and Principals in addressing the current retention and succession crisis in English secondary schools?

6. How can we talent spot, manage and nurture potential future secondary school and academy leaders, who display emotional intelligence competences in succession planning for the future and to make the role of Headteacher/Principal a more attractive career option?

7. Should emotional intelligence be a key focus when designing programmes to develop and sustain effective school leaders now and in the future?

Having clearly established the theoretical framework against which I will undertake this study, the practice driven model of emotional intelligence, and having used this to develop an emotional intelligence model for effective school leadership, the Allen Model for Effective School Leadership (figure 5, p.144), I now turn my attentions to the research methodologies that are available to me to test out the model in the field and to answer the questions posed to test out the hypothesis. What follows is a consideration of the merits of each methodology. By doing this I

will determine which best suits the nature and purpose of this study whilst also outlining why I have discarded others. Having considered all the methodological options available to me I will be better able to make a final and informed choice about their suitability for the purpose of this research study.

CHAPTER THREE

3: <u>METHODOLOGY</u>

3.1: Introduction

I am mindful of Gorard's (2001) warning, when determining suitable research methodologies, 'you must decide on your research topic and the questions you are curious about first, and only then consider how best to answer them' (Gorard, 2001, p.8). He concludes (Gorard, 2001, p.8), 'don't fit your proposed study to your favourite approach (a case of the cart before the horse), and then try to disguise this as a philosophical, rather than methodological, decision'. Heeding this warning I turn my attentions to the different methodologies and use this investigation to inform the suitability of one method over another for the purpose of this research study.

3.2: Review of methodologies

Research, as Hitchcock and Hughes (1995) show, is about the relationship between existence (ontology) and human knowledge (epistemology), which results in determining the how of research (methodology). That is, how we go about creating knowledge about the world in which we live. From this perspective it is clear that methodology is central to research outcome and in this case educational research outcomes.

The initial question I pose therefore is- "What is educational research?" Morrison (2002, p.3) would define educational research as being twin focused in that it is 'a

systematic inquiry that is both a distinctive way of thinking about educational phenomena, that is, attitude, and of investigating them, that is, an action, or activity'. Morrison concludes that one needs to subdivide the initial question further into: 'What is research?' and 'What is education?' Bassey (1999, p.37) provides a useful starting point in response to Morrison's first question by stating that research is a 'systematic, critical and self critical enquiry which aims to contribute towards the advancement of knowledge and wisdom'. For Johnson (1993, p.3) however, the processes and outcomes of such an enquiry will be that the researcher obtains data that moves 'beyond generally available knowledge to acquire specialist and detailed information, providing a basis for analysis and elucidatory comments on the topic of enquiry'. Morrison (2002, p.5) concludes that these definitions suggest that 'research will make known, or at least make known in terms of a new or different situation, location or context, that which was not known before'. In answer to Morrison's second question Bassey (1999, p.37) states that education is firstly 'the experience and nurture of personal and social developments towards worthwhile living' and secondly 'the acquisition, development, transmission, conversion, discovery and renewal of worthwhile culture'. Bassey (1999, p.30) goes on to bring the two, 'research' and 'education' together when she defines educational research as 'the kind of research carried out by educationalists' which is 'value-laden' and 'should have immediate relevance to teachers and policy makers, and is itself educational because of its stated intention to inform' and as such is a 'critical enquiry aimed at informing educational judgement and decisions in order to improve educational action'. This sits well with my own research in that

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I want to inform the theoretical framework for effective leadership I have outlined in the Allen Model for Effective School Leadership (figure 5, p.144). I am aiming to further illuminate the role emotional intelligence plays in current effective secondary school and academy headship and in the long-term, to improve educational action by focusing specifically on the role emotional intelligence plays in developing and sustaining effective secondary school and academy leaders in the future.

The choices I have to consider are between three research paradigms, that is, the traditional choice of qualitative over quantitative methodologies and vice versa or the more recent move, in the last decade or so, towards a combination of the two, the mixed methods. Bell (1999, p.7) acknowledges the complex nature of research whilst trying to simplify the notion of research methodology by dividing it into the two traditional alternative paradigms: quantitative and qualitative.

Quantitative researchers collect facts and study the relationship of one set of facts to another whilst researchers adopting a qualitative perspective are more concerned to understand individuals' perceptions of the world. They seek insight rather than statistical analysis. Coleman and Briggs (2004, p.14), when debating the merits of the two paradigms, acknowledge that epistemological and methodological issues are frequently reduced to matters of 'quantity' and 'quality'. However, they urge researchers to avoid a 'naïve' use of any one paradigm but to consider a combination of approaches which best suit the research rationale.

Creswell (2009, p.3) supports this view when he also warns that 'qualitative and quantitative approaches should not be viewed as polar opposites or dichotomies; instead, they represent different ends of a continuum'. However, in order to understand this continuum, one must be clear about the many and varied approaches to research and their subsequent suitability for purpose.

Cohen, Manion and Morrison (2001, p.3) when considering the nature of inquiry set out three significant lenses through which to examine the practice of research:

1. Scientific and positive methodologies
2. Naturalistic and interpretive methodologies
3. Methodologies from critical theory

I will use these differing 'lenses' through which to view the three methodological paradigms – *quantitative, qualitative* and *mixed models.* It is from these differing viewpoints through which I will make an informed decision about their suitability for this research study.

3.2.1: The quantitative approach: Scientific and positive methodologies

Creswell (2009) defines quantitative research as:

A means for testing objective theories by examining the relationship among variables. These variables, in turn, can be measured, typically on

instruments, so that numbered data can be analysed using statistical procedures. The final written report has a set structure consisting of introduction, literature and theory, method, results, and discussion. Like qualitative researchers, those who engage in this form of inquiry have assumptions about testing theories deductively, building in protections against bias, controlling for alternative explanations, and being able to generalise and replicate findings.

(Creswell, J. W. 2009, p. 4)

The quantitative approach, grounded in scientific and positivist methodologies has a long tradition. The nineteenth-century French philosopher, Auguste Comte, was the first thinker to use the word *positivism* from a philosophical position. Comte invented the new science of society. He thought it would be possible to establish it on a 'positive' basis just like the other sciences. His general doctrine of positivism held the belief that genuine knowledge is based on sense experience and can only be advanced by means of observation and experiment. It limited inquiry and belief to what can be firmly established and thus abandoned meta-physical and speculative attempts to gain knowledge by reason alone. The movement developed what has been described as a tough-minded orientation to facts and natural phenomena.

Positivism is derived from an acceptance of natural science as the paradigm for human knowledge (Duncan 1968) and therefore the methodological procedures of natural science may be directly applied to the social sciences. The end product of investigation by social scientists can be formulated in terms parallel to those of natural science. Positivism may be characterised by its claims that science provides us with the clearest possible ideal of knowledge. Where positivism is less successful however, according to Cohen et al (2001), is in its application to the study of human behaviour where the immense complexity of human nature and the elusive and intangible quality of social phenomena contrast strikingly with the order and regularity of the natural world. They go on to point out that 'nowhere more apparent than in the context of the classroom and school where problems of teaching, learning and human interaction present the positivistic researcher with a mammoth challenge' (Cohen et al, 2001, p.10).

The key points about a positivist approach to educational research is its adherence to the scientific method which is based on the assumptions of *determinism* and *empiricism* held by scientists. The first assumption held, determinism, is that events have causes. Science proceeds on the belief that causal links can eventually be uncovered and understood. 'It is the ultimate aim of scientists to formulate laws to account for happenings in the world around them, thus giving them a firm basis for predictions and control' (Cohen et al, 2001, p10). The second assumption, empiricism, holds the viewpoint that certain kinds of reliable knowledge can only originate in experience. This means scientifically the tenability

of a theory or hypothesis depends on the nature of the empirical evidence which is presented to support it.

Coleman and Briggs (2000, p.15) when considering the positivist approach to educational research conclude that there are a number of key features. Only that which is observable through experience, can be validated as knowledge. Feelings as the objects of educational research activity, therefore, need to be ruled out, unless they can be rendered observable and measurable. Scientific knowledge is obtained through the collection of verified 'facts'. Positivists take a particular stance with regards to values. As Bryman (1988, p.15) articulates 'educational researchers need to purge themselves of values which may impair their objectivity and undermine the validity of the research'. Human characteristics could be considered as variables however and indeed those who support the science driven emotional intelligence school of thought would argue strongly that this is the case. Salovey and Mayer (1990), the most well known and prolific exponents of the science-driven approach to emotional intelligence, have worked for approaching two decade to prove this. However the main criticisms, held by the social scientists, of this method are rooted in concerns about the dehumanising effects. Indeed from this came the existentialist movement which was opposed to the notion of objectivity in its imposition of rules of behaviour and thought, and the making of a person into an observer based on general laws governing human behaviour. Those rooted in the practice-driven emotional intelligence school of thought, Goleman (1995) being its most well known exponent, would support this view in

that they are interested in personal characteristics and competences that make up an emotionally intelligent person and set out to measure these to determine someone's level of emotional intelligence.

It would appear therefore, in its purest sense, that the scientific positivist approach would not be suitable as the main or dominant methodology for the purpose of my educational research. I am interested in the relationship between emotional intelligence and being an effective school leader which is very much bound to the notion of human behaviour and has its roots in the practice-driven culture of the emotional intelligence phenomenon who have tried to measure emotional intelligence as a range of competences rather than abilities but not to the satisfaction of the science driven research field. So what is the alternative? Perhaps the qualitative approach holds the answer.

3.2.2: The Qualitative approach: Naturalistic and Interpretive methodologies

Creswell (2009) defines qualitative research as:

A means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data. The final written report has a flexible

structure. Those who engage in this form of inquiry support a way of looking at research that honours an inductive style, a focus on individual meaning, and the importance of rendering the complexity of a situation'

(Creswell, J. W, 2009, p.4)

Naturalistic or interpretive methodologies set the paradigm in binary opposition to positivism. The anti-positivist movement is represented by three schools of thought: *phenomenology, ethnomethodology and symbolic interactionism. Phenomonlogists* attempt to see things from the person's point of view. *Ethnomethodologists* aim to observe behaviour, which was a common feature of school ethnographic studies in the late 1980s (Burgess, 1983; Ball, 1981) in which the researcher becomes a participant in the activity being observed. More recently, the emphasis has been placed on conversational analysis, and recording of conversations with subjects, presented in as unadulterated form as possible through enthnographic studies. *Symbolic interactionists* view life as an unfolding process in which individuals interpret their environment and act upon it on the basis of that interpretation. That is human beings act towards things on the basis of the meanings that the things have for them. That meaning is derived from, or arises from, the social interaction one has with others and through the interpretative process used by the person in dealing with the things he or she encounters.

Naturalism implied reluctance among researchers to interfere artificially in the world around them and in particular it emphasises the need to record the educational world in a way that would be consistent with the images of the world that the participants carry with them. The basis of the critics' stance against anti-positivism was that advocates of this methodology had gone too far in abandoning scientific procedures of verification. However, in terms of the research I am proposing to carry out, a naturalistic approach would appear to better suit the purpose of my educational research which is essentially a study of the human behaviour of school leaders and the role emotional intelligence plays in the effectiveness of that behaviour as the participants view and perceive it. My 'position' as an active learner, that is a serving school leader, who can interpret the story from a participant's point of view, will clearly impact on the design, implementation and evaluation of my research. The qualitative methodology therefore has much greater resonance for me and this research than the quantitative approach. I am, however, aware of a growing number of voices who advocate a combination of the two methods under the umbrella of the mixed model approach.

There is clearly a historical evolution to both quantitative and qualitative approaches, with the quantitative approaches dominating the forms of research in the social sciences from the late 19th century up until the mid-20th century. The latter half of the 20th century saw a much greater interest in qualitative methodologies, particularly in the field of educational research. This led to, as we

moved into the 21st century, an exploration of the potential for combining the two approaches and thus emerged the mixed methodology models of research. Following this notion of combining the two methodologies I will now explore in more detail what the literature says about this approach in general and relate it specifically to the possibilities of taking such an approach in relation to this research study of the emotional dimension of effective school leadership.

3.2.3: The Mixed Methods approach: From Critical Theories

Cohen et al (2001, p.27) argue that 'positivist and interpretive paradigms are essentially concerned in understanding phenomena through two different lenses'. Critical theorists would argue that the positivist and interpretive paradigms are essentially technicists, seeking to understand and render more efficient an existing situation, rather than question or transform it. Critical theorists consider a third lens through which to view research, which sits well with the current thinking around the mixed models approach. Creswell (2009, p.4) describes such an approach as:

An approach to inquiry that combines or associates both qualitative and quantitative forms. It involves philosophical assumptions, the use of qualitative and quantitative approaches, and the mixing of both approaches in a study. Thus, it is more than simply collecting and analysing both forms of data.

(Creswell, 2009, p.4)

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At its simplest a mixed method strategy, it would appear, is one that uses both quantitative and qualitative methodologies. Indeed Denscombe (2008, p. 107) states 'there is nothing startlingly new about the strategy' and cites successful examples of such an approach throughout the history of social research. Habermas (1972, p.211), for example, sought to go beyond the two methodological traditions of quantity or quality by offering a third – *emancipatory*, or action that is informed by reflection with the aim to emancipate. Three decades on Denscombe (2008, p.107) concludes what is new is naming the approach, which combines the two traditions of quantity or quality, as the 'Mixed Method' approach.

This approach has been championed, in recent years by writers such as Creswell (2003), Creswell and Plan Clark (2007) and Gorard and Taylor (2004). Gorard (2001, p.5), in his work on the role of quantitative methods in research, calls for us to stop viewing the numerical approach associated with this methodology as either 'fab', perpetuated by the established disciplines such as psychology, 'where there has been a tradition that only numeric data is of relevance (Gorarad, 2001, p.4) or 'rubbish', supported by the sociological tradition 'having realised that numbers can be used erroneously, sometimes even unscrupulously, some researchers reject all numerical evidence' (Gorard, 2001, p.5). Gorard concludes that researchers must take a more balanced view. Gorard (2001, p.5-6) cites Clegg (1990) who points out that we know that people sometimes lie to us but we do not therefore reject all future conversations. Why should lying with numbers be any different? He calls for us to consider that 'if we reject numeric evidence and its associated concerns

about validity, generalizability, and so on as a basis for research, then we are left with primarily subjective judgements', concluding that 'the danger for qualitative research conducted in isolation from numeric approaches is that it could be used simply as a rhetorical basis for retaining an existing prejudice'.

Considering Gorard's work I ask the question: So when is it appropriate to use a mixed methods approach? In attempting to answer this question I draw on the published reviews of mixed method studies (Bryman, 2006a; Collins et al., 2006; Greene et al., 1989; Rocco et al., 2003) cited by Denscombe's (2008, p.109). Denscombe (2008) emphasises the importance of 'triangulation' (Denscombe, 2008, p. 134- 13) that is the 'practice of viewing things from more than one perspective', which enables the researcher to get a better understanding of the thing that is being investigated if viewed by the researcher from different positions. Thus allowing the findings from one method to be contrasted with the findings from another, in this way findings can be corroborated or questioned by comparing the data produced by different methods. This includes triangulation between-methods and within-methods (Denscombe, 2008, p.135). Thus viewing something from more than one view point enables you to get a better fix. In its simplest form this approach seems very attractive however, as one digs deeper into the mixed methods model it becomes apparent that there is a wide range of methodological approach combinations which required further scrutiny if one is to make a seriously informed choice.

Alexander et al (2008, p.125 – 144) call for researchers to consider: What is being mixed? 'Methods' can refer to the style of data collection (survey, interview) and also to the means of analysis (statistical analysis, thematic analysis, narrative analysis). Further to this explicitly 'mixed methods' projects often combine qualitative and quantitative methods. Alternatively there are many different qualitative methods e.g. interviews, focus groups, case studies, and these may be mixed within the parameters of one research project. Similarly quantitative researchers may mix methods of analysis. Moreover they could generate both qualitative and quantitative data with a single data collection tool e.g. a questionnaire consisting of both open and closed questions, the former being analysed using pre-coding methodologies and the later generating qualitative data, the one being used to quantify the other. Alexander et al (2008, p.135) having analysed the differing mixes of the mixed methodology pose the question: Just how mixed is mixed? A simplistic way of answering this question is to render it down to two distinct paradigms - one of combining or one of integrating, both of which are subsumed by the term 'mixed'. In studies in which data or methods are integrated, each method or data set is given equal weighting but this is not the case in studies in which data or methods are combined. Sequential studies usually combine methods e.g. use of conversational analysis to improve a survey. What is clear is that the use of 'mixed methodologies' whilst initially seeming straightforward when one digs deeper it is inherently complex.

As a preliminary conclusion I acknowledge the nature of my research lends itself well to a qualitative approach but there may be a place for a combination of data collecting instruments within that. In this way the research is qualitative in nature but the data gathering instrument is influenced by the mixed model within a single methodology approach. However, before I make my final decision on one methodology over another, or indeed a combination of the two, I would want to acknowledge the role of 'self' in my research and the impact this will have on the chosen methodology, how the data will be gathered and the interpretation of that data. As a practicing senior leader the 'self' is inexplicably bound to the very essence of my research into the role emotional intelligence plays in effective secondary school leadership. I, therefore, will now explore my own position and reflexivity in relation to the naturalistic methodology I am proposing to take before I make my final decision about the approach which best suits this research study.

3.2.4: How I view my own 'position' impacting on the design, implementation and evaluation of the research study

Denscombe (2003, p.212) asserts, 'there is a growing acceptance amongst those involved in qualitative data analysis that some biographical details about the researcher warrant inclusion as part of the analysis, thus allowing the writer to explore the ways in which he or she feels personal experiences and values might influence matters'.

As a serving Assistant Headteacher in a large 11-19 secondary school, I am close to the phenomenon of leadership and this will inevitably influence the 'position' I take in perceiving the culture I wish to describe. Indeed, as Denscombe (2003, p.74) points out, 'one of the characteristic features of ethnography is the significance it attaches to the role of the researcher's 'self' in the process of research' and that the 'researcher's identity, values and beliefs become part of the equation – a built-in component that cannot be eliminated as an influence on the end product findings of the project'. In taking an anti-positivist stance in my own research I will be immersed in thoughts, feelings, expressions and opinions and would therefore want to acknowledge these feelings and in doing so seek to understand how to judge their value, within the context of the data and outcomes.

I am drawn to the idea of the researcher as an 'active learner' and understand the insight I gain through interaction with participants will inevitably influence and structure the research process and subsequent outcomes. Bryman (1988, p.15) is particularly critical of this approach when he urges researchers, and particularly educational researchers, to 'purge themselves of values which may impair their objectivity and undermine the validity of the research'. Whilst heeding these warnings, I believe one's close proximity to the phenomenon is intrinsic to qualitative research and one's subjectivity deepens understanding, providing qualitative methodological and ethical conventions are followed and clearly and honestly documented. This view is supported in the literature by advocates of qualitative methodology. For example, Coleman and Briggs (2002, p.24) state that

'from the perspective of reflexivity, such awareness, or lack of it, is not just implicated in an understanding of epistemology but also requires researchers to consider that 'the sense' they make of the world is reflected in, and affected by, the norms and values that have been absorbed as part of life experience'. Further to this I acknowledge the potential for bias, either real or perceived, and will take a discursive approach to this in my report. Recognising the pitfalls may or may not lead to avoidance but will give greater understanding of the why. I therefore take the view that 'self' is fundamental to my research and has played a key role in impacting on its design thus far.

Having investigated the three methodological paradigms from the perspective of scientific positivism, naturalistic interpretative and critical theories and acknowledge the role of 'self' in relation to the research, I again pose my initial question: So which methodology or methodologies best suits the purpose of my research? Here are my concluding thoughts.

3.2.5: Conclusion: Why I have chosen one approach over another

Bell (1999, p.18-19) advises that 'understanding the major advantages and disadvantages of each approach is likely to help select the most appropriate methodology for the task'. Coleman and Briggs (2002, p.25) conclude that, 'the critical issue for researchers is to choose the approach that best addresses the question; and, as importantly, that researchers are aware of the implications of

choosing one approach over another (or combining them), and its impact upon the things that researchers will find'.

Having studied the options available to me I am drawn to a naturalistic, interpretative approach typified in the qualitative research genre. Creswell's analysis of qualitative research articulates well why I was attracted to such an approach and why I believe it suits the purpose of my research when he states:

Qualitative research is an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem. The research builds a complex and holistic picture, analyses words, reports detailed views of information, and conducts the study in a natural setting.

(Creswell, J. W. 1998, p.14)

Further to this, Denscombe's (2003, p.117-222) debate regarding the advantages and disadvantages of qualitative research gave further credence to my leaning towards this methodology. The advantages being 'that the data and the analysis are grounded; there is a richness and detail to the data; there is a tolerance of ambiguity and contradictions; and there is the prospect of alternative explanation (Denscombe, 2003, p.117). These for me outweigh the disadvantages which are 'the data may be less representative; interpretation is bound up with the 'self' of the

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researchers; there is the possibility of decontextualising the meaning; and there is a danger of over-simplifying the meaning'.

I am drawn to taking a qualitative approach as I am concerned with understanding individual school leaders, and seeking insight into the emotional dimension of leadership as they and others view it. Creswell's (1998, p.14) definition of qualitative research as being an 'inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem' in which 'the researcher builds a complex, holistic picture, analyses words, reports detailed views of informants, and conducts the study in a natural setting' sums up well the rationale behind why a qualitative approach would suit this research study.

However, in taking a qualitative stance I understand I need to be sensitive to the impact my own 'position' and issues of reflexivity will have on its design. Whilst acknowledging the potential for the bias in such a study, the 'self' of the researcher is of paramount importance to me in my research work. I have considered the arguments against such an approach in that the interpretation can be too bound up with the 'self' but as a serving senior leader the 'self' is inextricably linked to the research and therefore it would be impossible and I think inappropriate to suppress it. Interestingly what is viewed by some as the 'self' of the researcher being a disadvantage, is viewed by others as being an advantage. I am, however, drawn to the idea of a naturalistic, interpretative methodological approach because of the researcher's role as an 'active learner who can tell a story from a participants point

of view rather than an 'experts' point of view who passes judgement on a participant (Creswell, 1998, p.18).

Having, however, a natural bias towards words rather than numbers I am conscious of not wanting to take up a 'position' which would discount the use of quantitative methodologies as a result of this bias. Indeed, I am mindful of qualitative software packages, which make it possible for qualitative researchers to collect and analyse responses from transcribed interviews using systems of coding thus enabling me to analyse qualitative data using methodologies grounded in quantitative traditions.

Further to this, I cannot discount the possibility of using quantitative data gleaned from 'measuring' the emotional intelligence of participants to support qualitative data gathered from face to face interviews. Current measures are divided into two broad groups, those which are *'science driven'*, for example the *Mayer and Salovey Emotional Intelligence Test* (MSEIT) which adheres to the traditions of psychometric test design and those which are *'practice driven'* and are classified as mixed ability models concerned with emotional competences which are measured using self and peer report questionnaires. These include Goleman's (1996) *Emotional Competence Inventory (ECI)* and Bar-On's (1997a) *Emotional Quotient Inventory Scale (EQ-i)*. In measuring the emotional intelligence of the research participants I would be using quantitative data to support the qualitative data collected from one to one and face to face interview. This would not be

classed as a mixed methods approach but a follow up qualitative method in a predominantly quantitative study.

Classifying an approach as ethnographic, qualitative, experimental or whatever, does not mean that once an approach has been selected, the researcher may not move from the methods normally associated with that style. 'What is involved here is not a cross-roads where we go left or right' but 'a complex maze where we are repeatedly faced with decisions, and where paths wind back on one another' (Hammersley's 1992b, p.171). This image of the research being a journey resonates with me as I would not want to be a 'neutral or passive instrument of discovery' (Denscombe, 2003, p.72). I am open to and acknowledge the significance of the influence my 'position' and reflexivity has had on and will continue to have on its design, on its implementation and on its subsequent evaluation. However, having studied at length the literature surrounding the three distinctive research methodologies: quantitative, qualitative and mixed model, I conclude that for the purpose of this educational leadership research the dominant approach will be quantitative in nature. This is because I want to gather rich and deep data from a small but select number of current leadership practitioners in secondary schools about the effectiveness of their leadership and the role emotional intelligence competences play in that. My approach therefore will be one of drilling deep as opposed to broad brush strokes. However, I have not as yet discounted the possibility of seeking insight into the views about effective school leadership from other stakeholder in each of the participating school communities.

Having decided on a qualitative approach I now must investigate the range of data gathering tools available to qualitative researchers. However, I understand I need to set this in the context of the different 'traditions' within the qualitative genre to determine which one I would want to follow. This will in turn further inform the data gathering tools I will use.

3.2.6: The five qualitative traditions of inquiry: A comparative exploration of each and the associated data gathering tools

Creswell (1998) explores at length the five traditions of qualitative inquiry and the associated data gathering tools. The five traditions are:

1. Biography

2. Phenomenology

3. Grounded Theory

4. Ethnography

5. Case Study

Creswell (1998, p.4) warns us that there are a 'baffling number of choices of traditions' but by subdividing them into the five outlined above he defines each for the reader and takes them through example studies grounded in each. Then he asks the reader to consider the merits and drawbacks of each in relation to the central purpose or focus for the tradition and the associated data gathering methodologies. He acknowledges that this is a tried and tested way in which to

inform the researchers chosen design for the qualitative study they plan to undertake.

Having followed this process I firstly discounted the tradition of *biography* as a *biographical study* is the study of *an individual* and gathering information about his or her personal experiences. Creswell (1998, p.49) explains that information 'usually will be gathered over a number of years with gentle guidance from the social scientist, the subject either writing down episodes of life or tape recording them'. As I am interested in studying more than one individual, and am bound to a specific amount of time, this approach was discarded as not appropriate to this research study. However, some aspects of this tradition do have resonance in that I am interested in the participant's life biographies from the point of view of what brought them to Headship/Principalship and potentially the impact this has had on their leadership practice. I will return to this later in this chapter and will consider how this information could be gathered.

Whilst a *grounded theory* study does deal with more than one individual it is however, bound up with the generation or discovery of a theory. As I am interested in investigating, in the "field", a pre-proposed theory that is the practice driven theory of emotional intelligence, I have also discounted this tradition. However, like the biographical tradition, there are some elements of the grounded theory tradition which I am drawn to. Although I have used the practice driven theoretical framework of emotional intelligence as the basis of the Allen Model for Effective

School Leadership (figure 5, p.144), I am open to amending, adapting or even starting again with the model following the analysis of the outcomes of the research. Therefore, in this sense theory could be generated or discovered.

Of the three remaining traditions all, on initial exploration, had resonance for me. Creswell (1998, p.58) defines an *ethnography* as a 'description and interpretation of a culture or social group or system'. He talks about patterns of behaviour and ways of life. Whilst I am interested in the behaviour of Headteachers and Principals in relation to effective school leadership and the role emotional intelligence plays within that, as a process, ethnography involves prolonged observation of the group, typically through participant observation in which the researcher is immersed in the day to day lives of the people. Observation as a tool for a researcher, many writing in the literature would argue, can be powerful. It is not dependent like questionnaires or interview methods, on a respondent's personal view but seeks explicit evidence through the eyes of the observer either directly or through a camera lens. Observation, it is argued (Morrison, 1993, p.80), enables the researcher to gather data in a range of settings including, physical e.g. the organisational environment; human setting e.g. the organisation of the people; interactional setting e.g. the interactions that take place either verbal or non-verbal or formal as opposed to informal. Alder and Alder (1994) contest that all research is some form of participant observation since we cannot study the world without being part of it. As Cohen et al state (2001, p.306) 'the qualitative researcher seeks to catch the dynamic nature of events, to seek intentionality, and to seek large

trends and patterns overtime'. Moyles (2000, p.188) believes that observation is 'a useful and interesting tool for all researchers including those working in schools and colleges'.

To take this approach, whilst initially compelling, would require considerable time in the field. Observation as a tool for a researcher can however be very powerful and I do not disregard it lightly but as my sample of Headteachers and Principals are spread across a number of schools from the north to the south of England and points between, I would find it very difficult to carry out observation over a period of time. However, although my time will be limited and therefore time in the field would be restricted, this is not the reason why I have discounted following this tradition. It is gaining a better understanding of the tradition of *phenomenology*, by studying it in more detail, which has led me to turn away from this approach. I am more interested in the phenomenon of leadership and the role emotional intelligence plays in its effectiveness than in the ethnographic study of a group although the one clearly impinges on the other. Therefore, I accept that the study is ethnographic in nature but specifically follows the phenomenological tradition.

The one tradition, interestingly, I was initially most strongly drawn to was *case study.* Accounts or case studies as a research tool is located in the interpretive, ethnographic paradigm, which seeks to view situations through the eyes of participants. Although each of us sees the world from our own view point, we have a way of speaking about our experiences which we share with those around us.

'Accounts serve to explain our past, present and future orientated action' (Cohen et al, 2001, p.295) and this I initially thought would be an ideal way of gathering the views of participants on the characteristics of effective school leaders. However, the major problem in the investigation of an account or 'social episode' Cohen et al (2000, p.301) believes has been 'the ambiguity that surrounds the concept itself and the lack of an acceptable taxonomy by which to classify an interaction sequence on the basis of empirically quantifiable characteristics'. However, Cohen (2000, p. 302) adds the caveat that 'although this is the case, as compared with the limitations of a self completion survey, where there is no interaction between the participant and researcher, the richness of the data gathered from an account or case study methodology is far deeper'. This again suits my desire to drill deep with the Headteacher and Principal participants. Thody (1997, p.331) also points out that 'stories (accounts) can be analysed, using, for example conventional techniques such as: categorising and coding content; thematisation and concept building'. Today, there is available computer software which supports the researcher electronically and although verification is difficult using the account as a data gathering instrument, stories, being rich in the subjective involvement of the storyteller, offer an opportunity to gather authentic, rich and respectable data. In recent years this methodology has been greatly favoured and used for the purpose of educational research, another reason for the affinity I have with this tradition.

However, on investigating the tradition in more detail I quickly concluded that I had made inaccurate assumptions about this tradition. Whilst case studies can be

gathered about individuals, for the purpose of this study this would be as background information about the Headteachers and Principals and his or her school or academy to set the study in context which may be considered a profile as opposed to a case study. However, my research is specifically about the phenomenon of emotional intelligence and the role it plays in effective school leadership. That is to understand the essence of the experiences from the participants about the phenomenon and from this identify themes and interpret meaning from which comparisons can be drawn across the sample population. Therefore, it appeared that the tradition of qualitative inquiry with which my research study had the closest affinity was the tradition of phenomenology. However, to be absolutely certain that this was the best way forward I once again turned to the literature to deepen my understanding of phenomenology.

Phenomenology places special emphasis on seeking individual's views and personal experiences. It has credentials as an alternative to positivism which is reinforced by the fact that phenomenological research generally deals with people's perceptions or meanings, attitudes and beliefs and feelings and emotions. Therefore, more than any of the other traditions I have explored, taking a phenomenological approach, it would appear, fulfils the purpose of this research study.

A phenomenon, according to Denscombe (2008, p.44) is 'something which stands in need of explanation', (in terms of my research that would be the phenomenon of

emotional intelligence and its relationship to effective school leadership), 'something of which we are aware but something that, as yet, remains known to us only in terms of how it appears to us directly through our sense'. Set in the context of my research this brings us back to Goleman's (2002, p.3) notion of primal leadership. He writes about great leaders 'moving us' and their 'igniting our passion and inspiring the best in us'. In trying to explain why they are so effective as leaders he says we can 'speak of strategy, vision, or powerful ideas' but concludes that the reality is far more 'primal' than this, 'great leadership works through the emotions'. This is the nub of my research. I am interested in, as Denscombe (2008, p.79) states, 'the ways people interpret events and, literally, make sense of their personal experiences'. That is to try to give meaning, as experienced by my research study participants, to the phenomenon of emotional intelligence and the role it plays in effective school leadership. I hypothesise, through the Allen Model for Effective School Leadership (figure 5, p.144), that being an effective leader is fundamentally about being able to work through one's emotions and being sensitive to those of others. In essence this is about being emotionally intelligent. Goleman (1996, p.3) strongly contests this when he says, 'no matter what leaders set out to do – whether it's creating strategy or mobilizing teams to action – their success depends on how they do it' and he concludes that 'even if they get everything else right, if the leaders fail in this primal task of driving emotions in the right direction, nothing they do will work as well as it could or should'. In choosing to root my research study in the tradition of phenomenological inquiry I am mindful however, of the complexities of doing so. Having considered the advantages of

such an approach which include, according to Denscombe (2008, p.85) the prospects of authentic accounts of complex phenomena, a humanistic style of research, suited to small-scale research, and the description of experiences being able to tell an interesting story; all of which appeal to me. However, I do want to go beyond describing the experience, as I am keen to make sense of it. This is seen as one of its disadvantages but in addressing this Denscombe (2008, p.86) points out that within the tradition one can still go onto develop explanations based on the descriptive material. I would want to do this in the context of it supporting and further developing the proposed Allen Model for Effective School Leadership (figure 5, p.144). Other disadvantages include lack of scientific rigour, attention to potentially mundane features of life and the feasibility of suspending common sense. The latter concerns me because I am keen to include my own 'position' as explored earlier in this chapter within the research. Once again, Denscombe (2008, p.86) acts to moderate this concern by suggesting that the researcher 'be reflective and self-conscious about the way perceptions are shaped by things like common sense and then try to moderate their impact'. This will further inform the approach I take.

Denscombe (2008, p.83) also reminds us that there are 'numerous versions of phenomenology'' and that those who are 'thinking of adopting a phenomenological approach should be aware that such differences of opinion exist'. He goes onto categories the tradition into two main types. The original version, developed by Edmund Husserl (1931), is the European version which is grounded in the

discipline of philosophy and the North American version, most commonly linked to the discipline of sociology, came later emanating from the 'social phenomenology' of Alfred Schutz (1962, 1967).

The first is fundamentally about *the essence of the human experience'* whilst the second is more concerned with describing the ways in which humans give meaning to their experience, that is, *concerns with the ways people interpret social phenomenon.* Denscombe (2008, p.84) suggests that 'in practice, it is not always easy to separate the two traditions' but this should not, 'deter a researcher from choosing this approach, since many aspects of social research operate in such contested domains'. He does advise that, 'it does, however, alert the would-be user to the need for particular clarity about the purpose of the research, the specific way in which the phenomena of human experience will be described, and the ultimate goal of the investigation' (Denscombe, 2008, p.84). Therefore I asked myself once again, 'what is the goal of this investigation?'. It is to determine what is it about effective school leaders that make them effective. I hypothesize that it is their ability to work with and through their and other's emotions to build positive relationships and to drive forward those emotions positively to achieve long-term success. Effective leadership is, I will once again reiterate, fundamentally about getting things done with and through people. Therefore, I want to find out from the sample population how their experience of effective leadership manifests itself. In this respect, therefore I am interested in the *essence of the human experience* and therefore this study, it would appear, at this stage, will be rooted in the European

tradition of phenomenological inquiry. However, I remain open minded as I am aware when one begins to construct the data gathering tools, and test them out through a pilot study, further analysis of suitability will take place. Taking this into account, what follows is a consideration of the data gathering tools available to the social science researcher who is undertaking a qualitative inquiry taking a phenomenological approach grounded in the European tradition of the human experience. In this case it is the human experience of the Headteacher or Principal in relation to his or her use of emotional intelligence competences to sustain self and others and thus build emotionally intelligent school communities.

3.3: Data collection: Tools and strategies suitable for phenomenological inquiry

In terms of gathering data about the phenomenon of leadership and the role emotional intelligence plays in its effectiveness, in-depth recorded interview is recommended in the literature because it is a recognised and valid, tried and tested approach. That is, interviews with the particular group, in this case secondary school and academy Headteachers and Principals identified in the sample population, whose experiences are being investigated. Earlier in this chapter I acknowledged that whilst this study was qualitative in approach, I also considered using a mixed method of gathering data. Whilst face to face interview is the preferred option for gathering information from the Headteachers and Principals taking part in the study, in considering gathering further data from a sample of the colleagues of the participating Headteacher and Principal colleagues

about their leadership characteristics and competences, face to face interviews would be too time consuming in terms of gathering and analysing the data and reporting on the findings. The most obvious option here would therefore appear to be self-completion questionnaire. I will now consider these chosen tools in more detail in relation to their appropriateness to this study and the tradition of phenomenology.

3.3.1: Interview

In order to gather data about a phenomenon, in this case emotional intelligence and the role emotional intelligence plays in effective school leadership, then it is the people who are linked to the phenomenon, that is the Headteachers and Principals who are participating in this study, who will provide that data through statements about and general descriptions of their experience of the phenomenon which needs to be sought. This can then be analysed for meanings and meaning themes. However, the literature indicates, as does my own previous experience of carrying out in-depth face to face interviews that this is never straightforward.

Interviewing is one of the oldest and most widely used social science research techniques. Much has been written about the interview as a data gathering tool (Briggs, 1986; Powney and Watts, 1987; Oppenheim, 1992; Holstein, 1995; Kvale, 1996; Simmons, 2008; Denscombe, 2008) pointing out the caveats as well as the advantages. For example, interviews can be more flexible than a postal survey and, in the hands of a skilled interviewer can extract more information (Simmons

2008, p.187). A disadvantage is that they can be expensive to carry out in terms of time to administer, analyse and give feedback. However, the use of interview in research, states Kvale (1996, p.11), 'marked a move away from seeing human subjects as a simple manipulable and data as somehow external to the individuals, and towards regarding knowledge as generated between humans, often through conversation'. Cohen et al (2001, p.267) support this in that they suggested that 'interviews enable participants – be they interviewer or interviewees – to discuss their interpretations of the world in which we live, and to express how they regard situations from their own point of view', and continues 'in this sense the interview is not simply concerned with collecting data about life, it is part of life itself, its human embeddedness is inescapable'. This very much appeals to me as I am interested in the Headteacher/Principal participants' story of their journey to and through Headship/Principalship and their view, based on first hand experience, about effective school leadership. However, I feel I should pose the question: Why interview rather than questionnaire for the purpose of gathering data from the Headteacher and Principal participants? The direct interaction of the interview could be the source of both its advantage and disadvantage as a research technique. One advantage is it allows for greater depth which is what I am aiming to achieve whilst on the other hand it can be prone to subjectivity and bias on the part of the interviewer. I have already acknowledged the reflexive part I will play in my closeness to the subject of the data. However, as the respondents become more involved and, hence, motivated, they enable more to be said about research than is usually mentioned in a covering letter to a questionnaire, and they are

better than questionnaires for handling more difficult and open ended questions. What appeals most however, is the authenticity of this data. It is the participants' own version, spoken in their words, about their experiences. I am also drawn to the notion that semi-structured interview schedules open up the scope for pursuing areas of significance as they emerge from the 'conversation'. However, I am mindful of listening for meaning and not making judgements based on assumptions or presumptions. Taking all of this into account I have determined that, in-depth, recorded, face-to-face and semi-structured interview seems to be an appropriate tool to enable me to drill deep with the participant Headteachers and Principals in the identified sample about the phenomenon emotional intelligence and the role it plays in effective school leadership.

Whilst wishing to remain true to the purity of the phenomenological approach, in that it is about participants being able to articulate their experiences through detailed and in-depth questioning and discussion, I am also considering gathering data from stakeholders in each of the participating Headteacher and Principal school and academy communities. In-depth interviews would be too time consuming and difficult for a sole researcher to manage from a collation and analysis point of view. Therefore, I will also consider the merits of a self-completion questionnaire for this purpose. This will still enable me to gather both quantitative and qualitative data using both closed and open ended questions and could lead me at a later date to go back and carry out a more detailed face to face interview. I remain open minded to this. However, I will consider what the literature

has to say about gathering data using questionnaire as a methodology to support this essentially qualitative, phenomenological study. I will also keep in mind what has been written earlier in the chapter about the merits and dangers of taking a mixed method approach.

3.3.2: Self completion questionnaire

'Social scientists regard surveys as an invaluable source of data about attitudes, values, personal experiences and behaviour' (Simmons, 2008, p.182). Simply stated 'one of the most important parts of any research survey is the development of the questions' (Simmons, 2008, p.182). When considering the questionnaire as a data gathering tool however, Bell (1999, p.119) warns that they are 'fiendishly difficult to design'. Further to this pessimistic view, Cohen et al (2001, p.245) concludes that 'the questionnaire will always be an intrusion into the life of the respondent, be it in terms of time taken to complete the questionnaire, the level of threat or sensitivity of the questions, or the possible invasion of privacy'. Ethical issues therefore must be carefully considered including: informed consent and rights to withdraw or not complete; confidentiality, anonymity and non-tractability; threat or sensitivity; methodological rigour and fairness.

Bell advises (1999, p.119) initial decisions have to be made about 'precisely what it is you need to find out'. To achieve this Cohen et al (2001, p.246) suggests that researchers need to move from a 'generalised area of interest or purpose to a specific set of features about which direct data can be gathered'. Considering the

specifics of the aim or aims of the questionnaire, any subsidiary topics that relate to the central purpose and any specific information requirements of the subsidiary topics. Wilson and McLean (1994, p.8-9) offer an alternative approach. That is to 'identify the research problem, then clarify the relevant concepts or constructs, then identify what kind of measure (if appropriate) or empirical indicators there are of these'. Further to this Cohen (2001, p.247) concedes that although there is a large range of types of questionnaire, there is a simple rule of thumb, 'the larger the size of the sample, the more structured, closed and numerical the questionnaire may be, and the smaller the size of sample, the less structured, more open and word-based the questionnaire may be'. Cohen concludes:

It is almost impossible, as well as unnecessary, to try to process vast quantities of word-based data in a short time frame. If a site-specific case study is required, then qualitative, less structured, word based and open ended questionnaires may be more appropriate as they can capture the specificity of a particular situation. When measuring is sought then a quantitative approach is required; where rich and personal data are sought, then a word-based qualitative approach might be more suitable.

(Cohen, Manion and Morrison, 2001, p.247)

As stated it is my intention to gather deep and rich data from a small but well selected sample of 'successful' Headteachers and Principals via face-to-face in-depth interview. However as I am also considering gathering views from others about the leadership competences displayed by the Headteachers and Principals in the study and from this unpick the prevalence, frequency and hierarchical place of emotional intelligence competences. In this case I would opt for a simple, structured questionnaire which is made up of a few carefully selection of closed and open ended questions which could be completed through self completion. In this way I would be able to manage a larger sample set. The questionnaire is likely to produce data which is both quantitative in nature e.g. lists of competences which could be analysed statistically as well as and qualitative in nature e.g. a description of effective leadership competences. This will be determined by the nature of the questions being asked. Denscombe, (2008, p.155), reminds us that information from questionnaires tends to fall into two categories 'facts' and 'opinion'. He advises that researchers need to be clear about what it is they are seeking from respondents. My initial instincts are that I will be seeking opinions as I am interested in participant's views and beliefs about leadership competences and therefore the questions need to be open ended to elicit such a response.

3.3.3: Methodologies: Concluding thoughts

So why a face to face semi structured interview? This will enable me to focus on a small but significant sample of 'successful' secondary school Headteachers and academy Principals. Success may not necessarily be measured by outcome alone.

By successful outcome I mean schools which are judged to be good or outstanding using the Ofsted criteria, although there will be a number of such schools and academies in my sample. I also intend to focus on Headteachers and Principals who have taken schools or academies through and out of special measures and by dint are judged to be effective and successful leaders. I will, through face to face semi-structured interview, unpick the competencies of emotionally intelligent school and academy leaders and how such leaders go about building emotionally intelligent, self sustaining school and academy communities.

I have also considered using a simple self completion questionnaire to be completed by a stakeholder sample drawn from the participating Headteachers and Principals school and academy communities focusing on the phenomenon of emotionally intelligent leadership. Initially I thought about doing this because I was interested in what others, working in the participant's organisations, deem to be effective school leadership competences and this would support the second part of the Allen Model for Effective School Leadership (figure 5, p.144), that of emotionally intelligent school communities. However, on reflection I have determined that whilst of considerable interest to me and this research it would be too time consuming and also may lead to a somewhat confused approach to the phenomenological study. I have therefore concluded that, for the purpose of this study, the approach will be purely qualitative, the research population will be a small but a carefully selected sample of effective Headteachers and Principals and the data gathering tool will be face to face semi-structured interview. It may be

however, in the fullness of time that I make recommendations in concluding this research that the next step would be to expand the research population to include the views of those who work with the participating Headteachers and Principals. I understand this would be desirable to give credence to and to support further the development of the Allen Model for Effective School Leadership (figure 5, p.144), particularly Domain B which specifically concerns itself with the competences displayed by emotionally intelligent school and academy communities. By gathering data from the school and academy constituents it would determine how others view the Headteachers or Principals competence in developing such communities. Further to this one would need to spend a considerable amount of time in each school carrying out participant observation to gather data about the phenomenon of emotionally intelligent school communities. For now however, I think that is another study altogether and I have decided to keep it separate to this current research but suspect I will make this a recommendation for future study. Therefore, the focus will be specifically on gathering data from the participating Headteachers and Principals to support the further development of Domain A of the Allen Model for Effective School Leadership (figure 5, p.144). I acknowledge, however, the information gathered is most likely to evidence the emotional intelligence competences they have used to build emotionally intelligent school or academy communities and therefore will support the further development of Domain B of the Allen Model for Effective School Leadership (figure 5, p.144). However, this is not the main focus of the research but could set the scene for subsequent future research recommendations.

Having made this decision it is timely for me to now to consider the complex issue of sampling in general and use this to inform the size and make-up of the research population for this study specifically.

3.4: Sampling: Introduction

Much has been written about sampling (Bryman, 2001; Cohen et al, 2001; Creswell, 2003; Denscombe, 2008). All agree social researchers are frequently faced with the fact that they cannot collect data from everyone who potentially falls into the group or category being researched. However, researchers acknowledge that in order for research to be valid, sound judgments have to be made about four key factors in sampling:

1. The representativeness and parameters of the sample
2. The sampling strategy to be used
3. The access to the sample
4. The sample size

3.4.1: The representativeness and parameters of the sample

In identifying the 'sample' Denscombe (2008, p.13) advises that 'it is not good enough to assume that findings from the sample will be replicated in the rest of the population', concluding that 'the sample in the first place needs to be carefully selected if there is to be any confidence that the findings from the sample are

similar to those found among the rest of the population being investigated'. A sampling frame, as defined by Denscombe in his earlier work, is 'an objective list of the 'population' from which the researcher can make his or her selection' (Denscombe, 2003, p.17). Further to this Sturgis (2008, p.166) defines 'population' as 'the totality of objects in the 'real world' in which we are interested'. Whilst Cohen et al (2001, p.98) state that the 'researcher will need to consider the extent to which it is important that the sample in fact represents the whole population in question, if it is to be a valid sample'. Sturgis (2008, p.166) concludes that 'the underlying motivation of sampling is to make statistical inferences from samples to population'. The 'population' I wish to study, that is all secondary school Headteachers and academy Principals in England, is vast. Currently there are over 3000 state secondary schools and academies in England. I therefore need to consider carefully the representativeness and parameters of the 'population' to be studied, that is the sample distribution, in order for the sample to be judged to be valid.

3.4.2: The sampling strategy to be used

The sample distribution can be determined in two ways – 'probability sampling' and 'non-probability' sampling. The former is based on the 'idea that the people or events that are chosen as the sample are chosen because the researcher has some notion of the probability that these will be a representative cross-section of people or events in the whole population studied' and the latter is 'conducted

without such knowledge about whether those included in the sample are representative of the overall population' (Denscombe, 2008, p.13).

Probability sampling tends to be used where a large sample of the representative population is sought. The sample is selected in a 'random' fashion resulting in a cross-section of the population being identified. Considering the ethnographic nature of my chosen research methodology probability sampling appears to be an unrealistic option for the purpose of this study. Having rejected probability sampling and having articulated the reasons why, I consider non-probability sampling as the way forward for my research. However, just as there are several types of probability sampling, so there are several types of non-probability sampling including: convenience sampling, quota sampling and purposive sampling for example. *Convenience sampling* involves choosing nearest individuals to serve as a representative. This is not the way in which I would choose to select the sample population in my research. Although I intend to select a small number of Headteachers or Principals, they will not be selected on the grounds of convenience or ease of access in terms of the proximity to or nearness to my geographical location. It is my intention to select Headteachers and Principals from a number of schools and academies across England. Whilst aiming not to select participants on the grounds of convenience, Denscombe (2008, p.18) quite rightly points out that in all honesty 'an element of convenience is likely to enter into sampling procedures because researchers have limited money and limited time at their disposal' Whilst I acknowledge I am considering

using two Headteachers in my sample who are based within a thirty mile radius of my locality, they have been selected on the grounds of meeting the Ofsted criteria for good or outstanding leadership not on the grounds that they are easy to access. I do however wish to 'hand pick' a small sample of Headteachers or Principals who have a proven track record of being successful secondary school Headteachers or academy Principals. In doing this there is an element of *quota* to my sample. In that it is my intention to select good or outstanding Headteachers and Principals. Success is measured against the Ofsted criteria for good/outstanding leadership and or by having successfully led a school or academy through and out of special measures and has therefore been judged by Ofsted to be an effective secondary school or academy. Quota sampling has been described as the non-probability equivalent of stratified sampling. Like a stratified sample, a quota sample strives to represent a significant characteristic (strata) of the wider population. In this case the strata will be the category of proven good or outstanding Headteachers or Principals within the wider population of all Headteachers and Principals. Further to this my sample will be purposive in that I intend to 'hand-pick' the sample using the Ofsted criteria for effective school leadership. This method of sampling is referred to as 'purposive sampling' and is 'applied to those situations where the researcher already knows something about the specific people or events and deliberately selects particular ones because they are seen as instances that are likely to produce the most valuable data' (Denscombe, 2008, p.17). Denscombe (2008, p.17) advises the researcher in this situation to ask the question: Given what I already know about the research topic and about the range of people or events

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studied, who or what is likely to provide the best information?' That is, as Denscombe (2008, p.17) puts it, I am able to 'home in on people or events which there are good grounds for believing will be critical for the research'. As Cohen et al (2001, p.103) state 'the selectivity which is built into a non-probability sample derives from the researcher targeting a particular group, in the full knowledge that it does not represent the wider population; it simply represents itself'. They continue 'this is frequently the case in small scale research, for example, as with one or two schools, two or three groups of students, or a particular group of teachers, where no attempt to generalise is desired; this is frequently the case for some ethnographic research, action research or case study research'. This sits well with the nature and type of my social science research. My starting point is to select a number of Headteachers and Principals currently working in secondary schools and academies in England who have been judged using the Ofsted criteria as being good or better and to find out about the relationship between emotional intelligence and effective school leadership using the Allen Model for Effective School Leadership (figure 5, p.144) as a theoretical framework on which to base the research. That is emotionally intelligent school Headteachers and Principals build emotionally intelligent school communities which in turn are able to nurture and sustain each other.

3.4.3: Access to the sample

Gorard (2001, p.240) believes that 'probability samples should be used in all circumstances in which they are possible'. He makes this assertion on the grounds

that a 'high quality sample is crucial for a safe generalisation to take place for high external validity'. He concludes, therefore, that 'non-probability samples should be reserved only for those projects in which there is no choice' (Gorard, 2001, p.240) and more damningly he suggests that 'the most common, and over-used, form of non-probability sampling is the convenience sample, composed of those cases chosen only because they are easily available'. Whilst it is my intention to use the non-probability approach this is not being used on the grounds of convenience and closeness to the sample. It is being used on the grounds of me acknowledging my 'position' to the sample and my desire to accept my reflexivity to it because I have something significant to contribute to the research and its outcomes. When considering access Cohen et al (2001, p.98-99) point out the 'importance for researchers to ensure not only access is permitted but it is, in fact, practicable'. As a serving Assistant Headteacher and a member of a Senior Leadership Team and through the work I have undertaken with senior colleagues in other secondary schools and academies, I am in a good 'position' to gain access to senior colleagues to carry out initial pilot work for my research. Further to this I am a Research Associate at the National College for School Leadership. NCSL, for the purpose of identifying my participant sample, could play a significant 'gatekeeper' role through which I could gain access to senior leaders.

I am in a strong 'position' to take on the role of the overt researcher. In doing this I recognise and acknowledge that research cannot be value free and therefore to be open about my own reflexivity to the research focus. Bryman (2001, p.140) argues

that 'researchers are increasingly prepared to acknowledge their biases and their assumptions and how these may influence the subsequent findings'. He concludes that, 'the researcher is viewed as implicated in the construction of knowledge through the stance that he or she assumes in relation to the observed and through the ways in which an account is transmitted in the form of a text' (Bryman, 2001, p.470). This overt role could allow me to gain access to the necessary fieldwork settings. Further to this, access could also be eased through my role as research associate at NCSL and also through contacts I have developed through my work with Professor Brent Davies at the University of Hull Business School. However, I understand that access is far more than a matter of granting permission for research to be carried out. It is about gaining access to start to build relationships so that one, in the fullness of time, will be trusted with insights and insider information. Cohen et al (2001, p.144) stress that the issue of acceptance of the researcher by the participants as being complex 'for the researcher will be both a member of the group and yet studying that group, so it is a delicate matter to negotiate a role that will enable the researcher to be both participant and observer'. My 'position' as an Assistant Headteacher and my reflexivity to the research focus, that is the emotional dimension of leadership, potentially will have a positive impact on the initial access to participants and subsequent acceptance by them as both a participant and observer. Fundamentally, I would argue both participants and observer stand to benefit from the research by gaining insight into the role emotional intelligence plays in effective school leadership.

3.4.4: Sample size

Bryman (2001), when writing on this subject, states one question he is asked more than any other relates to the size of the sample: How large should my sample be? He continues, 'your sample should be as big as you can manage within the practical constraints and resources available to you' (Bryman, 2001, p.95). Oppenheim (1992), however, believes that 'sample accuracy is more important than a sample size' (Oppenheim, 1992, p.108). Cohen et al (2001, p.93) offer a further consideration when they state 'sample size is also determined to some extent by the style of the research'. A major consideration for me when deciding on sample size is the nature of ethnographic research, in that it is a drill deep approach, which dictates that the sample size is relatively small. What I must consider is: How small is small? The problem I must overcome therefore is that my selected sample is of a size that allows any subsequent analysis to be valid. As I have chosen to gather data using a face to face, semi structured, interviews schedule, it is accepted that the sample size by the very nature of this approach will be small. It is not my intention to use the outcome of my research to make generalisations about the population as a whole but to compare the findings of those participating in the research and test the Allen Model for Effective School Leadership (figure 5, p.144) against them. It is my intention therefore, in the first instance, to select and secure the participation of six acknowledged effective Headteachers or Principals from a range of different secondary schools or academies across England and to concentrate on producing a comparative study of the role their use of emotional intelligence competences has played in their

leadership effectiveness. That is their ability to build self sustaining, emotionally intelligent, effective school or academy communities. I believe this number represents a balance between the potential to gather rich, deep and representative data within the constraints of time and cost. The outcome of my initial research may lead to broadening the study in the future to include a wider sample of Headteachers and Principals or indeed, as has been acknowledged earlier in this chapter, other constituents from participants schools and academies involved in the study.

Having determined the size of my initial sample, the next task is to design the one to one, face to face semi-structured interview schedule in order to gather the data from each of the participating Headteachers and Principals. In doing this I must first consider the ethical issues surrounding social science based research in general and in particular the ethical considerations related to the use of the data gathering tools, face to face, semi-structured interview.

3.5: Ethical considerations: Introduction

The very nature of social science research is fraught with ethical sensitivities; even more so in educational research, as in this study, where one is investigating the practice of fellow professionals. Cohen et al (2001, p.49) sum this up well when they argue that the dilemma is in researchers being able to 'strike the balance between the demands placed on them as professional scientists in pursuit of truth, and their subjects' rights and responsibilities'. They refer to this as the

'cost/benefits ratio'. Gilbert (2008, p.146-147) supports this when he argues that 'while truth is good, respect for human dignity is better, even if, in the extreme case, the respect of human dignity leaves one ignorant of human nature'. He concludes that 'such ethical considerations impinge upon all scientific research, but they impinge particularly sharply upon research in the human sciences' (Gilbert, 2008, p.146-147). In short, social researchers have a moral imperative to work within the boundaries of accepted ethical principles

In terms of social science research ethics, there are, in general, three agreed basic underlying ethical principles which should guide social science researchers. Denscombe (2008) outlines these succinctly and clearly in his Good Research Guide. These principles are, however, substantiated and consistently echoed by others working in the field of social science research (Creswell, 2009; Coleman et al, 2002; Gorard, 2001; Cohen et al, 2001; Bryman, 2001 & 2008). Denscombe (2008, p.143-145) categorises social research ethical principles into three distinctive areas which are:

1. The interest of participants should be protected.
2. Researchers should avoid deception or misrepresentation.
3. Participants should give informed consent.

Denscombe (2008, p.142) argues 'on moral grounds, these principles stem from the belief that people should be protected from researchers who might be tempted

to use any means available to advance the state of knowledge on a given topic'. He concludes, 'the principles rest on the assumption that researchers have no privileged position in society that justifies them pursuing the interest at the expense of those they are studying – no matter how valuable they hope the findings might be' (Denscombe, 2008, p.142). In order to have a better understanding of each of these principles I will consider what has been said about them in the literature in general before I consider the relevance specifically to the practice of my own social science research.

One would agree that research that is likely to harm participants is unacceptable. But what is harm? Bryman (2001, p.479), in answering this question, concludes that 'harm can entail a number of facets: physical harm; harm to participants' development; loss of self-esteem; stress; and inducing subjects to perform reprehensible acts'. To avoid any such harm firstly one must adhere to ethical codes of practice surrounding the identity of participants. Denscombe (2001, p.142) talks about this in the context of there being a 'broad agreement that researchers need to protect the interests of the participants by ensuring the confidentiality of information that is given to them', concluding that 'research data should be kept secure and, when publishing results, care needs to be taken not to disclose the personal identities of individuals who have contributed to the findings'. Further to this, there is a general expectation that participants should be fully conversant with the nature of the research and that they should feel confident that

there will be no deception or misrepresentation when data is analysed and research findings are reported on.

Gilbert (2008, p.153-154) highlights that 'argument has waxed fierce at times about the use of deception in research' and that the 'obligation to tell the unvarnished truth has been much debated'. Clearly it is not just unethical but immoral to misrepresent findings or to outright deceive, that is to lie about outcomes, in order to validate the research hypothesis. However, to tell the 'unvarnished truth', whatever the impact, would seem at odds with the first principle, which is to protect participants. Therefore, social science researchers in general, and specifically those carrying out educational research, have a responsibility on the one hand to their profession in its search for knowledge and its quest for truth, but on the other hand to act in such a way as to preserve the dignity of the participants involved. When considering this dilemma, Cohen et al (2001, p.56) conclude that it is 'important we remember to recognise that the distinction between ethical and unethical behaviour is not dichotomous, even though the normative code of prescribed ('ought') and the proscribed ('ought not') behaviours, as represented by the ethical standards of a profession, seem to imply that it is'. They continue, 'judgements about whether behaviour conflicts with professional values lie on a continuum that ranges from the clearly ethical to the clearly unethical' and that 'the point to be borne in mind is that ethical principles are not absolute' (Cohen et al, 2001, p.56). Clearly however, in order to ensure confidence in those participating in the research, securing consent from participants in the form of written consent is

strongly advised. Whilst written consent may be difficult in a study involving a large sample of participants, in a small phenomenological study such as this one, seeking written consent from participants should be relatively straightforward. However, one should also acknowledge that whilst every effort must be taken to second guess the potential for harm in carrying out such research, and therefore putting in place measures which would avoid such harm. Bryman (2001, p.480) warns though 'it is not always possible to identify in all circumstances whether harm is likely'. He does conclude however, that it is essential to obtain 'informed' consent from participants. This raises a further dilemma in determining what constitutes 'informed' consent? Bulmer (2008, p.151) writes that 'informed consent is generally taken to mean that those who are researched should have the right to know that they are being researched, and that in some sense they should have actively given their consent'. The premise of 'informed consent', Denscombe (2008, p. 145) suggests are that participants must have 'sufficient information about the research to arrive at a reasoned judgement about whether or not they want to participate'. Further to this, where the consent is in written form 'it acts as a way of formally recording the agreement to participate and confirming that the participant has been informed about the nature of the research' (Denscombe, 2008, p.145). In this way the researcher is being transparent about their actions and also protects the researcher against future accusations that he or she acted inappropriately when seeking the involvement of people in his or her research.

Having considered the principles in general, I now pose the question: So how have these guiding principles specifically helped me in this research study? In relation to the first principle – *Interests of participants should be protected* - I have considered the likely consequences of participation for the Headteachers and Principals in the sample. It is my intention, wherever possible, for this to be a positive, rewarding and informative experience for the participants. In that I am setting out to understand and give meaning to why they are successful in their role as they have experienced it and what part had/does emotional intelligence play in that effectiveness. I am keen to acknowledge the Headteacher and Principal participants as effective practitioners. I do understand however, as Gorard (2001, p.144) points out, when considering the ethical challenges for educational research, that 'the first responsibility of all research should be to quality and rigour'. In achieving this, adherence to principle 2, - *Avoiding deception and misrepresentation* - is of paramount importance and would address the dilemma about reporting all findings openly and honestly. Therefore, it is my intention to be transparent about how the data will be gathered and reported. Although, I acknowledge the very nature of the schedule being semi structured could throw up unexpected scenarios in the actual interview. I would want this to be viewed in a positive, personal development, light. In doing this I will have fulfilled the third principle – *Participants should give informed consent.* This, according to Denscombe (2008, p.145-147), both protects the participant and the researcher. I have followed this advice and designed a consent form (appendix 2) which outlines the nature of the research and seeks permission to include the outcomes of the

research and also their identity and the identity of the school/academy they lead in any subsequent academic publications.

I have also been mindful of adhering to the conventions set down by professional associations in relation to educational research. Further to this I have sought and been granted prior approval (appendix 2) from the Hull University Business School Research Ethics Committee to carry out this research.

The context of the research also dictates the way in which it is carried out, which in turn impacts on the ethical issues which arise from this. Therefore, I will now consider in detail the ethical issues related to the methodological approach of this qualitative, phenomenological study and the associated data gathering tool I have chosen to use.

3.5.1: Ethics in interviews

As it is my intention to investigate the phenomenon of emotional intelligence in relation to effective secondary school and academy leaders by gathering deep qualitative data from participants using face to face and one to one semi - structured interview. It would not be practical or desirable to expect anonymity for the subjects involved as I am keen to acknowledge these Headteachers and Principals as effective practitioners from whom we can learn about effective leadership which in turn will further inform the proposed Allen Model for Effective School Leadership (figure 5, p.144). Therefore, from the outset I will make it clear

to the participants that this is the expectation and secure written agreement to this via a signed consent form which offers both protection for the participating Headteachers and Principals and for me, the researcher. This is also in the spirit of building a positive participant/researcher relationship by being open, honest and transparent and acknowledging the potential for reciprocal benefit and reward.

To this end I understand that the face to face and one to one semi-structured interview is first and foremost a social, interpersonal encounter, not merely a data collecting exercise but that the interview serves to produce information about the human condition. I consider there to be three main areas of ethical issues involved with face to face and one to one interview as an information gathering methodology – informed consent, confidentiality, and the consequences of the interview. In order to address these issues I will provide the participating Headteachers and Principals, via an introductory e mail (appendix 1), which I will follow up with a letter (appendix 1) and consent form (appendix 2), with information about myself and a point of contact; information about the research I am undertaking including what is being investigated, how the interview will be conducted and what the expected benefits are likely to be as a result of this investigation; a clear outline of the expectations of the participant's contribution including what tasks the participants will undertake, how much time it is likely to take and the rewards and incentives there might be for taking part in the research. Further to this I will incorporate a commitment to confidentiality and security of data clause and also the right to withdraw this consent if they no longer wish to contribute to the study.

3.5.2: Ethical issues in relation to this research study: Concluding thoughts

Ultimately it is my intention for this study to benefit the participating Headteachers and Principals and the schools and academies involved in the study and that it will be meaningful to their current and future practice and secondly for this to inform the further development and future use of the Allen Model for Effective School Leadership (figure 5, p.144). To this end, it is fundamental for me to adhere to the underlying principle in educational research of a commitment to honesty and to the pursuit of truth whilst also acknowledging the need to work sensitively with all participants. However, as Busher (2002, p.73) points out 'fully ethical research is impossible to achieve' and cites Marlene de Laine (2000, p.205) who argues that 'fieldwork is inherently problematic by virtue of the conditions that make knowledge production possible where personal relations and social interactions are the context for unearthing meaning'.

I understand the importance of, and value in, carrying out a pilot project. In doing this one is able to identify any potential research design problems, including ethical issues, early on which can be addressed prior to the onset of the research proper. With this in mind I will explore in more detail the reasoning behind the necessity to carry out a pilot project thus testing out the chosen research methodology and associated data gathering tool. I will therefore now consider the potential benefits of carrying out such a pilot and outline how I intend to carry out pilot work in relation to this study.

3.6: Piloting

Bryman (2001, p.155) advises 'it is always desirable, if at all possible, to conduct a pilot study before administering a self-completion questionnaire or structured interview schedule to your sample'. Gorard (2001, p.102), whilst in principle agreeing with Bryman, goes even further when he suggests that 'a pilot study should be seen as a full 'dress rehearsal' for the whole research design'. That is delivering the instrument in the same way and analysing the results in the same way. Bell (2002, p.167) warns that 'no matter how busy you are, all data-collecting instruments have to be piloted' and she continues 'you may have consulted everybody about everything, but it's only when a group similar to your main population completes a questionnaire and provides feedback that you know for sure that all is well'.

Therefore it is my intention to carry out a pilot project to test out the face to face interview schedule I have designed. In piloting the interview schedule I understand that this has several functions including - checking out and gaining feedback on the type of and clarity of the questions to eliminate ambiguities or difficulties in wording; the time taken to complete the interview. Indeed, those writing in the field of interview design acknowledge the wording is of paramount importance to the outcome and therefore pre-testing is crucial to its subsequent success. Coleman and Briggs (2002, p.153) recommend, once designed, to firstly pass the interview schedule onto experienced people for comment as sometimes you are too close to your research and others may be more objective. I intend to do this via contacts at

the University of Hull and secondly, by carrying out one or more pilot interviews and being prepared as a result to modify it, considerably if necessary. Bryman (2001, p.155) also suggests that 'piloting an interview schedule can provide interviewers with some experience of using it and can infuse them with greater confidence'. I can assert this having carried out previous research (Allen, 2004) and will do so again in this study. Further to this Oppenheim (2001, p.64) believes that 'pilot work can be immensely rewarding' whilst also acknowledging prophetically that 'pilot work can also produce some nasty surprises, but it is never dull'. I can empathise with this and conclude that pilot work is an essential aspect of research and time must be, and will in this study, be allowed for it.

In considering all aspects of ethical issues in relation to the study and testing out data-gathering tools prior to the onset of the research proper I also understand one needs to think about how one will report and present subsequent results and findings. In doing this I will then be fully prepared to undertake all aspects of the research. What follows is such a consideration.

3.7: Reporting and presenting results: Introduction

Data analysis, write Cohen et al (2001, p.147) 'involves organising, accounting for, and explaining the data; in short, making sense of the data in terms of participants' definitions of the situation, noting patterns, themes, catergories and regularities'.

Typically, according to the literature (Cohen et al, 2000, p.147), in qualitative research, data analysis commences during the data collection process. Indeed I would contest it begins even before this. In this respect I am addressing the issue of analysis at this stage of my research as I understand that the process of analysis takes place throughout research and not just at the end once one has gathered the data to be analysed. As Watling (2002, p.262) points out 'it is an interactive and persistent part of the research process'. For example, in determining the data collection tools available to me I set this in the context of what is practical and manageable as well as desirable and therefore the process of analysis had already begun. I understood by analysing the time it would take me to analyse and report on the outcomes of in-depth interviews that I could in the first instance sensibly manage six. I also considered, would this be enough data, and considered gathering further information via self-completion questionnaire from others close to the phenomenon but decided against this on the grounds of it 'muddying the waters' of data collection methods. Taking the one approach of face to face interview keeps the research sharply focused and 'clean'. Again analysis came into this process.

The final analysis however, of the collected data in which one is aiming to support one's initial hypothesis, is according to Watling (2002 p.262), 'the researcher's equivalent of alchemy – the elusive process by which you hope you can turn your raw data into nuggets of gold'. This is easier said than done however when, as Bryman (2001, p.388) points out, 'one of the main difficulties with qualitative

research is that it very rapidly generates a large, cumbersome database because of its reliance on prose in the form of such media as field notes, interview transcripts, or documents'. Cohen et al (2001, p.147), in respect of this, advise therefore that 'early analysis reduces the problem of data overload by selecting out significant features for future focus' and 'so that theory generation can be undertaken'. Finding a pathway through rich and deep data is the nub of qualitative data analysis. Further to this Watling (2002, p.264) suggests in order to achieve the best analytical outcome 'the important thing is that you, the researcher, make the decisions thoughtfully, systematically, critically and in ways which can be accounted for'. This advice has led me to consider more thoughtfully and critically the various ways in which qualitative researchers could analyse their findings. I am doing this in order to bring clarity and rigour in terms of reason and practice in my own research study.

Following the investigation through the literature I have concluded that there are two broadly accepted approaches to qualitative data analysis which are *analytical induction* and *grounded theory.* I will now consider both in general terms of their suitability in analysing and presenting findings in the phenomenological study genre per se and specifically in relation to analysing and presenting data findings from face to face interview, the data gathering instruments I intend to employ in this study.

3.7.1: Grounded theory

What is the grounded theory approach? Denscombe (2008, p.89) explains that 'it is an approach dedicated to generating theories and in that sense it contrast with approaches concerned with testing theories, and is different from research whose main purpose is to provide descriptive accounts of the subject matter'. The approach originated with the work of Glaser and Strauss and was set out in their book *The Discovery of Grounded Theory* in 1967. However, those writing about the theory today acknowledge that it now means different things to different people and has been adapted by a range of researchers selectively to meet the purpose of their research. However, Bryman (2001) when writing about grounded theory points out that it has become by far the most widely used framework for analysing qualitative data but also acknowledges equally there has been considerable controversy about what grounded theory is and what it entails. Indeed he concurs with Denscombe when he states definitions of it have changed a great deal over the years. However, Bryman (2001, p.390) goes on to explain that 'in its most recent incarnation, grounded theory has been defined as: theory that was derived from data, systematically gathered and analysed through the research process'. He continues, 'in this method, data collection, analysis, and eventual theory stand in close relationship to one another'. He concludes that 'thus two central features of grounded theory are that it is concerned with the development of theory out of data and the approach is iterative or recursive as it is sometimes called, meaning that data collection and analysis proceed in tandem, repeatedly referring back to each other' (Bryman, 2001, p.390).

It is worth at this point acknowledging that data, in terms of qualitative data as defined by Coleman et al (2007, p.267) when considering the notion of qualitative data analysis, 'is about searching for understanding, rather than knowledge; for interpretations rather than measurements; for values rather than facts'. In other words it is not about the analysis of given, measurable, and objectively verifiable facts but it is about the analysis of thoughts, feelings, expressions and opinions. Central to the grounded theory is the notion of coding. That is breaking down these feelings, thoughts and opinions into component parts which are given names. In this way they can be better analysed. This is done in an attempt to give this qualitative data analysis methodology the same gravitas given to the empirical data associated with quantitative research. However, whilst I can see some resonance with my own research, I am interested in testing out a theory of effective school leadership linked to emotional intelligence, by gathering data about participant's experience of the phenomenon emotional intelligence in relation to effective leadership. As the point of grounded theory is to generate theories, not to test them, as a method of analysing the qualitative data I intend to generate it would appear it is not suitable. I am also conscious of the fact that there are a number of cultures within the umbrella term grounded theory. Indeed following Glaser and Strauss' initial conceptualisation they, too, took separate paths within the construct with Glaser taking a line more akin with positivism whilst Strauss was more in line with the traditions of interpretivism. I also understand in exploring the two schools of thought in more detail, both hold some elements of suitability to my own research study, however both are to do with the generation of theory as opposed to

the testing out of a theory and therefore I conclude neither would suit my need. So I now turn my sights to what the literature has to say about analytical induction.

3.7.2: Analytical induction

What is analytical induction? It is a process which was introduced by Znaniecki (1934) deliberately in opposition to statistical methods of data analysis. Bryman (2001, p.389) describes it thus: 'Analytical induction is an approach to the analysis of the data in which the researcher seeks universal explanations of phenomena by pursuing the collection of data until no cases that are inconsistent with a hypothetical explanation of a phenomenon are found'. Bogdan and Birklen (1975, p.75) set out five stages in analytical induction. They are:

Step 1   In the early stages of research a rough definition and explanation of the particular phenomenon is developed.

Step 2   This definition and explanation is examined in the light of the data that is being collected during the research.

Step 3   If the definition, and or, explanation, that have been generated need modification in the light of new data then this is undertaken.

Step 4   A deliberate attempt is made to find cases that may not fit into the explanation or definition.

Step 5   The process of redefinition and reformulation is repeated until the explanation is reached that embraces all the data, and until a

generalised relationship has been established, which will also embrace the negative cases.

(Cohen et al, 2001, p.151)

It would appear therefore that analytical induction is extremely rigorous. Whilst I applaud this rigour, in terms of my research study, although phenomenological in nature, it does not set out to exhaust the experience of the phenomenon of emotional intelligence and its part in effective school leadership, but that it sets out to determine the experiences of the phenomenon from a select small-scale population sample. What this process does do however, and I can empathise with this, is set out where inconsistency with the research hypothesis is found. The analyst, therefore, either redefines or reformulates the hypothesis. Having hypothesised about the relationship between emotional intelligence and effective school leadership based on the practice driven culture of the construct and having developed a theory of effective secondary school leadership through the Allen Model for Effective School Leadership (figure 5, p.144), I am open to adapting, amending or even changing the theoretical model as a result of the data gathered in the field. In this way the analytical induction methodology does have much to offer in terms of a methodology for analysing the data set in my research study.

3.7.3: Data analysis: Concluding thoughts

The two methods of data analysis – analytical induction and grounded theory - on first reading seem very similar. The key difference appears to be that the first refers to the development of a hypothesis and the later to the development of a theory. Bryman (2001, p.392) defines hypothesis as 'initial hunches about relationships between concepts', in my own case I hypothesise that there is a relationship between effective school leadership and emotional intelligence. This would also appear to be pertinent to my own research study in that I have firstly developed a hypothesis, which I have then extended by building a theoretical framework of effective leadership as set out in the Allen Model for Effective School Leadership (figure 5, p.144) and finally by gathering qualitative data in relation to this. By carrying out the research I am setting out to formalise this theory through the gathering of data about the phenomenon as participants in the research experience it. To this end the analysis induction method of qualitative data analysis would appear to better meet the needs of my research study. This decision is based on a systematic, balanced and critical investigation of the two methodologies - grounded theory and analytical induction. I am now in a stronger position to develop the data gathering instruments for this social science, qualitative, research study. That is, the study of the phenomenon emotional intelligence and the role it plays in effective secondary school and academy leadership.

3.8: Data gathering instrument design: Introduction

Having decided to compile qualitative data from participating Headteachers and Principals using a face to face and semi-structured interview technique, I now had the task of designing the interview schedule. What follows is an exploration and explanation of how I went about designing and testing out the said data gathering tools.

3.8.1: Semi-structured interview schedule design

Bell (1999, p.135) suggests the 'major advantage of the interview is its adaptability'. The way in which a response is made, the tone of voice, facial expression, hesitation, for example, can provide information that a written response would conceal. Bell does point out, however, there are disadvantages which I will take into consideration when using face to face and one to one interview as a data-collecting tool. For example, interviews are time consuming, and therefore in a time-constrained study you will be able to interview only a relatively small number of people. This has helped inform my decision to interview six participants as a starting point for this research. It may be in the fullness of time this is extended. However, I understand six participants to be a manageable number in the first instance. They are also drawn from a range of schools and academies from across England, including an 11-16 comprehensive school, two 11-18 comprehensive schools, two 11-18 academies and an 11-18 boys grammar school and represent both male and female Headteachers and Principals who have been deemed to be successful following Ofsted inspection .

I am aware this is a highly subjective technique and that there is the danger for bias. However, I have acknowledged my position to the phenomenon and accept the importance of my own reflexivity as a serving senior school leader. I understand however, that this method of collecting data can yield rich material and this is why I have chosen it. I have chosen semi-structured interview however, as opposed to structure or unstructured as the structured interview would not meet the requirements of the ethnographic nature of my research as it is more commonly used to gather quantitative data and unstructured, whilst often used in qualitative research, would be too time consuming, taking up potentially two or three hours per interview. Semi-structured interviews, however, allow a degree of latitude, enabling respondents to express themselves at length but offer enough shape to prevent aimless rambling. However, I will make good use of the pilot as a means by which to test out my approach and make any subsequent adjustments to positively inform for next stages of data gathering.

However, I acknowledge, as Coleman and Briggs (2002, p.151-152) point out that it is a 'highly skilled job to devise an interview schedule which elicits relevant information, contains no redundant items and eliminates questioner bias'. Cohen et al (2001, p.277-278) also caution 'if there are varied ways of asking questions, it follows there are varied ways in which they may be answered'. I understand the complexities and inherent dangers of using such a tool but aim to temper this by the use of prompts and probes when framing the questions to guide respondents in points of clarification or expansion. Again this is why the pilot interview, whilst time

consuming, is vital and actually should be time well spent and indeed may save time in the long run. It is at this stage that potential problems with the interview schedule and the associated questions could emerge and can therefore by worked on prior to carrying out the remainder of the interviews.

I will use open ended questions which are considered to be the easiest type of questions to design because of their open ended format. Gorard (2001, p.93) suggest this is because 'they are the most natural way of expressing a question in every day conversation'. In doing this however, the researcher gathers a huge amount of data. In order to make sense of this data, however, one must have developed a systematic method of coding the data in order to be able to analyse it. The piloting of the interview schedule is also crucial as it checks out and further informs the designated coding system. In order to better understand how to code, I turn my sights firstly to what the literature has to say in relation to qualitative research and in particular the use of semi-structured interviews as a data gathering instrument and the associated methods of analysis.

3.8.2: Coding qualitative data

What is coding? The literature (Bryman, 2008, p.33; Coleman et al, 2002, p.272; Gilbert, 2008, p.323 and Creswell, 2009, p. 183) indicates it is a key stage in research for enabling the analysis and interpretation of the gathered data. This is true whether the data be quantitative or qualitative in nature. Gilbert (2008, p. 325) concludes that 'however you collected the data, whether the data is quantitative or

qualitative, you will now be faced with a sorting task which by its very nature will impose a discipline on this stage of the research'. As Silvey (1975, p.16) says, 'research ultimately must be based on comparisons, whether it be comparisons between different groups of cases, between the same cases at different points in time, or even between what is and what might have been'. Therefore, in order to make comparisons in terms of qualitative data as in this research, I will have to break the data down into component parts that are categories and sub categories, which are then coded.

One further issue about coding, according to the literature (Creswell, 2009, p.187) is whether the researcher should (a) develop codes only on the basis of the emerging information collected from participants, (b) use predetermined codes and then fit the data to them, or (c) use some combination of predetermined and emerging codes. The traditional approach, advises Creswell, is the former that is codes are developed from the interview process. However, as my research is grounded in the notion of testing out a predetermined theoretical framework, that is the Allen Model for Effective School Leadership (figure 5, p.144) which is based on Goleman's (1995) practice driven model of Emotional Intelligence whose competencies are outlined in his Emotional Intelligence Competency Inventory (Goleman, 2002, appendix B), it would appear that an approach which pre-codes initially and fine tunes that coding through the pilot interview process is the best fit for this research. I understand this is why the piloting of the interview schedule is crucial to the further honing and development of the coding frame and is, further to

this, fundamental to the data analysis and data interpretation process when reporting outcomes and findings. Therefore I have determined to design a coding frame (appendix 3i), based on the competences outlined in the Allen Model for Effective School Leadership (figure 5, p.144), in advance of administering an interview schedule and then to fine tune that coding frame through the pilot interview process. Having made this decision, I must further consider should the subsequent data be coded and analysed mechanically or manually?

3.8.3: Coding: Mechanical or manual?

One of the significant developments in qualitative research in the last twenty years, Bryman (2008, p.565) argues, is the emergence of the computer software that can assist in the use of qualitative data analysis. Such a programme removes the clerical tasks associated with the manual coding and retrieving of data. The advantages of using the mechanical approach are obvious in that it saves time and makes many of the tasks associated with qualitative data analysis easier. However, the disadvantages, and this is echoed in the literature, that such an approach carries is the danger of the researcher becoming detached from the findings, and missing some of the less immediately obvious themes that come out of the interview. Further to this, Bryman (2008, p.584) advises that if you have a relatively small data set, as is the case in this research, that is six Headteachers/Principals make up the sample population, it is probably not worth the time and trouble navigating your way around a software program. I have heeded this advice and have determined to use a manual approach.

I understand that qualitative analysis involves the systematic consideration of the data to identify themes and concepts that will contribute to our understanding. That is, themes and concepts that are identified in one interview are compared and contrasted with similar material in other interviews. New themes that emerge from each interview may result in further analysis of previously coded interviews. Pertinent to this is the notion of transcription which is the systematic write up of the recorded interview from which a method of code recording is elicited. For example, recording codes in the margin, numbering lines of text, using different coloured pens to identify themes, drawing up an additional grid or matrix to list instances.

Pertinent to this, therefore, is the decision I have taken regarding transcription. In this case, mechanical transcription would not be advisable, in that transcribing in long-hand would take far too much time. Technology clearly has a positive role to play here in that listening to and word-processing the transcription would be the most appropriate way forward. However, I have to consider should this be something the researcher does themselves or is it classed as a technical administrative task which some else, with the appropriate skills and time, could be employed to do. Whilst, the researcher will be close to the phenomenon and the nuances of the interview, when listening to the taped interview, it is not necessary for them to carry out the mundane task of transcribing the interview. What is important is for them to then use the written transcript, along with the audio tape of the interview, from which to draw out emerging themes for comparison. Therefore, I will, in the first instance, have the recorded interviews professionally transcribed.

3.8.4: Theory into practice

Following the advice given in the extensive research methodology literature review outlined above, I now intend to put theory into practice by taking the following steps:

Step 1: Design the interview schedule, including associated codes, using the themes, major headings and sub heading themes to guide question design.

Step 2: Carry out pilot interview. Following this, if necessary, fine tune interview schedule and associated codes.

Step 3: Carry out second interview having fine-tuned the interview schedule and associated codes.

Step 4: Go back and fill in gaps from earlier interview based on amendments to initial questions /schedule if required.

Step 5: Pilot coding frame using two initial interview transcripts. Make amendments if necessary.

Step 6: Carry out subsequent interviews and further fine tune the interview schedule and associated codes if necessary.

Steps into action

Step 1: Design the interview schedule, including associated codes, using the themes, major headings and sub heading themes to guide question design

In designing the interview schedule (appendix 3ii) and associated codes (appendix 3i) I took as my starting point the Allen Model for Effective School Leadership (figure 5, p.144).

I started with the two separate *Domains* of the model:

> *Code A: Emotionally Intelligent Leaders.*
>
> *Code B: Emotionally Intelligent School and Academy Communities*.

Each of the two domains were then subdivided into *Major Headings* relating to the four interlocking themes of Domain A: Emotionally Intelligent Leaders and Domain B: Emotionally Intelligent School Communities of the Allen Model for Effective School Leadership (figure 5, p.144). For example I divided Domain A: Emotionally Intelligent Leaders into the four major headings (themes) of:

> *Code A1: Moral Purpose.*
>
> *Code A2: Emotional Self Awareness and Self Management.*
>
> *Code A3: Emotional Awareness of Others.*
>
> *Code A4: Flex Emotional Self with Emotional Self of Others.*

In doing this I decided to further subdivide the four major headings (themes) in to the two emotional intelligence categories *Personal Competences (A1 & A2)* and *Social & Relational Competences (A3 & A4).* This decision took me back to my

original model and I adapted it accordingly adding the two subcategory competences. I repeated the process with Domain B: Emotionally Intelligent School and Academy Communities, **Personal Competences (B1 & B2)** and **Social & Relational Competences (B3 & B4).** In doing this I realised I needed to do further work with the developing model to amplify the eight different themes within it. As my work has an affinity with the practice driven school of emotional intelligence, that is emotional intelligence is a set of competencies which can be developed and honed in the work place and for the purpose of this study the workplace is the school or academy community, I returned to the emotional intelligence competency inventory developed by Goleman (2002, Appendix B). I was keen to take this as my starting point but make it pertinent to education and the school/academy setting and specifically developing the Allen Model for Effective School Leadership (figure 5, p.144). The outcome is the Allen Model for Effective School Leadership – Emotional Intelligence Competency Inventory (appendix 3i).

Having developed the EI Inventory I then subdivided each of the four major headings (themes) within the two separate Domains, A: Emotionally Intelligent Leaders & B: Emotionally Intelligent School Communities into further subheadings. For example in **Domain A: Emotionally Intelligent Leaders** the major heading (theme) of **A1 Moral Purpose** was subdivided into the **Emotional Intelligence Leadership Competency Subheadings** of:

Code A1.1: Are in tune with their inner signals and guiding values and use to intuit the best course of action.

Code A1.2: Speak with conviction about their guiding vision.

Code A1.3: Live their values.

Code A1.4: Have integrity and an authentic openness to others about their feelings, beliefs and actions.

I approached each of the remaining three major headings (themes) within Domain A: Emotionally Intelligent School Leaders of the model and then repeated the process with Domain B: Emotionally Intelligent School Communities (appendix 3i).

Having developed the Emotional Intelligence Competency Inventory (appendix 3i) to fit the Allen Model for Effective School Leadership (figure 5, p.144) I added the coding frame to it (appendix 3i). I then set about designing the *interview schedule* (appendix 3ii) using a semi-structured interview methodology, involving a number of broad, open ended thematic questions which would prompt and promote discussion covering each of the major headings and associated subheadings. This was done with the intention of eliciting data about the phenomenon emotional intelligence and the associated emotional intelligence competences evidenced by each of the participating Headteachers and Principals. In doing this I would be able to analyse outcomes and draw comparisons using the coding system I had designed. For example, within the category of *Moral Purpose* (Code A1) I used the emotional intelligence leadership competences subheadings (see appendix 3i) to

shape the questions around the theme of *moral purpose.* I planned this would subsequently elicit data to support the hypothesis that there is a relationship between the emotional intelligence competences of being able to use ones moral purpose to intuitively guide thoughts and actions, as identified in the Allen Model for Effective School Leadership (figure 5, p.144). I started therefore with the following prompt questions:

1. Who/what has been influential in you becoming a Headteacher/Principal?
2. What is at the heart of your leadership style?
3. What values and principles shape you as an individual and what impact has this had on what drives you as a leader and how you lead?

The purpose of these questions was to unpick the major influences on each of the participants. That is what has shaped the adult and the leader they have become. I was keen for them to talk about personal and professional influences. That is their home backgrounds and how family life shaped the child and then the adult. Their leadership journey and influential role models and the impact this has had on their leadership style, actions and deeds. I wanted to really get at the heart of the Head, their guiding values and principles and to really understand their moral purpose.

I was mindful of the fact that these questions were somewhat structured, broad and perhaps even repetitive. However, I viewed them at this stage as more of a prompt for me to open up further questioning and discussion around the major heading of

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'moral purpose' and the associated subheading competences I was keen to evidence through the interview process with each participant. I understood these were a broad brush stroke starting point which I would use as a guide in managing the interview and which would enable me to subsequently drill deep as themes emerged. I did not want to stick rigidly to a set of questions, I was mindful of listening for meaning and following intuitively where the interview was going. Neither did I want the interview to be rambling and completely unstructured. I was sensitive to the importance of how the interviewee responds in terms of tone of voice, facial expression, mannerism, and body language in response to each question. That is, the nuances or *how* they respond to and answer the questions as opposed to *what* they are saying in response to the questions being asked. I view this, and this view is supported by Bryman (2008, p.451) amongst others, as being of at least equal importance if not of greater importance. He points out that 'qualitative researchers are frequently interested not just in what people say but also in the way that they say it' (Bryman, 2008, p.451). It is the nuances which *colour the words* and bring authenticity, passion and feeling to the meaning. This, I believe, is significant in determining the authenticity of what is at the heart of the participants in this study.

I approached each of the four categories in the same way and shaped the prompt questions accordingly, being mindful of the desire to open up a discussion around each of the major headings within the Allen Model for Effective School Leadership (figure 5, p.144) rather than simply a question and answer session. I, therefore,

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also understood the value of carrying out a pilot as Bryman (2008, p.247-248) suggests this is not a rehearsal for the real thing but it should be viewed as the real thing. With this in mind I carried out my first pilot interview.

Step 2: Carry out pilot interview. Following this, if necessary, fine-tune interview schedule and associated codes

I next tested out the semi-structured interview schedule I had developed, understanding that the analysis of each interview could lead to further modification of the interview schedule and the subsequent coding frame. This may result in going back to participants to ask additional questions to elicit additional information. This is in line with the qualitative, phenomenological, analytical induction approach I have chosen to take.

Having carried out the first interview with one of the participants, Jane Evans, I was able to determine that the initial interview worked well in terms of questioning technique and timing. However, I modified a couple of the questions which were too long and tried to adhere to the notion of the interview being semi- structured. This was not a series of questions as in a survey, but the exploration of themes and notions with meaning unfolding as the interview progressed. I realised that it was important not to let the questions restrict the flow of conversation but to go with the flow but at the same time not allowing the interview to become too rambling. On reflection I realised I had left a couple of key questions out which I subsequently asked the participant involved in the pilot to fill in the gaps via a

follow up telephone conversation. The catch all question at the end: 'Is there anything you would like to add which you feel the interview has not enabled you to pursue about leadership?', elicited an interesting response about the participant's concern for leadership succession and what it is about leaders that makes them 'outstanding' as opposed to 'good enough' and the notion of innate leadership ability which can not necessarily be learnt but can be honed and fine tuned. This led me to modify the interview schedule to include a question to enable the exploration of the notion of innate ability and planning for succession.

Step 3: Carry out second interview having fine tuned the interview schedule and associated codes

Step 4: Go back and fill in gaps from earlier interview based on amendments to initial questions /schedule if required

Following the modification of the semi-structure interview schedule I carried out the second interview with Denis Fay. The pilot had given me the confidence to move with the interviewee as themes emerged rather than doggedly sticking to *my* 'script'. This made for a much more symbiotic interview in which I was able to tease out understanding and go deeper with my questioning. Interestingly, the second interview took much longer, approximately ten minutes more, than the first and yet my interventions were fewer in that I saw the merit in giving thinking time for the interviewee to reflect and then articulate their answers rather than feeling the need to fill the silences. I found myself to be more courageous in my questioning and in

my waiting for the answers in the second interview. The third and subsequent interviews benefitted from this.

Step 5: Pilot coding frame using two initial interview transcripts. Make amendments if necessary

Step 6: Carry out subsequent interviews and further fine tune the interview schedule and associated codes if necessary

Having carried out two interviews and having had them transcribed professionally I set out to do some initial analysis using the coding frame I had designed (appendix 3i). It quickly became apparent that the questions I had compiled around the themes, major headings and sub-headings were eliciting the data I was seeking. However, what was also apparent was to manually code each interview was going to be time consuming. However, having assigned a code to each sub-heading and having left a large right hand margin on the transcript for annotation, once I became familiar with the system I thought it would be relatively straightforward to annotate the transcript. I thought this would also allow me to count the number of times each code was used and from this I would be able to comment on the emotional intelligence competences themes emerging from each participant interview in relation to the Allen Model for Effective School Leadership (figure 5, p.144). However, on piloting the use of the coding system with the first two interviews it quickly became evident that the system was far too elaborate and unwieldy. I actually found myself colour coding broad themes which were emerging across the two transcripts. As a result of this I abandoned my initial coding frame

and went for a much simpler colour coding of emerging themes system. I will further fine tune this system when analysing all six transcripts. Having determined to take this more open and less prescriptive approach to both questioning and coding I felt confident now to continue and carry out the remaining three interviews.

What follows is an in-depth analysis of the research findings from the six interviews I carried out with Jane Evans the Associate Principal of Shireland Collegiate Academy (11-18), Smethwick, the West Midlands; Denis Fay the Headteacher of Ulverston Victoria High School (11-18), Ulverston, Cumbria; Graham Hamilton the Headteacher of Ermysted Boys Grammar School (11-18), Skipton, North Yorkshire; Doctor Hilary Macaulay the Executive Principal and CEO of the West London Academy (3-19), Northolt, London, Tony Nicholson the Headteacher of Hodgson High School (11-16), Poulton Le Fylde, Lancashire and Stephen Wilkinson the Headteacher of the Queen Katherine School (11-18), Kendal, Cumbria.

CHAPTER FOUR

<u>FINDINGS AND ANALYSIS</u>

4.1: Introduction

I have gathered a huge amount of rich and deep qualitative data from the initial background research and from the hour long interview with each of the research participants. To understand the findings, from the data, I have taken an integrated thematic analysis approach. What follows, therefore, is the systematic consideration of the findings and the identified themes and concepts that have emerged from it. It is this, I anticipate, that will contribute to my understanding of the role the phenomenon, emotional intelligence, plays in effective school and academy leadership. Having heard, seen and witnessed the phenomenon in practice, it is my intention to bring greater validity to the theoretical framework identified in the Allen Model for Effective School Leadership. This will further support and, perhaps, extend or bring different perspectives to the models fitness for purpose.

4.2: An integrated thematic analysis of the data findings: Initial background research

Before I met with each of the participants I determined to carry out some background research. Firstly, from each of their most recent Ofsted report (appendix 4ii) and from each of their respective websites and prospectuses, I gathered information about the school or academy they each led. The reason for this was to start to build a 'case' profile for each of the six participants prior to the

interview process. Secondly, I set up an e mail contact (appendix 1) with each participant. Early contact was by way of introduction, to set the research in context and to garner firm interest in participation. I also did this because I wanted to start to build the researcher-participant relationship. These initial e mails were important to rekindle, in some cases, already established professional relationships and in others, with those participants I didn't know, to begin to build that relationship. Having secured involvement I asked each participant, in a follow up e mail, to provide me with information about their background including, early family life, schooling, further and higher education and employment history. I did this because I wanted to begin to unpick any common influences on their guiding principles and values. I also wanted to begin to determine if there were any apparent emerging themes in their individual journeys through to school and academy leadership. Finally, I wanted to use this background information as a lead into the first interview discussion point around the notion of influences and the impact these have had on them as an individual and as a school or academy leader. I have shown through the rigorous exploration of the literature that who we are is critical to how we lead and I wanted to test this out in the field. This is aligned to theme A1: Moral Purpose, in the Allen Model for Effective School Leaders (figure 5, p.144), which asserts that effective school leaders are effective because they are attuned to their own moral purpose and it is this which drives them in the role. Evidence which supports this, which I was looking for, is that participants are attuned to their inner signals and that they speak with authenticity about their guiding values. It is apparent that they live these values, have integrity in doing so and demonstrate

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they are open about their feelings, beliefs and actions. What follows are the initial findings.

From each of the participants' school or academy most recent Ofsted report (appendix 4ii) I was able to identify the grade given for leadership and management and overall effectiveness. In this way I started to build a profile of each participant to see if there were any common 'outstanding' leadership themes emerging and if they resonated with the emotional intelligence leadership competences outlined in the developed model for effective school leadership. What I found was illuminating. The six establishments being reported on were diverse in their academic and socio economic profile, as well as in their geographical location, but the commonality came in words and phrases used by Ofsted (appendix, 4ii), in the reports, about the nature of leadership and the effectiveness of the Headteacher or Principal. This is shown in the following extracts:

Exemplary leadership and management.
(Queen Katherine School Ofsted Report, July 2008)

Leadership and management of the school is outstanding and the Headteacher's approachability, firm determination and drive are recognised by the students, parents and staff alike.
(Ermysted Grammar School Ofsted Report, October 2008)

Overall the Academy is in a good position to move forward, leadership's clear vision, understanding and identification of areas for improvement mean that the capacity for improvement is good.

(Shireland Collegiate Academy Ofsted Monitoring Report, February 2009);

The Headteacher provides extremely good leadership, the school has improved rapidly under his guidance and he has set a clear direction for the school and raised expectations.

(Ulverston Victoria High School Ofsted Report, March 2009);

Senior leaders conveys high expectations for improvement.

(West London Academy Ofsted Report, January 2010);

The success of the school is due to excellent leadership and management provided by the Headteacher and his senior team.

(Hodgson High School Ofsted Report, March 2005)

I make the point, it is evident in the participating schools and academies full Ofsted reports and in the few extracts I have used to illustrate, that the six participants provide 'exemplary', 'outstanding' and 'excellent' leadership. It is also apparent they all have a clear vision, coupled with the ability to guide and nurture others to achieve that vision and in doing so to set and challenge high expectations. This

sentiment is echoed throughout the reports and supports what the literature says about the competences of effective school and academy leaders and leadership. This is in tune with the personal, social and relational emotional intelligence competences I have identified as being central to successful school leadership in Domain A of the Allen Model for Effective School Leadership which is amplified further in the associated developed Emotional Intelligence Inventory (figure 5, p.144 and appendix 3i, p.416).

The background information garnered from the Ofsted reports demonstrated some early common key effective leadership competences and characteristics and this is therefore significant to the research hypothesis - there is a relationship between effective school leadership and emotional intelligence. Interestingly the 'case' testimonies (appendix 4i) gathered via e mail prior to interview were interesting in their diversity. I will now look at this in more detail.

The six research participants have all been judged, by Ofsted, to be outstanding school or academy leaders and they display common 'outstanding' leadership skills, qualities and characteristics. However, from the participant's testimonies (appendix 4i) I did find there was real diversity in their personal and professional lives. They had their roots in a variety of different social economic backgrounds, although the majority would be considered to be from the working classes or lower middle classes. They hark from the north, the south and points in between, from a tiny seaside village, through to towns and large cities, located in both rural and

urban settings. They have followed a range of differing school, further and higher education pathways, although, all are university educated. They have had a diverse range of professional experiences including one spending her entire career in a single school, others in a range of schools but in one county, whilst others have worked in several schools and in a number of different counties. Through this diversity, however, I was able to begin to see similarities, in their life stories, about the impact both personal and professional experiences have had on shaping the adult they have become, the school leader they are and what underpins their guiding values and principles. For example, Hilary states, *'the people who have inspired me both in and out of work I think that is key to what I have done and where I am today'.* Steve writes about an *'inspirational maths teacher'* and compares this to a *'disruptive and sickening "teaching" environment provided by another teacher'*, making the point that teachers have a huge responsibility for the early learning experiences of children and young adults which can and does continue to impact later on into adult life. This takes us back to Fullan's (1999) assertion which he makes when writing about the teaching profession that, *'there are few professions other than teaching where gaining personal meaning through improving the lives of others years and even generations to come is so palpable and profound'* (Fullan, 1999, p.82). Interestingly Hargreaves and Fink (2006, p.173) when writing at least two, if not three, decades on from the research participant's school days outlines the moral imperative for current school leaders to show the way as, he asserts, *'a good starting point to restore faith in leadership is in education as it is in schools where we encounter and are influenced by our first*

leaders'. Each participant indicates a climb through the profession which was not, indeed rarely, self sought but more often as a result of having the ability to lead and manage effectively recognised and encouraged by others. Herein lies the responsibility for school leaders and managers to be attuned to their leadership talent spotting role and to bring on others for the greater good of the profession and therefore the greater good of the young people in the English education system. It is these youngsters who will one day themselves take up the leadership mantle in a range of settings and guises. This is, I argue and this is supported in the reviewed literature, the social imperative for school leaders now and in the future and one which each participant clearly evidence in their testimonies.

Further to this, whilst all participants are able to recall with clarity those individuals and events that have influenced them professionally, equally, they are able to recall with warmth and appreciation the other major influence, that being their parents and their early family life. Participants express the significant part they believe their parents played in laying the foundations for the adult they have become and the subsequent values they hold. They talk of the impact this has and continues to have on the way in which they lead and manage others in the school and academy setting and the type of leaders they are. A good illustration of this is when Graham writes about his parents '*aspiring for me and my sister', 'instilling the work ethic'* and *'going without so they could have all they needed'*. Tony talks of being '*the first in my family to go onto higher education'* and of his parents '*being proud of my achievements'.* He termed himself to be a *'grafter'* who wasn't

'*traditionally academic but found his way eventually because he knew in his heart*

he would be a good teacher'.

This early evidence is beginning to show us what is at the inner core of each of the research participants. It is apparent, from the initial background information provided by the chosen participants in this research study, that all have been able to cite some powerful examples of professional and personal influences which have impacted on them as individuals, as teachers and as school leaders. It is these influences which have helped shape and hone their moral purpose. One could argue that phrases such as *'ones moral purpose'* (Fullan, 1999), *'ones interior world'* (Sergiovanni, 1992) and *'ones principled centre'* (Covey, 1989) have become overused and somewhat hackneyed. However, whatever one wants to call what is at the heart of an individual, I assert, is responsible for what shapes and drives our own personal convictions. Covey when exploring the habits of effective individuals states, *'what lies behind us and what lies before us are tiny matters compared with what lies within us'* (Covey 1989, p.95). The early findings, as I started to compile each case, strongly evidenced this and it began to have meaning and to make meaning for me. The cases began to bring to life what I had studied in the literature. Importantly, it also began to give credence to the developed Allen Model for Effective School Leadership (figure 5, p.144 and appendix 3i, p.416) as I was able to begin to see theory in practice. Finally, it laid the foundations for the subsequent one to one and face to face interviews. What

follows is an integrated thematic analysis of the rich and deep data gathered in those interviews and the associated findings.

4.3: An integrated thematic analysis of the data findings: The interviews

At the start of this research study I hypothesised that there is a relationship between emotional intelligence and effective secondary school and academy leadership and that it is the Headteacher's and Principal's mastery of a range of emotional intelligence competences which explains the behaviour variance amongst Headteachers and Principals in English secondary schools and academies beyond that associated with the traditional conceptualisation and measures of intelligence. It is from this hypothesis that I subsequently developed the Allen Model for Effective School Leadership (figure 5, p.144) and the associated Emotional Intelligence Effective School Leadership Competency Inventory (appendix 3i, p.416). The study therefore sets out to test, in the field, the developed model with a particular focus on Domain A: Emotionally Intelligent School Leaders whilst acknowledging evidence supporting Domain B: Emotionally Intelligent School Communities of the model would likely emerge. In doing this I aim to further determine if there is a relationship between effective school leadership and emotional intelligence competencies as outlined in the model I have developed.

I will report my interview findings in relation to the models four interlocking themes that are based around the central taxonomy of ***Domain A: Emotional Intelligent***

Leaders. That is, effective school leaders display the emotional intelligence competences of ***(A1) being attuned to their own moral purpose; (A2) being emotionally self-aware and able to self-manage their emotions; (A3) being aware of the emotional self of others; (A4) being able to flex their own emotional self with the emotional self of others.*** For the purpose of the analysis I have grouped the findings into two major categories ***Personal Competences (A1 & A2)*** and ***Social and Relational Competences (A3 & A4).*** That is the personal emotional intelligence competences of understanding how one's guiding values and principles shape and underpin one's moral purpose and further to this how emotionally self aware one is and how adept one is at managing one's own emotions for the good. The second major category, social and relational competences, covers one's ability to be aware of the emotional self of others and use this awareness to be adept when managing relationships. My aim, in doing this, is to generate evidence to support the validity of and justification for the Allen Model for Effective School Leadership (figure 5, p.144) and specifically Domain A which focuses on emotional intelligent leadership development. I have divided the reporting of the findings into the two sub categories within that domain, that is, those associated with Personal Competences and those associated with Social and Relational Competences. I will report the findings accordingly.

4.3.1: An integrated thematic analysis of the data and findings: **Personal Emotional Intelligence Competences**

What follows is an exploration of what the data tells us about how attuned participants are to their own moral purpose (theme A1), how emotionally self aware they are and how able they are in self managing their emotions (theme A2) to achieve positive outcomes in their leadership role.

To elicit data in relation to the participants' moral purpose and to determine their ability to be self aware including: being able to recognise how emotions affect performance; being able to use values to guide decision making; having a candid sense of personal strengths and weaknesses; having a clear vision of where improvements are needed; being able to learn from experiences; having courage which comes from having clarity about one's own capabilities, values and goals, I based my first set of semi structured interview discussion points around the themes of:

- Influences
- Leadership style
- Guiding values and principles

I wanted to give participants the opportunity to demonstrate what they believed to be their moral purpose and how attuned they are to this. I assert that emotionally intelligent leaders have a sound grasp of their own moral purpose. 'Moral' is

defined in the Oxford English Dictionary as - 'concerned with right and wrong conduct' and 'purpose' and 'determination'. Essentially, moral purpose, in relation to school leadership, is how leaders determine what is the right and wrong conduct within the school setting.

In turn I was interested in the influences that had shaped them and their moral purpose. Along with this, I wanted to unpick how aware they were of their inner feelings and how they affect them and their job performance. The emotional intelligence literature states that by being in tune with one's deepest feelings one is able to determine what is at the heart of oneself. In the early stage of the interview I wanted to determine if this was true of this group of acknowledged outstanding leadership practitioners. Did participants talk openly, candidly and with authenticity and conviction about their guiding values? Did they speak with confidence about what they considered themselves to be good at as leaders and what they consider to be areas requiring further personal leadership development? Did they understand their strengths and limitations, recognising where they needed to learn further? Could they and did they accept feedback on their performance and from this develop new leadership strengths? I wanted to get a feeling for the person or 'self' of each individual not just through what was being said but also how it was being said, that is the tone of voice, facial expression and accompanying body language. Were they animated and passionate about their convictions, values and guiding principles? Did they display a sense of humour and were they able to be self deprecating? Did they speak with authenticity and self assurance? Did they

display optimism and hope through voice and stature as well as deeds and actions? Did they display, through their demeanour, a palpable sense of authenticity in their own self awareness? All of which are identified as personal emotional intelligence competences required for effective school leadership. In doing this I was able to begin to identify emerging common themes amongst the participating leaders in relation to these emotional intelligence competencies and to further inform and validate what is at the heart of the first two interlocking themes of the Allen Model for Effective School Leadership (figure 5, p.144).

The qualitative data, the opening discussion points generated, was rich, deep and extensive. When considering influences most participants spoke about significant 'others' who have shaped who they are and how they lead. These influences can be divided into two broad categories professional and personal influences. I start by analysing each separately and then draw them together showing how both have impacted on shaping the guiding principles and values of each of the individual participants which in turn has shaped the "self" which underpins the moral purpose of each. This is the foundation of the Allen Model for Effective School Leadership (figure 5, p.144). I believe, and I will demonstrate through the findings, that effective leadership starts with authentic self awareness and everything else flows from this.

Starting with the opening discussion, around influence, Graham is able to articulate what he considers to be exemplary leadership being modelled by an influential colleague. He demonstrates this when he reflects that:

Different people influence you at different points in your professional life and certainly as a teacher I was very fortunate to have Roger Rushton as my Head of Department and he was, I feel, an exemplary leader who led with his head and his heart.

This demonstrates in practice what the literature asserts in theory. For example Beatty (2005, p.126) writes about the inherent and inescapable emotionality of school leadership. She proposes that effective school leaders have the ability to be able to blend 'feeling and thinking' and to do this with authenticity. This is something which Graham clearly admired in Roger, his influential first Head of Department.

Graham continues:

Roger was one who would take the hard work, would do the hard work, would expect you to do your part and was hugely generous in his praise when you got it right. And by the same token, if you were struggling he'd stand beside you and help you do it. So as a middle leader he was very influential.

Goleman (2002, p.3) would describe Roger's actions as having the ability to 'drive emotions in the right direction'. Graham talks next about how a newly appointed Headteacher, Melanie Saunders, took over the helm at his school and explains how she:

Saw something in me that I don't think any previous Head had seen and allowed me enough rope that I could hang myself but I always felt would be there ready to catch me should it all go horribly wrong. She delegated an awful lot to me and I found I had a taste for it and enjoyed it.

Graham's influential Headteacher, as Goleman (2002, p.33-34) would say, 'inspired vision by motivating, guiding, inspiring, listening, persuading and most crucially through creating resonance' for Graham. It is because of the trust Melanie placed in Graham and because he felt secure in her support that Graham believes he went on to have the skills and courage to successfully apply for a Deputy Headship post which lead him eventually into Headship. He concludes:

If I hadn't had those experiences early on in my career then I know for a fact that I wouldn't have managed, I wouldn't have coped. Melanie showed me what tremendous courage a Head had to have and Roger showed me sensitivity, empathy and his valuing of other people. An amalgam of the two for me would be an ideal model for leadership.

This is a vivid example, expressed by Graham, which shows a high degree of self awareness in that he illustrates he understands what influence others have had on shaping who he is and how this has impacted on his leadership style. He also understands the interplay between head and heart in shaping effective emotionally intelligent leaders. Goleman (2002, p.33) would describe this as 'gifted leadership' which occurs where 'heart and head – feeling and thought meld'. Goleman (2002, p.33) believes that head and heart are the 'two wings that allow a leader to soar'. Graham shows he is attuned to his inner feelings when he talks with great empathy for the two inspirational leaders and he recognises that a combination of their differing leadership traits and competences are central for effective leadership and this has impacted on his own job performance.

Hilary also demonstrates her ability to reflect and think when she talks of inspirational leaders from whom she has learnt and by whom she was 'talent spotted' early in her own career. The first she explains were two Heads of English, both of whom she describes as being very different leaders but both hugely influential on how she leads today. She couples this with the influence of two Headteachers who also took very different approaches to leadership but from whom Hilary was able to learn different things about herself and about leadership. Of the two inspirational subject leaders Hilary states:

> *One who literally called a spade a spade and would plaster you against*
> *the wall if you did something wrong, so you knew exactly where you*

stood. The other was much more into going around the houses to get

there, it took a little bit longer but I think I actually respected both of their

leadership styles because I was able to reflect on me and how I

responded to things, how I behaved and actually sort of looked at what it

was that motivated them to use those particular styles of leadership.

And the point is, even though they were very different people they had

huge integrity and that is so important. I mean real integrity about

everything that they did.

Hilary's comments underpin the extensive evidence reported in the literature. Kouzes and Posner (2002, p.27) in their research into leadership characteristics most admired by followers report that, 'when people talk to us about the qualities they admire in leaders, they often use the word 'integrity' and 'character' as synonymous with honesty'. They conclude, 'no matter what setting, everyone wants to be fully confident in their leaders, and to be fully confident they have to believe that their leaders are people of strong character and solid integrity' (kouzes and Posner, 2002, p.27). Germane to this Hilary reflects further on two inspirational Headteachers whose leadership styles have also had great resonance for her in her leadership role. She describes:

One Headteacher was incredibly inspirational, a strong northern woman

who showed real courage of her convictions. Another was quite different

a very, very quiet chap but somehow had this skill of knowing people's

strengths and being able to build teams where everybody would be able

to play to strengths without sort of poking holes in the weaknesses but

developing weaker areas. I learnt different things about leadership from

both of these inspirational Headteachers.

What Hilary spotted in each of these influential leaders was a different array of leadership skills and abilities but perhaps more importantly, as West Burnham (1997) noted when quoting Block (1993, p.260) 'our doubts are not about our leaders talents but about their worthiness'. Each of the leaders Hilary describes were talented in different ways but were at their heart extremely worthy people because of the integrity they displayed in all they said and did. Kouzes and Posner (2002, p.244) believe being trustworthy is at 'the heart of collaboration' and 'it's the central issue in human relationships within and outside organisations'. Again this is something which Hilary has taken with her and she emphasises with great conviction as *'a hugely important leadership quality'* and another indication that Hilary is competent in her ability to reflect, think and learn from influences and experiences, both valuable emotional intelligence competences within the domain of self awareness. She also demonstrates, I believe, that integrity is the cornerstone on which outstanding leadership is built. This concurs with the emphasis I place on it in the Allen Model for Effective School Leadership (figure 5, p.144).

Tony in response to the question about professional influences speaks in more broad brush stroke terms than about specific individuals but again, like Hilary and Graham, Tony is able to recognise how others have helped him to develop his own style of leadership over a period of time. This is also another example which demonstrates how the actions of others have guided him but what sustains Tony are the values and principles born out of a deep rooted philosophy that what matters is being true to yourself. A good example of being emotionally self aware and having the self confidence to be able to assess one's leadership competences openly, honestly and candidly is demonstrated when Tony recalls:

I have in some respects honed my style as I have learnt from others, but basically what you see is what you get. I don't class myself as an intellectual. I would say I am quite humble. Until I was Headteacher if people asked what I did I didn't say Deputy Head I said teacher. Of course I have to say Headteacher now but I don't have a pompous attitude towards the job, I don't like pomposity.

Denis similarly talks with great integrity, honesty and humility when he acknowledges that he had no grand career plan:

I didn't want to be a Head. I'm not interested in power for its own sake, I am genuinely not interested in power and I have grown to understand that. I don't see myself as the boss.

This sentiment is also echoed by Steve when he recalls:

When I started teaching it was because I wanted to be a teacher. I never initially had any aspirations to be a Head of Physics, or a Head of Department or a Deputy Head or a Headteacher so not like some people that come in often with the background whose mums and dads were teachers and Headteachers and that's what they wanted to do and I've never had that ambition that I wanted to be a Headteacher. Therefore the drive has really been to be honest to watch other people in positions of responsibility, leadership, management and really come to view that I can do as good a job as they can and possibly better.

Goleman (2003) iterates, 'people with a strong sense of self awareness are honest with themselves about themselves and about themselves with others' (Goleman, 2003, p.49). All participants, in the early stages of the interview, demonstrate in abundance a strong sense of **moral purpose** and **self awareness**.

At the beginning of her interview Jane talks candidly of being a reluctant Principal because her inner voice, here demonstrating her attunement to it, was telling her it was unhealthy for her to take on the role of Associate Principal in the school where she was currently senior Deputy Headteacher and where she had spent her entire teaching career. Jane was being gracious in that she was putting what she thought

were the needs of the school before her own desire to take on the most senior of roles. She reflects that at first she couldn't see the bigger picture but trusted the faith her inspirational Headteacher, Mark Grundy, who was taking up the post of Executive Principal over two newly created academies, had in her. When she did take on the Associate Principal role she realised why he had been so insistent that she should and could take on the role and also demonstrates her ability to be self reflective and use this to learn from experiences and to use this to influence actions:

Two years on I totally understand why he was so insistent that it was me because in times of change I think having a known person at the helm was quite important. He saw this as the best course of action for the children in the school as it became an academy and he recognised that I was the best person to do this even though I did not recognise this in myself.

As I reflect on the professional influences identified by each of the participating Headteachers and Principals what becomes apparent is that all are able to talk candidly and with honesty about their pathways into leadership in that none of the participants had a grand career plan to become Headteachers or Principals. Nor, it would appear, were they self aware of their own potential to become Headteachers or Principals. However, all were fortunate to have had Headteachers or Principals who spotted this leadership talent in them.

One could argue therefore, that all six participants in this research study have been, to some degree, fortunate in that they have had other professionals who have spotted their talents, brought them on and influenced them in their professional lives. Fullan (2003, p.67) argues, when writing about the moral imperative of leaders that 'leaders have a responsibility to invest in the development of organisational members, to take the chance that they will learn, and to create environments where people will take risks'. It is evident that all participants had their talents spotted by Headteachers and Principals who have then given them the opportunities to develop leadership skills and competences. Clearly professional influences have been of paramount importance to the research participants in this study but perhaps even more significantly, what comes through very strongly in each interview, is the impact each participant's early family life has had on shaping the adult they became and the values and principles which subsequently guide and drive him or her in his or her personal and professional lives today. It is this which has given all a sense of service. All talk in terms of making a difference in the lives of others and giving something back. To this end Steve speaks with real pride about one of his granddads when he reflects on those who have influenced and shaped him:

I'm very proud of the fact that one of my granddads was a coal miner and he was absolutely adamant about education. He wasn't the brightest of guys I don't think, but he was a Labour Politician and as a Labour Politician he wanted to do things you know in the County Council

and he became Chairman of the Education Committee. He did that because he had a passion about education as many working class people do. So I think there's a working class value there, which is about value of education to the extent that his youngest would have gone into the pit, every other young man in Boldon went into the pit but not Uncle Bob. And you know my granddad, they scrimped and saved and all the rest of it and they sent him to Durham University and he became a University lecturer and got a degree in physics like me.

Steve's guiding values and principles come through strongly when he concludes:

You can call on that can't you, those are the core values that education is important and it's as important for the son or daughter of a coal miner as it is for somebody who is lord of the manor and I suppose it is all to do with family values.

This is powerful evidence of the early family influences which have helped shape Steve as an individual and as a school leader and demonstrates what is at the core of the man. An example of what Steve is talking about is also apparent in Hilary's story in that she is from a different socio economic background to Steve but the same family values come though in her account and she too considers herself to be '*the product of a state education system'*. She speaks with passion when she recalls:

I am extremely proud of what I've achieved having been a comprehensive school girl, you know I really, really am, which is why I will be political with the staff, which is why I do have basic socialist commitment to the children, with the community, the whole community that we work with here. I think bottom line is that the children in the school that I work in, it is not their fault that they are in the position that they are in. I want to be able to give the children here the three rungs up the ladder that the kids at the very nice Church of England school with a middle class intake down the road have got because they've got parents who know how the system works, they're all graduates, they're all professionals you know. I suppose its social conscience. I get very emotional about it you know, very emotional about it and I am very, very outspoken about it.

Hilary demonstrates here she understands how these emotive feelings affect her and her job performance for the good and is evidence she is emotionally self aware. She equates this attitude to giving the children in her care the best possible chance with her upbringing and the impact this had on her as a school leader. When exploring this further with her she reflects on the potential for one having an inherent disposition towards leadership roles as compared with environmental influences? To this end she comments:

I do have a little bit of a feeling that I think some people have a natural predisposition to these kind of roles but then again I don't know if it is to do with my upbringing, I mean my mother is a teacher, a Deputy Head, my father was a director of HR for Rothmans and then was a Reform Church Minister and they have a great sense of service to the community. So I'm brought up very much with doing a lot of voluntary work you know and Guides and all this kind of thing, the church, and I think that giving back is part of my feeling about where the leadership side of things came from. But you know I'm not sure whether it's a personality related thing or it just always, always felt right, I mean I don't see myself as a leader. I mean that's the thing I don't walk around, I keep forgetting I'm the Principal of the Academy. You'll feel it when you're around here, we're not very hierarchical at all.

When pressed to expand on this Hilary continues:

I think this is because of my experience in the Army, that because everything was so hierarchical I actually thought you know I've got to where I've got at a very young age, I was Principal here when I was just 38 and you have to earn the respect of people, people have to respect that you can do your job, you can't just walk in and have a hat on and say I am the Principal.

Interestingly when trying to unpick common personal emotional intelligence competencies across the group of research participants Denis echoes the same sentiment about his attitude to the role of Headteacher when he states:

I don't see myself as the boss, I just don't. I see myself at certain times as first among equals because somebody in the end has to make the decision, but that's how I see myself. Sometimes that presents difficulties to me but I just don't.

When asked to expand on why he might feel like this Denis reflects and concludes:

One of my favourite pieces of literature is Death of a Salesman, which is about the tragedy of the common man and I have always, coming from you know dad was a chemical worker, mum was a shop worker, two up, two down in Hindpool, I've always had a feeling for ordinary people because I am an ordinary person. I have a burning sense of – and I had it right from when I was at school and it used to get me into trouble at school – justice. But I always want justice ... and you know my love of history and all that sort of stuff, you know so I have a sense of justice.

Denis also believes having '*integrity, honesty and courage'* as being fundamental characteristics for leadership but that this must go hand in hand with '*wisdom'* which he believes you develop in the job over a period of time and through

personal and professional experiences and influences. Graham supports this when talking about honesty and integrity as being fundamentally important leadership qualities and qualities which his parents instilled in him at an early age:

I think integrity is a much bandied word and a much misused word, I can sleep perfectly well at night because I know that every day I've come ready to make a difference, I've tried darned hard to do it and if it hasn't worked I'll come back the next day and do the same.

Steve's speaks of his parental influences in equally emotive terms and tones when thinking about and then articulating what has shaped his values and principles:

Well I suppose you know it's back to your own background, your own upbringing, your own parents, your own political beliefs.

This is further supported by Graham when he states:

My own personal background was very modest but I had a mum and dad who wanted my sister and I to be the best we could be. And my mum and dad suffered various hardships, they had to work every day to put Sue and I through college and they had aspirations for us and I feel if it hadn't been for them and those aspirations and that kind of nurturing

and fostering then I wouldn't be where I am now but that's part of the

kind of influence that's on you rather than inherent.

Both Graham and Hilary have touched on the nature nurture debate in terms of how individuals are shaped. Both are undecided if one has an inherent disposition for leadership or if it is about being influenced by others who model the way. What is clear, and this comes through with all participants, is that both personal influences e.g. parents and early family life and professional influences e.g. leadership role models, have a significant part to play in influencing who you are and how you lead. Further to this all participants articulated their own schooling as being largely positive and influential in them wanting to give something back to a system that gave them so much. Even where there had been negative experiences this served to drive individuals on and motivated them to ensure this wouldn't happen in the school or academy they led. This demonstrated a high level of optimism and a positive commitment to achievement, competences which I believe are fundamental to effective school leadership, which I have included in theme A2: Emotional Self Awareness and Emotional Self Management of the developed model. I gathered a significant amount of data, the analysis of which supports this. For example, Graham speaks with real gratitude about his own educational influences:

I remember being in year 11 and having a careers lesson. We had a

card index but section A had been stolen. I went to B and it started with

butcher and I thought God I don't want to be a butcher and I rifled through the card index and there it was teacher. And I'd loved school; and again isn't that an influence, I'd come from a primary school where I had loved going to school, even putting the clock back so I could get up and get to school early. Those experiences no doubt shape your life. I was told I could be the best if I worked hard and that is what I tell the boys here.

Graham would assert it is all of these things which make him unwavering in what drives him in the job and he speaks with absolute conviction about his guiding vision when he says:

I feel I come to school with a great deal of moral conviction that the secondary school experience is one opportunity, it's a single opportunity for the boys in our care and we have to make it the best we can make it. And up to a point, and I'll say up to a point, I don't care what that cost is. That school doesn't owe me anything; we should come to school everyday determined to make a difference and the costs are sometimes personal, the cost is long hours, which I certainly don't begrudge, but that is my moral purpose, the one chance that they've got we need to make it the best we can. And the boys and girls that we're dealing with and members of staff are the very boys and girls that will shape our future.

This takes us back to Fullan's (1999, p.82) belief that effective school leaders have a strong commitment to the educational moral purpose that it is their duty to make a difference 'through improving the lives of others years and even generations to come' and that for Headteachers and Principals this should be so 'palpable and profound'. Kouzes and Posner (2001, p.24) expand on this describing leadership as being a relationship and 'the relationship is one of service to purpose and service to people'. This is nowhere more important than in the educational setting as it is here where one is able to make a difference to the lives of children and young people which will impact on future societies and future generations.

Steve gives a powerful example of this when he recalls an experience which was less than positive for him, where he wasn't being given the best possible chance, which stayed with him into adulthood. He recounts how he felt as a youngster moving schools from the north of England to the south because his dad was in the RAF and how this has helped shape his own values and principles as an adult and as a school leader:

> *A lot of it is to do with my own experiences of education as a youngster. I was strongly influenced by a fairly miserable experience at school really for parts of it because of changing schools from one occasion to another. So I know what it's like to be somebody that moves down to the south of England when you've got a strong Geordie accent and the brick bats that are thrown at you and the unpleasantness that that brings*

through no fault of your own apart from the fact that your accent is
slightly different.

Steve continues:

I think that having experienced that and coped with it because you know
it is character building and all the rest of it, then I think that you can have
more empathy for others, then you know that for me is something I don't
want any child in my school to put up with.

He further emphasises his guiding values and principles by recounting an incident
he witnessed whilst on interview when he went into a classroom and states:

W*hat was going on in there was completely unacceptable*, *now that's*
not going to happen in a school while I'm on watch and if it starts to
happen it means that I'm no longer the Head.

Like Steve, Jane's core principles are clearly child/people centred; she recalls she
is always being guided by the question, *'what is the best course of action for the*
children?' She would always challenge phrases like:

"*Well what do you expect with children like this?"* because you are
putting a cap on potential and you can't put a cap on potential. I have

never ever lost sight of that, the belief in potential, the belief that these children can go even further and getting others to believe that, that's the trick to it. You just have to keep pulling back to the ethos, its back to the main messages and they're always the same messages and I think sticking to core principles.

When pushed on this Jane is firm in her belief that core principles for her, even at the risk of sounding trite, is *'respect - respect for yourself, respect for others, respect for the environment and respect for the community'.* Steve also speaks about the notion of respect when recounting an incident where he had to exclude a student for being openly definite and disrespectful towards him:

When the boy came in for a meeting where I explained that it was a short term exclusion at the moment but permanent exclusion was a possibility and I asked him if he really did think I was that person he had accused me of being. He could not have been more genuinely apologetic in terms of what he thought. So you know I think it's that feeling that it's important to me that people respect you, not because you're the Headteacher but because you are a good teacher, because you are a nice person, you're fair, that you're approachable, and that they have confidence in you, that they treat you with respect. Those are the kind of principles I value.

Similarly Tony talks with real passion and conviction about putting the children first:

I have learning and teaching at the heart of me. First and foremost I am a good teacher. My values and principles are grounded in having the highest standards for the students. The students have only one chance, I want to ensure it is the best possible chance.

When asked about getting others to buy into that message Jane gives the example:

I hope what I've always done, even as a teacher, is model behaviour for people, that I've always believed in the potential of others and giving opportunities even when that's a bit risky.

She goes on to cite the example of a young RE teacher who came to her with an idea to put on a huge dance extravaganza at the Birmingham Symphony Hall which Jane agreed to support. Jane's voice is heavy with emotion as she recalls:

Our children, 157 of them, performed on that stage – we had 1000 people in the audience; it was the most wonderful event. I loved it, I felt so proud and I think the other thing I felt was there was something these children had done that they're going to remember that. Nobody sits in the pub when they are 30 going 'do you remember our three hours of

maths every week?' We all know don't we it's not the lessons that get remembered it's the experiences or it's the outstanding experience of a lesson that gets remembered and I feel giving that to people is a great thing to do, you've given people the memory.

Similarly Denis talks about the journey he went on with his previous Head, Liz Moffat, in his role as Deputy. Together they shaped a school based on a vision as he recalls:

Of timeless and priceless principles rather than fads and things like that and whatever fads and things were out there, we were actually exploiting them to strengthen the timeless and priceless principles.

Day et al (2000, p.176) state that effective leaders 'place a high premium upon personal values and are more concerned with cultural rather than structural change' and that effective leaders 'have moved beyond a narrow rational, managerial view of their role to a more holistic, value-led approach guided by personal experience and professional preferences'. Denis and Liz understood and were able to document over time the difference they were making to the small market town, Dalton in Furness, in which their school was situated and was the sole secondary school. Denis spoke with passion when he recalls:

We weren't only sort of improving the school; we were improving the town and people's life chances and stuff like that.

Fullan (1999) would describe the approach Liz and Denis took to school leadership as being 'fundamental, in a postmodern society, to social development and democracy' (1999, p.1) and this approach, as the extensive interview findings analysed above indicates, is extremely common across the recollections of all six participants in terms of what influences them, what drives them and what shapes their underpinning philosophies as human beings and as school leaders.

The importance of recording each interview became clear when I was able to capture the emotion in the voices of each participant when they spoke of influences. When they spoke of those generous fellow professionals to whom they owed a debt of gratitude for recognising in them that which they did not recognise in themselves and to their parents for providing them with the solid foundations on which they have based their own values and guiding principles. However, none spoke with greater emotion than when they spoke about the influence they themselves are able to bring to bear, guided by the core values and principles which they hold at their heart which have shaped their own lives, on the lives of the young people in their care and of the staff in the schools and academies they lead. Whilst participants did not appear to have the initial self awareness of their own potential to be outstanding school leaders, they did all have an unwavering understanding of their core values and principles, who and what had influenced

them, and how they use them to help realise the vision they have for their schools and academies and for the children and adults in them. This sits well with Day et al's (2000, p.176) notion of the fundamental leadership competences needed for leading schools in times of change. They describe such leaders as being 'reflective, caring and highly principled people'. Equally, what came across from all participants in this research study was a resounding sense of optimism. All participants had experienced challenges in their lives, both personal and professional, but all had kept going despite these difficulties because they were able to hold in their mind the feeling of satisfaction to come, not necessarily for themselves but more often for the school community they lead, when the goal is achieved. Goleman (2003, p.51) sees this as the difference between an emotionally rich individual and an emotionally impoverished individual who would dwell too much on what's wrong and so loses hope. Flintham, (2008, p.59) in his research on what sustains leaders in their passion for leadership in the face of today's challenging pressures in education coins the phrase – 'reservoirs of hope'. He puts forward the idea that 'the foundations of the reservoir' are the 'spiritual, moral and ethical bases on which individual leadership stands and which provided the well-spring which motivates, replenishes and renews the passion for leadership and are provided by a clearly articulated value system which explicitly or implicitly underpins leadership action' (Flintham, 2008, p.59). From these initial discussions about personal and professional influences and the impact this had on the shaping of their guiding values and principles which underpin their moral purpose and their own leadership styles I have gathered a significant amount of data from which I

have been able to deepen the suitability for purpose of the developed model for effective school leadership.

What comes through clearly is whilst all come from a range of different backgrounds and have had a range of differing educational experiences first and foremost their early lives have been shaped by loving, supportive, caring and interested parents. Also by an education system which developed in them, through both positive and less positive experiences, a desire to give something back to that system in appreciation of the opportunities and life chances it opened up for them. Further to this, all have gone on in their professional lives to be talent spotted and encouraged by others. They all describe outstanding school leaders who have encouraged and brought them on, given them the support and confidence to believe they could do the top job, or even when that top job was thrust upon them they were able to reflect on these significant influences and draw on them in their leadership role. Crucially though they all illustrate how they are guided by an absolute conviction that they want to make a difference to the life chances of the young people and indeed the staff in their care. Jane sums this up well when she says:

> *I think the one thing that I've never wavered from ever is the belief in the children and they know that and they pick up on that and I suspect this is true of every school, children know the teachers who believe in them and they respond accordingly. I know families have faith in this place,*

you know I'm on grandchildren now of the children I first taught and I think what I've contributed and other long serving staff, is we've added an element of stability in an unstable environment. Mrs Evans is at Shirelands so all is right with the world. Does that make sense?

Indeed it does make sense and this kind of sentiment is echoed time and time again by each participant. Graham talks of teaching the boys in his care by example:

To teach them that schools are pleasant and caring places to be, that foster a lifelong love of learning to me must be the greatest profession I could be involved in. I knew in teaching I could make a difference.

It is evident from the data, at this early stage of analysis, that each participant has a strong conviction in relation to their own moral purpose and what drives them as an individual both personally and professionally. They are clearly self aware individuals. This adds weight to the fitness for purpose of theme A1 within the developed Allen Model for Effective School Leadership, in that I contend that leaders must first start with a sound understanding of their own **moral purpose** and the values and principles which underpin this, so that they can drive the culture of the school or academy forward in that image. This led me on to discuss, with participants, being aware of and confident in their appraisal of their strengths and

limitations and their ability to identify areas for further personal development. To explore this I focussed my questions around the themes of:

- Leadership strengths
- Leadership limitations

In doing this I wanted to gather data to determine if participants were able to accurately self assess in terms of knowing their own limitations and strengths, being able to play to these strengths but also being able to seek help in areas of weakness and accept support graciously, not taking themselves too seriously and to be able to do all of this with optimism, hope and a degree of self confidence. These are personal emotional intelligent competences which underpin the first aspect of the Allen Model for Effective School Leadership, self awareness, and from which the other aspects flow. Goleman (1999, p.63) contests that in discovering self, 'you have to be willing to embark on a journey that leads to an alignment between an individual's personal values and aspirations and the values and aspirations of the company'. In doing this leaders have to be able to embrace constructive feedback from others on performance and in being open to this heightens one's ability to self assess and self manage one's strengths and limitations.

Once again the findings indicate a number of common themes coming from the data. Participants are able to articulate their strengths but also recognise the areas

they consider to be weaknesses. This is further evidence that participants are self aware and adds further weight to the argument that these are emotional intelligence competences displayed by effective school leaders. For example, Denis reflects when considering his strengths and weaknesses that:

I have developed more of an awareness of my strengths and weaknesses as the years have gone on and so I am what I am. And some of my philosophical statements in my own head I get from Popeye – I am what I am, I is what I is – and I have learnt to live with that!

This could appear to be a somewhat light hearted, good humoured or even flippant response but when pressed further Denis takes his time to think. He acknowledges that he doesn't always have time to reflect on himself and therefore being given the time and opportunity to do so in the interview process he is finding it to be both beneficial and in some respects cathartic. He then confides that perhaps this is both a strengthening and a limiting factor for him in that he states:

I have always had difficulty selling myself and part of that problem is that I don't know how to describe myself. I exist in the way I am. I have quite a lot of savvy because I have built it up over years and I'm not a daft person and part of my working class upbringing has provided me with a repertoire of being able to read people.

Denis also talks about his inability to relax and switch off. Tony also recognises this as one of his biggest limitations and this is repeated by others in the study too. Goleman (1999, p.65) refers to this as 'relentless striving' which is characterised by, 'compulsory hardworking at the expense of all else in life; runs on empty; is vulnerable to burnout'. All participants articulate in a variety of different ways, but in essence the sentiment is the same, that this is detrimental to themselves in terms of their health and well being which impacts both on their personal and professional life. This is a concern which is very much in the educational public domain in relation to sustaining leaders now and making the job less attractive for those entering the profession in the future and something I will return to later in the concluding chapter. Most participants agree they need to get a better work/life balance. This is an issue which is fundamental to sustaining leaders but one which all participants acknowledge they haven't got right yet. Perhaps this is because of the nature of their circumstances in which they are currently leading. Four are striving to maintain outstanding status and two are working to turn around previously failing organisations. Tony epitomises the characteristics described by Goleman (1999) in relation to relentless striving, but he is not alone, as most other participants speak in a similar vein. Tony reports:

I never switch off. I don't find it easy to share things at home because I don't think that is fair. I spend enough time at school as it is. I don't consider the job to be lonely though because I have a good team around me who I share things with and we make collective decisions. I am

prepared to listen to others but I know at the end of the day I am

ultimately responsible as the Headteacher.

This is another example of a clear understanding of strengths and limitations and an understanding of the need to address those limitations whilst working to the strengths. Steve too is able to articulate examples of his strengths and limitations:

I probably am relatively good at empowering others and letting them get

on with it and probably not desperately good in the coaching side of it,

that you know if they can't do it I kind of get 'brassed off' with that. I will

do my best to kind of bring them on and then I think I need other people

like Cathy Earle as a Deputy, to say look you know I think we need a bit

of help with this.

Here Steve is openly and candidly acknowledging a weakness he sees in himself but understands how a member of his team can complement this and sees this as one of his strengths. Interestingly in their research Kouzes and Posner (2003, p. 241-242) when pondering how leaders foster collaboration report, 'in the thousands of cases we've studied, we've yet to encounter a single example of extraordinary achievement that's occurred without the active involvement and support of many people'. They continue, 'we've yet to find a single instance in which one talented person – leader or individual contributor – accounted for most, let alone 100 percent, of the success'. They conclude, 'throughout the years, leaders from all

professions, from all economic sectors, and from around the globe continue to tell us, "You can't do it alone", leadership is not a solo act, it's a team effort' (Kouzes and Posner, 2003, p. 241-242). Jane has also learnt this salutary lesson when shaping her leadership team and in doing so was self aware of her limitations but was able to assess the situation and seek guidance and support, both emotional intelligence qualities within the foundation domain of self awareness on which the other domains are built. She explains that:

I tried to get people to lead through their clear job specifications and not just come to me. There was a little bit of a dependency culture and despite the fact I tried to push things out to people, they were pushing them back to me. And I think that came from the fact I previously had been responsible for some of these areas and they had relied on me. When I became Principal they still wanted to do that. And that was something I had to alter and that was very hard because you are talking about a lot of years of dependency.

Jane recognised she had to rethink this structure and she went back to her Executive Principal to seek guidance and support. She felt very fortunate to have the long standing professional relationship with her previous Head to be able to seek help and know that it would remain confidential. She showed courage and a strong conviction in what she believed was the right thing to do:

I went back to the Executive Principal and said look, I know you wanted this system here and also at the other academy you run, but I'm telling you it blatantly isn't working here and it needs to be got rid of.

Jane reflected that this was challenging and her strength was in her ability to be self aware, analytical and also tenacious. This guided her to do the right thing, back to moral purpose, but she also acknowledged that the job can be very lonely because the buck stops with you.

However, Jane also concedes that she is not afraid to take constructive criticism and feedback and positively cultivates this approach in the right setting demonstrating the emotional intelligent competency that she is able to self assess accurately and learn from this. She confides she has learnt to *'take a measured contemplative - I'll get back to you on that let me think about that approach'* and she see this as a strength. What is evident with Jane, and from each of the other participants, is that they are all very visible as leaders, they interact with the students and staff and they are all committed to leading by example. This example however, as articulated by Kouzes and Porner (2003, p.58-59) has to be expressed in an authentic manner which is grounded in the 'authentic self'. They belief, 'you cannot lead through someone else's values, someone else's words', neither can you 'lead out of someone else's experiences, you can only lead out of your own'. They warn, 'unless it's your style, your words, it's not you; it's an abstraction'. They concur, 'if you are not the genuine article, can you really expect

others to respect you? and conclude,' people don't follow your technique, they follow you – your message and your embodiment of that message'.

To this end, having enabled participants to reflect on their guiding values and principles and their own leadership skills, talents and qualities, I then began to pursue with them how this had impacted on the vision they have for the individual schools and academies they are leading. In doing this I was deepening the evidence to support the notion that what lies at the heart of the head is fundamental to successful school leadership. To explore this I focussed my questions around the notion of:

- Vision shaping

Goleman (2003, p.49) believes that self aware leaders 'understand their values, goals and dreams' and 'they know where they're headed and why' because they are 'attuned to what feels right to them'. He continues that 'our guiding values are represented in the brain as a hierarchy of emotionally toned thoughts, with what we like and find compelling at the top and what we loathe at the bottom' (Goleman, 2003, p.50). It is being attuned to what 'thrills us', according to Goleman (2003, p.50), which motivates us. To this end I wanted to explore with participants if they had clarity of vision coupled with the ability to realise it. Goleman (2003, p.50) suggests that self aware leaders have the ability to 'sense what matters most'. In

discussing with participants their vision for their school community I wanted to gather further evidence to support this assertion.

Hilary, having taken over a failing academy recalls:

> *I saw that we had a golden opportunity, as the only second all-through Academy in the country at the time, but that why were we not giving staff and children the opportunity to really use their skills to teach all-through, to share you know, to share the English, the maths, the language, the literacy, the whole you know ... why was that not happening? I wanted the children to have that completely seamless experience right-through education.*

Hilary drew on what she knew was her strength to put structures in place to enable this vision to happen. She determined that:

> *This place needed to be run like a military operation because nobody had a clue what was going on and I do remember sitting in the theatre on the first day when this school opened and I was thinking there are so many bloody balls in the air I haven't got a clue if I can get hold of them. I can't imagine what the staff behind me must be thinking.*

Hilary recalls taking courage and being absolutely clear about what needed to be done, she had a real sense of what 'felt right', her 'gut feeling'. Hilary based her vision for what needed to be done on her own personal convictions but also on past experiences. Goleman (1998, p.50) believes the notion of 'gut feeling' like 'other elements of emotional intelligence, can grow stronger with the accumulation of life experiences'. He concludes the 'classic term for this strengthening of our guiding sensibility is *wisdom'*. Hilary uses her experiences of being in the army, which comes through in the language she uses, and of leading other schools through challenging circumstances when she speaks of how she went about realising her vision for the failing academy she had just taken over the leadership of:

We are going to have to start bolting things down, I use the expression "rules of engagement". I remember walking down the corridor and seeing kids with their ties all over the place and shirts hanging out. So I took them on. Stop there sort your tie out and tuck your shirt in and they did. I spoke with two of my Vice Principals. Do you know what it is about these kids, they've just not been told? So the first thing I did was insist we all told them. You know as the children came in each of the doors we were doing uniform checks, meet and greet welcome from 8 o'clock. I introduced a culture of us having breakfast together and actually having a start where we don't talk about school, where we talk about life and each other, you know.

Denis, like Hilary, began his tenure as Acting Head in a failing school and used exactly the same strategy. His vision was to give back to the school community members a pride in themselves and in the organisation. Denis calls it the '*hard yards'*, the little things - standard of uniform, state of the building, picking up litter, making sure classrooms were welcoming and clean and that the break and lunchtime experiences were positive. Denis wisely understood, using past experiences, that none of this is '*rocket science'.* He continues:

> *It's about the little bricks, getting the standards right, all pulling together in the same direction, acknowledging when things need fixing but keeping it in house, working with and for each other, not against each other because you have a personal axe to grind.*

At the other end of the scale, Tony who took over the leadership of a school which has consistently been judged to be outstanding asked himself: '*How do you improve on outstanding?* But his experience and instinct told him they had *'many more things to do'* and acknowledge '*when Ofsted are in we can turn it on but not all teachers are outstanding all the time'.* He concludes:

> *My vision is for more lessons to be outstanding than good. I am always striving for the best in our classrooms for our children.*

Once again this underpins his core values of having children at the heart of all he says and does. Equally important to Tony though was getting the outstanding judgement from Ofsted under his leadership; he saw this as getting confirmation that *'he was leading the school in the right direction and not relying on the achievements of his predecessor'.* He concludes:

I like to feel as though I can make a difference – that makes me feel good – but not for myself but for our children and the staff.

What comes across loud and clear for each of the participants is the way in which they see the need to control the vision. That is not to say they are controlling but it is about setting out expectations with clarity and sticking to those core principles, being absolutely consistent. Jane wanted to build a school culture that had its foundations in celebrating success:

If someone had done something phenomenal they would get a gift voucher from me, so you know tangible rewards. Our awards evening is all about achievement and again it's about the consistency of it. If that child has actually achieved in six subjects, it doesn't matter, because the evening is about excellence. So it's getting the children to want to be part of that excellence so rewards evening has built up and it's always a big event. There is an expectation that all staff come to the evening.

Jane is also keen for all to 'buy into' and share the vision:

> *I don't care if it's the cleaner who wants to see me, there's no difference,*
> *their voice is important, they need to be heard. We got our dining room*
> *staff to wear a new uniform, we got our Student Supervisors to wear a*
> *uniform to show they're here, this is who they are and they are part of*
> *here. So ethos is about little tiny bits, you know the badges, the logos,*
> *the affiliation with Shireland, the house style.*

Steve acknowledges that he has clarity of vision but that he was also incredibly lucky, in realising that vision, when he started in his second headship:

> *I mean I think what the governors did was brilliant for me here was to*
> *give me a year to do a SWAT analysis and as a result of that then I*
> *came up with the strategic plan and so all those things to a certain*
> *extent are now controllable.*

But what Steve sees as a real plus is that:

> *Schools are incredibly dynamic places and what you think is not going to*
> *be an opportunity comes along and what you've got to say is well it's not*
> *on the development plan but you have to be opportunistic about it. I*
> *think it is the balance between the long view about where the school is*

going to be and saying bloody hell I didn't think that would happen, great

you know lets go for it.

This is another example, of the many I have cited, of a participant within the study demonstrating they are attuned to their inner signals, live their values and speak with absolute conviction about their guiding vision. This adds further credence to the suitability for purpose of the effective school leadership model I have developed and specifically the aspect associated with the personal emotional intelligence competences of emotional self awareness and emotional self management outlined in Domain A. All participants commented on valuing the opportunity to reflect on their practice and what drives them in their position of Headteacher or Principal. Indeed most concurred that they do not do this as a matter of course and the experience had made them think about how they could and should build this into the schedule, often getting bogged down with the day to day. When given this opportunity to self-reflect all participants did demonstrate, in spades, their clarity of vision. They gave vivid examples of how their values and motivations shaped this vision and were able to talk with absolute conviction and passion about realising it. For all it is grounded in the 'one chance' for the children and young people in their care and their desire to make it the best possible chance for each of them. This is strong evidence indeed that all participants are acutely self aware, speaking emotively and passionately about what drives them in doing the job. Goleman (2003, p.56) states that 'from self awareness flows self management, the focussed drive that all leaders need to achieve their goals' he

suggests that 'without knowing what we're feeling, we're at a loss to manage those feelings and instead, our emotions control us'. Goleman believes those individuals who are able to firstly recognise and then control these negative emotions demonstrate high levels of the emotional intelligence competence emotional self management. This is characterised by an 'on-going inner conversation' about what one is feeling and how one will manage those feelings. This is 'the component of emotional intelligence which frees us from being a prisoner of our feelings and it's what allows the mental clarity and concentrated energy that leadership demands, and what keeps disruptive emotions from throwing us off track' (Goleman, 2003, p.57). Goleman states that, 'leaders with such self-mastery embody an upbeat, optimistic enthusiasm that tunes resonance to the positive range' (2003, p.57). Therefore, to collect data in relation to participant's abilities to self manage emotions for the good, on which the second part of theme A2 in the developed model is based, I next elicited discussion around the notions of:

- Highs and lows in their leadership career.

- Views on conflict.

- Management of stress.

- Views on risk taking and mistake making.

This was designed to enable participants to demonstrate and evidence emotional intelligence competences within the realm of emotional self management. That is are they able to get their own emotions in hand, as leader's emotions 'have a

public consequence' (Goleman, 2003, p.57). Do they exude calmness under stress even in trying situations? Goleman (2003, p.58) concludes that 'leaders who can stay optimistic and upbeat even under intense pressure, radiate the positive feelings that create resonance'. Flintham (2008, p.58) argues 'the successful leaders acts as the external reservoir of hope for the institution because hope is what drives the school forward towards delivering it's vision in the face of external pressures whilst allowing it to remain true to its fundamental values'. This in turn leads to the 'crafting of an environment of trust, comfort and fairness' (Goleman, 2003, p.58). Fullan (1998, p.26) would refer to this as a positive 'holding environment' in which anxiety can be contained. This competency of 'self management has a trickledown effect from the leader' (Goleman, 2003, p.58). In the Allen Model for Effective School Leadership (figure 5, p.144), I have included a set of emotion self management competences which are manifested in the leaders' ability to be authentically open and transparent to others about their feelings, beliefs and actions. This, I argue, demonstrates integrity and engenders in organisations a sense that the leader can be trusted and is trustworthy. Further to this leaders who are able to self manage their emotions are flexible, adaptable and are optimistic about new challenges and see them as new opportunities. They seize the moment and are not stymied by convention and bureaucracy. The findings from the data once again indicate these too are competences displayed by the six participants and in turn add further validity to the model. In this way I continue to demonstrate in practice what the literature says in theory and this in

turn bolsters the fit for purpose argument of the Allen Model for Effective School Leadership (figure 5, p.144).

In order to begin to evidence the participant's capacity for self management of their emotions in both positive and negative emotionally charged situations I asked them to talk about the highs and lows of their leadership career. I explored with them how they managed these situations, how each made them feel and how they were able to sustain self and others through good times and bad. I wanted this to also lead into the realms of taking risks, conflict management and the associated stresses and anxieties which come with this. I therefore planned to ask further questions to elicit data around these themes.

Of the six participants, three took over schools or academies that had already achieved an outstanding judgement from Ofsted and which had been led by acknowledged outstanding Headteachers or Principals and three took over the leadership of schools or academies which were either coasting, failing or in special measures. Each of these leaders had a proven track record to lead schools successful.

Tony, Jane and Graham talk about the difficulties of taking on the leadership role in schools or academies which were already very successful. They all recognised how difficult it would be, potentially, to maintain that outstanding status and gained their greatest satisfaction from being able to maintain that standard whilst

recognising that improvements still needed to be made. They perceived becoming Headteachers or Principals in the schools or academies where they had been Deputy Head or Vice Principal as a *'risky'* career move. However, they saw this as a challenge. All demonstrate they understood that change was needed, and they were not afraid to challenge the status quo and push forward the new way of being. They had the courage to do things differently whilst being true to their authentic selves. The evidence indicates each did this in a balanced and measured way by building the capacity for others to see the way and want to follow.

Tony, for example, having taken over the Headship of a school which had been consistently recognised by Ofsted as being outstanding and having been Deputy to a very successful and charismatic Headteacher in that school, reports he was *'anxious to have his leadership credentials validated'.* This came in September 2008 when Hodgson High, under his leadership, was judged to be once again outstanding by Ofsted. He recall that he felt that this was, *'in part a judgement on me and my leadership – it was a chance to show that my direction was right for the school – it was good to get the credentials for myself and not rely on the achievements of my predecessor'.* This has lead to him becoming a School Improvement Partner and a National College Associate. Tony has demonstrated the effective use of a range of self management competencies in that he saw the need to take a calculated risk, he committed to achievement and sets high performance standards for himself and for others. He concludes '*I like to feel as though I can make a difference – that makes me feel good'.* It is also an indication

that Tony is very adept at juggling a number of demanding responsibilities. When I discuss further with him how he manages this he replies with good humour '*I spend my days spinning plates'* but acknowledges he has a very good team around him who sustain each other in times of pressure. He has developed his Deputy who now takes considerable Headship responsibility in his absence when he is at conference or carrying out SSAT consultancy work. He is keen to bring others on as he himself was brought on. He understands the importance of recognising and honing talent and accepts he has learnt this from his previous Headteacher. This illustrates that he is able to cultivate and strengthen others and he does this in a genuine and authentic way, playing to their strengths and supporting their weaknesses. Kouzes and Posner (2003, p.292) point out that 'emotionally intelligent leaders are able to empathise with others, are in tune with the needs of others and understand why it is important to know how to develop them'. Such leaders understand that if people are not given opportunities to put their talents to good use, they'll become frustrated which can be organisationally destructive.

Jane, like Tony, took on the mantle of running an already outstanding establishment from a very successful Principal to whom she had been Vice Principal. However, in her own words she was '*reluctant to do so'.* This was not because she was afraid of the challenge but because she felt, back to the notion of feelings guiding decisions, that it was not the right move for the academy. However, Jane's more experienced predecessor had recognised the potential in her to take over the leadership of the school and recognised that what it needed at

that time was consistency. Jane's high, in a similar way to Tony's, came when she was able to tangibly feel that the staff and students were on side and were buying into her way of doing things not because they had to but because they had resonance with her. This is in tune with Kouzes and Posner's (2003, p.23) assertion that 'leadership is a reciprocal process between those who aspire to lead and those who choose to follow'. Jane accredits this to her being fastidious about the '*quality control of the minutiae and people saying Jane wouldn't like that it's not the way we do things at Shireland'.* Graham similarly had to carve out his own destiny in a boy's Grammar School where he had been Deputy Headteacher to a very well liked and well respected Headteacher. Like Tony and Jane, he had a clear vision, for the students in his school, about them being the best they possibly could be. Fullan (2003, p.33-34) would refer to this as vision driven leadership in which you strive for a 'cohesive school community organised around a genuine regard for children'. Graham, not surprisingly, also focuses on a child-centred career highlight in his role as Headteacher of a Grammar School. Interestingly he does not initially talk about academic results as I wrongly assumed the Headteacher of a Grammar School would. He begins:

I can honestly point to the defining highlight so far, I still run a school where the number of enrichment opportunities offered to students, the number of trips that are taken away is huge. The number of clubs that take place at lunchtime. All 17 departments take boys out of school for enrichment opportunities. And I know perhaps it's not the greatest of

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achievements but to create an atmosphere where staff are still willing to take students out of school and all the hard work and responsibilities that are involved I don't think should be understated.

Graham speaks in a typically understated manner about the highs of leadership, once again a measure of the humility of the man and the Headteacher. I commented to Graham that I had made an assumption that the emphasis would be on academic achievement in a Grammar School and that the focus would be on keeping students in the classroom. Nevertheless I acknowledged that the wider education he was encouraging for the boys was fundamental to their future successes including but not exclusive to their academic achievement. He is able to quote the outstanding results the school achieved last year placing it seventh out of a 164 selective grammar schools in the country and whose A level scores and value added from key stage 4 to 5 showed they were the best school in Yorkshire and Humberside. However, Graham still asserts that *'although being incredibly proud of these achievements',* he believes the success '*lies in being able to achieve all of this and still offer the boys a rounded education which will prepare them for life not just for university'.*

Whilst Tony, Jane and Graham took over the leadership of already very successful schools, Denis took over a school in special measures having been Deputy Headteacher in another local school which had consistently achieved an outstanding judgement from Ofsted. Hilary also took over a failing academy having

been the Acting Principal in another academy which she had been instrumental in turning around. Steve took over a coasting school as his second Headship having already proven his credentials as the Headteacher in a school which he had turned around and led out of special measures

Interestingly Denis found it more difficult to articulate, in the first instance, the highs in his leadership career. Indeed his response initially was, *'Oh hell! I really don't know'.* As we talked around this he was able to concede that he found it difficult to answer this question because he '*didn't view life like that'.* On further reflection, unlike Tony who viewed getting an Ofsted judgement of outstanding as a high of his leadership career, Denis comments that, '*it wasn't Dowdales getting outstanding* (the school he had previously been Deputy Headteacher in)*, not at all because I thought we were actually better the time before when they gave us a good'.* This is one of many examples that Denis gave in his interview which demonstrates his integrity and his ability to talk openly and with absolute transparency about his feelings, beliefs and actions. Having got into the flow of the discussion, and in response to my prompt - What has made you feel brilliant? Denis' demeanour moves from a reluctance to talk about his career highs to a far more emotive response when he recalls:

> *One of the best things that happened at Dowdales was when a looked after child without a front door got Head Boy, that sort of thing is a high to me.*

Denis' motivations in the Headship role are evidently child-centred and he demonstrates this with another example, when thinking about the highs in his new role as first acting and then substantive Headteacher of Ulverston Victoria High School. He comments:

Of course I love the improving exam results but just standing on the corridor watching how the children now socialise, when you came here as a stranger the children were very closed in, they were tense, they didn't expect to be talked to and I just like the way they have opened up.

Denis talks in terms of the satisfaction he has gained from the palpable feeling of warmth you now get from the school and the people in it. Hilary talks in a similar vein in that she has gained tremendous satisfaction, like Denis, from being able to turn a failing academy around, from the risks she had to take in doing so and from the sense of achievement not for herself but for the school community. Having focussed on two or three areas which were challenging but in which she had absolute confidence, she demonstrated a sound grasp of the emotional intelligence competence of being able to self asses one's own abilities and talents and use them to best effect. She knew what she could deliver on and what she had promised she would. Hilary recalls the high came from:

Hearing conversations that I'd had with people or phrases that I use which are very me being quoted back or quoted to parents and I thought it's almost like a subliminal brain washing but it's in the best possible way.

Hilary smiles broadly as she concludes:

I just thought yeah we've got buy in, absolute buy in here because it was being said in the right way. And I hear people saying oh well we wouldn't do that at West London Academy and I'm thinking God you know, you wouldn't have been saying that sixth months ago, you would have been questioning everything. And I think there's the whole thing about the feel of a place, when you go into places its tangible the feeling about how it works and what the people are like and so on.

For Steve his defining moment early in his second Headship was when the school achieved a specialist school status as at the time Steve reports '*it was really against the odds'.* In those days you couldn't have more than one specialist school in each town and the other secondary school in Kendal already had achieved specialist school status but Steve was not deterred and he reports he said to his governors *'come on let's just go for it'.* This is a measure of Steve's determination to achieve what he sets out to achieve, his shear doggedness in the face of adversity and his talent in being able to 'cut to the chase' and getting things done.

This resulted in the school being successful in their application. Steve shows humility, however, when he states: *'I guess it was a big success for me personally'* but his motivation as always was to make a difference for others. This is apparent when he talks about this being a defining moment for the leadership team '*because I think it has given us the confidence as a leadership team to actually say we will do that'.* An example of this confidence is illustrated in the achievement of the school becoming a closed site at lunchtime. The Queen Katherine School site is large and open and the students had easy access to, two superstores, Morrisons and Aldi, a burger van, a 'chippy' and a local cafe. Steve took the risky decision to keep the children on site because he recognised the value of eating well at lunchtime to optimise afternoon learning potential. He demonstrated in doing this that as a leader he was committed to achievement and it was his high personal standards which were driving him, standards grounded in what was best for the children, another highly effective emotional intelligence competence in the realms of self management. When I asked how he achieved this mammoth task he replied '*by sheer determination'.* He got the manager of Morrisons onside as the number of students going in at lunchtime was having a detrimental effect on the numbers of other customers going in at this time. He also found out that a number of the till operators were parents and therefore they refused to serve the children if they came in. His biggest challenge was the local chip shop. He acknowledged he cut through the potential red tape here and in his words '*used fairly devious tactics as this guy used to be a member of Rotary, I used to be a member of Rotary and I've got friends who are in Rotary and they kind of leaned on him and then we bloody*

well got out there'. At the same time Steve encouraged another colleague to work on a healthy schools initiative to improve the school meals which went on to achieve national acclaim. Steve demonstrated tremendous initiative in that he created opportunities. He did not hesitate to cut through red tape, or use unorthodox methods to create better possibilities for his students. He also demonstrated his ability to win hearts and minds through the use of a number of emotional intelligence competences. However, this was not done in an effort to manipulate others but was done with authenticity in that Steve was living his values which underpin his philosophy, that children matter.

Hilary felt validation in her leadership capabilities in that she has now got people on side. She has got the right people, in the right places, who are now making a difference to the life chances of young people. Similarly Tony, Jane and Graham demonstrated they did not shy away from taking on the new challenge of maintaining an already outstanding school or academy, which in some respects may be more difficult than taking on the challenges faced by Hilary, Denis and Steve. However, all demonstrated a sense of efficacy in taking control of their own destiny, again demonstrating emotion self management competences in the face of potential adversity. They all had resonance with positivity, hope and optimism. Tony, Jane and Graham did not ride on the success of previous Headteachers or Principals nor did they shy away from it but chose to build on it and actually saw the way forward to maintain an outstanding school but to do it in their own way. Similarly Denis, Hilary and Steve chose to move from schools or academies where

they were comfortable, having achieved great success, to take on the not insignificant personal and professional risks faced by Headteachers and Principals leading schools in challenging circumstances. All demonstrated when reporting the highs of leadership which they had experienced that they clearly live their values, are adept at facing new challenges, have high personal standards that drive them constantly to seek an improvement in performance for themselves and others and were able to seize opportunities or create them rather than simply waiting. Equally all spoke with a sense of understated pride and humility and in doing so there was no evidence of being boastful about their achievements or of having an inflated sense of self worth and ego. All of which evidences their mastery of the emotional intelligence competence associated with self management as outlined in theme A2 of the developing effective school leadership model and therefore, I assert, serves to add further weight to its suitability for purpose.

I now turn to how the participants responded when asked about the lows they have experienced. In doing this I wanted to determine if they were adept at managing their emotions in the face of adversity. Could they 'roll with the punches' and turn adversity and or risk taking into an opportunity? Could they manage conflict whilst maintaining a sense of what really matters? I was interested to see if they were able to find ways of managing negative emotions and seeing the positive potential in them. I wanted to determine how they responded to trying situations. Did they use the emotional intelligence self management competences I have identified in the developing model for effective school leadership? As Goleman (2003, p.56)

points out being able to understand and then manage one's emotions 'is usually fine, when it comes to positive emotions like enthusiasm and the pleasure of meeting a challenge but no leader can afford to be controlled by negative emotions, such as frustration and rage and anxiety and panic'. Hargreaves and Fink (2006) when writing about sustainable leadership define sustain as 'to hold up; bear the weight; be able to bear (strain, suffering, and the like) without collapse'. They attest this ability to the 'inner conviction, unshakable faith, and a driving, hopeful sense of purpose that stretches far beyond the self – these are the inalienable elements of moral character that truly sustain people during times of over-whelming difficulty and almost unbearable suffering' (2006, p.23-24). In asking the research participants about the absolute lows of their leadership career I wanted to pick up on the tone of voice and manner in which they spoke about this in order to determine if they were able to self manage their own emotions in these circumstances and were there similarities in approach across the participant group. For example, being clear headed under high stress or during crisis, remaining unflappable in trying situations, using disturbing emotional impulses in a useful way and 'rolling with the inevitable punches', turning setbacks into opportunities, in short having a 'glass half full' attitude. Goleman (1999, p.80) sums this up when he states 'emotional self regulation includes not just damping down distress or stifling impulse; it can also mean intentionally eliciting an emotion, even an unpleasant one'. He calls this the 'managed heart' and goes on to explains this further when he states 'the notion of self control does not mean denying or repressing true feelings' and continues 'bad moods, for instance, have their uses; anger, sadness,

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and fear become sources of creativity, energy and connectedness (Goleman, 2003, p.80). Finally he concludes 'anger can be an intense source of motivation, particularly when it stems from the urge to right an injustice or inequality'. He continues, 'shared sadness can knit people together and the urgency born out of anxiety, if not overwhelming, can prod the creative spirit' (Goleman, 2003, p.81). This is what I found.

West London Academy was one of the first all-through academies and the government of the time, Hilary tells me, had a lot riding on its success. Therefore, after three years of it not being successful Hilary was charged with the task, by the Secretary of State, of going in, as Associate Principal in the first instance, to help turn it around. She was well aware of the pressure being placed up on her. She understood being brought in to help lead an academy that had been deemed by Ofsted to be not making the required progress had attached to it the potential for considerable conflict. She would be working with the senior leadership team who had 'failed' and with a dispirited school community, including teaching and non teaching staff, all of whom had had their part to play, real or perceived, in the academies demise. This in turn had the potential to create for her a great deal of stress and anxiety. I was interested, under these circumstances to know, what she considered to be her lows and how she managed them. She recalls:

When you are put in by the Secretary of State it's a very different position because you are carrying the Crown, I mean you do actually

feel that level of responsibility and it's a huge weight but then the other

bit was there was absolutely no conflict from the staff because the staff

were crying out thank God there's somebody doing something about it.

Hilary also remembers that because she wasn't initially the Substantive Principal when she was put in to help support the school through difficult times, staff felt able to talk with her about their concerns:

They would say this is happening or you know we don't think this is

happening but we think this needs to happen or you know we don't think

this is morally quite right because the children aren't getting a good

education.

They very much saw Hilary as the person who was going to put things right. Hilary's view was what they were concerned about:

W*asn't rocket science, it was completely normal, it was all the normal*

stuff that in any normal good school, which is where I'm from, you'd

think yeah that's right.

Hargreaves and Fink (2006, p.24) would attest to Hilary's success in this situation to her living her principles because they believe, 'the most long-lasting and successful businesses are driven and defined by enduring purposes and values,

not quarterly profits'. Hilary has an unwavering sense of moral service to the children in her care to maximise their absolute potential because many come from backgrounds where their parents do not necessarily have the means or the desire to do this for them. Fullan (1999, p.1) understands in these circumstances especially that, 'at the micro level, moral purpose in education means making a difference in the life-chances of all students – more of a difference for the disadvantaged because they have further to go'. Davies (2009), when researching the notion of passionate leadership in relation to Principals who take on the challenges of leading schools in disadvantaged areas with a previous record of underachievement, as in Hilary's case, reports that such leaders are able to 'transfer their passion for education and social justice into action' (Davies, 2009, p.91). Hilary was able to see the positives in a very challenging situation because she had her values as her guiding compass. To her it wasn't *'rocket science'* and yet others had not been able to do what she did. It was her 'moral purpose' which in turn motivated her colleagues, who were themselves at very low ebb, to keep them going. Interestingly colleagues who had resigned under the previous principal asked for their jobs back when Hilary was appointed Substantive Principal. She recalls with her tongue firmly in her cheek that:

Apparently one of my Deputies was saying, she was sitting next to a woman who had heard that I was taking over and she went 'oh hell, do you think she'll take my resignation back'. And I actually had seven

people resign, they'd resigned because of the predecessor before the

half term and all seven of them wanted to come back.

This is one measure of the 'buy in' Hilary had achieved. Being clear about what she wanted enabled Hilary to take the moral decision that '*she gave four of them their jobs back but not the other three because she didn't think they were good enough'*. Further to this Hilary states:

When I was appointed permanently to the substantive post, I remember walking into the reception on the first day, I had absolutely no idea what to expect, I came in and I was mobbed, it was just people shaking hands.

What could have been one of the greatest lows of her leadership career became one of her absolute highs. Once in post Hilary was faced with some serious challenges including thinning out a leadership team of twelve Assistant Headteachers and working with Vice Principals who had been part of the 'failing' leadership team. Hilary understood the old adage that she had to get the wrong people off the bus, the right people on the bus and then get them sitting in the right seats before she could then work out how to drive the bus forward. However, she found this relatively straight forward because when she initially came into the academy to work with the then Principal there was a real feeling of people wanting direction. She reports:

They didn't have a clue because the goal posts were moving all the time. You know every other day there'd be another directive, a new initiative and I was like, well we haven't embedded this one and the last one didn't work and I was thinking now please can we have a mutiny. But thankfully the Principal was removed before and then I was appointed Substantive Head and then you know the rest is history.

The history is that Hilary has lead the academy from been a failing academy under threat of closure to one which is very popular, oversubscribed, with a significant increase in numbers and with very good academic and pastoral outcomes. Ofsted judged the school to have made tremendous progress under Hilary's leadership and in a relatively short time went from failing to being at least good. When asked how she had been able to do this she attests *'their'* success to:

Going right back to your inner values, what do you really value and I don't want to leave this world not having given back as much as I possibly can to give other people a chance because you morally are ... I just ... what's the point of being on the earth, I mean I can't see any other reason you know.

Denis, like Hilary, although in different circumstances, was also able to turn around a failing school relatively quickly. I was interested to unpick if there were similarities

between Hilary and Denis's motivating factors and their ability to manage their emotions for the good in similar challenging circumstances. Denis believes at his heart is the welfare of the young people in his care year on year. '*It's about children isn't it; it's about young people, shaping their lives'*. So what sustains him in this quest? '*Once I've got my teeth into something I won't walk away so it's a bloody double-edged sword to me in a sense'.*

Interestingly, like Hilary, Denis viewed taking on the job of Acting Headteacher to help a school out of special measures as a civic and moral duty. To some this would be stressful and anxiety ridden, which Denis acknowledged it was, equally he was able to turn the 'acting' nature of the post into a position of strength. He was able to recognise the feelings of stress and anxiety in himself, hold them in check, and exude an upbeat, positive and hopeful demeanour which ultimately would permeate throughout a school community which had been traumatised by special measures. Goleman (1999) illustrates in his work on emotional relearning and recovering from trauma that the first step to recovery is - 'regaining a sense of safety' and the next 'regain a sense of control over what is happening to them' (Goleman, 1999, p.210). Further to this, 'healing involves retelling and reconstructing the story of the trauma in the harbour of that safety, allowing emotional circuitry to acquire a new, more realistic understanding of and response to the traumatic memory and its trigger' (Goleman, 1999, p.211). Through his well developed emotional intelligence competencies to be able, either consciously or intuitively, to feel the feeling of both himself and others Denis was able to begin the

healing process for the children, staff, parents and Governors at Ulverston Victoria High School. However, this does come at a personal price and with complete honesty Denis acknowledges, but not in a self pitying way, that:

I'm pretty low at the moment because I am not getting any relaxation, so that's a state of mind, but I will never crack up or anything like that, I'll always bounce back. I had an horrendous day yesterday but this morning was brilliant.

He accepts some of this stress and anxiety initially was the circumstances in which the role of Acting Headteacher incrementally developed from a three month tenure which turned into six and then twelve months. However, Denis turned this from what could be considered as a position of weakness, a low, into a position of strength, a high. When I pushed him on how he deals with the stresses which the low moments bring he reflects and concedes that:

You have to somehow develop a position of strength so that the powers that be can't get you for it. Now one of the things I've been doing with this school is trying to develop a position of strength and ironically part of my position of strength is Acting Headship and I'm reluctant to let that go because I can hold that over people's heads, not for my benefit, for the benefit of the school.

When pushed on this Denis expands:

I am competitive and I used to be competitive about lots of things but all my competitive nature is channelled into what I do now and for the good of the children here.

This indeed was one of the reasons why Denis decided to come to help Ulverston Victoria High when he had the choice of three schools. He continues that:

I was angry with the school for not doing the best by the students and this offended my sense of what the children deserved to be getting and were not getting and therefore I felt there was a duty, a civic and public duty to come here. Now people would not believe this in this day and age but I actually run on those sorts of rails.

Denis clearly has a keen sense of justice and injustice makes him angry. This is a negative emotion which Goleman (1999), in this instance, sees as a positive because it motivates people into action which is very much apparent in Denis' case. This anger led him to confront unethical behaviour in others and he was not prepared to turn a blind eye to it. This very much echoes the sentiments expressed by Hilary in terms of a sense of service and giving back to society and turning a potential negative experience into a positive one, even at one's own personal cost. Both Hilary and Denis demonstrate a range of emotional intelligence competences

within the realms of the self management of emotions in that they demonstrated high levels of adaptability, juggling multiple demands, being comfortable with ambiguity, taking calculated risks and most significantly in doing so were also able to take control of their own destiny and seize setbacks as opportunities. Were these competences also demonstrated by Steve who like Hilary and Denis has been instrumental in bringing about significant reform and improvement in both schools in which he has been Headteacher? Steve, similarly, was also very philosophical about this and did not consider himself to have had too many lows as he was very much of the opinion that you turn potential problems into future opportunities. This is evident when he says:

And then suddenly it is an opportunity and it happens more often than you think, you look at your staff and you think oh it's not going to change and then blow me we've got this opportunity. It turns out to be a massive opportunity. You've got to be opportunistic. I think it's that balance between the long view about where the school is going to be and saying bloody hell I didn't think that would happen, great you know lets go for it. You know it's about the glass half empty and the glass being half full and I think if your glass is half empty don't become a Head because you will be a miserable sod and won't move your school on.

Steve also acknowledges how he is sustained by his family when he adds '*my glass gets even fuller as I go home'.* Tony takes a similar view to Steve in response

to the lows of his leadership questions. *'Not too many lows thank God'* but he does acknowledge that:

> *The pressure and intensity of the job can be quite overwhelming at times, it impacts quite heavily on my home life because I know I do too many hours of work at home and I need to get a better work/life balance.*

Graham also worries about work/life balance when he states:

> *I have to say, that there have been occasions over the last two years where you've thought you can't do it, you know you honestly physically can't do it and somehow it's taking too much out of you. That's a feeling that happens in the small hours of the morning and you're waking up six/seven hours later and you think what was I worried about and in the cold light of day then you get it into a clearer and better perspective.*

When asked how he could better cope with this Graham accepts that:

> *I know I should do more exercise, I know I should have more interests outside of school but I don't have the time to do them and time will tell whether in fact this is burnout and I don't know right now.*

When writing about sustaining leaders Hargreaves and Fink (2006, p.252) worry that 'externally imposed, short term achievement targets are incompatible with long-term sustainability'. This is certainly evidence through the discussions I had with participants in this research. It is this which makes the job such hard work both physically and mentally. However, all participants are philosophical about this aspect of the job and they all find sustenance from colleagues and perhaps more significantly from their families and friends.

Graham, like Tony, concedes a huge debt of gratitude to his family and worries about the impact his job has on his family and his private life and he adds, *'something's got to give'* and then breaking the seriousness of what he is saying, with a laugh and wry smile adds '*I don't want it to be my sanity'.* He confides the way he deals with this is:

> *I do take things home, no doubt about it, emotional luggage that I take home and yeah there are occasions when that does become somehow too weighty and you have to speak to somebody about it, but I think that's part of the role of the Senior Management Team that you can discuss things at length. I don't however, have many close friends on the staff and I think that's perhaps the role of Headship, it can be a bit lonely but I think that's where your family comes into it and I can say things at home that are kept private and occasionally Mary will tell me exactly what I need to do about it.*

This brings us back to the importance each of the participants place on their family for providing emotional nourishment for them which helps to sustain them in the job. This takes us back to that notion, identified when considering the first emotional intelligence domain of self awareness, of the role a loving and supportive husband/wife/partner/family plays in nurturing and developing emotionally intelligent competences within each of the participants. Particularly crucial because all participants agree the nature of the 'top' job makes it a lonely one. Goleman (1999, p.81) would support this when he states 'within the intimate zones of friends and family, we can bring up and mull over whatever weighs on our hearts – and should'. He concludes though 'at work, a different set of emotional ground rules more often prevail'. All participants express to some degree that this is true but equally all participants are nourished and sustained by their absolute unwavering conviction that they are doing the job not for themselves but for the children and the communities they serve and it is this which ultimately sustains them in the job and in the workplace.

As the participants, due to the nature and strength of their emotional resilience, could not be drawn on the lows of their careers and actually turned this question into an opportunity to talk about how they have taken the positive out of what potentially could have been quite the reverse. In order for me to evidence how they self managed emotionally charged situations I changed tack and asked them about

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conflict, mistake making and risk taking. Jane believes that because of the human nature of the job and of the English education system:

Conflict will always be there, where I like change, not for the sake of change, I like change, I think change is stimulating. For a lot of people it is terrifying and you have to recognise that, just because it's your beef, it's your baby, it's something you're comfortable with, out there are probably 20 people who are terrified and you have to be there for them as well.

Steve does not hesitate in his answer with regard to conflict:

I think again it comes back to principles doesn't it and the principle there is that any difficulty needs to be sorted out, in my view, at the lowest possible level and therefore you've got to empower and train people to be able to sort that out. I think that is where some heads come unstuck. They don't have the confidence, the emotional resilience. You are the one that has got to say this is the standard and this is the way you've got to be if you are dealing with issues of capability for example.

On this note Tony accepts that:

I am not afraid of conflict but I don't like it. I am human and empathic with others but I can't tolerate underperformance. I do also see conflict as good as it brings different ideas and makes you think.

Graham has a similar view in that he is very strong on appropriate professional conduct and feels able to take the moral high ground on it because he lives his expectations:

If I know that my conduct is squeaky clean then I can expect other people to behave in a similar way.

He also acknowledges how important it is to face situations which may bring you into conflict and not shy away from them, even though you have at your heart the care of others, it would be false logic not to challenge because you were afraid you will offend someone's sensibilities. Graham recalls when first taking on the Headship of the already very successful Ermysted Grammar School he recognised, having been Deputy Headteacher at that school, that:

Some things hadn't been seized, some opportunities that hadn't been seized and some things that hadn't been sorted out and one was workload reform as we still had paid teachers doing some jobs that should have gone to admin staff or non-teaching and that has taken a sort of angst to sort out, its caused some disappointments and it caused

a minor problem with a small number of staff but I feel in tackling those problems, and staff have seen that I've been willing to tackle those problems, then that's all part of that moral courage, it's all part of that moral dimension because if I'm not careful I've got teachers paid on very high salaries with all the protection and pension rights that teachers have and they're not spending time in the classroom.

Once again we come back to the moral imperative and core values which drive all that Graham says and does and is a key emotional intelligence trait displayed time and again by all six research participants.

Similarly participants have a common approach to risk taking and the associated mistake making which can come with this. They demonstrate through the gathered data that they are not fazed by mistake making and acknowledge they have made them. Steve talks about risk taking and having the same confidence to deal with risk as with conflict:

Headship is always risky; if you are going to push things ahead you're taking risks.

Tony agrees in that he states:

I am not afraid to take risks and make mistakes. We learn from our mistakes. I learnt this early in my career. A previous line manager called into question my effort on a particular project. I made sure I didn't make the same mistake.

He acknowledges the biggest risk of his career, which has clearly paid off, was taking over the leadership of a school which was already outstanding, from a leader who was charismatic and highly successful, in a school where he had been the Deputy Headteacher. He was also interviewed twice for the job because the governors in the first instance were not entirely sure he was the right person for the job. Similarly Graham took a calculated risk in changing something which was long established in the school he had taken over, parents evening. He took a risk in changing the format of feeding back on the progress of students to their parents and with that risk came some acknowledged mistakes but in his self reflective and transparent manner Graham states that:

I think making mistakes is important as long as they are not too dramatic and are born out of calculated and well considered risk and as part of the improvement agenda.

Davies (2009, p.103) suggests, 'it is important to see risk taking not as a reckless activity but one where new and innovative practices are tried out and monitored to see if they add significant benefit to the school'. To this end Graham persuaded

everyone to trial "consultation days", led by form tutors as opposed to subject specific staff, in the place of parent's evenings. The feedback from staff and parents was that it didn't work for Key stages 4 and 5 where parents wanted to speak specifically to subject teachers but that it was fine for Key Stage 3. He concurs that:

It was felt that was an experiment that really didn't work. Great okay. I put my hands up, that didn't work. The process, yeah ruffled a few feathers, caused a few cross words, emotions ran high for a day or two but when the dust had settled then Key Stage 3 parents said they thoroughly enjoyed the consultation evening but would prefer parents evenings at the later stages.

Clearly Graham is not afraid to tackle the 'tough stuff'. Indeed, Fullan (2003, p.32), believes that, 'conflict avoidance in the face of poor performance is an act of moral neglect'. Another example of Graham's unwavering courage to embrace change grounded in moral purpose even at the risk of creating conflict was when he introduced a cashless catering system which whipped up a storm amongst the older boys who protested it was an invasion of their privacy. On this occasion Graham made a decision which some didn't like but he insisted whether they liked it or not, due to monetary reasons, that was the way it was going to be. He was clear what he was prepared to expend his energy on and when it wasn't worth the effort. Graham clearly has worked on how he manages such situations and plays

to his strengths in doing so. He demonstrates in this his ability to manage such situations using the emotional intelligence competency of being calm and unflappable in potentially emotive situations. He understands that he is able to diffuse angry staff but equally recognises there are times when:

I have to become more autocratic and say this is the way we are going because these is no better alternative or I think this will work and there's that firmness required and at other times you are consultative and I should hope always collegiate.

Graham evidences this further when he recalls:

One of my colleagues saying not to me, but it was said to someone else and then reported to me, that if Graham says "it's right" then we'll go that way.

This was affirmation for Graham that his potentially perceived risk taking was being supported by his staff and that, for him *'meant a huge amount'.* What Graham alludes to here is the strength he draws from the support he receives from his staff and this too is evidenced by the other participants. In addition, what comes through strongly is how much the participants rely on the support of their families in what they acknowledge is a very stressful job. Whilst these personal and professional sources of support are invaluable what I am interested in is how the participants

self sustain in stressful and challenging situations and are there common emotional intelligence traits and or competences displayed by the participants evident in the data. I also see this as a fundamental aspect of the model I have developed for effective school leadership as it focuses on how we might sustain school leaders in challenging circumstances. This is an inevitable aspect of the job which, as I have shown through the literature review can make or break a school leader. It is an aspect of the model which aims to provide a set of competences which sustain leaders in challenging circumstances. With conflict, risk taking and mistake making comes the inevitable stress and angst. How do participants view this and to what degree do they use the self management of their emotions to combat the potential destructive outcomes, both physical and mental, associated with it? Further to this how do they sustain themselves and others in this situation? Leaders who are able to do this successfully, I assert in the developing model, display high levels of personal, social and relational emotional intelligence competences and are therefore attuned to a wide range of emotional signals, letting them sense the felt, but often unspoken, emotions in an individual or group. In doing this they are able to flex their emotional self with the emotional self of others, and thus foster a positive emotional climate or mood to keep relationships in the school community on a common wave length. I also acknowledge that this is tough but the most effective leaders are able to deal with these potentially high levels of stress because they are in tune with their own emotional triggers and those of others.

Tony articulates that school leadership, by the very nature of the job, is inherently stressful and trying but he explains characteristically he is:

Calm and unflappable. I don't stress, that's not helpful in a stressful situation. Others need to see that calm exterior. Makes them feel safe and secure. I always give people a smile. I'm upbeat and not moody. I don't do moody. I can't stand moody in fact. As I said what you see is what you get.

Goleman (1999, p.82) considers that, 'the ultimate act of personal responsibility at work may be taking control of our own state of mind', 'moods exert a powerful pull on thought, memory, and perception' and 'resisting this despotic quality of moods is essential to our ability to work productively'. Graham expresses a similar sentiment when he says:

I make it a point of principle, yeah occasionally I get cross with the boys, I do, and I think I have to occasionally, but I am never rude to them, I cannot think of a time I've ever had to shout at a member of staff ever in my career and most things I can try and solve by being polite and pleasant and quiet and calm and in fact being quiet and calm is a great deal more threatening for some boys than jumping up and down and getting excited.

But on the note of stress Graham concedes he is only human and is able to acknowledge what he believes to be a weakness in himself when he states:

I do get things out of proportion sometimes, no doubt about it, I think things that seem trivial somehow are vitally important: uniform for example or courtesy or holding a door open for visitors, standards, all those to me are important because they're important bits of training for life.

I would argue that Graham is being passionate here about what matters to him and perhaps the perceived stress comes from others not seeing the value of his convictions. However, speaking from the heart is often accompanied by vocal and physical bodily animation which expresses the conviction, sincerity and honesty with which one speaks. This is about harnessing one's core emotions as opposed to an emotional outburst which is neither measured nor balanced.

Interestingly Steve, when we are talking about the loneliness of Headship, confides that he felt this acutely in his first headship. He recalls:

It was desperately lonely and what you didn't know is, in that particular context of taking over a failing school, as to whether you were right or you were wrong.

He also confides that:

The job was amazingly stressful because at the end of the day I could have probably as easily failed as succeeded and there were times when I felt I was failing and there were times when I felt I was succeeding. It's almost like a seesaw when you walk up it and down it and then you get the kind of tipping point where you go one way or the other. After six months here it tipped the right way and that was it, we'd cracked it. We'd got that sort of critical mass of staff and parents and the local authority who were willing us to succeed.

Hilary in her first Substantive Principal role talks of the lonely nature of the job too, '*I think this is an incredibly lonely job.* However, it was learning about how to deal with the challenges of that job and developing emotional intelligence competences of emotional self awareness and emotional self management that Steve was able to reply with absolute certainty in answer to my next question – "So how do you deal with stress in your second Headship post?

I don't know, you're asking the wrong person because I don't find the job at all stressful now.

I think the nub of this answer is the word '*now'.* He reflects being an experienced Headteacher helps in that one learns how to deal with stressful situations, one

learns how to recognise stress, what triggers it and how to handle those emotions calmly and with clear consideration. This, according to Steve comes from, *'fifteen years experience in the job'.* He also states that he has *'good people around me like Sharon* (Steve's PA) *here who does all the work. I don't know, it's just my job and I get on with it'.*

Goleman (1999, p.214) supports this when he says emotionally intelligent leaders are able to learn from emotionally charged lessons, 'in short, emotional lessons, even the most deeply implanted habits of the heart learned in childhood, can be reshaped – emotional learning is lifelong'. Denis demonstrates this too. Having been a Deputy Headteacher in a school which he and the Headteacher had taken, over an eighteen year period, from a coasting to an outstanding school; he was in a place in his career where he agrees he was comfortable and life was relatively easy and stress free. So why take on a failing school and how stressful has that been?

> *If you were to say to me what was my grand master plan when I came into Ulverston I'd say I didn't have one. You know it was to just go for it and see which way it took me.*

What Denis did point out however, that he is able to use his previous experiences, like Steve, to instinctively know the way. He also reflects that he has a persona that:

I'm not anywhere near as serious as people think I am. So quite often things for me I have experienced them before, so they're not having the same effect on me that people think. So there's that which is you know it's rehearsed, modelled, things that I've done before and I've seen before. Sometimes I handle things just instinctively.

Whilst Denis does have a calm and unflappable demeanour about him, like the other participants, there are certain things which arouse a passion in him and as he recalls this can lead him to:

Bloody well get right between the eyes. What I can't stand is disrespect and I can't stand you know like colleagues that we come across here and in different institutions taking the proverbial but I will never fall out with you long term because it's not in my makeup because the longer game of relationships is more important to me.

It is because of this that he worries:

I've said what I've said and wish I hadn't said it like that or whatever. My missus always tells me off for this, one of the big problems is even when I'm manifestly right, if I've done one of those I'll fret at it that much that I'll go back and present myself as wrong.

Another example expressed by Denis, but also by other participants, is that Headteachers and Principals are human beings and they don't get it right all of the time and they do have failings and I argue, as shown in the developing model for effective school leadership, that this is part of being emotionally self aware and understanding feelings and how to manage them productively. Hilary when talking about the stresses of the job says her problem is that:

I just never switch off and sometimes I drive myself demented because then I just think why am I doing this, you know yes it's well paid, yes it's a dream job, it's an all through school, I've got fantastic Governors, the kids are great, the staff are fantastic but I can't you know in the middle of the night stuff.

Hilary also acknowledges that having a good team around her also sustains her in the job. Jane speaks in a similar vein to Hilary and the other participants when she too agrees that you can feel emotionally isolated in the job because you have to keep the feelings which could put you off course in check, as Jane expresses:

I just keep the negative and potentially overwhelming feelings tied up in a little bag somewhere and you don't let them out, that is a hard trick to learn. I think that's why being a Headteacher or being a Principal can be incredibly lonely. People often say that but it's not until you get into the post you realise it is because sometimes you have nowhere to go with

that. Now fortunately because I have an Executive Principal, he'll give

me sound advice and tell me some things, that's where I can go.

Jane agrees with all the other participants that having a good team around you is so important but also agrees the loneliness comes from knowing at the end of the day the 'buck stops with you' and it is the gravitas of this responsibility which can cause anxiety and stress. Jane concludes:

The pressure of leading a place is immense. You are the public face; if

things go wrong it's you people want. They don't often want you if it

goes right but they always want you if it goes wrong.

So what does sustain Headteachers and Principals in this key role? What comes across loud and clear is yes having supportive colleagues who want to follow your lead is important, yes having supportive, loyal, loving and caring families and friends equally so but what ultimately sustains these participants in the workplace, and this is evidenced in abundance through the collated interview data, is their unwavering convictions that they are doing it for the children. Davies (2009) refers to this as 'passionate leadership' and central to this is the notion of social justice and the moral imperative for school leadership. His research into the leadership of academies in deprived areas, found that 'an overwhelming factor raised explicitly by all Principals was a personal belief that they wanted to improve the lives and life chances of children in less advantageous communities' (Davies, 2009, p.92). He

finds, as I have in my own research, 'they had the deep conviction that they could make a difference and that they had the self-confidence in their own ability to make that difference' (Davies, 2009, p.92).

Graham sums this up well when he says:

> *Yeah everyday that sticks with me, that you can be the very best gentleman, you can be anything you want to be, if you work hard lads you can make it.*

For Hilary, like Graham, it is knowing that what she is doing is making a difference to the lives of children, even though the children in her school come from very different backgrounds to the children in Graham's school, her altruistic sentiments are the same. This is apparent when Hilary talks about one of her students Sam:

> *You know Sam's dad is a motor mechanic, hasn't got the first idea about universities and Sam will go to Cambridge absolutely no question about it, but parents, although supportive, don't know where to start and it's not just him it's all the kids, it's to give them the opportunities that I've had which will really change their lives and ultimately they have a social responsibility to change the country and I think it's that which sustains me.*

Equally Jane believes that:

The one thing that I have never wavered from ever is belief in the children. I look at the children who were absolute pains and what wonderful young adults they've turned into, that's why I do the job I do.

Tony's principles and values are equally grounded in:

Having the highest standards for students because they only have one chance.

He believes that first and foremost he is a good teacher and understands how to get the best out of children. Steve supports this when he concedes that good school leaders are good because they are good teachers:

You know that's why you're such a good leader and I'm such a good leader because we've lead people in the classroom that's our bread and butter. No other job is like teaching. We're better than bank managers, we're better than doctors, than policemen, we're better than all of them because we're really good at managing kids in classrooms who will ultimately become our future. And if we don't end up with our heads up our arses as Headteachers thinking that there is more to it than that, you know swan off to meetings. What I'm best at is when I go into the

classroom to see the ne'er-do-wells and tell them my one and only joke

and they laugh last thing on a Friday afternoon and that goes away with

them, that's the Head.

Denis speaks with equal passion about why he is in the job and why he becomes

frustrated with those who do not have the children at their heart:

It's when people are taking the piss by not doing their job I can't stand

because at the end of the day in our job they're actually taking the piss

out of the children. When I look at some of the pastoral leaders here I'm

thinking well those children you've only got one chance with them, it's

alright you sitting there but get off your backside and do right by those

children.

This is clear evidence of Denis' strong sense of injustice, engendering in him

strong emotions, which he has harnessed as a motivating factor to do the right

thing for the children in the school he leaders. It is this sentiment which is echoed

time and again by all participants and ultimately it is what drives them and sustains

them in the role of Headteacher and Principal.

Having analysed the data findings in relation to the personal emotional intelligence

competences - understanding own moral purpose, being emotionally self aware

and being able to manage one's emotions for positive outcomes - I now ask myself

in summary: What can be drawn from the findings? What are the emerging themes? What impact does this have on the suitability for purpose of this aspect of the developed effective school leadership model?

It is evident that each participant, in their own way, is sure of their own boundaries and what shapes those boundaries but they also use them to harness strengths and work on areas for further development. The data indicates the leaders in this research study tend to have a positive outlook on life even in the face of adversity and challenge. Goleman (2003, p.6) believes this attitude is essential in leadership as in 'any human group the leader has the maximal power to sway everyone's emotions'. He suggests that if 'people's emotions are pushed towards a range of enthusiasm performance soars; if people are driven towards rancour and anxiety, they will be thrown off stride'. Fullan would call this the 'moral imperative of leadership' (2003) when he talks about getting the right Headteachers and Principals and the right teachers into the right jobs in order to drive educational reform in the right direction by taking a positive, optimistic and hopeful stance. Davies (2009) when considering the notion of spotting and harnessing leadership talent quotes Flintham (2008, p.57) who argues that successful leaders often act as 'reservoirs of hope' (Davies, 2009, p.5). I contest that participants in this research do take this hopeful and optimistic stance because, and the collated data findings indicates this, all are passionate about the life chances of young people and it is this which is their motivating factor in taking on the job of leading a school or academy. Interestingly, though, they all acknowledge that it is not necessarily a

job they would have chosen for themselves at the outset of their career but that once in that role they have an absolute commitment to it.

The base of this commitment, as the evidence indicates, lies in the notion of primal leadership. Goleman would concur with this when he states that 'leaders who maximise the benefits of primal leadership drive the emotions of those they lead in the right direction' (Goleman, 2003, p.6). Fundamental to this, and as has been shown through the analysis of the data findings gathered from the first part of the interview, is the ability to be self aware of one's own emotions and control them in a feeling the feeling way and understanding ultimately the impact this has on how they lead, however for each this was done in an instinctive, rather than self reflective way.   This is rooted in the ability to build emotionally intelligent communities who together, in the school setting, can ensure optimum achievement for past, current and future cohorts of students in their care.

These findings are very much in keeping with the findings of Kouzes and Posner (2002) who have gathered, collated and analysed 'leadership' data over a decade or more; the belief that the leadership challenge is for leaders to be able to 'mobilise others to want to get extraordinary things done in an organisation' (Kouzes and Posner, 2002, p.xvii). I believe this is nowhere more apposite than in the school setting. Goleman would argue that it is a leader's strengthened emotional intelligence capabilities which will enable leaders to achieve this. That, in order to get others to follow their lead, they must be able to build positive and

productive relationships with individuals and with groups and across groups. All six participants in this research study demonstrate, through a wide range of examples, that they are adept at doing this. Indeed, for all, it is central to their leadership effectiveness. Kouzes and Posner (2002), in their research, find that the single most important quality in a leader, as admired by those who follow them identified in their extensive research, is *integrity* and *trust*. Words echoed time and again by the participants in this research study. This is rooted in leaders leading from the essence of who they are, and being completely grounded in their own moral purpose, that is they have to live their values, in order for others to buy into them and live them too. At this stage I ask the question - Are these competences and characteristics those which are displayed/used by outstanding leaders? The research carried out by HMCI Christine Gilbert (2009) into outstanding leadership, and referred to earlier in the literature review, suggested that they are when she concludes 'what is common in schools that have been rated to be 'outstanding' is that they put children first, invest in their staff and nurture their communities; they have strong values and high expectations that are applied consistently and never relaxed' (Gilbert, 2009)'. Goleman (2003) takes this notion further in that he believes in order to be an outstanding leader the leader's primal challenge is to be self aware. Simply put, he concludes that 'self awareness means having a deep understanding of one's emotions, as well as one's strengths and limitations and one's values and motives' (Goleman, 2003, p.49). The initial data analysis findings indicates, as outlined, that all research participants are emotionally self aware. Equally what is evident and also illustrated is that they are 'honest with themselves

about themselves, and they are honest about themselves with others, even to the point of being able to laugh at their own foibles' (Goleman, 2003, p.49).

What has also come through in the analysis of the data findings is that all participants have demonstrated they are able to self manage their own emotions largely to the good. This skill, according to Goleman (1999, p.83) 'in a sense, largely invisible – self-control manifests largely in the absence of more obvious emotional fireworks'. He lists signs of demonstrating such skills as being 'unfazed under stress'; 'handling a hostile person without lashing out in return'; 'resisting seemingly urgent but actually trivial demands'; 'avoiding the lure of time-wasting pleasures or distractions'. All of which were demonstrated by participants in the examples they have given.

In summary the findings provide, I believe, powerful evidence that participants in this research study have a common set of personal emotional intelligence competences which, I have shown, are in tune with those identified in ***Domain A: Emotionally Intelligent Leaders*** of the ***Allen Model for Effective School Leadership*** (figure 5, p.144 and appendix 3i, p.416). They are Headteachers and Principals who are attuned to their own ***Moral Purpose (A1)*** which has led to ***Emotional Self Awareness and Emotional Self Management (A2)***. Further to this, the findings show, it is underpinned with the visionary conviction that they want to make a difference to the life chances of young people. Evidence that they live these values comes through time and again in their words, deeds and actions.

However, I argue that these convictions have to be the convictions of the school community if that vision is to be realised and lived at the highest level. Self-actualisation is not achieved in a vacuum, neither is it finite in itself. Therefore, I now move on from *Personal Emotional Intelligence Competences* to *Social and Relational Emotional Intelligence Competences*. These are the competences, which I argue, in the third and fourth interlocking themes of Domain A of the Allen Model for Effective School Leadership (figure 5, p.144) are needed to enable Headteachers and Principals to be effective in the job of, firstly articulating that vision to the community and secondly realising the vision with them and through them for the common good of all members of the community. This is what I have found.

4.3.2: An integrated thematic analysis of the data and findings: Social and Relational Emotional Intelligence Competences

What follows is an exploration of what the data analysis tells us about how aware participants are of the emotional self of others (theme A3) and how they are able to flex their emotional self with the emotional self of others (theme A4) to achieve positive outcomes.

I show in the model that if you are aware of your own feelings and how you use them to best effect as a school leader this is the foundation from which to begin to understand the feelings of others. If you can 'flex' your emotional self with the emotional self of others you are able to demonstrate the ability to self manage your

own emotions and also understand and manage the emotions of others to achieve positive outcomes. Covey (1989), when discussing the habits of highly effective people, would call these 'win-win' situations. That is, situations from which all will benefit. This allows one to empathise with the feelings of others but not to lose control, indeed the goal is to create resonance as opposed to discord. Goleman (2003, p.58) refers to this as the 'neural tug-of-war' and concludes that 'the person with stronger emotional self management abilities tends to 'win' and that 'typically the unflappable person typically ends up calming the irritable one'. This ability, I believe, is crucial to emotionally intelligent school leadership. Fundamentally, I assert, this is about caring for others. Hargreaves and Fink (2006) would agree when they are thinking about how we sustain leaders in the future. They talk in terms of principles and in their first principle they hypothesise that 'sustainable leadership matters' because 'it preserves, protects, and promotes deep and broad learning for all in relationships of care for others', (Hargreaves and Fink, 2006, p.23). However, in order to care for others one must be able to care for one's self. To do this, I propound, leaders need to be able to manage their own emotions in a positive fashion in order to self preserve and self sustain. Leaders must take care of themselves, both mentally and physically, if they are to have the energy and inner reserves to take care of others. It is also necessary in order to model the way of being in emotionally intelligent learning communities because it is from this, I conclude in the developing model, that emotional intelligence synergy will come.

Socially and relationally aware leadership is, I argue, fundamental to the building of emotionally intelligent schools communities in which students can reach their optimum potential and go on to make a positive impact in and on society now and in the future. Children in our schools today are the leaders of tomorrow. Spence (2002), quoted by Fullan (2003, p.39), believes that this can only be achieved if, 'school leaders work continually on selecting the right people to work in our schools and then developing and sustaining them'. Spence (2002) when writing about the moral imperative of school leadership, has resonance for me as a school leader, as a teacher and to this research study:

> *Deciding to go into teaching must come from the heart. It must come from a moral imperative to ensure the successes of all children and from a commitment to social justice. Schools that work for children have visionary leaders and dedicated and talented teachers who apply institutional practice that research and experience tell us make a difference.*

(Spence, 2002, p.142)

Fullan (2003) supports Spence's argument when he concurs that in order to change context and bring about continued and on-going improvement school leaders need to get the right people, in the right positions in the organisation in order to realise the vision. He sees it as the leader's job to 'help change context –

to introduce new elements into the situation that are bound to influence behaviour for the better' (Fullan, 2003, p.1). This requires high levels of social awareness and relationship awareness to achieve this and is indeed this is what I have based the interlocking themes A3 and A4 on in the Allen Model for Effective School Leadership (figure 5, p.144). I now move from the competences that determine how we manage ourselves onto analysing what the data findings tells us about how the research participants use social and relational competences to manage others and relationships.

In understanding how one's emotions guide one's thoughts and actions, one is able to better understand what shapes one's own thoughts and actions and those of others and therefore how to better use them to achieve positive outcomes. However, whilst school leaders may strongly believe one has to be true to one's self, that is to one's guiding principles, in order to lead effectively, they recognise that it is pragmatic to be able to 'flex' one's thoughts and actions to accommodate and understand those of others. This, I believe, is true more so of school leaders because teaching is essentially a caring profession. However the 'flex' must be grounded in authenticity and not simply an act of manipulation. Fullan (2003, p.31) calls for 'school leaders to make a difference in the school by modelling the way through one's own moral purpose' and advises that 'moral purpose becomes more prominent when we shift our focus to encompass the whole school'. Goleman (2003) argues that one's social capabilities need to be fine tuned in order to facilitate this.

Those who are able to demonstrate authentic emotional intelligence competences by being socially aware are able to demonstrate empathy for others. They read and feel the feelings of others without their saying so. This according to Goleman 'captures the essence of empathy' (Goleman, 1999, p.135). The social aspect of this competence enables the artful handling of those feelings. Empathy, Goleman (1999, p.145) points out, in business traditionally has had a bad press because people mistakenly read it as agreeing with people. Understanding someone's point of view or perspective, knowing why they feel as they do, does not inevitably mean embracing it. Understanding how someone feels is not about giving in to them but being able to more artfully deal with the situation. Goleman (1999, p.170) argues that, 'empathy is crucial for wielding influence; it is difficult to have a positive impact on others without first sensing how they feel and understanding their position'. He concludes, 'people who are poor at reading emotional cues and inept at social interactions are very poor at influence' (Goleman, 1999, p.170). Therefore, I believe, a socially aware leader is able to uncover the true reality in the organisation because they are attuned to the political forces at work and the values and principles which motivate the people in it. This, I assert through the developed model, is a crucial emotional intelligence competence for effective leadership. This can sidestep the potential for the toxic contagion of emotions in an organisation as emotionally socially aware leaders can sense this and fine tune their own response to guide the interactions towards a more positive outcome. It is only when leaders are able to do this, according to Goleman, that 'organisations can begin the process for change' but this 'does not happen overnight this process begins with

an undeniable wake-up call regarding the reality of the organisations culture' (Goleman, 2003, p.248). Equally Kouzes and Posner (2002, p.265) acknowledge 'you can't do it alone' 'is the mantra of exemplary leaders. They believe this is for good reason because 'you simply can't get extraordinary things done by yourself' and that 'collaboration is the master skill that enables teams, partnerships, and other alliances to function effectively' (Kouzes and Posner, 2002, p.265).

For two schools in this research study, that wake-up call was being placed in special measures, for another it was the recognition that the school was coasting and for the remaining two it was the understanding that having achieved outstanding, where do you go next? Whilst this realisation is essential to the financial health and future sustainability of any business organisation, for schools and academies the reality, as I argue in this study, is more human than this because school and academy success is fundamental to societal success. This is about creating learning environments on which our society's future depends and therefore that environment has to be one in which the children, who will ultimately shape our future, are going to thrive. Such an environment Goleman (2003) believes, and I articulate this in the second part of Domain A: Emotionally Intelligent School Leaders of the Allen Model for Effective School Leadership (figure 5, p.144), is created when 'emotionally intelligent leaders actively question the emotional reality and the cultural norms underlying the group's daily activities and behaviours' (Goleman, 2003, p.252). By doing this, I believe, leaders create resonance. They do this when they transparently empathise with others in the

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organisation, when they are in tune with the organisations emotional pulse, and when they are able to do this with authenticity. I argue, it is then they are able to start building rapport with those who make up the community. They recognise as Kouzes and Posner (2002, p.266) point out, 'collaboration can only be sustained when leaders promote a sense of mutual reliance, that is the feeling that we are all in this together'. However, the creation of such resonance requires the mastery of a number of social emotional intelligence competences, as I assert in the model I have developed for effective school leadership.

To collect data related to the social and relational emotional intelligence competences I explored with the participants the broad discussion point of:

- Building an effective school community.

To evidence social awareness emotional intelligence competences it was my intention to unearth, through this broad theme, how participants inspired, guided and influenced individuals and groups. I took this approach rather than ask specific questions about social awareness emotional intelligence competences because I wanted the evidence to emerge from the authenticity of the discussion rather than focusing narrowly on the competences per se. Having done this earlier in the interview I found a range of personal emotional intelligence competences emerging within the first two interlinking themes and this resulted in much stronger evidential data. I hoped participants would provide examples which illustrated how they

flexed their emotional selves with the selves of others, that is empathised, and how they used these social and relational skills to achieve authentic resonance and 'buy in'. I was keen for them to root their conversation in the importance of understanding the emotional dimension of organisations rather than taking a narrow view of academic achievement alone as a measure of an effective learning organisation. It was my intention in guiding the conversation to also determine the level of service to others displayed by the participants and the philosophies which underpinned their attitude towards this. This would then lead onto the fourth and final part of the evidence gathering, that of how they used social awareness competences to get the best out of others and build the relationship with individuals, with groups and across groups to create emotionally intelligent communities which sustain each other and the organisation. Goleman concludes (2003, p.283) 'that it is the responsibility of emotionally intelligent leaders to create such resonant organisations'. He argues that 'emotional intelligence competence is particularly central to leadership, a role whose essence is getting others to do their jobs more effectively' (Goleman, 1998, p.32). Goleman also asserts that, 'interpersonal ineptitude in leaders lowers everyone's performance' (Goleman, 1998, p.32). Kouzes and Posner (2002, p.259) support this when they ask the questions – "To whom would you turn to to get something done?" "Someone who is strongly connected to two people or to fifty people?" "Any doubts". They answer – 'Human networks make things happen, and the leaders who get extraordinary things done are right there in the middle of it'.

Graham provides strong evidence of his ability to use social and relational skills effectively to get things done. When considering his strengths and limitations in relation to his ability to take over a school and build on what was already considered to be an effective school community he focuses on his well developed people skills and the importance of empathy. He believes he is very adept at sensing individual and group feel and he is genuinely sensitive to these and can empathise readily with them, and uses this to shape how he manages his response. Goleman (2002) believes empathy is the key to being socially aware and fundamental for resonance making. However he takes this further when he states 'while empathy represents a necessary ingredient of EI leadership, another lies in leaders' ability to express their message in a way that moves others' (Goleman, 2002, p.48). 'Resonance flows from a leader who expresses feelings with conviction because those emotions are clearly authentic, rooted in deeply held values' (Goleman, 2002, p.48-49). A good example of this is demonstrated by Graham. He determined that on appointment to Headship he wanted to make some changes to the school in order to begin to realise the changing vision he had for it. To this end, Caruso and Salovey (2004, p.197), when writing about emotionally intelligent managers and the notion that teams are built, not born, argue that, 'early and frequent communications among team members are crucial to the development of shared identity' (Caruso et al, 2004, p.197). Graham illustrates how he set about doing this in his first Headship when he recalls what guided him:

Transparency was one of them, a certain generosity was another as I've mentioned just in the way that I treat staff and some corporate hospitality.

An example of this was his decision, as a starting point, to put up the school accounts at his first staff meeting. This, he reports, had not been done before.

There was a reason for doing it, that the surplus whilst comfortable, wasn't great, but it was comfortable and I wanted them to realise that under a change of leader they couldn't expect huge amounts of money to be spent on the school but this was the state of play and there was some room for improvement.

What Graham went on to do, because he wanted to demonstrate that he valued his staff was to improve the staff room facilities. He acknowledges that he did this because:

Even though we work in education where budgets are tight it doesn't mean to say we have to treat staff badly.

This was based on Graham's core values which are grounded in the notion that leaders are here to serve and that service ultimately is to bring about the best possible outcomes for the children in his care. Graham understood the importance of fostering an emotionally positive climate in which, by his actions, people felt

valued and trusted. He knew this would have a positive impact on the work of these people back in the classroom and this brings us back to his core purpose. Graham demonstrates here the ability to act in accord with his deepest feelings and values. The social consequence of which was that the school community, by this small act, felt valued and appreciated. He, at this early stage, understood the necessity to build the relationship.

Graham was aware that the lack of transparency, previous to his appointment, caused some unrest amongst the staff. Equally he was keen to show that, in being transparent, he respected his staff as fellow professionals in that he felt they were entitled to know about the financial state of the school. It also dispelled myths about the financial situation which brought with it a certain amount of personal and profession security. Graham very much believes in '*treating people with civility whether it's the staff, the boys or the parents.* And he was attuned to his inner signal when he states: '*I felt they appreciated that honesty'.* In some respects Graham was also being organisationally politically aware. He understood through his empathic approach that there were those who were not happy in the organisation because they were being kept in the dark about certain things. Graham was attuned to this and successfully worked through the emotions to bring onside crucial social networks within the school. Jane found this more difficult to do in her early tenure as principal but again allowed herself to be guided by her inner feelings and again, like Graham, was true to herself whilst empathising with the feelings of others.

She recognised that she had some highly developed social and relational awareness competency skills in that she had well honed people skills. She understood equally the political forces at work and was clear about the crucial social networks and key power relationships. However, she acknowledged that initially she had to learn how to deal with them in her new principal role.

> *My people skills are probably pretty well honed, I am good at presenting myself to an audience, so to talk to parents, talk to a delegation, I love it, bread and butter stuff. To be a political animal in an emotional dynamic is different and I think that that's the part that in me it was a weakness, but also a part that I suddenly had to learn was incredibly important.*

Jane did not let this throw her off track though in pursuit of the vision she had for taking the academy forward. When prompted to further reflect on what and how she learnt to deal with these key power relationships Jane continues:

> *What I did get better at certainly was, you must be as objective as you can be and you must be as calm and serene as you can be, if that makes sense. I suppose it's what you present because you have to as a leader and what you present is a confident, assured, this is what we're going to do folks and it will work, what you're doing in the background is you're going, it isn't working!*

Tony when talking about what he considers to be the most important traits he displays in order for others to believe he can lead them in building an effective school community states:

I am trustworthy and I inspire confidence in others because of this. You can't follow those you can't trust.

Graham and Jane demonstrated through their actions that they too have willing followers in the examples cited for the reasons put forward by Tony. This brings us back to the crucial emotional competence skill of being emotionally self aware, as outlined in theme A2 of the developing model, and it is this which guides one's values and principles. Goleman argues that self awareness is what all other emotional intelligence competences hang on. As Kouzes and Posner (2002, p.25) show through their extensive research into admired leadership qualities, over a ten year period, the single most admired characteristic in leaders by their followers is '*honesty'* backed up with *'forward looking', 'competent'* and *'inspiring'.* Goleman (1996, p.120) strengthens this argument when he writes about 'social chameleons', who are anchorless in that they do not behave with integrity because they lack the social graces, are inept in social niceties and are unable to handle the emotions of others, which leads to disharmony, awkwardness and anxiety. All participants, in the interview process, demonstrated in abundance that they were socially and relationally aware, all putting me at my ease and all came across as being authentically interpersonally skilled. Putting aside the purpose of the interview

process to gather data, the experience in each case was an enjoyable one for me and I think the participants. There was a lot of laughter and good humour! I reflect what this tells me about the participants. Interestingly, Goleman (2002, p.35) cites this as another crucial aspect to resonant leadership when he reports on the neuroanatomy of leadership that 'what's particularly telling, though, was that these successful leaders' use of humour strongly correlated with the very emotional intelligence competences we found to be key to a leader's superior performance'.

These socially adept qualities enable leaders to show the way for others to want to follow. 'By being attuned to how others feel in the moment, a leader can say and do what's appropriate, whether that means calming fears, assuaging anger, or joining in good spirits and that attunement also lets a leader sense the shared values and priorities that can guide the group' (Goleman, 2003, p.38). Crucial to this is being socially aware and particularly being in tune with the notion of service. All participants demonstrate through the data findings that leadership is not about me but about us. This is evident when both Steve and Denis are keen to point out that leadership of a school, for them, is a shared experience. As Fullan (1999, p.1) articulates when writing about change management, leadership is about 'shared values, shared meaning, shared understanding and shared vision – power with not power over'. Denis describes this in his school as building a culture of a '*collective way of being'* and *'it's how we do things it at UVHS'.* Fullan (1999) would describe this as 'developing mutually empathetic relationships across diverse groups' (Fullan, 1999, p.2). Clearly Tony, Denis and Steve are able to speak candidly

about Headship and want to distance themselves from some of the pomposity that some bring to the role. Denis describes himself as always being a champion for the *'common man'* which is a sentiment echoed through the words and actions of the other participants in the study. For example Hilary states:

For me leadership is about servitude, it's not necessarily about being the boss, it's actually about leading projects, initiatives, giving back rather than ruling.

This is very much in tune with the notion of power with and not power over. Each participant took on the role of Headteacher or Principal out of a sense of service and civic duty and not because they wanted to be in a position of authority or power. To this end Denis believes he can *'instinctively'* tune into the group think because he has *'quite a lot of savvy'* which he has built up over the years. He has a well developed understanding of political forces at work and has very strong views about them. This leads him to share that:

I do not court popularity; I'm not interested in popularity so if I'm unpopular with people then that's their problem in a sense. I mean you know in the quiet moments I don't like to think that people don't like me but as long as I thought I was doing the right thing.

Exploring this further with him I asked him how he goes about getting people onside and getting 'buy in' to the vision, if as he says he doesn't court popularity. He concedes that it is about being open and honest, being true to yourself, back to self awareness, and true to what guides and motivates you. He will not waver from this and for him the core purpose is doing it right for the children. This attitude sits well with Goleman's (1996) ideas of social awareness. Going back to the notion of the chameleon, social awareness is not about changing your 'skin' to fit in with whatever social situation presents itself, this is about, as Goleman (1996, p.120) states, 'acting in accord with one's deepest feelings and values no matter what the social consequences'. He concludes, 'such emotional integrity could well lead to deliberately provoking a confrontation in order to cut through duplicity or denial – a clearing of the air that a social chameleon would never attempt' (Goleman. 1996, p.120). Denis recognised to get the school moving in the right direction he ideally needed to restructure the staff. He understood because of lack of funds he was not in a position where he could easily move people on and appoint others to strengthen his 'ideal'. However, he has played the long game and has moved people on in an empathic and human way and is now beginning to build resonance for the staff and is on the way to building a stronger and more emotionally resilient school community.

Hilary also recognised on appointment the need to restructure the staff, although in a different set of circumstances to Denis. She, too, needed to get the right people

in the right positions to start building the culture she wanted in the academy in order to get it on track for success. She recalls:

There was a Head of a primary, I had to move her on because it wasn't doing justice to a vision of an all through school where you know our teachers teach cross-phase, it was treated as two separate schools, it just didn't make sense to me.

Having to be so ruthless early on could have had the potential to create disharmony in the academy and I asked Hilary about this.

We had quite a lot of teaching staff quite new to the profession so they're easy to shape because this is their only experience of it. If you know what outstanding is and if you know what your values are that is very easy to stamp on peoples personalities. I don't mean I literally dictate what they have to think and feel.

I ask Hilary how she knows if she has got staff on side. She uses the example of what outsiders see and report when they come to the academy:

They are like, how do you get your staff to do that, how do you get them to stay and we're like, they say they want to. I think it is very much a culture that it must have come from me and the people around me. I

mean I say to the kids you know you don't get anywhere without hard

work, really you don't and the same to the staff. I work hard and I set

this as an example.

Graham, unlike Hilary who was taking on a failing academy, was taking on the

leadership of a very successful grammar school, for him the challenge was to build

resonance for his change agenda. Graham recalls:

I felt if we are not careful then the school was in danger of some

stagnation and we have started to be more forward looking, the idea of

having a student council, the idea of asking students about what they

think about teaching and learning three or four years ago would have

been a sense of the lunatics taking over the asylum.

I asked Graham how he tackled that in a grammar school where the results were

clearly outstanding and they were far removed from being a failing school. Graham

is quite strident and confident in his answer:

I think we need to be clear that it's part of a Headteacher's role, it's part

of the Senior Leadership's role, it's part of the Governors role to select

those initiatives, those initiatives that we feel will make the greatest

difference to the boys and girls in our care. And we need to be more

discriminating if we are to make staff effective because if you're not

careful then every initiative that came out of the DfE, every initiative from
every think tank, you would grasp and it would be a scattergun
approach, staff would be absolutely exhausted by the end of the year.

Steve takes a similar view, having been a Headteacher for fifteen years and having undertaken that role in two schools. He was well aware of how external initiatives can highjack the internal core purpose of a school. However, having been able to hone the philosophy which underpins his vision and ethos, through experience and length of service, Steve was clear about how his moral purpose informed his leadership choices. He articulates this when he states:

Life becomes easier because it means that every decision that you
make, every chastisement of a member of staff or student is based on a
common ideal, a shared view and when you come to recruit staff, then
you're explicit about what those expectations are. So you can start to
recruit a kind of a homogeneous group of people.

This brings us right back again to the importance of *self awareness.* 'Once leaders understand their own vision and values and can perceive the emotions of the group, their relationship management skills can catalyze resonance' (Goleman, 2003, p.38). The evidence indicates that the participants in this research study are both self aware and socially and relationally aware. They understand their own self and how this shapes their values and vision and have evidenced they can and do

perceive the emotions of the group. This further strengthens the case of the developed model for effective school leadership being fit for purpose as a blueprint for developing emotional intelligent leaders and emotional intelligent school communities.

For each of the participants in this research study, the final and on-going challenge is having developed an empathic understanding of the people they are working with how do they then use this interpersonal chemistry to create resonance within and across the group? The root to success is being relationally adept. I argue that, emotionally intelligent leaders facilitate emotionally intelligent school communities which sustain their members through strong relational synergy. Goleman (2002, p.291) acknowledges 'it is a challenge, but it can be done by ensuring that the entire fabric of the enterprise is interwoven with emotionally intelligent leadership'. He concludes, 'after all, if it takes emotionally intelligent leadership to create resonance in an organisation, then the more such leaders there are, the more powerful that transition will become' (Goleman, 2002, p.191). I have consistently asserted that it is the role of the Headteacher or Principal to inspire and guide individuals and groups, to lead, to model and to show the way to be, this has to come from him or her. It should emanate not in a dictatorial way but in a collegiate way, where collegiality is based on shared and understood values and principles which shape the shared and understood vision. Fullan (1999, p.38) believes that 'collaborative organisations fan the passion and emotions of its members because they value commitment and the energy required to pursue complex goals'. He

concludes, 'in this sense these organisations foment moral purpose while providing support for its pursuit' (Fullan, 1999, p.38). I argue, it is the quality of the relationships which will have the most profound effect on this and it is on this which I have based the interlocking themes of A3 and A4 in the Allen Model for Effective School Leadership (figure 5, p.144). In analysing the data findings associated with these two aspects of the model I aim to give greater validity to it. Therefore, to collect data related to relationship management I explored with the participants the following broad discussion point of:

- Recognition of why a successful leader.

In talking with the participants about their success as school and academy leaders I hoped participants would focus on how they created resonance for the people in their organisations, in developing a common purpose and a common way of being in order to realise the vision and create synergy. In doing this, I anticipated they would demonstrate they understood why and how they had achieved this. I also wanted to explore with them how they view the development of individuals and groups, to identify if they are adept at identifying strengths in others and in cultivating others through leadership delegation. Do they see leadership as the responsibility of the many rather than of the few? Could they engender in people a degree of emotional resilience which created a certain security and safety, even in the throes of complex change? Could they create the right holding environment in which change can take place? Were they relationally adept in achieving this?

What emerged strongly, as illustrated in the following data analysis findings, is that participants are not driven by the role of leadership per se but that it is the unwavering desire to make a difference to the lives of the children which is their key motivator and further to this, the impact this has on society as a whole. It is this which drives them and not the job or role itself. Davies (2005) refers to this as 'passionate leadership' when he writes that, 'passionate leadership is about energy, commitment, a belief that every child can learn and will learn, a concern with social justice and the optimism that we can make a difference' (Davies, 2008, p.1). This comes through, in abundance, time and again in my research. Davies (2008, p.1) argues that, 'it takes leadership from the realm of a role or job to one of an abiding drive to enhance children's learning and children's lives'. Fullan (2003, p.41) supports this in his work when discussing the moral imperative of Principalship when he states, 'the moral imperative of the principal involves leading deep cultural change that mobilizes the passion and commitment of teachers, parents, and others to improve the learning of all students'. Goleman (2002, p.1) argues this requires great people skills. Leaders with these skills 'ignite our passions and inspire the best'. In short they are emotionally compelling, they touch our hearts. The key to such leadership is for leaders to prime resonance in the people they lead. So what does the research data findings in this study tell us about how each participant goes about doing this?

In any human group, Goleman (2003, p.6) argues, 'the leader has maximal power to sway everyone's emotions and in doing this creates resonance for the group'

and 'if the emotions are pushed toward the range of enthusiasm performance can soar'. What comes from the discussion around the notion of what role participants have played in building successful learning communities and how they went about it, all indicate that they view themselves as the key player in creating resonance for the constituents in that community, be it staff, students, parents or Governors. Hilary begins:

You are like the apple core, the kind of really good apple core and everything emanates out of it like a sort of magnetic field.

Perhaps in using this metaphor Hilary is indicating that she sees herself as being at the heart of or even *the* heart of the academy. In struggling to understand what it is about her that engenders in others the desire to follow, she quotes a fellow colleague:

There's a sort of pulse, a vibe, a feeling and I mean I don't know what it is but she said when you walk into a room at conferences everybody knows who you are. And I'm like what do you mean, I'm just this little fat woman who comes in with short hair and she goes there's an aura and I don't ... I'm not aware of it because I'm not, you know I'm really not. You know I'm just a person doing a job and I think that really, really good Heads are people who absolutely don't think about what they are, they just do it.

In trying to understand what it is about such leaders that touch people in this way Goleman (2003, p.7-8) indicates the answer lies in the design of the human brain. The open loop limbic system, the emotional centre of the brain, can transmit signals that can change the physical and mental states of others. In this way emotions can spread whenever people are near one another. Goleman (2003, p9) argues that 'the continual interplay of limbic open loops among members of a group creates a kind of emotional soup, with everyone adding his or her own flavour to the mix'. In trying to understand why Hilary's colleague finds her so compelling perhaps Goleman (2003, p.9) holds the answer when he states, 'but it is the boss who adds the strongest seasoning because of that enduring reality of business, everyone watches the boss and takes their emotional cues from the top'. The emotional cues which participants use, as evidenced in this research, are consistently tuned towards optimism and positivity. Hilary articulates, '*what I am is very consistent in my expectations and people always know where they stand with me'.* What Hilary demonstrates in being compelling in her vision, as evidenced through the words of a colleague, and in being consistent in her expectations is inspiration which others want to follow. In the short time I spent in the West London Academy it was not possible to speak to all colleagues about how Hilary inspired them, that is perhaps for another time as an extension of this study, but what was palpable was the rapport she had with staff and with students. One could feel it in the energy, the excitement and the warmth of their interactions.

This was also evident when I visited Shireland Collegiate Academy. Jane indeed uses similar terminology about how she went about getting 'buy in' from the different factions in the newly created Academy. Whilst considering that different people would describe the Academy in different ways depending which perspective they were coming from she does however believe that:

> *What you would get because it's consistent I think is that this place has a heart; it's what everybody picks up on. Anybody who comes here as an outsider will go, wow look at this place, look how clean it is, look how well maintained it is, it's so welcoming, wow look at what you've got.*

Interestingly Denis also talks in terms of the feel of a school being a barometer for its culture. When he took on the role of Acting Headteacher at Ulverston Victoria High School after it went into Special Measures, Denis speaks candidly about his first impression of the school as a stranger walking into it. He recalls '*feeling'* that the children and the staff were '*cold and closed in'*. He has gained great satisfaction, not for himself but for the children and the staff in being instrumental in, as he says, *'warming the place up'*. He illustrates this when he states:

> *I just like the way the children and the staff and the school have opened up. I wanted to warm the place up. What makes me feel brilliant is standing on the corridor watching how the children now socialise and how they interact with the staff and with me. They were tense and now*

they are open. You know and you can't put that in a league table or anything like that.

How did Denis release this tension? As I work in this school I have a good understanding of how Denis has achieved this. The feeling of the school has moved from a feeling of being one of discord to one of resonance. With the release of tension has come the warmth which Denis talks about. An example of this is the amount of laughter and good humoured exchanges that can be heard in staff rooms, in offices, in meetings and in classrooms. Goleman (2003) believes that laughter is a great indicator of resonance at work when he states, 'one of the most powerful and most direct ways to make that resonance brain to brain connection, is through laughter' (Goleman, 2003, p.40).

Denis on reflection acknowledges he has done this because he is leading from his core values, that of putting children at the heart of all he says and does. He has also given teachers back a certain amount of professional pride and he has not been afraid to take on those who do not resonate with his child centred approach. Equally he has seen the need to work to people's strengths. To this end he has distributed leadership to those who are keen to run with an initiative. In doing this he is cultivating key people who are able to influence others. In this way he has influenced the mood of the school to one of resonance for the critical mass. Tony also indicates he leads with positivity, warmth and with good humour.

I am a very positive person. I am consistent and not moody. This is deep seated in my personality. I start the day with a big hello and a big smile on my face. I can't do with miserable sods. I work to get rid of the miserable sods. I am positive and welcoming to all on the corridors. I am human in front of the kids. I don't hide this human side from kids. I always put the positive face on. This shapes the culture of the school.

'Hearing laughter, we automatically smile or laugh too, creating a spontaneous chain reaction that sweeps through the group' (Goleman, 2003, p.12). Tony illustrates that he is skilful in driving people's emotions towards the positive and has actively worked towards as he puts it '*getting rid of the miserable sods'.* This is back to Fullan's (2003, p.9) notion of getting the right people on the bus in order to maximise resonance and drive the vision forward.

Similarly one of the first things Steve recognised when he was appointed to Headship at the Queen Katherine School, was a weakness in middle leadership which he picked up when he asked Heads of Department to do a department review which they were not used to doing. He knew this would potentially cause conflict. He continues:

It ruffled some feathers, yeah I mean people have never had to do this before and the people who objected to it and came in here grumbling

and all the rest of it, well they were the first Heads of Department that decided that they didn't want to continue; well that's a shame isn't it!

Back to the notion of getting the wrong people off the bus and the right people on it and in the right seats. Similarly Jane understands the need to build the culture with those who have an allegiance with it. She talks about recognising in others, ambition and drive, which is not rooted in what's in it for me but what's in it for the school and the children. She believes taking on leadership responsibilities has to be done for the right reasons. She is proud that she has been able to spot this leadership integrity in others when she states:

> *You've got to get leadership in depth. One of the things I am very proud of is building our Future Leaders Team here, nothing to do with what NCSL do, this is us talent spotting. I think there are 12 of them, they had no responsibility points, pulling them together as a group saying we think you have got potential. Giving them a bursary, £1,500 we've given them, not a lot but what we're getting in return is fabulous.*

Steve also gives a further powerful example of his commitment to this notion of building teams that are in tune with the vision of putting children at the centre of all that is said and done. As he calls it creating the '*homogenous mass'*:

The motivation for me is to do with people recognising that the quality of what happened in my classroom was quite good and getting good results and then a desire to influence what was going on in colleagues' classrooms and hence the importance of the Head of Department role. The only people, really who can influence things in my view are the middle leaders who have got the responsibility to realise the vision, with and through colleagues down into the classroom.

On his second Headship appointment Steve recognised he had a *'pretty strong senior leadership team and a pretty weak middle leadership team.* Steve rationalises:

Therefore my initial focus was to challenge middle leaders to bring them on. Having done that I've spotted three or four middle leaders who are all on my leadership team now and I guess I've spotted other colleagues. I've a got a couple in my sights who will be Headteachers, whether they want to be Headteachers is another thing.

Hilary agrees with Steve's sentiments about the crucial role middle leaders' play in realising vision. She refers to it as the, *'concrete in the organisation'.* She values the quality of her middle leaders and the fact that they bring stability to the organisation. For her this is essential because:

It gives a sense of a sort of security to the children and the parents in that we don't have too much of a revolving door here.

Back, once again, to the notion of getting the right people in the right places. Steve acknowledges that whilst he is good at spotting and bringing others on he is not great at the coaching side of things. He recognises, however, that he has other people on his team who are. He understands leadership isn't about doing it all yourself but about artful delegation and working to people's strengths. Kouzes and Posner (2002, p.286) when pondering the challenges facing leaders believe great leaders are able to 'actively seek out ways to increase choice, providing greater decision making authority and responsibility for the constituents and they develop the capabilities of their team and foster self-confidence through the faith they demonstrate in letting other people lead'. In this way leaders are helping others learn how to use their skills and talents, as well as learning from their experiences.

Similarly other participants demonstrate how they are able to influence and develop others through a genuine understanding of who to connect with and how to connect with them to create resonance. Graham demonstrates he has a heightened understanding of how to develop people to support the realisation of the over-arching school vision when he states:

I think I've got a fairly clear idea of peoples' capabilities and how to develop those capabilities, what people are good at and how they work

and I know because I engage with them almost every day around the school and I know how people might react and to prepare people. It sounds terribly mendacious and Machiavellian but it's not meant to be. And yet they are professionals who by and large share my values and vision and I think they work jolly hard, I think they are very committed to school and I'm delighted with the morale that's on the staff.

Hilary also understands, like Graham, that she needs to manage different people in different ways but be consistent about her expectations and what she wants in an end result. She gives an example of how she manages the team dynamic within her senior team*:*

I will not use the same strategy with each of my Vice Principles because they are all very different people, I know what pushes their buttons and they know what pushes mine, you know we are a family warts and all and we know each other inside out.

What participants are demonstrating here is that they understand that one size does not fit all and that leaders have to be attuned to the different emotions that people display in order to get the best out of them. This bring us back to the point that Kouzes and Posner (2002, p.286) make when discussing how effective leaders strengthen others, 'it really is all about relationships'. Goleman (2007, p.312) asserts that, 'surely much of what makes life worth living comes down to our

feelings of well-being – our happiness and sense of fulfilment and good quality relationships are one of the strongest sources of such feelings'. Resonant relationships therefore sustain us and nourish us through good and bad times. It is this which I am advocating as the ultimate outcome in the Allen Model for Effective School Leadership (figure 5, p.144). A model which values and promotes emotional intelligence in the school community, I believe, leads to social and relational synergy at all levels. Such a community is attuned to the collective moral purpose which drives values and vision and is rooted in people first. Constituents care for and look out for each other. I propound this is the moral imperative of all school leaders.

Such an imperative, I have found, is shared by all participants in this research. One way in which they demonstrate this is in the value they place on developing quality relationships in the workplace through the competence of being a good listener. Communication is not about talking, it is about listening. Communication does not take place if one does not listen for meaning and for understanding. Leaders must be able to hear what those they lead are saying. Goleman (2007, p.86) refers to this as the art of attunement, in which we offer a person total attention and listen fully, and makes the point, 'attunement, is attention that goes beyond momentary empathy to a full, sustained presence that facilitates rapport'. Kouzes and Posner (2002, p.320) take this a step further when they talk of listening with your eyes and your heart, that is, 'learning to understand and see things from another's perspective – to walk in their shoes – is absolutely crucial to building trusting

relationships and to career success'. Both Jane and Graham saw this as a key priority in starting to build resonant relationships with their constituents when they first took on the role of Principal and Headteacher respectively. Jane recalls:

I established early on that I would listen to people. People would say I know you're very busy, I'd say look everybody's busy, if you need to see me you come and see me, if I can't see you now make an appointment. So I tried to get that message out that I wanted to talk and to listen to people.

Graham, like Jane, has an open door policy and demonstrates this when he speaks at length and with real sincerity about how he forges positive relationships and in doing so demonstrates once again his heightened relationship awareness skills:

I like to think I am approachable, I work with the door open and the whole tide of humanity swims in and out of that door during the day. Occasionally staff come and are quite angry and I can diffuse that, occasionally I have to become more autocratic and say this is the way it is and there is that firmness required and at other times you are consultative and I should hope I'm always collegiate. I always give people the courtesy of listening.

All participants exuded upbeat feelings and this permeates through the establishments they lead. It is also why, according to Goleman (2003, p.14), talented people gravitate towards such leaders as they 'want to work with them for the sheer pleasure of working in their presence'. I could relate to what Steve said about his school having visited it on several occasions.

I think if you talk to most people, even visitors, when you come in, you know hopefully what we are, that we are actually quite friendly, we're warm, we're quite open, we trust one another, we support one another, and we just get on with the business. And if you say well does the Head challenge you to do well they'll say bloody right he does? This is done in the spirit of asking people to do their best but expect to be challenged if you don't.

So how has Steve developed this resonance for warmth, friendliness and openness whilst maintaining that degree of firmness in his expectations? He concludes:

It is about relationships, it is about trust, it is about confidence, it is about not having conflict, about saying we're all in this together.

Further to this he reflects:

I think that probably I like to set an example; I think I lead by example. I think it is important to be really secure in your principles that underpin that and it's something that I developed in my first headship. It's always great having a second headship because the first headship you can kind of practise it but I kind of learnt from other people at that particular school what the standards were and took the best and we distilled them out into a very comprehensive vision/mission/ethos for the school. And once you have established that then life becomes a lot easier because it means that every decision that you make, every chastisement of a member of staff or student is based on a common ideal, a shared view.

Graham also talks about his belief in leading by example as being a strength but that equally he sometimes doesn't delegate enough which he sees as a weakness. This is a prime example of being self aware in that, as Goleman (2003, p.43) would concur, 'those who are self aware are realistic and are not afraid to acknowledge their limitations'. Graham illustrates this when he states:

I like to believe I lead by example and there's nothing I ask other people to do that I wouldn't be prepared to do myself and I don't care what it is, whether it's picking up litter, doing detentions, standing outside in the rain waiting for buses when we supervise the bus queue at the end of the day, I will do my ten penny worth and more to show staff I'm not

some remote, cold, uninterested person who simply sits in his office and

pushes paper, I'll be there with them side by side.

The down side of being very hands on Graham considers is that:

I don't delegate enough and perhaps I should be sitting in my office with

lots of blue sky thinking and working out my vision and contemplating

my navel but I find that if I take care of all those other parts and spin

those other plates then the vision comes and dare I say it, the

willingness from other staff to engage with that vision comes too.

Like Graham, Tony is adamant that:

I won't ask anyone to do anything I wouldn't do myself, people know this

and they are prepared to follow.

Tony recalls when discussing his involvement in this research with a member of his senior team, that member determined that:

People want to follow you Tony because you set a good example.

But it's more than leading by example. I prompt Graham to consider what it is that he does which engenders colleagues to want to follow his example. He believes that:

> S*taff relationships need to be worked at, there's no easy answer for it and whatever I do then clearly it's working and I do it by rallying people, I let them see publicly that what they do I'm grateful for, I do it privately because if someone's been involved in a piece of work I will write to them and say thank you and offer the praise that's due.*

Graham also sees his strength in being very much a people person but also recognised what he views to be a limiting element in this too. He describes himself as being *'fairly benign'* which he recognises as a strength in that he brings a calmness and a gentleness to the male dominated boy's Grammar School environment. However, on occasions he recognised this attribute as a limiting factor in that there are those who may try to take advantage of this. He reflects however, that he has the political awareness and the well developed 'savvy' to deal with this. He works hard to build and develop relationships in and across teams. People feel valued and respected but are equally very clear about their common purpose of achieving excellent outcomes, which are not only academic, for the boys in their care.

Getting staff relationships right is important. We hold a regular Monday morning briefing and in those meetings I lead them and there is a great deal of good humour, there's a great deal of comfort that staff are together and I take strength from the fact that if I say something then the staff know that I mean it, they know I follow through with it and they'll stand by me.

This is a powerful example of how Graham builds resonance through warmth, good humour and showing he value others. However, inevitably schools are human places, and therefore conflict will occur. I was interested how participants viewed this and how they managed to unpick the extent to which they used relationship awareness skills. Goleman (2003) believes that leaders who are adept at conflict management display competences demonstrated by leaders who are relationally aware. He expands, 'leaders who manage conflict best are able to draw out all parties, understand the differing perspectives, and then find a common ideal that everyone can endorse'. He concludes, 'they then surface the conflict, acknowledge the feelings and views of all sides, and then redirect the energy toward a shared ideal' (Goleman, 2003, p. 330). Jane demonstrates the ability to do this admirably when she states:

Once you become leader, whilst you have to be accessible, you have to be removed as well because you can't be judge, jury and executioner and if, whatever conflict is, whether that's a curriculum decision, whether

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that's a two staff who are falling out decision, whatever it is you have to be slightly above it so that you can judge what's going on. So you can't go wading in, you have to be the arbiter at the end of the day of a position and ultimately you may have to say, I've looked at all of this folks, this is where we're going and hope you give a clear direction.

Steve strongly believes in consistency and equality when dealing with conflict. He shows this when he states:

You can't turn round and say well these people will do it and these people won't, you lot can do it and you can't, you know you've got to challenge all of them equally and yes some of that leads to conflict.

Steve thinks that this is where some Headteachers become unstuck because they either rely solely on an affinitive approach in which they worry too much about getting along with people or they waver and dither and this makes people feel insecure and not want to or be able to trust them. Goleman (2003, p83) refers to them as 'clueless leaders' who leave followers rudderless in a crisis. To this end Steve concludes that:

If there is conflict it's got to be dealt with. If you don't have the emotional resilience, you don't know which side, you know because you've got two

sides to the argument and you're the one that's got to say well you know

this is the standard and this is the way you've got to be.

Graham, equally is not afraid to be honest and forthright and believes he is good at reading people and is therefore able to tune resonance towards the positive.

How to sweeten the bitter pill is, I hate to say it, I feel one of my strengths, that you can second guess how people might react, you can see bits of initiatives that will upset people and you seek to ameliorate it or reduce it, you know there are some quick wins where yeah, that will please that person but we're going to have to do something else for someone else. So I think knowledge of people and how they behave and my own staff are good and I think a real strength. I am also honest, transparent and forthright with people but always in a polite and civil way.

This is also about being a resonant leader. If you are being transparent in your expectations, if the school ethos is right, people will not only accept they will expect it because that it is the right way of being.

Hilary refers to this when talking about Headteachers and Principals as having to be absolutely believable when she states:

I think that to actually lead successfully you have to know what you're talking about because otherwise they'll just think what, you know people can see right the way through, you have to stand up and be credible, I mean you really have. There is a sense of gravitas I think as well.

When I ask Hilary to expand on what gravitas would look, sound and feel like in a leader she reflects and adds:

Some people have it and some people haven't and I don't think it's a particular personality that goes with it, you can have the quietest person who has the most incredible level of gravitas and that's what people buy into. I don't agree with charismatic leaders, I think there is a time and a place to be charismatic in the course of a week, a year or in the lead up to Ofsted but not all the time. I have a mantra that I say to staff and the students and to everybody; nobody is bigger than this organisation, not even me. Really please remember that because that is the most humbling thing because you know I might not be here tomorrow but this place will be here for a long time and the children's lives and chances will be here for much longer than that as well.

Hilary's statement has connotations for leadership succession planning which I will explore in more detail when drawing final conclusions from my findings. Whilst social and relationship management is the emotional intelligence theme I have

concentrated on in this section, it is apparent that the dynamic relationship between the four interlocking themes of *understanding moral purpose; being emotionally self aware and able to manage own emotions; understanding the emotions of others and being able to flex the emotional self with the emotional self of others* is crucial to effective school leadership.

In summary, the findings from the data gathered indicates that there is strong evidence that all participants are effective relationship managers. They can create resonance, they do influence, they are adaptable, they set and seek high standards in themselves and others, they are politically astute and what comes across most strongly they lead with absolute optimism and hope. Jane believes, the other participants demonstrate they agree, having well developed people skills are '*the "bread and butter" of the profession'.* It is clear that participants use, consciously or subconsciously, social and relational emotional intelligent competences, as identified in themes A3 and A4 of the developed Allen Model for Effective School Leadership (figure 5, p.144 and appendix 3i, p416) to build resonance with the constituents of their schools and academies. They speak of creating learning environments in which positive, effective and healthy working relationships are fostered and encouraged. This in turn generates a collective energy which sustains the sum of the parts of the whole. This is heartfelt, passionate and deeply rooted in making a difference to the life chances of children. It is this 'moral imperative' which is woven into the fabric of the school or academy and which is at the heart of the Allen Model for Effective School Leadership (figure

5, p.144) and why, I contend, the model is fit for purpose. Further to this, having carried out the research, analysed the data and reported the findings I am in a much stronger position to draw conclusions from those findings and make recommendations for the future.

CHAPTER FIVE

5: <u>CONCLUSION AND RECOMMENDATIONS</u>

5.1: Conclusion

In this study I set out to show that there is a relationship between emotional intelligence and effective school leadership, which is the nub of my hypothesis. I believe I have done this in a number of ways. Firstly, through an extensive exploration of the emotional intelligence literature, from the emergence of the construct in the early 1990s to present day, I have shown a clear link between it and effective leadership. In doing this I highlighted two specific models, one grounded in the science driven culture of emotional intelligence and the other in the practice driven culture of the construct. The latter provides greater resonance for this research as it is rooted firmly within the realms of school and academy leadership and in the world of educational work. This, I asserted, is significant at a time when there is a crisis in school leadership retention and recruitment. I have proven, through the review of the extensive literature associated with the practice driven culture, that those who are in tune with this culture strongly believe there is a relationship between the mastery of a set of emotional intelligence competences and effective leadership. Secondly, following what the practice driven culture literature had to say about the construct, I have developed the practical school based Allen Model for Effective School Leadership (figure 5, p.144). I have subsequently partially proven the model's fitness for purpose, as a blueprint for effective school leadership development, through the integrated thematic analysis of the data findings gathered from six exceptional secondary school and academy

leaders. I acknowledge there is further work to do here and will amplify this assertion as I make my concluding remarks. Finally, I believe, I have provided new information on how the challenges and complexities of leading secondary schools and academies, now and in the future, can be successfully met and supported. This also adds weight to that which I have hypothesised - emotional intelligence is the difference between those school leaders who are daunted by the ever evolving challenges of the role and those who are energised by them. In offering a practical model for building emotionally intelligent school communities through emotionally intelligent school leadership, I argue, I have shown the model has considerable merit. I am convinced in this argument as the integrated analysis of the findings, across the six participant interviews, highlights a common set of personal, social and relational emotional intelligence leadership competences which further illustrate a strong relationship between their mastery of these competences and the ability to build emotionally intelligent school communities. Having done this I am now in a much stronger position to answer the questions I posed at the beginning of the study and to answer them with a higher degree of authority. In doing this, I assert, I provide a powerful conclusion to the research and also a clear steer in making recommendations for where next.

To this end, I have determined, I can answer 'yes' to the question - Do acknowledged 'outstanding' Headteachers and Principals display common emotional intelligence competences? I can answer in the affirmative because I have shown, through the integrated thematic analysis of the data findings, that

participants do display a common set of emotional intelligence competences. Further to this, I have found that these competences are in tune with those outlined in Domain A of the developed Allen Model for Effective School Leadership and the associated Emotional Intelligence Competencies Inventory (figure 5, p.144, and appendix 3i, p.416). In answer to the second part of the first question - If effective school leaders do demonstrate a common set of emotional intelligence competences, what role do they play in effective leadership? - again, I conclude there is some compelling evidence to show that well developed emotional intelligence competences play a significant and central role in effective school leadership. I can conclude this because participants have shown they are attuned to and are grounded in their own moral purpose and there are a number of common themes running through this. For example, collectively they have at their heart, and it is this which drives them, the desire to want to make a difference to the lives of all children in their care and it is this which they believe to be their moral imperative as school and academy leaders. This is a huge challenge but, I conclude, they are effective in driving home this ambition, and are not daunted by it, because they have the required blend of personal, social and relational emotional intelligence skills to tune the emotional climate in their school or academy towards the positive end of the spectrum of emotions. They achieve this because they are aware of their own emotions and those of others and they illustrate this in a number of different ways, as evidenced in the data findings. For example, they use this awareness to guide words, deeds and actions for positive outcomes. Participants talk individually, but as if with one voice, about the common

attributes they consider are central to the effectiveness of their leadership and to successful leadership per se. They have integrity and are honest, trustworthy, open, courageous, confident, humble, spirited, sensitive and empathic. These are the personal competences, I conclude from the research findings, which imbue in others the confidence to want to follow leaders who display them. To add weight to this conclusion, the research evidence indicates that the six participating school and academy leaders are adept at showing the way for others to want to follow. This comes from the common moral imperative for all participants to want to improve the lives of others, coupled with a desire to give something back to society. All talk of wanting to develop others and of being ambitious for others, whether that is students or colleagues. They are good at spotting talent and know how to distribute leadership and this is a common and frequent practice. This, for them, is not about power over but power with. They demonstrate this by being supportive where support is required and standing back where space is needed and by being generous with praise whilst not being afraid of tackling conflict. To this end, there is much evidence, as has been shown, that they cultivate a high profile when tackling discord coupled with a high regard for mutual respect aiming to ameliorate rather than alienate, modeling the right way of being and seeing themselves as being the first among equals. All talk of a tendency to be calm and unflappable when under stress but equally injustice can anger them and motivate them to action. Equally, they all illustrate they understand their own strengths and know how to use them to good effect whilst being open to help in developing areas of weakness and limitations. Indeed self doubt for some inspires positive action.

Fundamentally, though, they are acutely aware of the responsibility the role of Headteacher or Principal brings and articulate that they do not shy away from this responsibility. They are not overwhelmed by change and challenge because they are able to keep things in perspective. Some say they view change and reform as stimulating whilst others use it to aid their core mission but not because it is the 'latest fad'. They are all positive and upbeat and therefore they inspire positive action in self and others. Each was able to recall instances where they had achieved this. On the other hand there was a general view that risk taking and mistake making can open up other opportunities. They are guided by and have faith in their gut feelings and are grounded in knowing what instinctively feels right. I experienced a welcoming and genuine warmth and openness from all participants. I felt this in the atmosphere in their schools and academies and in the day to day communications I witnessed them having with their students and their staff as I toured each of their schools. They have in short, articulated in words and demonstrated in actions, the required blend of head and heart. It is these characteristics which underpin their guiding values and principles and which are grounded in a keen sense of social responsibility, civic duty and a sense of service; a moral imperative to give something back. They collectively demonstrate they have at their heart a desire to improve the lives of others, coupled with a strong belief in people and a commitment to make a difference. They are confident that they can make a difference. This is their moral purpose writ large and it is this, I conclude, which provides the solid foundation on which their leadership effectiveness is based and on which all else is built.

To this end, participants show a collective understanding that the job is essentially about people and each demonstrate a sound understanding of how to use personal, social and relational competences to good effect when developing positive staff and student relationships. They say it isn't about being the boss; it isn't about ruling and certainly not about courting popularity. They show they understand it is about knowing what makes people tick. It is about working at relationships and being adept at second guessing how people might feel. There is a common understanding that they have to be open and accessible to others and not just listening to others but listening for meaning from what is being said or indeed not said. Equally, I have reported examples of how and in what circumstances they have been able to rally people. In doing this they know that it is important to be good at presenting themselves and talking to others but understand being authentic and credible is crucial as people will not follow those they cannot trust. They articulate this is by setting the right examples for others to want to follow; it is about working hard and doing the right thing, showing the way and being secure in your principles. In showing the way they are compelling because they are warm, passionate, good humoured and friendly. I can confirm this because I have observed, albeit fleetingly for some and longer for others, the participants in their school and academy settings. All were proud to show case their schools and academies and the students and staff in them. Participants talk about showing their human side and this was evident in their conversations with students, teachers and support staff as I was shown around each of their schools or academies. I was able to use my own understanding of social and relational

emotional intelligence competence to pick up this was real and authentic. All showed they were guided by the desire to spot and nurture talent and develop people's capabilities.

In short for each participant, consciously and inherently, social and relational emotional intelligence competences are central to them building a shared view and a shared culture in their school or academy community. This adds further credence to the suitability for purpose of Domain A of the developed Model for Effective School Leadership (figure 5, p.144) as it demonstrates how each of the participants has used the personal, social and relational competences outlined in the model to very good effect in their leadership role. This is clearly supported by comments made about participants' ability to build high performing teams, as articulated by Ofsted in their individual reports (appendix 4). My findings support, through a considerable body of evidence, the findings articulated in the Ofsted report of each participating school or academy that participants are adept at building high performing teams. To this end I have answered, again with some authority, a further question I posed at the onset of the research - How do effective Headteachers and Principals use emotional intelligence competences and traits to build emotionally intelligent, high performing school communities? I can conclude that the participants have a common approach to this and it returns to each being grounded in the unwavering moral purpose of '*children first'.* Jane, Denis, Steve, Tony, Graham and Hilary have the same unwavering desire to want to make a difference to the lives of children. It is not the job per se that motivates them, it is

the children in their care year on year that does this. They continue to teach and lead from what Parker and Palmer (1998) refer to as the 'heart of hope'. Further to this, I can also conclude, participants are able to sense the felt mood, they are astute and able to detect crucial social networks but at the same time are able to cultivate and influence a positive emotional climate to keep relationships on the right track whilst not shying away from dealing with conflict. There is a great deal of good humour evidenced as one way of tackling this, whilst also evidence that participants, equally, are not afraid of conflict but look for positive solutions. The data shows they are committed to developing others and see themselves as the 'first amongst equals'. What once again comes through strongly and clearly from each participant, is that in being attuned to your own moral purpose, coupled with the intuitive or developed competences of being personally and socially and relationally adept, one is able to lead with integrity and authenticity and it is this which is essential for others to want to be with you. This is pertinent at a time when teaching and school leadership is more challenging than ever before. This, however, goes beyond a set of competences. I conclude, it is the melding of and a mastery of the use of these competences, shown through the data analysis findings, which enable participants to create what Fullan would call a "holding environment". This is an environment in which community constituents are able to face these challenges together because they are emotionally aware and empathic to others. They are united by a common moral purpose which sustains individuals and the school community. It is all of these things, I conclude, which enables the

participants in this research study to build high performing teams and school and academy communities and from which others have much to learn.

I add a caveat to this however. In drawing conclusions from the findings, and this is of real concern to me, participants do not necessarily reflect on how and why they are good at this. In not being systematically and strategically reflective, I worry, they are not able to consciously build and further hone these skills in themselves, or spot and develop these talents in others. Each has acknowledged, it is not because that they are not self reflective, it is because they do not give themselves time to be reflective. What is encouraging, however, is that each participant has valued the thinking time I have provided for them in the interview process. They agree, however, by not finding time to be self reflect this is a limiting factor in their practice. Each participant accepts they need to address this, as self reflection is a powerful means by which leaders grow and develop.

Ergo to this, drawing an additional concluding point from the findings, I believe I have shown in Domain A, Emotional Intelligent Leaders, of the model (figure 5, p.144) that emotionally intelligent school leaders, through a set of personal and social and relational competences, can build the capacity for emotionally intelligent school communities which are able to self sustain. It is this, I offer in the model, which will be significant in maintaining, sustaining and retaining teachers and Headteachers and Principals now and in the future. Indeed it is learning and working in such positive school and academy environments, I conclude, which will

attract people back to the profession and make the role of teacher and school leader far more appealing and desirable. I strongly contend, this clearly puts the mastery of emotional intelligence competences at the heart of successful and effective school leadership and is why I advocate, as I draw the research findings together, that the practical model I have developed is significant as a blueprint for school leadership development.

I do understand, however, there is some contention in the assertion I have made about the value of emotional intelligence over cognitive intelligence. Are intellectually able and emotionally resilient Headteachers better able to achieve outstanding outcomes than those who are emotionally impoverished but intellectually able and therefore might emotional intelligence matter more than cognitive intelligence in maintaining and sustaining effective secondary school leaders? In conclusion, in terms of cognitive ability, all participants have the entry level academic qualification/s required for the post of Headteacher/Principal e.g. a good degree, PGCE, NPQH and some have chosen to study further and have achieved at masters degree and doctorate level. Further to this, the findings show they all have high levels of emotional intelligent competences which they are using to good effect in the role. However, is this strong enough evidence to suggest that it is this which makes them more effective in their leadership role than those who do not display such competences? The data I have gathered, and whose findings I have analysed, does not provide me with the definitive answer to this question. To do so would require me to extend my research to identify Headteachers/Principals

whose leadership has been deemed to be 'not adequate' by Ofsted and to unpick with them why this is. Did they have the required cognitive intelligence but are impoverished in terms of emotional intelligence? Did they lack the mastery of emotional intelligence competencies which the Headteachers/Principals in this study have demonstrated so eloquently? Such a study, whilst compelling, would be at best fraught with challenges of diplomacy and at worst unethical. However, perhaps LeDoux (1996), the neurological scientist whose work on cognition and emotion is cited at length In Chapter 2 of this study, puts forward a strong argument, supporting the theory, that both intelligences are requirements of effective leadership. He refers to cognition and emotion as two sides of the same coin and therefore should be considered with equal due regard. He contests that emotional intelligence doesn't matter more than cognitive intelligence or vice versa but that they are of equal importance and therefore one isn't of greater worth than the other they are of equal worth. This does suggest however, that one is impoverished without the other. However, I have shown in this study that personal, social and relational competence has contributed to effective school leadership and I conclude this is significant. Participants do not necessarily concur with this. When unpicking with them the idea that it is emotional intelligence that makes the difference between good enough Headteachers and Principals and outstanding ones, most are not sure if this is the case or not. This is largely because they have never thought about it before. Hilary, for example, states *'there isn't one thing that makes people outstanding at what they do'* but concludes that *'it's definitely a vocation and perhaps a faith as well'*. I concede I have not proven definitively that

emotional intelligence is more important that cognitive intelligence for successful school leadership. The research findings do, however, provide us with some useful sign posts in that participants agree that school leadership is inherently about getting things done with and through people and therefore being socially and relationally adept is fundamental to being successful in achieving this.

Further to this, I conclude, we have much to learn about effective school leadership from those who are acknowledged fine exponents of the art, such as those colleagues who have participated in this research study. They have demonstrated, what I have argued, is the the essence of effective leadership, the essential blend of intelligent head with an intelligent heart. Does it matter what's at the heart of the head? I come back to why Goleman's work, for me, continues to be so compelling when he states:

No creature can fly with just one wing. Gifted leadership occurs where heart and head – feeling and thought – meet. These are the two wings that allow a leader to soar.

(D. Goleman et al, 2002, p.33)

Goleman asserts that those who are intellectually gifted but emotionally impoverished will not be resonant leaders as 'the art of resonant leadership interweaves our intellect and our emotions' (Goleman et al, 2002, p.36). I have

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found participants in this research to have the required blend of heart and mind. I conclude, therefore, to be an effective school leader, it does matter what's at the heart of the Head. I argue those who take on a school leadership role because they are on a career trajectory will quickly become disenchanted by it because this role is about the greater good of others not about the greater good of self. If the allure of the top job is what drives you this will not sustain you over time. What sustains you, I conclude, is a conviction in your own moral purpose to make a difference to the lives of others. This is significant, I conclude, at a time when leadership as the literature shows has lost its lustre. Therefore - What can we learn from emotionally intelligent effective Headteachers and Principals in addressing the current retention and succession crisis in English secondary schools?

This brings us back, once again, to the notion put forward by Hargreaves (2006) that it is in schools where we first come across great leaders and it is these powerful role models who will play a significant part in keeping alive this most noble of vocations. This is succession planning at its best and in some respects self fulfilling. Outstanding Headteachers and Principals beget others and so it goes on. The findings lead me to conclude however, that currently this is done in an ad hoc fashion. In pursuing with participants the notion - How can we talent spot, manage and nurture potential future secondary school and academy leaders, who display emotional intelligence competences in succession planning for the future and to make the role of Headteacher/Principal a more attractive career option? - prophetically Hilary comments that, *'if we don't build the next generation of leaders*

to make it sustainable in a positive way you know we're really going to be stuffed'.
This is essentially the challenge facing school leaders today, and in the future, as highlighted by many through the literature but specifically by Hargreaves and Fink (2006). Hargreaves and Fink (2006, p.17) believe, and I have touched on this in the research findings, that leadership sustainability is 'inherently moral'. I would argue that this is nowhere more so than in the world of education. They suggest that, 'sustainable educational leadership and improvement preserves and develops deep learning for all, that spreads and lasts, in ways that do no harm to and indeed create positive benefits for others around us, now and in the future' (Hargreaves and Fink, 2006, p.17).

The six participants in this study do demonstrate they live the role with authenticity, they are modelling the way for others to want to follow and they have shown, and believe, that effective leadership abilities and competences can be developed over time. They do and have identified leadership characteristics, traits and talents in others, even though they may not have seen them in themselves but have been fortunate in that others have. As a result of this they have learnt this is effective leadership. More than this, it is the moral imperative for leaders if we are to maintain, sustain and develop school leaders now and for the future. I conclude this is the civic and societal duty of recognised outstanding leaders to do this in their own institutions but also in the institutions of others. Interestingly, I made this assertion before the new Coalition Government published its plans for sustainable leadership in the recent White Paper - *The Importance of Teaching* (November

2010). Much emphasis is placed on learning from the best education systems from around the world. In the paper it is argued that, 'the best education systems draw their teachers from the most academically able, and select them carefully to ensure that they are taking only those people who combine the right personal and intellectual qualities' (2010, p.20). I am anxious the emphasis, once again, is placed on academic ability. However, the paper tempers this by referring to the importance of the right personal skills too, and this is encouraging. Further to this, the paper proposes that, 'at each stage of their career, and especially as they move into leadership positions, teachers in the highest performing systems receive further focused training and development'. Whilst, I feel uncomfortable with some aspects of what the Coalition Government is proposing in the paper, I do agree that *focussed* leadership talent spotting and leadership talent honing is, as a *strategy*, fundamentally sound. It is a conclusion I came to long before the publication of the Coalition Government's White Paper and to me it is just common sense. However, my research findings show that none of the participants had a career plan to become a Headteacher or Principal and none had courted the position. Indeed it was others who had spotted their potential and had encouraged and brought them on. Graham recalls a previous Headteacher had, *'spotted something in me that I didn't see in myself'*. Steve reports it was a previous Head, *'he recognised the potential that I had; I never had the ambition that I wanted to be a Head but he spotted in me something I wasn't aware of'*. Tony similarly did not have designs to be a Headteacher recalling, *'my previous head mentored me and recognised my potential even though I wasn't aspiring to be a Head'*. Denis confides, *'I had no*

grand career plan, everything in my career has just happened'. However, Jane does concede and this is significant, *'I was a reluctant Principal but Mark Grundy encouraged me to take on the Associate Principal role, he had faith in my potential'*. Hilary states, *'others helped me to learn things about myself and about leadership, I didn't court the job'*. When I expanded on this theme with the participants Jane speaks with real profundity when she states, *'nobody ever talked to me about a career plan, I just wanted to be a teacher, I just wanted to work with children and most things in my career I haven't actively sought but when I've got to a different stage I've wanted it and enjoyed it; it's fine to have a career plan but understand that leading a school is more than a career'*. Interestingly, all participants talk of their passion for teaching and not their passion for leadership per se. Steve talks of a significant turning point in his career when his then Headteacher *'spotted his leadership potential and had confidence in his ability to take on that role he believed I could do it and he encouraged me to do it'*. Steve recognised in this Headteacher, on reflection, that his graciousness in wanting to bring others on, perhaps at his own and the schools cost, was a clear commitment to distributing leadership for the greater good of the role and the profession and ultimately children.

In conclusion, therefore, I propose that talent needs in the first instance to be identified from within the organisation and that it should be encouraged and developed not because they are next in line and not because they have served their allotted time but because they are talented and because they are ready to do

so whether that be after five years or fifteen years in the profession. What is clear, I believe, it is the moral imperative of outstanding Headteachers and Principals to recognise the leadership talents of others and make it their duty to develop, hone and encourage them. This happened for the six participants in this study and I believe secondary education is the richer for it. This brings me back to Hargreaves and Fink (2006). They believe, and I concur through this research study, that a good starting point to restore faith in leadership is in education as it is in schools where we encounter and are influenced by our first leaders. Therefore, and I agree with Hargreaves and Fink, if we are to nurture and sustain effective school leaders in the here and now and talent spot, grow and develop effective school leaders for the future we must be clear about what effective school leadership looks like, sounds like and feels like. The six participants in this study are powerful examples of this. I conclude it is from such leaders that we must determine to systematically and strategically learn. An addendum to this, as I prepare to publish my findings, is the significance the new Coalition Government places on learning with and from each other as articulated in its recent White Paper – *The Importance of Teaching (Nov 2009).* They are proposing to set up *Teaching Schools,* 'these are outstanding schools' who will take on the 'role of leading the training and professional development of teachers and Headteachers' (2009, p.20). I argue, essentially, there is nothing new about this, what does encourage me however is the calling for a formal strategy to be developed in a systematic way. What is happening currently, I conclude, is the school leadership talents are spotted if you happen to be in the right place at the right time and this is more a matter of luck

than good judgement. Indeed participants report they were fortunate to have had their leadership talents and skills recognised and brought on by significant other professionals, having not recognised these talents and skills in themselves. What bothers me is how many other Hilarys, Steves, Denis, Tonys, Grahams and Janes have been overlooked. I believe, therefore, it is Headteachers or Principals who must lead the way by modelling effective leadership, spotting leadership talent in others and encouraging individuals and groups to take on leadership responsibility. In this way we are able, collectively, to build the next and subsequent generations of school leaders. Consequently, I argue, the future of school leadership is in the hands of current school leaders if we are to nurture and sustain emotionally intelligent leaders and emotionally intelligent high performing school and academy communities both now and in the future. Davies (2009) calls for leaders to have a planned strategy for succession. I conclude, and the findings substantiate this, it is the civic and moral duty of serving Headteachers and Principals to hone these competences in themselves and show the way for others to follow through personal, social and relational awareness and action. This, I believe, would bode well for future leadership development.

Goleman's (2003, p.128-127) work on new 'leadership' supports this when he says 'great leaders are made as they gradually acquire, in the course of their lives and careers, the competences that make them so effective'. The six participants in this research study, through the data analysis, have shown that they display such competences. I contend however, that there are those who have a predisposition

for the quick mastery of the emotional intelligence competences I have outlined in the Allen Model for Effective School Leadership (figure 5, p.144), and it is this which makes for outstanding leadership. The analysed data in this research study supports this assertion. However, these are not necessarily the competences which get people through the 'Headship/Principalship door', but evidence would suggest that it is these competences which sustain you once through 'the door'. Therefore, is the process of recruitment flawed? These are questions, I recommend, to be answered in further research.

Finally therefore, I do fundamentally believe it matters what is at the heart of the Head. This assertion has much resonance for me, as a leader who has learnt to blend heart and head to effect positive leadership outcomes by honing my own skills and talents, and significantly, learning from others. This research has further supported my own leadership journey. It has enabled me to reflect on my own practice, whilst scrutinising the practice of others, and from this I have grown and developed in my own school leadership role. In relation to the initial research question explored by this study, whether there is a relationship between emotional intelligence and effective school leadership, the literature clearly supports this in the affirmative and this has been supported by the evidence I have gathered in the field. This has informed the practice driven mixed model of emotional intelligence I have developed in the Allen Model for Effective School Leadership (figure 5, p.144). The model sets out to demonstrate that being adept at using a set of emotional intelligence competences is fundamental to effective leadership and

these competences, which I assert are personal, social and relational in nature, can be learnt and therefore developed. To this end, if effective school leadership is learnt rather than inherent, and this research study indicates this is the case, serving outstanding school leaders have a huge responsibility in modelling the way for others to want to follow. However, the findings show, and the Government is alert to this, education has to take a strategic stance in leadership succession planning.

Finally, having had the privilege of undertaking this research with Jane Evans, Denis Fay, Graham Hamilton, Hilary Macaulay, Tony Nicholson and Steve Wilkinson, the outstanding Headteachers and Principals who participated in this study, I know, the future of educational leadership is in safe hands. The participants are exceptional leadership role models. Although few in numbers they are a representative sample of a much larger group. Further to this, each has the potential to grow and develop future outstanding leaders from within their individual school and academy communities. I believe, therefore, this bodes well for future generations of leaders to come and I thank the participants for this.

5.1.1: Next step actions

I am aware that I have concentrated mainly on Domain A: Emotionally Intelligent Leaders of the Allen Model for Effective School Leadership (figure 5, p.144). I have used the rich and deep data gathered from the six participants to add validity to that which I have hypothesized about the powerful link between effective school

leaders and emotional intelligence. It is this aspect of the model, whose fitness for purpose, I have tested. I am also aware that in doing this I have gathered some data to support the second part of the model which focuses on Domain B: Emotionally Intelligent School Communities. I understand, however, further work needs to be done before the model could be deemed to be fully fit for purpose as a blueprint for the development of emotionally intelligent school leaders and emotionally intelligent school communities. Therefore, I recommend the following next step action.

- Consider how best to share the findings from this research, with a wider audience, in order to maximize its impact.

- Carry out additional research, with specific reference to Domain B: Emotionally Intelligent School Communities, with a focus on making the model fully fit for purpose as a blueprint for current and future leadership development.

- Once the model is deemed fully fit for purpose design a training programme, based on the model, to develop and sustain school leaders now and in the future.

- Determine how to promote the model, once fully fit for purpose, as a blueprint for future leadership development and training.

- Carry out additional research into current leadership recruitment protocols and determine the value currently placed on emotional intelligence in the selection process.

6: <u>APPENDICES</u>

Appendix One: Contact With Participants

From: Wendy Allen
Sent: 05 July 2009 10:39
To: MacaulayH
Subject: Re: Research participation request

Dear Hilary

I am not sure if you will remember me but I am studying for a PhD with Brent Davies. As a former part time PhD student (well done for completing and achieving your doctorate) you will be aware how all consuming this becomes and is a real balancing act between study, work and having a life!

I am now ready to start collecting data for my research, the title of which is – School Leadership: The Emotional Dimension – *Why it matters what's at the heart of the head.* I am researching the relationship between emotional intelligence and effective school leadership. It is my intention to write approximately five case studies of effective school Headteachers.

Brent has recommended that I ask you, as an effective Headteacher, to be one of my research participants. I would very much appreciate if you agreed to participate. Your involvement would be an agreement to a face to face interview with me (probably about an hour) in which we will explore your leadership journey (that is what has brought you to Headship) and what you consider to be the characteristics of effective Headteachers. The research would also involve asking a sample (probably 10%) of your colleagues (teaching and support staff) to complete a simple, self completion questionnaire about the characteristics they admire in you as a school leader.

If you agree in principle I will forward to you further information (possible the introduction to my thesis which sets out the details of the research) and a copy of the interview schedule and the self completion questionnaire. I am aiming to carry out the interviews in term one of next academic year (Sept – Dec).

It would be great if you could find the time to be involved.

Kind regards

Wendy Allen

From: MacaulayH
To: Wendy Allen
Sent: Monday, July 06, 2009 7:13 AM
Subject: RE: Research participation request

Hi Wendy,

Yes I do remember talking to you when I was about 3 months into my Research associateship and PhD. I'd be happy to help you. I have about 257 staff currently. Oct would be better than Sept as we also have Ofsted this coming term.

I look forward to hearing further.

All the best,

Hilary

----- Original Message -----

From: Wendy Allen
Sent: 07 July 2009 10:50
To: MacaulayH
Subject: Re: Research participation request

Hi Hilary

That's brilliant. I will be in touch with you over the summer with more details. October/November would be good for me too. Looking forward to meeting up with you. I hear great things about you and your work from Brent.

Kind regards

Wendy

Dear

Thank you for agreeing to take part in the school leadership research I am carrying out to support the PhD studies I am undertaking with the University of Hull.

I am interested in the notion of what determines and shapes effective school leaders and how can we grow, nurture and sustain such leaders in our schools today and in the future pertinent at a time when research shows leadership recruitment and retention in British schools is causing concern.

This study is specifically about the relationship between emotional intelligence, a relatively new construct in comparison to cognitive intelligence, and effective secondary school leadership. The research is grounded in the use of emotional intelligence competences in the workplace in relation to enhanced leadership performance. It will test the credence of a developed emotional intelligence model of effective school leadership through a comparative study of a number of acknowledged effective secondary school/academy leaders.

Your involvement in this study will be to take part in a one to one semi structured interview, in an appropriate place on the school/academy site, and will last approximately one hour. In this interview I will explore with you the idea of effective school leadership and consider the role emotional intelligence plays in that.

The outcome of the study will be to further inform a school based emotional intelligence model of effective school leadership I have developed illuminating the role emotional intelligence can play in retaining, sustaining, developing and recruiting school leaders now and in the future. I anticipate the benefit to you as an individual will come in acknowledging, recognising, informing and reflecting on the effectiveness of your leadership role.

The results will be used for research purposes and may be reported in scientific and academic journals and the name of the participating headteachers/principles and their school/academy will be cited in the subsequent research publications.

In order to preserve the confidentiality of the collected data recordings of interviews and subsequent transcript all will be held secure, in a locked filing cabinet in my office, at Ulverston Victoria High School.

You are free to withdraw consent to participation at any time during the study and should you decide to do so your participation in the research study will immediately cease and any information obtained will not be used.

Although you have given verbal agreement to participation I would appreciate if you would also give written consent. Please read and, if in agreement, sign the attached consent form and return to me in the stamped addressed envelope provided.

Should you wish to discuss the content of this letter or have further questions or concerns about the research do not hesitate to contact me by letter, telephone or email using the contact details shown on the consent for.

I look forward to visiting your school/academy on the 11 May. I will e mail you nearer the time to agree a time.

Yours sincerely

Wendy Allen

The Hull University Business School
Research Ethics Committee
CONSENT FORM

I,   of

Hereby agree to be involved in a research study being undertaken by: **Wendy Allen**

and I understand that the purpose of the research is

1. To test the credence of a developed emotional intelligence model of effective school leadership through a study of a number of acknowledged effective secondary school/academy headteachers/principles and the comparative characteristics/competences.

2. The outcome of this study will further inform the developed school based emotional intelligence model of effective school leadership illuminating the role emotional intelligence can play in retaining, sustaining, developing and recruiting school leaders now and in the future.

and that involvement for the institution means the following:

1. The Headteacher/Principal taking part in a one to one semi structured interview of approximately one hour, on the school/academy site, with the researcher. This could be followed up be further discussion.

I understand that

1. the aims, methods, and anticipated benefits, and possible risks/hazards of the research study, have been explained to me.

2. I voluntarily and freely give my consent for the institution/organisation to participate in the above research study.

5. I am free to withdraw my consent at any time during the study, in which event participation in the research study will immediately cease and any information obtained through this institution/organisation will not be used if I so request.

3. I understand that aggregated results will be used for research purposes and may be reported in scientific and academic journals.

I agree that

4. The institution/organisation MAY be named in research publications or other publicity without prior agreement.

5. *I / We DO / DO NOT require an opportunity to check the factual accuracy of the research findings related to the institution/organisation.*

6. *I / We EXPECT / DO NOT EXPECT to receive a copy of the research findings or publications.*

Signature: Date:

The contact details of the researcher are: Wendy Allen, Ulverston Victoria High School, Springfield Road, Ulverston, Cumbria LA12 0EB.
Email: work – wal@ulverstonvictoria.cumbria.sch.uk. Home – wendy@wallen.freeserve.co.uk tel. 01229 894140

The contact details of the secretary to the HUBS Research Ethics Committee are Karen Walton, The Research & Senior Academic Support Office Hull University Business School, University of Hull, Cottingham Road, Hull, HU6 7RX.
Email: k.a.walton@hull.ac.uk tel. 01482-463646.

Part B

1. Will you obtain written informed consent from the participants? **Yes**

Written consent will be obtained from the participating headteachers/principles as they will take part in a face to face semi structured interview (schedule attached). A sample of stakeholders including teachers, support staff, governors, parents and students will complete a self report questionnaire (attached). The identity of the participants completing the questionnaire will be confidential.

2. Has there been any withholding of disclosure of information regarding the research/teaching to the participants? **No**

1. Issues for participants.

a) Do any aspects of the study pose a possible risk to participants' physical well-being (e.g. use of substances such as alcohol or extreme situations such as sleep deprivation)? **No**

b) Are there any aspects of the study that participants might find humiliating, embarrassing, ego-threatening, in conflict with their values, or be otherwise emotionally upsetting?* **No**

c) Are there any aspects of the study that might threaten participants' privacy (e.g. questions of a very personal nature; observation of individuals in situations which are not obviously 'public')?* **No**

d) Does the study require access to confidential sources of information (e.g. medical records)? **No**

e) Could the intended participants for the study be expected to be more than usually emotionally vulnerable (e.g. medical patients, bereaved individuals)? **No**

f) Will the study take place in a setting other than the University campus or residential buildings? **Yes**

In the participating headteacher's/principle's school/academy.

g) Will the intended participants of the study be individuals who are not members of the University community? **Yes**

A number of secondary Headteachers/Principles working in a range of English Schools and Academys.

4.
   Might conducting the study expose the researcher to any risks
   (e.g. collecting data in potentially dangerous environments)?   **No**
   Explain your method of dealing with this.

5. Is the research being conducted on a group culturally different from the researcher/student/supervisors? **No**

6. Does the research/teaching conflict with any of the HUBS's research principles? **No**

7. If the research/teaching requires the consent of any organisation, have you obtained it? **Yes**

8. Have you needed to discuss the likelihood of ethical problems with this research with an informed colleague? **No**

Thank you for completing this proforma. This form must be signed by you, your supervisor/colleague and the HUBS Research Ethics Committee representative for your area. Once signed, copies of this form, and your proposal must be sent to the Secretary of the Research Ethics Committee, Hull University Business School (see flow chart), including where possible examples of letters describing the purposes and implications of the research, and any Consent Forms (see appendices).

Name of Researcher/Student: **Wendy Allen**

Signature …………………………………………… Date **24 August 2009**

Name of Supervisor/Colleague: **Professor Brent Davies**

Signature …………………………………………… Date **24 August 2009**

Name of Research Ethics Committee member …………………………………………

Signature …………………………………………

Appendix Three (3i):

**THE ALLEN MODEL FOR EFFECTIVE SCHOOL LEADERSHIP
EMOTIONAL INTELLIGENCE COMPETENCIES INVENTORY**

(INCLUDING PRE-CODING FRAMEWORK)

**NB: Based on and adapted from Daniel Goleman's Emotional Intelligence
Competences (2002)**

<table>
<tr>
<td colspan="3" align="center">DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS</td>
</tr>
<tr>
<td align="center">MAJOR HEADINGS</td>
<td align="center">SUB HEADINGS</td>
<td align="center">CODE</td>
</tr>
<tr>
<td colspan="3" align="center">PERSONAL COMPETENCES</td>
</tr>
<tr>
<td>A1: Are attuned to their own moral purpose</td>
<td>They have a strong sense of <u>own moral purpose</u>:
• Are in tune with their inner signals and guiding values and use to intuit the best course of action.
• Speak with conviction about their guiding vision.
• Live their values.
• Have integrity and an authentic openness to others about feelings, beliefs and actions.</td>
<td>A 1.1
A 1.2

A 1.3

A 1.4
A 1.5</td>
</tr>
<tr>
<td>A2: Are emotionally self aware and able to self manage emotions.</td>
<td>They are <u>emotionally self aware</u>:
• Recognise how their feelings affect them and their job performance.
• Exhibit a sense of humour about themselves.
• See the big picture in a complex situation.

They are able to <u>accurately self assess</u>:
• Know and play to their strengths, whilst understanding their limitations, and know where to focus in developing new leadership strengths.
• Welcome constructive criticism and feedback and know when and how to ask for help.</td>
<td>A 2.1

A 2.2

A 2.3

A 2.4

A 2.5</td>
</tr>
</table>

DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS		
MAJOR HEADINGS	**SUB HEADINGS**	**CODE**
	They are <u>self confident</u>: • Have a sense of presence and self assurance that lets them stand out in a group. • Welcome difficult assignments.	A 2.6 A 2.7
	They have <u>self-control</u>: • Find ways to manage their disturbing emotions and impulses and channel them in useful ways for the common good of the group. • Stay calm and clear-headed under high stress or during crisis and remains unflappable even when confronted by a trying situation.	A 2.8 A 2.9
	They are <u>transparent</u>: • Openly admit mistakes or faults. • Confront unethical behaviour in others rather than turn a blind eye.	A 2.10 A 2.11
	They are <u>adaptable:</u> • Can juggle multiple demands without losing their focus or energy. • Are comfortable with inevitable ambiguities of organisational life. • Can be flexible in adapting to new challenges, nimble in adjusting to fluid change, and limber in their thinking in the face of new data or realities.	A 2.12 A 2.13 A 2.14
	They are committed to <u>achievement:</u> • Have high personal standards that drive then constantly to seek performance improvement for themselves and those they lead. • Are pragmatic, setting measurable but challenging goals. • Are able to calculate risks so that	A 2.15 A 2.16 A 2.17

DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS		
MAJOR HEADINGS	**SUB HEADINGS**	**CODE**
	goals are worthy but attainable. • Are continually learning and teaching ways to be better. **They are <u>intuitive</u>:** • Have a sense of efficacy and have what it takes to control their own destiny. • Seize opportunities or create them rather than simply waiting. • Do not hesitate to cut through red tape, or even bend the rules, when necessary to create better possibilities for the future. **They are <u>optimistic</u>:** • Can roll with the punches. • See opportunity rather than threat in a setback. • See others positively, expecting the best of them. • Have a 'glass half full' outlook which leads them to expect that change in the future will be better for them.	A 2.18 A 2.19 A 2.20 A 2.21 A 2.22 A 2.23 A 2.24 A 2.25
SOCIAL AND RELATIONAL COMPETENCES		
A3: Are aware of the emotional self of others.	**They are <u>empathic</u>:** • Are able to attune to a wide range of emotional signals, letting them sense the felt, but unspoken, emotions in a person or group. • Listen attentively and can grasp the other person's perspective. • Get along well with people of diverse	A 3.1 A 3.2 A 3.3

DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS		
MAJOR HEADINGS	**SUB HEADINGS**	**CODE**
	backgrounds or from other cultures.	
	They have <u>organisational awareness</u>: • Have a keen sense of social awareness and can be politically astute, able to detect crucial social networks and read key power relationships.	A 3.4
	• Can understand the political forces at work in an organisation, as well as the guiding values and unspoken rules that operate among people there.	A 3.5
	They <u>serve</u>: • Foster a positive emotional climate to keep relationships in the school community on the right track and make themselves available as needed.	A 3.6
	• Monitor staff and student satisfaction carefully to ensure needs are met.	A 3.7
A4: Are able to flex emotional self with the emotional self of others.	**They are <u>inspirational</u>:** • Create resonance and move people with a compelling vision or shared mission.	A 4.1
	• Embody what they ask others, and are able to articulate a shared mission in a way that inspires others to follow.	A 4.2
	• Offer a sense of common purpose beyond the day to day tasks, making work exciting.	A 4.3
	They are <u>influential</u>: • Find the right appeal for a given listener to know how to build buy-in from key people and a network of support for an initiative.	A 4.4
	• Are persuasive and engaging when they address a group.	A 4.5

DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS		
MAJOR HEADINGS	**SUB HEADINGS**	**CODE**
	They <u>develop others</u>: • Are adept at cultivating people's abilities and show a genuine interest in those they are helping along, understanding their goals, strengths, and weaknesses.	A 4.6
	• Give timely and constructive feedback and are natural mentors or coaches.	A 4.7
	They are <u>change catalysts</u>: • Are able to recognise the need for the change, challenge the status quo, and champion the new order.	A 4.8
	• Are strong advocates for the change even in the face of opposition, making the arguments for it compelling.	A 4.9
	• Find practical ways to overcome barriers to change.	A 4.10
	They are able to <u>manage conflict</u>: • Draw out all parties, understand the differing perspectives, and then find a common ideal that everyone can endorse.	A 4.11
	• Surface the conflict, acknowledge the feelings and views of all sides, and then redirect the energy towards a shared ideal.	A 4.12
	They embrace <u>teamwork and collaboration</u>: • Generate an atmosphere of friendly collegiality and are themselves models of respect, helpfulness, and cooperation.	A 4.13
	• Draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity.	A 4.14
	• Spend time forging and cementing	

DOMAIN A: EMOTIONALLY INTELLIGENT SCHOOL LEADERS		
MAJOR HEADINGS	**SUB HEADINGS**	**CODE**
	relationships beyond mere work obligations.	

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
PERSONAL COMPETENCES		
B1: Are emotionally self aware	**They are <u>emotionally self aware</u>:**	
	• Recognise how their feelings affect them and their job performance and the performance of others.	B 1.1
	• Exhibit a sense of humour about themselves.	B 1.2
	• Together see the big picture in a complex situation.	B 1.3
	They are able to <u>accurately self assess</u>:	
	• Know their own and others abilities playing to individual and group strengths whilst also understanding their and others limitations and where to focus in developing new strengths.	B 1.4
	• Welcome constructive criticism and feedback and know when to ask for help.	B 1.5
	They are <u>self confident</u>:	
	• Understand and play to their strengths and the strengths of others.	B 1.6
	• Have a collective sense of presence and self assurance that lets them stand out in a range of settings.	B 1.7
	• Individually and collectively welcome difficult assignments.	B 1.8
	They have <u>self-control</u>:	

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
	• Find ways to manage their and others disturbing emotions and impulses and channel them in useful ways for the common good of the school community.	B 1.9
	• Are able to help each other stay calm and clear-headed when confronted by trying situations, under high stress or during crisis.	B 1.10
	They are transparent:	
	• Are comfortable and open to admitting individual or group mistakes or faults.	B 1.11
	• Individually and collectively confront unethical behaviour in others rather than turn a blind eye.	B 1.12
	They are adaptable:	
	• Can individually and collectively juggle multiple demands without losing their focus or energy.	B 1.13
	• Are comfortable with inevitable ambiguities of organisational life.	B 1.14
	• Can be flexible in adapting to new challenges, nimble in adjusting to fluid change, and limber in their thinking in the face of new data or realities.	B 1.15
	They are committed to achievement:	
	• Have high personal and collective standards that drive them and the community constantly to seek performance improvement for themselves, for others and for the school community.	B 1.16
	• Are pragmatic, setting measurable but challenging goals.	B 1.17
	• Are able to individually and collectively calculate risks so that goals are worthy but attainable.	B 1.18
	• Are continually learning and teaching ways to be better with and for each	B 1.19

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
	other.	
	They are <u>intuitive</u>:	
	• Have an individual and collective sense of efficacy and individually and collectively have what it takes to control their own and others destiny.	B 1.20
	• Individually and collectively seize opportunities or create them rather than simply waiting.	B 1.21
	• Individually and collectively do not hesitate to cut through red tape, or even bend the rules, when necessary to create better possibilities for the future.	B 1.22
	They are <u>optimistic</u>:	
	• Can individually and collectively roll with the punches.	B 1.23
	• See individually and collectively opportunity rather than threat in a setback.	B 1.24
	• See others positively, expecting the best of them.	B 1.25
	• Have individually and collectively a 'glass half full' outlook which leads them individually and collectively to expect that change in the future will be better for them and the school community.	B 1.26
B2: Are able to flex the emotional self with the emotional self of others.	**They are <u>empathic</u>:**	
	• Are able to attune to a wide range of emotional signals, letting them sense the felt, but unspoken, emotions in a person, group or in the school community.	B 2.1
	• Listen attentively and can grasp the others perspective.	B 2.2
	• Get along well with people of diverse backgrounds or from other cultures.	B 2.3

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
	They have <u>organisational awareness</u>: • Have a keen individual and collective sense of social awareness and can be politically astute, able to detect crucial social networks and read key power relationships.	B 2.4
	• Can individually and collectively understand the political forces at work in an organisation, as well as the guiding values and unspoken rules that operate among people there.	B 2.5
	They serve: • Collectively foster a positive emotional climate to keep relationships in the school community on the right track.	B 2.6
	• Are aware of the needs of others in the school community and work hard to ensure those needs are met.	B 2.7
SOCIAL AND RELATIONAL COMPETENCES		
B3: Have emotional intelligence synergy	**They are <u>inspirational</u>:** • Contribute to the shared vision and mission and create resonance for each other.	B 3.1
	• Individually and collectively embody the schools way of being and are inspired to follow a shared mission.	B 3.2
	• Offer a sense of common purpose for each other beyond the day to day tasks, making work exciting.	B 3.3
	They are <u>influential:</u> • Find the right appeal for a given listener to know how to build buy-in from key people and a network of support for an initiative.	B 3.4
	• Are persuasive and engaging when they address a group.	B 3.5

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
	They develop others:	
	• Are adept at cultivating people's abilities and show a genuine interest in those they are helping along, understanding their goals, strengths, and weaknesses.	B 3.6
	• Give timely and constructive feedback and are natural mentors or coaches.	B 3.7
	They are change catalysts:	
	• Are individually and collectively able to recognise the need for the change, challenge the status quo, and champion the new order.	B 3.8
	• Are individually and collectively strong advocates for the change even in the face of opposition, and are compelled by the arguments for it.	B 3.9
	• Individually and collectively find practical ways to overcome barriers to change.	B 3.10
	They are able to manage conflict:	
	• Draw out all parties, understand the differing perspectives, and then find a common ideal that everyone can endorse.	B 3.11
	• Surface the conflict, acknowledge the feelings and views of all sides, and then redirect the energy towards a shared ideal.	B 3.12
	They embrace teamwork and collaboration:	
	• Generate an atmosphere of friendly collegiality and are themselves models of respect, helpfulness, and cooperation.	B 3.13
	• Draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity.	B 3.14
	• Spend time forging and cementing	

DOMAIN B: EMOTIONALLY INTELLIGENT SCHOOL COMMUNITIES		
MAJOR HEADINGS	**SUB HEADINGS:**	**Code:**
	relationships beyond mere work obligations.	B 3.15
B4: Have a shared moral purpose	**They have a strong sense of <u>their collective moral purpose</u>:**	
	• Are attuned to their own inner signals which contribute positively to the shared moral purpose of the school community.	B 4.1
	• Are individually and collectively attuned to the guiding values of the school community and use this to intuit the best course of action.	B 4.2
	• Can be candid and authentic, speaking openly about their emotions and with conviction about the guiding vision of the school community.	B 4.3
	• Live the school communities guiding values.	B 4.4
	• Have integrity and an authentic openness to others about feelings, beliefs and actions.	B 4.5

Appendix Three (3ii):

Interview Schedule

Headteacher/Principal:

School:

Date:

No:	Themes/Questions:	Code:	Interview notes:
1	**Influences:** Who and or what has been influential in you becoming a Headteacher of a secondary school or Principal of an academy?		
2	**Leadership style:** What is at the heart of your leadership style?		
3	**Guiding values and principles:** What values and principles shape you as an individual and what impact has this had on what drives you as a secondary school/academy leader and how you lead?		
4	**Leadership strengths:** What would you consider to be your strengths as a school leader and how have you/do you use them to good effect? What has been the outcomes/impact?		
5	**Leadership limitations:** Are you aware of any limitations you have as a leader? If so what impact have they had on the effectiveness of your leadership and or what have you		

	done to overcome or make improvements on these limitations?		
6	**Vision shaping:** What vision do you have for your school community? What are your guiding principles? How do you go about realising this vision? How would you describe your school to an outsider?		
7	**Highs in leadership career:** What have been the highs in your leadership career and or in your current leadership tenure? How have you managed them? How does this make you feel?		
8	**Lows in leadership career:** What have been the lows? How have you managed them? How does this make you feel?		
9	**Conflict:** Inevitably when you are leading change and reform not all will be comfortable with it? Indeed there could be some hostility. How do you view conflict within and across groups? How do you go about managing conflict?		
10	**Stress:** Leadership is inherently stressful and trying. How do you go about managing yourself and others in such situations? What sustains you? How do you sustain others in the school community?		

11	**Risk taking and mistake making:** If leaders choose to take risks inevitably they will make mistakes. Does this have resonance for you as a leader? How do you view risk taking and mistake making in yourself and in others in the school community?		
12	**Most important leadership competency:** If you had to identify the single most important thing a school leader had to be competent in when building an effective school community what would you say it was?		
13	**Successful leadership:** What would you attest your success to in your leadership role in this school?		
14	**Leadership succession:** Leadership succession is currently a concern nationally. How, as a serving Headteacher/Principal, do you plan for succession?		
17	**Emotional intelligence inherent or learnt:** Can leadership competences be learnt or is it an innate ability? Is this the difference between good Headteachers/Principals and outstanding Headteachers/Principals?		

| 18 | **Catch all:**

Is there anything you would like to add which you feel the questions have not enabled you to say which you would like to say about your leadership, your school or any other aspect of the research? | | |

Appendix Four (4i):

The Cases: Background Information

Jane Evans Associate Principal: Shireland Collegiate Academy (11-18). Smethwick, West Midlands.

Jane's own educational history is relatively traditional. She was born and educated in Skinningrove-by-Sea, a small mining/fishing village in North Yorkshire where her parents ran the village sweet shop and where she attended the village school from the age of five to eleven. She passed the 11+, following a second attempt at part 2, and moved onto Cleveland Grammar School for Girls, Redcar where she was a pupil from 1962 – 1969. After the successful completion of O and A levels, and having been forced to make a choice between the sciences and the arts, she went on to study Social Studies at Hull University and had plans to follow a career in school counselling deciding against a career in teaching because *'my sister, ten years older than me, was a teacher and I wanted to be different'!*. However, having undertaken a placement in Rochdale, Lancashire where she did a study of the then new concepts of community schools, she became increasingly interested in education. Having secured an honours degree in English in 1972 Jane went on to do a PGCE at Hull College of Education. She secured her first teaching post at Shirelands High School, Smethwick, West Midlands as a teacher of English in 1973.

Jane deemed herself to be unusual, and may in fact be unique, in that she became the Associate Principal of the school in which she started her teaching career in and subsequently remained in throughout. Jane believes her experience *'will now be very rare - to have progressed from the bottom to the top in one establishment'.* Jane joined Shireland High School, Smethwick, West Midlands as a teacher of English in 1973. In December 2009 she completed her teaching career at Shireland Collegiate Academy, Smethwick. Jane concedes that *'although I have been in one campus my entire teaching career I have in fact taught in at least six different schools'.* In 1973 Shireland went co-educational and in 1974 had its first comprehensive intake having previously been a secondary modern school. Between 1973-1996 the school had four different Headteachers. In 1996 Mark Grundy took up post and the school then successfully applied to become a specialist school and became Shireland Language College. In September 2007, the status changed again when the school became Shireland Collegiate Academy. At this point Sir Mark Grundy, Mark was knighted for services to education in 2006, became Executive Principal over two schools who combined to become the academy and Jane was appointed to take on the role of Associate Principal of Shireland Collegiate Academy.

Throughout her teaching career Jane has taught a range of subjects including English, History, RE, Personal Development, PE, French, Food Technology, Science and Art. She has taken on a range of differing leadership responsibilities including Head of Year 1 Integrated Studies, PSE Coordinator, Head of Year,

Senior Teacher – assessment and reporting, Deputy Head, Senior Deputy Head and finally took up the post of Associate Principal. Jane retired in December 2009 following a very successful eight year headship tenure which is borne out by two good Ofsted reports.

Case 2: Stephen Wilkinson Headteacher: The Queen Katherine School (11-18). Kendal, Cumbria

From the age of five, when Steve's dad joined the RAF, his primary and secondary schooling was interrupted by numerous changes of school. His primary education was at a range of school, from a small village school in Northumbria to a large urban school in Cambridge. He spent his final primary year in a large school on the outskirts of Newcastle.

His secondary education was in two chunks, first, second and half of the third year in Warwick and the rest in a suburb of Plymouth. When his parents moved to North Yorkshire half way through his sixth form studies he decided to stay in Plymouth in digs and finish his A levels. Whilst he reports that he is convinced that all the upheaval had an effect on his education he achieved 13 'O' Levels, a CSE in French and A levels in Physics, Chemistry and Mathematics.

He completed a degree in Pure and Applied Physics – a sandwich course at Salford University. As a result of which he worked at a number of research establishments. This 'work experience' convinced him that a career in scientific research was not for him. He concludes: *'Really, I knew in my 'O' Level years that I wanted to teach. A mathematics teacher inspired me, both as my 'A' Level teacher and as a fabulous tutor and role model'.* Steve completed his PGCE at York University where he was taken by surprise that York still had selective schools *'so I shipped out to Hull to a comprehensive regime for my teaching practice'.*

Steve started his teaching career as a science teacher in Berkshire in an 11-19 school for 1000 students. Each time he applied for a new post he was promoted and ended up on a scale 3 after four or five years in the profession. At the age of 30 Steve was offered three jobs – Deputy Head of an outdoor centre, Head of Science at Northallerton College and a post at a special school for extremely bright boys with severe behavioural difficulties. He accepted the Head of Science post on a Scale 4 and was quickly promoted to senior teacher and TVEI Co-ordinator. After five years he was made third Deputy at North Yorkshire's largest school, South Craven, an 11-18 school with 1800 students. The post allowed him to combine a curriculum and pastoral role. He also at this time studied part-time at Leeds University for an MEd. In 1995, still in his 30s, Steve moved to Jersey to take up his first headship of Le Rocquier School, the most southerly secondary school in the British Isles and in 'special measures'. It was a 600 student, 11-16 school, and grew to 800 before Steve left in 2000. *'We turned it round and it started to perform well'* he recalls. He also found time to complete an MBA with Leicester University. Steve's current school, The Queen Katherine School, in Kendal, is his second headship.

Steve recalls the most formative educational experience for him *was 'probably being in bottom set Year 9 French – I vowed never to let any student of mine suffer such a disruptive and sickening "teaching" environment'.*

Case 3: Doctor Hilary Macaulay Principal and CEO: West London Academy (3-19). Northolt, West London.

Hilary has followed a relatively traditional academic route through primary, secondary and into higher education. Her academic achievements are outstanding and she is clearly a lifelong learner.

Hilary's primary and most of her secondary education was in a co-ed school in Belfast, Northern Ireland where she was born and brought up. Her post 16 education was in Milton Keynes at a progressive school, Stantonbury Campus, where Geoff Cooksey was the Headteacher, of whom Hilary speaks as a positive early influence. In 1985 she achieved A levels in English Literature, Geography, Music, Sociology and General Studies. Her degree years were sponsored by the British Army and following the successful completion of a BA (Hons) 1st Class in English Literature and Language at Queen's University, Belfast in 1989 she went to Sandhurst in September 1989 and was commissioned in April 1990. Hilary served in Berlin for 4 months then in her words *'bailed out of my commission as didn't want to be married to the Army!'* In July 1991 Hilary completed a PGCE in Secondary English at St Anne's College, University of Oxford. She undertook further studies between 1996 and 1998 at the University of Reading gaining an MA in Educational Administration and Institutional Management (with Distinction) and in February 2000 completed a 'fast track' NPQH. She achieved an MBA in Educational Leadership (with Distinction) at the University of Hull in June 2003 and

a PhD in April 2008. Hilary's PhD studies were sponsored by NCSL, for whom she was a Research Associate between 2005 and 2008.

Hilary took up her first teaching post in September 1991 as a teacher of English at Prospect School, an 11-18 co-ed school in Reading. She moved for a promotion in 1993 to Easthampstead Park an 11-18 co-ed School in Berkshire first taking on responsibility for post-16 English and then made teacher in charge of the English department in 1994. This was quickly followed by a move in 1996 to be Head of English at Waldegrave School an 11-16 school for girls, Twickenham. In 1998 she became Deputy Headteacher (Curriculum) at the same school. In 2000 she moved to the 11-18 co-ed ADT College, a City Technical College, in Putney, London to take up the post of Vice Principal where she remained for five years. However, in this time she was seconded to several other posts. The first secondment in 2004, paid for by the DfES, gave Hilary her first headship experience when she became an Associate Headteacher at Battersea Technology College to help get it out of special measures. Following this in 2005 Hilary was seconded again, once again paid by ADT via DfES feasibility money, to work on the Education Brief and Accommodation Schedule for ADT College as it bid to become an Academy. Hilary recalls, ' *it was great experience'* and prepared Hilary well to write the bid for Ministers for the West London Academy's £6.3 million additional new build and internal remodelling which started in April 2009. Before she became principal of West London Academy, the first all-through academy, in November 2005, she was seconded for a third time this time by the DCSF Academies Division who paid ADT

College for Hilary to support the West London Academy for three days a week. Hilary was clearly deemed to be an outstanding Headteacher having been offered the headship at three academies in the space of 24hrs. Having been through the selection process, she accepted the West London Academy post and then was offered two more academies. Hilary writes *'West London Academy got me first and I'm glad they did as it is an amazing place and an amazing role I have there!'* Hilary is now the Principal and CEO of the Academy and in the time she has been there results have gone in three years from 9% 5+A*- C to 72% in August 2009. Hilary's ability to turn around failing schools was once again utilized between January 2009 – July 2009 when she went in to the Oasis Academy Southampton as the executive principal. She was appointed by the Secretary of State to this post to ensure this Academy was stabilised. This was a 2 day a week role working with the Principal of that Academy. Hilary sums her incredible leadership journey up by stating *'I had not been a Substantive Headteacher before West London Academy but you can see the school improvement route I found myself seconded to'*. She continues *'probably the most important thing in my career and life is the people who have inspired me both in and out of work and I think that is key to what I have done and where I am today'* .

Case 4: Denis Fay Headteacher: Ulverston Victoria High School (11-18). Ulverston, Cumbria

Denis was born and bred in Barrow in Furness in Cumbria. His father was a chemical worker and his mother a shop assistant. He was brought up as an only child by hard working and principled working class parents who aspired for him to do well. They instilled in him strong working class values which he believes very much shaped the adult he became.

Denis attended the local Catholic primary school, passed his 11+, and went to Barrow Grammar School for Boys. He did well enough to go onto study in the 6th form and then on to train to be a teacher of History and English at York University.

On leaving university in the 1970s Denis initially took employment as a Hospital porter in Manchester as he was initially not sure what he wanted to do. His first teaching post was a part-time appointment at Furness College in Barrow in Furness. He then secured a full-time teaching post in the town's technical school but continued to work at the college in the evening. He recalls '*I stumbled into teaching because I couldn't think of anything else to do'.* Following this he took a job as a teacher of English and History at Thorncliffe School also in his hometown of Barrow where he remained for over a decade. Initially Denis reports '*going through the things that a lot of young teachers go through which is the power mad complex, playing up to the school type thing'* but as he describes '*I suddenly realised that actually I was a pillock and I suddenly had this conversion like on the*

road to Damascus and I don't know what triggered it but I suddenly looked outside at myself and thought well actually this is a bit more important than what you're imbuing it with and I started putting everything into it and it became a sort of passion in a sense but not a passion in terms of "oh I can have that label", so the passion was what was in front of me at the time, the young people I was teaching'.

By the age of 25 Denis was a Head of Year and running a quarter of the discipline for a 1300 strong school and at 35 he moved to Dowdales School in Dalton in Furness and took up the post of Deputy Head. He describes the journey he went on with the newly appointed Headteacher over the next eighteen years taking the school to outstanding as:

> *Almost like a spiritual, metaphysical understanding of what they were doing. We weren't only sort of improving the school; we were improving the town and people's life chances and stuff like that. And so therefore, led by Liz and with Liz it was a vision of what we felt it should be like and sod the world'.*

After this amazing journey in one school Denis was asked to take on the short term, three months, Acting Headteacher role at Ulverston Victoria High School after it had been placed into special measures in October 2007. This was extended to 6 months and then a year at the end of which the school, according to Denis, came *'bouncing'* out of special measures. In March 2009 Ofsted report that, *'Ulverston Victoria High School has improved rapidly under the sure-footed*

leadership of the Acting Headteacher' (Ofsted Report March 2009, p.4). The following April governors offered Denis the substantive post of headship in April 2010 which he accepted. He is currently leading the school forward on its journey to outstanding.

Case 5: Tony Nicholson Headteacher: Hodgson High School (11-16). Poulton Ly Fylde, Lancashire.

Tony considers himself to have had a fairly standard educational background. He attended the County primary in Morecambe followed by comprehensive education in Lancaster – Our Lady's High School which he reports did not have *'a great reputation at the time!'* He comments that:

> *I was a generally good kid though didn't work hard and certainly didn't*
> *regard myself as academic! No history in my family of anyone going on*
> *to further study of any sort. School didn't push me in any way – left to*
> *get along at my own sweet pace! Usual mix of O levels – good but not*
> *spectacular grades.*

He left school at 16 to start an OND in technology at the local FE (Lancaster and Morecambe) but he realised very quickly it wasn't for him and went back to school to do A levels in Maths, Geography and Technical Drawing. He then went to York St John to do a degree in Maths and Geography and then onto Sheffield City Polytechnic to do a PGCE in Maths. He comments *'I knew at that stage that I would make a good teacher'*, an early indication of Tony's own self awareness and recognition that teaching is a vocation.

Tony started teaching at Queen Elizabeth School in Kirkby Lonsdale, Cumbria. He also had boarding house duties. He stayed there for 7 years because he *'loved it!'*

and because '*I was a very good teacher of Maths – got good results and enjoyed it'.* He comments *'no promoted posts – very old school system – you waited your turn!'* and that he *'always worked very hard - I am a grafter!'.* He finally realized he would have to move on to seek promotion which he did by taking up a second in Maths post at Morecambe High School. He quickly found his feet and was promoted after a few years to Faculty Director of Maths. In this role he led a team of 12 Maths teachers. He also looked after Post 16 Key Skills and Whole school Assessment. At this time he started NPQH and '*started getting itchy feet after 10 years at Morecambe High School (though still very fond of the school)'.* He applied for Deputy Headteacher at Haslingden High 11-18 which was his first senior teacher interview and he got the job. Tony states that this was a *'very steep learning curve!!!!!'* Some hard times though I learnt fast and established myself quickly. *'I found I was good at the job!'.* He comments *'people respected my hands on approach and my abilities with students. A very good learning experience under two different Headteachers'.* Tony saw the merit in gaining experience in another school so applied for sole Deputy Headteacher post at Hodgson High and was appointed as an experienced Deputy Headteacher. Colin Simkins, the Headteacher at Hodgson High, Tony reports, – *'guided and mentored me and prepared me mentally for Headship'.* In this post he was given plenty of stepping up as Acting Headteacher opportunities as Colin was seconded to other LA school to do RATL work and operations. By the time Colin retired Tony had a lot of experience of running the school in his absence. However, he had to interview twice for the job! First time he got to the final two but governors were split and the

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second time down to the same final two but this time he was appointed. An indication of Tony's tenacity, courage and dogged determination in the face of adversity perhaps!

Tony is now heavily involved with system leadership. He is a School Improvement Partner (SiP) and a National Challenge Advisor (NCA). He works with two National Challenge Schools and with two Gaining Ground Schools. He regularly speaks at conferences, usually at the request of the Specialist Schools and Academies Trust (SSAT). His deputy head is now Associate Headteacher to allow him to do this work. He concludes *'I am very busy and spend most of my time spinning plates!'*

Case 6: Graham Hamilton Headteacher: Ermysted Grammar School for Boys (11-18). Skipton, North Yorkshire

Graham was born and grew up on the West Coast of Cumbria and states, *'he feels fortunate to have had the family and educational back ground I had'*. Graham's parents were working class. His dad worked at British Steel in Workington as an engineer, working shifts. His mum worked as a cleaner and home help until he and his sister started secondary school and then she worked as a stock control clerk with British Leyland at Workington. Graham comments that:

> *Her decision to work full time was, in part, prompted by her aspirations*
> *for my sister and me. If we were to go to higher education then they*
> *were determined to pay for it*.

Graham points out that *'the prospect of going on to higher education was unusual in that teenagers did not generally leave the area and to do so, if not frowned upon, was not encouraged'*. He recalls a conversation with his parental grandmother who *'could not understand why my sister wanted to go to teacher training college – all the way to Crewe!'*

Of all the children at Graham's junior school (around 25 per year group), Ellenborough Village School in Whitehaven, he was the only one who went to University. From a secondary school, Netherhall Comprehensive School, which had an eight form entry (around 200) less than 50% continued into higher

education. Graham feels that it was his parents' aspiration for him which ensured he was given those opportunities and comments:

Before I get sentimental I do remember them both 'going without' in order to support us – they never had a foreign holiday until they retired, they never had a mortgage, but they gave us both all we ever needed.

Graham had a relatively conventional pathway through to university in that he took the 'O' Level and then 'A' Level route, although, as stated earlier, it was rare for young men from the area he was brought up in to go to university. He did an English degree between 1977-1980 at St John's College in York followed by a post graduate teaching qualification between 1980-1982.

Graham started his teaching career, as a teacher of English, at Ulverston Victoria High School in 1982. He stayed there for 21 years taking on a range of responsibilities including Head of Year and finally Assistant Headteacher with responsibility for student welfare. Following the appointment of an inspirational Headteacher, Melanie Saunders, to the school in 2000 Graham was encouraged by her to seek Deputy Headteacher posts. Graham says he was quite comfortable at Ulverston Victoria High but that it was the actions of his new Headteacher who spotted his talent and potential which lead him to believe he could go further in his career. In 2003 he moved to take up a deputy's post at Salt Grammar School in Bradford. He describes this as an excellent grounding for headship and recognises

that *'what I had learnt from his previous head had been significant in preparing him for this new post'*. In 2005 Graham moved to become the senior deputy at Ermysted Grammar School. A testament to Graham's success in that role came when he was appointed to the post of Headteacher at the school following a very rigorous selection process.

Appendix Four (4ii):

The Cases: Ofsted Report Extracts

Case 1: Jane Evans Associate Principal. Shireland Collegiate College.
Smethwick, West Midlands

Shireland Languages College, a mixed 11-18 school with over 1200 on roll, of which 160 were in the 6ᵗʰ form, became an academy in 2007. However, it is pertinent to draw on both the Ofsted Report of September 2006 and the more recent Ofsted Monitoring Report of February 2009 to set the Academy in context. Jane was first deputy to the Headteacher Mark Grundy in September 2006 when Ofsted gave a **grade 1 (outstanding)** for both the **overall effectiveness of the school** and for **leadship and management.** Ofsted commented *'the great success of the college is due to exemplary leadership and management at all levels'* (Ofsted Report, September 2006, p.2). At this time the Shireland Language College student profile reflected the diverse ethnic and cultural mix of the local community. More than half spoke languages other than English at home and about 14% received extra help to learn basic English. Of these, half were refugees or asylum seekers who between them spoke more than forty languages. As the college moved to become an Academy in September 2007 Jane was appointed associate principal to lead the new Academy whilst Mark Grundy became the executive principal over the two schools which amalgamated to become the academy. Shireland Collegiate Academy opened in 2007 and is housed in the

buildings of the predecessor school and has a similar student profile to the one reported in the previous Ofsted report. However, it works in close collaboration with the George Salter Collegiate Academy, which is in close geographical proximity. The Academies, whilst having separate sponsors, are managed by the same Collegiate Academy Trust Board and share a set of common strategic priorities. The Executive Principal along with the Associate Principals from each academy and a shared director of finances make up the Executive Leadership Team (ELT) whilst each Academy has its own Senior Leadership Team (SLT) headed up by the Associate Principal of the Academy. In the February 2009 Ofsted monitoring visit to Shireland Collegiate Academy, Ofsted reported that: *'The academy is led well by the Executive Principal, together with the Executive Leadership Team (ELT), provides a strong strategic vision and steer for the academy',* continuing, *'this work is supported by the Strategic Leadership Team (SLT)'* (2009, p.4). The report concludes *'leadership and management at these two levels are good and effective'* (2009, p.4) and that *'overall the academy is in a good position to move forward, leadership's clear vision, understanding and identification of areas for improvement mean that the capacity to improve is good'* (2009, p.5).

Case 2: Stephen Wilkinson Headteacher. Queen Katherine School. Kendal, Cumbria

The Queen Katherine School is a mixed, foundation status school with over 1700 on roll of which just over 200 are in the 6th form.

This is a larger than average size school serving the market town of Kendal. In addition the school draws students from a broad area around the town. There are pockets of social and economic deprivation within the area served, but the proportion of students eligible for free school meals is well below that found nationally. The overwhelming majority of students are from White British backgrounds with very few students from minority ethnic groups. There is a small but growing number of students at an early stage of learning English. The proportion of students with learning difficulties and/or disabilities is well below the national average as is the proportion with a statement of special educational need. However, the school has a resourced base for students with physical or medical needs. The school is a specialist school for technology. It is a lead member of the South Lakes Federation of schools and the Kendal Community Partnership. It has been a pilot for the development of multi agency support teams within extended schools for the local authority. It has received the Diana Award for its commitment to recognising students' achievement.

In July 2008 Ofsted judged the **overall effectiveness of the school to be good** and **leadership and management to be outstanding.** They reported that *'the leadership of the Headteacher is exemplary'.* (Ofsted Report, July 2008)

Case 3: Doctor Hilary Macaulay Principal and CEO. West London Academy. Northolt, West London

The West London Academy is a mixed 3-19, all-through academy, with over 1400 on roll 120 of whom are in the 6th form. It has a specialist status for sport and enterprise. It runs a children's centre with 'wrap around childcare' and family learning programme. Students from the special school located on site attend some lessons at the academy. It holds the Cultural Diversity Quality Standard, Investors in People, and Inclusion Quality Mark. Two thirds of the students are from a wide range of minority ethnic backgrounds. One half speak a first language other than English and 50 are at an early stage of learning English. Half of the students have special educational needs and/or disabilities, of which the main ones are behaviour, social and emotional needs or moderate learning difficulties. Two students out of every five are eligible for free school meals. One third join the academy part way through their primary or secondary education. These proportions are above national average.

(Ofsted Report January 2010)

In January 2010 Ofsted judged the **school's overall effectiveness to be good** stating that, *'West London Academy provides a good standard of education'* and continue that *'through a combination of outstanding care, guidance and support, good teaching and conscientious effort, students make outstanding progress'*. The **effectiveness of leadership and management is judged to be good** and Ofsted comment *'senior leaders convey high expectations for improvement'*.

Case 4: Denis Fay Headteacher. Ulverston Victoria High School. Ulverston, Cumbria

Ulverston Victoria High School is an 11-18, mixed, secondary community school with just over 1000 on roll including over 200 in the sixth form. It is a larger than average secondary school which serves a relatively advantaged area. It is housed in old buildings which include several detached blocks. Parts of the buildings are in poor condition. Students come mainly from the town but the school also attracts a significant number from further afield, for instance the wider Furness peninsular. Students join the sixth form from several local schools. The school has specialist status in Mathematics and Computing. The proportion of students entitled to free school meals is below average and a lower than average proportion of students has learning difficulties and/or disabilities. A small number of students, mostly Polish, speak English as an additional language. A very few pupils are in public care. The school holds the Investors in People award, the first level of the Excellence Marque and the Princess Diana Anti-Bullying Award.

(Ofsted Report March 2009)

When the school was inspected in October 2007, it was found to require special measures because it was failing to provide an acceptable standard of education. Denis Fay was appointed Acting Headteacher in March 2008. In March 2009 Ofsted stated: In accordance with section 13 (4) of the Education Act 2005, HMCI is of the opinion that the school no longer requires special measures.

During the March 2009 inspection Ofsted gave all categories a grade 2 with the exception of achievements and standards which had moved from not adequate to satisfactory. However Ofsted reported that *'the 2008 leavers made much better progress in their final year than earlier in the school but the legacy of underachievement is not yet overcome in all years'* (Ofsted Report March 2009, p.6). Therefore **the overall judgement for the school was satisfactory.** However, they conclude that

> *The Acting Headteacher provides extremely good leadership and the school has improved rapidly under his guidance. He has set clear direction for the school, raised expectations of pupils and staff, and released and nurtured the leadership capacity of the senior team, whose effectiveness has improved greatly.*

(Ofsted Report March 2009, p.9).

The school's School Improvement Partner recently (June 2010) judged the schools to be 'outstanding' in all improvement categories. Further to this a mini PSHEE Ofsted inspection judged all categories to be at least good which bodes well for the school's next and imminent monitoring inspection.

Case 5: Tony Nicholson Headteacher. Hodgson High School. Poulton Le Fylde, Lancashire

Hodgson High School Technology College is a larger than average 11 – 16 mixed comprehensive school serving a wide catchment area within the Wyre district of Lancashire. The area has below average levels of social and economic deprivation and the percentage of pupils entitled to free school meals is low. The number of students with special educational needs has declined over recent years and is below the national average. The pupils are predominantly white and the number of pupils from other ethnic groups is low. The school is an established specialist school for Technology and this has supported extensive links to neighbouring schools and to the wider community. The school has attained Investors in People, Sportsmark and the Charter Mark for Excellence.

This is an outstanding school, which provides very good value for money. The quality of teaching is good and ensures that the pupils achieve high standards and make good progress. The curriculum is well designed to provide a range of pathways to ensure the pupils are prepared well for further education or training. This is supported by effective partnership working with post-16 providers and local employers. There is outstanding care and guidance provided for all the pupils which enables them to flourish in a calm and ordered environment and to make good progress in their personal and social development. The pupils' attitudes to school and their behaviour are exemplary. The success of the school is due to the excellent leadership and management provided by the head teacher and his senior

team. This group and indeed all staff work in close collaboration with the effective governing body to drive the school forward. They complete rigorous self evaluation and know the school's strengths and weaknesses well. They have established the correct priorities for improvement and have a track record of achieving their goals. (Ofsted Report March 2005)

At the time of this inspection Tony was Deputy Headteacher, clearly he made a significant contribution to the success of the school. This was recognised when he was appointed to the post of Headteacher on the retirement of the previous Headteacher. Under his leadership the school has continued to be judged to be outstanding against Ofsted indicators.

Case 6: Graham Hamilton Headteacher. Ermysted Grammar School for Boys. Skipton, North Yorkshire

Ermysted is an 11-18 selective boys grammar school with just over 750 students on roll. It has a specialist status in science. Students are drawn from a wide area and over 50 primary schools have children who apply for places. The ability profile of students when they enter school is well above average. The proportion of students with learning difficulties and/or disabilities is below the national average, as is the proportion receiving free school meals. A small proportion are of minority ethnic heritage. Up to 15% of students in the sixth form come from other secondary schools.

In October 2008 Ofsted judged **the overall effectiveness of the school to be outstanding.** Commenting, *'Ermysted's Grammar is an outstanding school that provides excellent education and care for its students'* (Ofsted report October 2008, p.4). They continue *'the leadership and management of the school is outstanding. The headteacher's approachability, firm determination and drive are recognised by the students, parents and staff alike'* (Ofsted Report October 2008, p.5)

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