

Revised July 2008

**UNIVERSITY OF
BIRMINGHAM**

School of Education

EdD IN LEADERS AND LEADERSHIP IN EDUCATION

**GUIDELINES
FOR YOUR
THESIS
(Revised Edition)**

**Helen Gunter (University of Manchester)
Jim McGrath (Birmingham City University)
Peter Ribbins (Dublin City University)
and
David Hartley, Chris Rhodes and Desmond Rutherford
(University of Birmingham)**

EdD IN LEADERS AND LEADERSHIP IN EDUCATION

Enquiries and further information from:

Dr C P Rhodes
School of Education
The University of Birmingham
Edgbaston
Birmingham
B15 2TT

Tel: 0121 414 3805

Email: c.p.rhodes@bham.ac.uk

First published September 2005, first revised September 2006, second revised September 2007, third revised edition January 2008, fourth revised edition July 2008
ISBN 0704425238

Copyright © Helen Gunter, Jim McGrath, Peter Ribbins, David Hartley, Chris Rhodes and Desmond Rutherford

Copyright © Mike Wallace and Louise Poulson for 'Components of a Thesis'

All rights reserved

Contents

Introduction	1
Structured Abstract	2
Executive Summary	2
Introduction to the Thesis	4
Literature Review	5
Research Design	7
1. Introduction	
2. Wider Frameworks	
3. Philosophical Approach	
4. Research Strategy	
5. Research Methodology, Methods and Management	
6. Ethics	
7. Research Interview Consent Form	
Analysing Qualitative Data	15
Analysing Quantitative Data	20
Analysing Experimental Data	24
Theory and your Thesis	25
Glossary	31
Components of a Thesis	37
A Final Checklist for your Thesis	41
Writing your Thesis: Some reflections from a successful EdD student	42
Preparing for your Viva	44
The Viva Experience: Some advice from successful students	45
Referencing	46
References	50
EdD Students: Publications and Theses	52
Ethics Form EC2 for Postgraduate Research (PGR) Students	55

Introduction

These guidelines are designed to support you in turning your good work into an excellent thesis that will 'delight' the Examiners. However these are only guidelines! You should also note the University of Birmingham 'House Style Guide' which is available from the University's website. This covers key areas of grammar and style. When you send us drafts to read, please ensure that this is your 'best work' that follows these guidelines unless you can argue good reasons for not doing so, and is not a 'rough draft'. A template, available on disc, specifying the layout for the thesis is available from the Student Research Office (0121 414 4847 or 4879). The maximum length of your EdD thesis is 50,000 words! You might also want to look at the University's Requirements for the Degree (section 4.4.5) at:

http://www.ppd.bham.ac.uk/policy/regs/currentregs/regs0607_4_4.pdf

4.4.5 REQUIREMENTS FOR THE DEGREE

1. The thesis and other assessments for a research degree should demonstrate that the student
 - i. has an adequate knowledge of the discipline within which the research is grounded and of the literature relevant to the research;
 - ii. is proficient in the relevant method(s) of research;
 - iii. has undertaken an independent investigation;
 - iv. can present information clearly; and
 - v. can put forward arguments in an appropriate and coherent form.
2. A thesis for the two-year MPhil should, in addition to the requirements in Regulation 4.4.5.(1), should contain original work of merit, worthy of publication in part or in whole, representing a significant contribution to knowledge, and demonstrating that the student can exercise independent judgement.
3. A Doctoral thesis should, in addition to the requirements in Regulation 4.4.5.(1), represent an original contribution to knowledge, demonstrate that the student can exercise independent judgement and be worthy of publication in whole or in part in a learned journal or the equivalent.
4. A student may not submit material for assessment which has already been submitted for another degree awarded at this or any other University, unless all the following conditions are satisfied:

The material previously submitted for another degree must:

 - i. form a minor part of the submission;
 - ii. be supplemented by new material;
 - lii. be appropriately integrated into the additional work completed for the subsequent degree; and
 - iv. be adequately identified.
5. A student may submit material for assessment which has already been published provided that the following conditions are satisfied:

The material published must:

 - i. be appropriately integrated, either in the body of the work or as an appendix to which reference is made;
 - ii. be adequately identified and referenced.

6. If material submitted is the result of collaborative research or work, the submission must clearly identify the student's contribution.
7. A student should submit a synopsis of about 200 words of the work presented, to be included in the bound copies of the work submitted. The examiners will be required to certify that the synopsis is an accurate summary.
8. The thesis must be bound in accordance with University requirements before the degree may be awarded.
9. A student may be awarded only one University qualification following completion of a programme of study. Where credit for research and generic skills, subject-focused or professional elements is required for the award of the research degree no additional qualification shall be awarded for satisfactory completion of these elements. Where credit in research and generic skills, subject-focused or professional elements is not required for the award of a research degree, students who achieve this credit may be awarded an appropriate additional qualification.

Structured Abstract

(Adapted from the Journal of Educational Administration)

1. **Purpose:** What are the reason(s) for writing this thesis and the aims of the research?
2. **Design/methodology/approach:** How are the aims achieved? Include the main method(s) used for the research. What is the approach to the topic and what is the theoretical or subject scope of the thesis?
3. **Findings:** What was found out in the course of this work? This will refer to analysis, discussion, or results.
4. **Research limitations/implications** (if applicable): What outcomes and implications for practice, applications and consequences are identified? Not all research will have practical implications but most will. What changes to practice should be made as a result of this research?
5. **What is original/value of the thesis:** What is new in the thesis? State the value of the thesis and to whom.

Executive Summary

This summary could be the basis of a three or four page report that you might want to take back to all those colleagues who cooperated in your research, and to others with an interest in your findings. This will demonstrate 'engagement with users'. Moreover, any feedback you receive could be incorporated into your thesis.

1. What's the problem (i.e., set the context and make explicit the problem that has driven your research and explain why this is important)?

2. What's it about (i.e., make sure your aims/research questions/hypotheses are clear and well justified)?
3. What conceptual/theoretical frameworks have you used to analyse and to help you understand your findings?
4. What did you do (i.e., briefly summarise your methodology and method(s))?
*Please note that in your chapter on your **Research Design**, you will have justified the decisions you made, in particular:*
 - *Would you classify your research as positivist (believing 'the truth is out there'), post-positivist (searching for consensus), interpretive (searching for multiple perspectives perhaps from different groups of people in the organisation or beyond), or interpretive (emphasising individual perspectives)?*
 - *Where does your research fit into the wider frameworks of Habermas, Wallace and Poulson, and Gunter and Ribbins?*
 - *Are your methodology and method(s) 'fit for purpose' with respect to your research questions? What does the literature say about your methodology and method(s)?*
 - *Have you explained where you fit into the research (i.e., your position), and the pros and cons of this?*
 - *Have you considered the ethical aspects of your research?*
 - *Have you built in a pilot study?*
 - *Have you justified the selection of your sample and those other aspects of the management of your research?*
 - *Are you clear about how you are going to present your data?*
 - *Are you clear about how you are going to analyse your data, what about Denscombe and also Miles and Huberman or the other approaches in the 'Guidelines for your Thesis'?*
 - *Are you going to take your findings/recommendations back to your 'users' for 'verification' as Trochim and also Miles and Huberman suggest?*
 - *Have you included a critical commentary on your research design – its strengths and weaknesses?*
 - *What sort of theory do you think will help you make sense of your findings?*
5. What are your findings, perhaps as short bulleted paragraphs?
6. What are your recommendations (for improving practice), perhaps as short bulleted paragraphs?
7. What are the limitations/possibilities for further research?
8. What's the value of the thesis?
9. Can you end with a flourish with a concluding comment/thought?

Introduction to the Thesis

1. Write down your **Working Title**.
2. What's the **Problem or Issue**? Explain and explore the particular problem or issue that interests you. This leads naturally to 3.
3. Explain **What** you will cover in your thesis:
 - The broad **Focus/Aim** of your thesis;
 - The provisional **Research Questions** that you will seek to answer which will be reviewed and, if necessary, refined at the end of the literature review.

It is your 'big ideas' that will shape your thesis. So write down the aim/focus of your thesis and the provisional research questions that your literature review will seek to answer. The research questions will **drive** your thesis, in particular the literature review and the empirical work that you then carry out and analyse. You are aiming for clarity in your thinking and to show how your findings illuminate the 'big picture'. You might be looking for comparisons with practice in your own organisation or examples of good ideas and good practices to 'take home', particularly if you are an international student.

4. Explain **Why** this is important. Is it because of, for example, recent:
 - Government policies and initiatives;
 - Findings from research and/or practice?

Set the provisional research questions and put them in some sort of context (i.e., do not just leave them as bullet points). For example, **touch on** their relevance and timeliness either due to recent government initiatives and policies and/or to research findings and particular theoretical frameworks. On the other hand don't overdo this and go into too much detail at this stage. Do not overlap what you say in section 2 above!

And explain **Why** this topic is important to **You** (Why you are ideally placed to write this thesis because of your knowledge, experience, etc and/or because of your ability to gain access to the research locations and subjects? What are the advantages and the disadvantages arising from your position in the research?). Write yourself into your thesis.

5. Explain, briefly at this stage:
 - The **literature** you will draw on (i.e., key authors and theoretical models) and review, and how you will search for further relevant literature;
 - The **research methodology** (e.g., an experiment, a survey, a case study, an evaluation, or action/practitioner research);
 - The **research methods/tools** (e.g., interviews, group discussions/focus groups, questionnaires, observations, tests,

- documents and your own research diary) that you will use to collect your data and how you will analyse that data.
 - The **ethical issues** that you need to address in your thesis.
6. A final comment on the **value** of your thesis, and to which audiences.
 7. Explain how many different sections there will be in your thesis and what these will cover.

Literature Review

The main issue is that students often think they have to read everything whereas the literature review is an integral part of the research and should be structured around the research questions. Therefore it is vital to be clear about the purposes of the literature review. Also in writing up the literature review it might be across a number of chapters, depending on the focus of the research questions. It could be that there is a chapter on the policy context, on the research context and, of course, on the theory and the conceptual framework that will be used to analyse the data.

Most of all we want you to develop a questioning and a critical approach to reading the literature!

1. Your provisional research questions may be very different and may require different sections for your literature review; sub-headings will make this clear. Introduce each section by reminding the reader of the relevant research question.
2. Write down and be clear about the different sorts of literature that you will review, and use our handouts etc. as a starting point:
 - Government (and its agencies such as, in the UK, the DfES, the NCSL, the FELC, Ofsted, TTA) policies, papers, plans, etc
 - School/college prospectuses, development plans, newspaper reports etc
 - Academic research publications either based on empirical data or rather more on scholarship
 - Practitioner publications generally in professional journals and based on accounts of personal and professional experience

And be sure to note where the authors are located (e.g., the USA or the DfES) and the implications of this in what they propose and argue for. This may indicate potential biases.

3. Explain (and this is crucial for your thesis) how you have carried out a literature search. For example, how have you looked for or through?
 - Recent books and theses (the latter can be invaluable, particularly from previous EdD students)?

- Selected journals, from say 2000 in the Library or from Information Services at www.is.bham.ac.uk through clicking on the eLibrary?*
- Education-line at www.leeds.ac.uk/educol or through the eLibrary* for conference papers and the like?
- British Education Index (e.g., for key words and/or key authors) from Information Services at www.is.bham.ac.uk through clicking on the eLibrary*.
- Websites (e.g., the DfES at www.dfes.gov.uk, the National College for School Leadership at www.ncsl.org.uk and the new Further Education Leadership College at www.centreforexcellence.org.uk)?
- ZETOC Alert (for advance information on the contents pages of a range of journals that you select) from Information Services at www.is.bham.ac.uk through clicking on the eLibrary*.
- Search engines such as Google Scholar at <http://www.scholar.google.com/>.

You may find that it is much easier to search for key authors rather than key words?

*ELibrary: You can access elibrary directly at www.elibrary.bham.ac.uk Click in the yellow box and enter your university username and password. To see what resources are available for Education, select 'subject search' from the blue bar along the top of the screen. Use the secondary drop down menu to select 'Education' from the alphabetical subject list. All the resources referred to above will be listed – click on the links to access them.

4. When you have collected your 10-15 core publications for your thesis, although you will refer to more than these in your thesis, make it clear how will you review and present these: either in **chronological order** to illustrate how thinking has developed over time; or on a **thematic basis**, taking key issues/themes from many of your key publications and discussing these key issues/themes one at a time (better but more difficult)? Perhaps the publications also fall neatly into a number of quite different areas?
5. Remember to check that you have referenced the article etc. correctly in the text (i.e., *either* Rutherford (2004) has argued ... *or* according to some authors (Gunter, 2003; Ranson, 2004) ... and then:
 - summarise in your own words each key issue/theme you mention;
 - perhaps illustrate this with a quotation (and don't forget to add the page number);
 - make a comment yourself (perhaps by questioning the evidence base for the author's claims or by highlighting any undue bias that you suspect or by making a link to your own experience);
 - and then make a **link** to the next reference.

Tell a coherent story! Build an argument!

6. At the end of the literature review it is also expected that you will revisit your **provisional research questions** and, hopefully, revise/refine them? You must also bring your literature review together in a summary of the key issues/themes – the **conceptual** or **theoretical framework** – that will inform and underpin the analysis of your empirical work, and to which you will return in your conclusion as you attempt to answer your **final research questions**. For example, the Gronn and Ribbins model for leaders' lives and careers; the Wallace and Huckman model for decision-making in senior management teams; the Stoll and Fink model for school cultures. Or perhaps, even better, you will work up some ideas yourself around, again by way of example, distributed leadership or workforce remodelling? Your conceptual framework will provide the analytical tools that will enable you to move beyond a description of your findings to an explanation of the phenomena that you are researching – answering the **why** question. And please don't introduce any new literature after this point.
7. It is clarity of thinking – of progressive focusing - that will enable you to develop an appropriate research design and to select a research methodology and a research method(s) that will answer your particular research questions.
8. And don't forget to list all the publications you have referred to in your thesis (and no others) in a list of references at the end of the thesis in a consistent style, such as the one we have recommended.

Research Design

1. Introduction

As we have emphasised, the most important first steps are to be absolutely clear that you have formulated the 'problem' for your thesis, and then from this your aim(s) and research questions (i.e., what you want to do). Does your research project really interest you? Is it possible (remember the difficulties of access)? Is it manageable (remember the time and resources that you have available)? Is it worthwhile (will it make a difference)? Your research questions drive your literature review and then your research design. However that is not to say that these are 'cast in stone'. It may be that either your literature review or your pilot/feasibility study or your initial empirical work encourages you to revisit/rethink/refocus your research questions. Most of all be realistic in what you plan to do!

2. Wider Frameworks

The seminal work of Habermas (1971) provides a first typology of three kinds of research (or in his words 'types of cognitive interest') that are possible.

The first of these is a Technical Interest, here the focus is on tasks. The type of knowledge sought is known as Instrumental – a concern with the analysis of and solutions to problems. The mode of enquiry draws from the natural sciences where the emphasis is on carefully controlled and replicable experiments, designed to produce general theories and 'laws' which enable us to predict and control events, and is referred to as Positivism (of which more later).

The second of these is a Practical Interest (which some can find a rather confusing description), here the focus is on people and relationships. The type of knowledge sought is about Understanding why we do what we do and how we relate to one another. The mode of enquiry is referred to as Interpretivism (of which more later).

The third of these is an Emancipatory Interest, where the focus is to promote, first, critical reflection and, second, thereafter possibly action to remedy injustice and promote emancipation. The use and abuse of power is a key concept. The mode of enquiry is referred to as Critical Theory (of which more later). Grace (1997 and 2000) is a key author in this field.

This typology represents a hierarchy, from the lowest Technical to the highest Emancipatory (and Action).

Put in a different way, different kinds of research questions logically require the use of different forms of enquiry and knowledge. Thus technical and instrumental questions require empirical knowledge, mainly quantitative data; practical research questions require mainly qualitative data; and research questions concerning the constitution and legitimation of the normative order logically require the critical form of knowledge.

Additionally, the work of Wallace and Poulson (2003) may also help you to place your research project in a wider framework. They identified five different sorts of 'intellectual project' that may help you to focus and position your research.

Knowledge-for-understanding *"attempts to develop theoretical and research knowledge from a disinterested standpoint towards an aspect of the social world, in order to understand, rather than improve, practice and policy and their underlying ideologies"*.

Knowledge-for-critical evaluation *"attempts to develop theoretical and research knowledge from an explicitly negative/oppositional standpoint towards practice and policy, in order to criticise and expose the prevailing ideology underlying existing practice and policy and to argue why it should be*

rejected, and sometimes advocating improvement according to an alternative ideology”.

Knowledge-for-action *“attempts to develop theoretical and research knowledge with practical application from a positive standpoint towards practice and policy, in order to inform improvement efforts within the prevailing ideology”.*

Instrumentalism *“attempts to impart practice knowledge and associated skills through training and consultancy from a positive standpoint towards practice and policy, in order directly to improve practice within the prevailing ideology”.*

Reflexive action *“attempts to develop and share practitioners’ own practice knowledge from a constructively self-critical standpoint towards their work, in order to improve their practice either within the prevailing ideology or according to an alternative ideology”* (i.e., emancipatory research).

Equally, the continuing work of Gunter and Ribbins (2002 and 2003) may help also you to place your research project in a wider framework. Their early work identified five different ‘knowledge domains’ that again may help you to focus and position your research.

Conceptual research *“is concerned with issues of ontology and epistemology and with conceptual clarification”*, challenging and extending the way ‘what is’ (ontology) and ‘the knowledge of what is’ (epistemology) is understood. For example: What is the meaning of leadership? What is the difference, if any, with management? What are your key values?

Humanistic research *“seeks to gather and theorize from the experiences and biographies of those who are leaders and those who are led”*, collecting and applying human experience to develop practice. For example: How have you experienced and learned from the leadership of heads that you have worked with/for? How do you think your staff experience your leadership?

Critical research *“is concerned to reveal, and emancipate practitioners from, the various forms of social injustice and the oppression of established but unjustifiable structures and processes of power”*, challenging the ‘common sense’ view to reveal how individuals have colluded in their own exclusion. This approach is emancipatory. For example: To what extent do you share your power and distribute your leadership? Is this driven by your values or by the intensification of your work?

Evaluative research *“may be taken to mean any research that seeks to abstract and measure the impact in this case of leadership and its effectiveness at micro, macro and meso levels of social interaction”*, measuring the impact of agents on outcomes which are often behavioural in nature. For example: How do you measure the impact of your leadership in school, in particular on teaching, learning and examination results? How do you know that you are doing a good job in developing your staff?

Instrumental research “*seeks to provide leaders and others with effective strategies and tactics to deliver organisational and system-level goals*”, presenting action plans, guides and standards to develop the effectiveness of the institution and/or the infrastructure. For example: What strategies and tactics (i.e., what good practice) that you have used in developing a successful school would you like to share with your colleagues here today? What advice would you give a new head?

3. Philosophical Approach

You can now move on to clarify your philosophical approach to knowledge and to thinking about your research strategy: broadly speaking will you approach your research from an objective/positivist (i.e., following the logic of demonstration) or a subjective/interpretive (i.e., following the logic of discovery) perspective? However, it might be more appropriate to ‘mix and match’ research strategies, methodologies and methods to meet the needs of your own research. At this point you might want to clarify your position on Ontology and Epistemology.

Ontology is a branch of philosophy concerned with the nature of being. Ontology is concerned with matters relating to reality and truth. What is the nature of the world? What really exists? What is reality? There are two extreme positions. On one hand, it can be argued that reality and truth are a ‘given’ and are external to the individual. For example, people holding a strong Religious Faith would subscribe to this belief. In contrast, it can also be argued that reality and truth are the product of individual perception.

Epistemology is the philosophical study of the nature, limits, and grounds of knowledge. Epistemology is closely related to Ontology but refers to knowledge and its construction/production. Epistemology is concerned with what distinguishes different kinds of knowledge claims - what are the criteria that allow distinctions to be made and how what exists can be known. What knowledge counts and by what evidence? There are two extreme positions. At one extreme, positivists argue that there is a world out there – independent of ourselves – that we can come to know and understand. Knowledge of that world is objective, it can be discovered or invented, analysed and passed on to others in a concrete form. For example, for the most part, people who are physical scientists would subscribe to this belief. How else is space travel possible? At the other extreme, interpretivists argue that we construct the world through our own perceptions and understandings, that we all experience the world differently and that these differences are all important. In other words, knowledge is subjective and is based on experience and insight.

Approaches to Knowledge and to Thinking about your Research Strategy		
Subjective/Interpretivist/Relativist/moving on to a Phenomenological approach (Denscombe, 2003, Chapter 7)		Objective/Positivist/Normative moving on to a Post-Positivist approach (Trochim, 2002)
Reality and truth are the product of individual perception. There are multiple realities shared by groups of people	Ontology	Reality and truth are a 'given' and are external to the individual. There is a shared reality that most people would subscribe to.
Knowledge is subjective and is based on experience and insight. Normally researched using qualitative methods. Reasoning uses inductive thinking: data leads to theory, a 'bottom up' approach.	Epistemology	Knowledge is hard, real and capable of being transmitted in a tangible form. Normally researched using quantitative methods. Reasoning uses deductive thinking: starts with a theory, a 'top down' approach.
Human beings are creative and exercise agency. 'Agency' is about your ability to be in control of your life and work, to take responsibility, and to make decisions. Volunterist.	Human Nature	Human beings are determined by their environments. 'Structure' is about how external power and control structures (both organizational and cultural) determine your life and work. Determinist.
These are two extremes. However, you need to think through your approach as it affects the position you take in relation to Research Strategy and Methods. Most research strategies can normally be approached by using either Qualitative or Quantitative methods, or may use both at different stages of the research. In addition, both inductive and deductive reasoning processes can be used at some time in the research.		

4. Research Strategy

Flowing from your philosophical approach will come your preferred research strategy. You may wish to focus on individual's stories (i.e., *individual realities*) – each set in their own unique context, and seek to learn from these in all their detail and richness. The Phenomenological strategy described by Denscombe (2003) focuses much more on people's interpretations of events, hence giving rise to *multiple realities* that are shared by groups of people. Some of our students have found great value in exploring and contrasting the perspectives of different groups in a school or other organisation. In contrast, Trochim's (2002) Post-Positivist strategy (which by the way rejects the central tenets of positivism) argues that "the goal of [social] science is to hold steadfastly to the goal of getting it right about reality, even though we can never achieve that goal". In other words arguing for a single but provisional *shared reality* that most people will subscribe to. However the views and opinions of those who do not subscribe to such a shared reality must still be considered, and may be significant. On the other hand some of you may prefer a more quantitative approach using a questionnaire and so adopt a more Positivist strategy. Or, finally, you might prefer a mixed strategy, driven

of course by your research questions. Research Strategy encompasses methodology, methods and management (see the next section) – it is your overarching approach and that includes the thinking and choices you make prior to the decisions about methodology, methods and management and how these are engaged with as you progress in your research. What is vital in a doctoral study is the underlying conceptualisation of your research strategy and how that links to the knowledge claims (ontology and epistemology). Methodology, methods and management grow out of that. You need to be able to see that it is not just about doing your research, but about also being clear about the underlying thinking needed to do it right.

5. Research Methodology, Methods and Management

Ethnography and Biography are two methodologies that have been little used by our EdD students, although biography can form part of an ethnographical study. Most of our students have used either surveys, with open-ended interviews as their preferred method of collecting data, or case studies as the methodological approach in their theses. Only one student so far has used a questionnaire as their only method of collecting data, others have used a combination of interviews and a questionnaire. Some interview-based surveys have focused on the lives and careers of leaders and so can also be classified as using a biographical methodology. As such these studies have lended themselves to comparative analyses rather than to a detailed case study of a particular leader (and in a small way this is what we were attempting to model in the first assignment). Ethnography has not been used so far because of the emphasis place on direct and systematic (though not necessarily quantitative) observation – a very time-consuming activity. In ethnographic research you need to immerse yourself in the life of the group/organisation that you are researching – which may be very familiar or quite foreign to you – and use multiple methods of gathering data.

“An ethnographic approach to leadership, first of all, aims to ascertain the understanding that leaders (and their followers) have of leadership and the factors that shape that understanding. An appropriately framed study entails naturalistic investigation (relying principally on observational, documentary, and interview data) of samples of education leaders and comparison of leaders’ perspectives against those of colleagues, peers and significant others. These are then related to wider political and policy environments which define the organizational contexts for leading, in order to explain the similarities and differences observed in the sample.” (Gronn and Ribbins, 1996, p 458)

So the final step is to clarify your research methodology, your research methods, and the management of your project (i.e., the 3Ms!).

<p>Research Methodology</p> <ul style="list-style-type: none"> • Experiment (often Objective/Positivist) • Survey (often Objective/Positivist using a questionnaire but can be Subjective/Interpretive if using interviews) • Case Study (often Subjective/Interpretive) • Action/Practitioner Research (often Subjective/Interpretive) • Ethnography (Subjective/Interpretive) • Biography (Subjective/Interpretive) • Evaluation (can begin Subjective/Interpretive and then move to Objective/Positivist, or vica versa)
<p>Research Methods</p> <ul style="list-style-type: none"> • Interviews (e.g., structured, semi-structured, open-ended) • Group Discussions (including focus groups) • Diaries or Personal Logs (be sure to start and keep your own Research Diary) • Documents (i.e., non-reactive research) • Questionnaires (e.g., structured, semi-structured, open-ended) • Observations (using logs, audio, video) • Tests (i.e., including the ideas of 'effect size' and randomised controlled trials)
<p>Management of your Project: issues to consider</p> <ul style="list-style-type: none"> • Role of the researcher (i.e., your position in the research) and the researched (i.e., Is the object of the research a partner/co-researcher?) • Access (i.e., how people were chosen and how, for example, interviews were negotiated and arranged) • Ethics (e.g., ensure the voluntary informed consent of the participants, avoid deception or subterfuge, inform the participants of their right to withdraw from the research at any time, make certain no harm comes to the participants as a consequence of the research, assure confidentiality and anonymity, keep people informed, keep good faith. Maintain your intellectual property rights. Read the BERA guidelines at www.bera.ac.uk click on Publications and then on Research Guidelines. • Population and Sampling (e.g., random or purposive) • Triangulation (e.g., normally using two or more methods of data collection) • Reliability • Validity • Authenticity • Generalisability or Relatability • Data analysis • Writing up and developing a sense of audience

6. Ethics

Pring (2001) explores the contentious relationship between codes of ethics and the range of virtues that characterise ethical researchers. (For example see the BERA (2004) *Revised Ethical Guidelines for Educational Research* which can be accessed from bera.ac.uk by clicking on publications on the left hand side of the home page, then on Research Guidelines, then on NEW.) Pring argues that the general principles that underpin such guidelines are often unclear when it comes to how to apply them to practice, and they are also often in conflict with each other. These principles can only be translated into action through a process of 'moral deliberation' (i.e., What ought I to do?) by virtuous researchers. He defines virtue as a disposition to act appropriately in a particular situation. There are moral virtues such as

courage, kindness and honesty and intellectual virtues such as a commitment to the search for truth, openness to criticism and a concern for evidence.

7. Research Interview Consent Form

Our thanks to one of our EdD students for devising this form which you may like to use. Please feel free to edit the form to meet your own needs.

Research Interview Consent Form

Interviewer

Interviewee

Date of interview

Purpose of interview

This interview is part of my research for the award of EdD at the University of Birmingham

Confidentiality

Research ethics will be observed at all times in the analysis and use to which the data may be put. The data from the interview will only be available to the staff tutoring on the EdD programme at the University of Birmingham and, possibly, to the External Examiner for my thesis. Excerpts from the interview may be included as part of the final thesis, but your name will be excluded, and any identifying characteristics will be removed. The interview may also be used as part of written papers or books, but without your name and excluding any identifying characteristics, and subject to research ethics.

Acknowledgement Please sign this form to show that we have agreed its content

Signed (Interviewee)

Signed (Interviewer)

Date

Analysing Qualitative Data

The School of Education has a help service for research students who have questions about qualitative data analysis where the student and her/his supervisor have agreed that further advice is needed. For further information, see page 59 in the 'Student Handbook: Taught Doctorate programme 2007/2008' or email education-qual@contacts.bham.ac.uk.

Here are three approaches:

1. Approach One

Please follow these six steps:

- a) Describe clearly and simply how you collected your data.
- b) Present your data: your interview transcripts (do not edit these) or reports of notes you took during the interviews, questionnaire responses (see below), etc.
- c) Analyse your data (see below), identify patterns, and draw conclusions.
- d) Develop a theory to explain your findings.
- e) Set your findings in the wider context: make generalisations, recommendations, and predictions. Link to the literature.
- f) Suggest further research.

In analysing interview data, draw up a matrix with interviewees along the top and themes/issues down the left-hand side. Make a tick in the appropriate box when a particular theme/issue crops up; add a brief note of explanation and, if possible, a code, give a reference for each entry to your data and, finally, make a special note of illustrative and insightful quotations. The matrix will help you to see patterns in the data.

	Interviewee One	Interviewee Two	Interviewee Three
Theme/Issue One			
Theme/Issue Two			
Theme/Issue Three			

The article by Gunter (1999) illustrates this approach. An alternative is to present the data as a series of 'mini case studies' or 'vignettes' and draw the themes/issues from these (Brown and Rutherford, 1998).

You can also analyse interview data as shown using a pair of scissors and a highlighter pen if you follow these seven steps:

- a) Photocopy your interview transcripts or the detailed notes that you made during your interviews and revised immediately afterwards.
- b) Highlight all the interesting/important points in each transcript.
- c) Reference each highlighted point so that you can trace it back to a specific page on a specific transcript.
- d) Cut out the point with the reference attached.
- e) Play a game of patience on the lounge floor analysing and putting all the same points together under common themes or issues which should relate to your research questions.
- f) Put the themes in a logical order and put the cuttings for each theme in a separate envelope or stick them on the reverse side of some old wall paper and hang them all up on the wall in your study.
- g) Pick out quotations to use later in your thesis to illustrate the themes.

The advantages of this approach are that you can see at a glance which themes have been raised by most people and should be emphasised in the thesis, you avoid creating numerous themes that have only been raised by one or two people, and you have all the quotes you want to hand.

2. Approach Two

Miles and Huberman (1994) define "*analysis* as consisting of three concurrent flows of activity: data reduction, data display, and conclusion drawing/verification". (p 10) Together with data collection they "form an iterative, cyclical process [so that] qualitative data analysis is a continuous, iterative enterprise [that] needs to be well documented as a process." (p 12)

Data reduction "refers to the process of selecting, focusing, simplifying, abstracting, and transforming the data that appear in written-up field notes or transcriptions. ... As data collection proceeds, further episodes of data reduction occur (writing summaries, coding, teasing out themes, making clusters, making partitions, writing memos). The data reduction/transforming process continues after the field work, until a final report is completed." (p 10)

"Data reduction is a form of analysis that sharpens, sorts, focuses, discards, and organises data in such a way that "final" conclusions can be drawn and verified." (p 11)

In our opinion the key outcome of data reduction is the identification of the key issues that emerge from the data.

Data display is the “organised, compressed assembly of information that permits conclusion drawing and action. ... Looking at displays helps us to understand what is happening and to do something – either analyse further or take action – based on that understanding. (p 11)

Miles and Huberman argue that extended text is a cumbersome form of display that overloads our information processing capabilities. They suggest that displays can include matrices, graphs, charts and networks - all of which help to organise information into an accessible, compact form that facilitates the process of analysis.

In our opinion, the key issues should be displayed as a mind map as originally popularised by Buzan (1974) to help highlight the interconnections and underlying themes.

The third stream of the on-going process of analysis activity is *Conclusion drawing/verification*. Conclusions gradually firm up as the research proceeds and here is the place for you to theorise your findings (See our handout entitled *Theory and your Thesis*). Miles and Huberman lay stress on the importance of and the various processes of verification, such as “a fleeting second thought” or “lengthy argumentation and review among colleagues” or “extensive efforts to replicate a finding in another data set.” They argue that “meanings emerging from the data have to be tested for their plausibility, their sturdiness, their “confirmability” – that is, their *validity*”. (p 11)

In our opinion theorising your findings and is absolutely essential and verification can be achieved, in part, by sending copies of your findings to the people you have interviewed (perhaps as an Executive Summary) and attending meetings to present your findings, nor least at a conference

3. Approach Three

Drawing on a recent NCSL research project led by Chris Rhodes and Mark Brundrett, Narrative Analysis was employed in order to explore headteacher’s own depictions of the complexity of practice associated with leadership talent identification, development, succession and retention. In constructing accounts head teacher respondents were specifically asked to tell the interviewer about:

- a) the perceived strengths and mechanisms of their school in leadership talent identification;
- b) what evidential base they had that the school was good at leadership development;
- c) what role did they perceive for the LA/ LEA in leadership development and succession planning?

Nine narratives were constructed. One example is shown in this section for illustrative purposes. The main themes to emerge, however, are based on the whole nine narratives.

Narrative or story is becoming an established way of revealing the human scale of teaching (Clandinin and Connelly, 1991). Story is an effective means of depicting the complexity of heads' and teachers' work, characterized as it is by dealing with dilemmas, interacting with colleagues and the community, and coping with a broad range of professional responsibilities. Thus, the aim of such narrative writing in this research is to provide a lifelike account that is grounded in the heads' everyday world of practice so that practitioners who read the accounts identify with or relate to the information. One way of conceptualising the complexity of respondents' work is through the themes that emerged, another is by means of dilemmas (Clarke and Wildy, 2004). As themes emerged, we constructed narrative accounts, using as much as possible of the verbatim text from the interview material. Each narrative account was constructed after the interviews and a copy of the final report was sent to the respondents. In these ways we sought trustworthiness in matching the constructed realities of the participants with the leadership stories attributed to them (Connelly and Clandinin, 1990; Flinders and Eisner, 1994; Lincoln and Guba, 1986).

We argue that the narrative account conveys information that is complex and multifaceted in an integrated way. The accounts are written in the first person, in the voice of the respondent since we prefer to write the accounts in the voice of the head rather than using the voice of an assumed omnipresent academic observer (Eisner, 1998). Our aim is to convey the rich texture of the experiences of the participants in the study, without the explicit interpretation of the researcher. Although the accounts contain descriptive and factual contextual information, more importantly, they each tell a story, using the devices of story telling. For example, each account has a title or theme. Such story telling is therefore a creative act, carried out by the researchers.

One narrative is provided below as an example of the technique. The school is located within the West Midlands, and the head has given their permission for the narrative to be included in the NCSL project report.

Example of a narrative: Queen Mary's High School, Walsall – *High expectation and leadership through trust*

Queen Mary's High School is a girls' grammar school which fits the 'small and effective' category for the project. The head teacher, Diana Woods, has agreed to both herself and the school being named. Mrs. Woods is regarded as an effective head in the authority and the school has specialist language status.

I offer some career development training for the Specialist Schools and Academies Trust Young Leaders programme and I am developing an interest in succession and succession planning. I think my school has strengths in leadership talent spotting and development. The school places great

emphasis on the induction period for new staff. It is here that all teaching staff learn about high expectations within the school and support available to ensure all staff are able to reach their leadership potential. Needs analysis is not involved because I find it a rather sterile process; I prefer to get to know the individual and their strengths. There is a high level of support within and between departments and once leadership potential is shown through the demonstration of a range of skills and abilities then potential will be further developed through a variety of opportunities.

Every member of staff holding a TLR is invited to join the Extended Leadership Group. This group meets half termly and provides an opportunity for all members of the group to learn about coming developments in the school and be involved in the decision making around those developments. Individual staff present to the group and there is always a part of the session given over to seeking staff views on a particular issue or initiative. Membership of this group can be early in a teacher's career and enables a teacher early on to get a sense of big picture issues as well as departmental developments.

Some members of the group have been nominated by the school for the Specialist Schools and Academies Young Leaders of Tomorrow project. They have participated in Trust leadership building activities, had a placement in industry and undertaken a school-based project. The school-based project is a common theme running across not only the Trust leaders' initiative but also the NCSL Middle Leaders' project, Fast Track and also the University of the First Age. It gives teachers in their early years of teaching an opportunity to think, plan and develop outside their department area.

There is a lot of potential for interaction with other local schools to collaborate in the development of young leaders – a networking arrangement would make this more likely to happen. The school needs to be confident enough to support all staff in their career aspirations.

I feel as a school we enjoy the opportunities presented by leadership development at Queen Mary's. Indicators to measure success in this area would include high standards of teaching and learning; students need to benefit directly from the leadership initiatives within and between schools, individual staff achieving promotion either within school or in other schools and positive relationships and shared goals across and within departments.

I have a problem with the idea of 'grooming' for leadership succession. There is a risk of producing cloned leaders who are not very creative in their thinking. It suggests reward for similar thinking paths rather than original talent. That's why I am not very happy about NPQH – it can produce at interview candidates with very similar NPQH responses.

LEAs have the potential to play an important role in helping to recruit, retain and develop leadership talent. They would do well to get to know the leadership potential of their school very well and promote leadership opportunities at all levels. This might operate through: secondment, leading

activities inside and outside of school, making more use of the Specialist Schools and Academies Trust. It seems to me that the Trust has the potential to challenge LEAs and the NCSL in terms of leadership development.

Analysing Quantitative Data

The School of Education has a help service for research students who have questions about statistical analysis where the student and her/his supervisor have agreed that further advice is needed. For further information, see page 61 in the 'Student Handbook: Taught Doctorate programme 2007/2008' or email education-stats@contacts.bham.ac.uk. We advise that students should always do Descriptive Statistics (see below) first to 'get a feel of the data' before moving on to Inferential Statistics (see below). And remember that the statistical analysis that you choose should be 'fit for purpose' bearing in mind your research questions and the data that you have. Finally, there is now the possibility of carrying out surveys on-line!

Immediately after Easter 2004, one of the authors examined two EdD theses that, essentially, were based on quite modest questionnaires. Unfortunately, both were badly presented (completely inadequate proof reading) and badly referenced - not elementary mistakes that you will make! As you might expect there were also major flaws in both theses around the analysis and presentation of their questionnaire data. Both candidates had major corrections to do! For your interest, the first candidate was a secondary head investigating the culture of the sixth form in his school and the second candidate was an assistant head in a primary school investigating the role of assistant heads in infant, junior and primary schools. Anyway these experiences have encouraged us to think through what is an appropriate approach to analysing and presenting questionnaire data in an EdD and a PhD thesis.

Designing a questionnaire is major task and you must get this spot on - there are no second chances! Make sure you have piloted the questionnaire! If your questionnaire includes some open-ended questions then draw on the advice in the previous section. For example, you may want to photocopy the questionnaires and then cut out and collate the responses to each of your open-ended questions. It might even be possible is to ask the respondents to fill in the questionnaire on disc or as an email attachment and then you can collate the responses as before but on screen, and there is no retyping of quotations to be done? But let's assume you have administered a questionnaire with 20 closed statements/questions, each answered on a 1 (strongly disagree) to 5 (strongly agree) scale (although both a 4 point scale and a 6 point scale can also be used). You might even have been able to administer the same questionnaire twice to investigate the impact of an intervention, like we did in the TSW Pathfinder Project).

So what do you do with this data? We suggest:

1. Collate the responses for each of the 20 statements into the 5 categories ranging from 1 to 5 and present these in a table as percentages.
2. Present these percentages for each statement as a bar chart.
3. Calculate the mean (the average) and the mode (the most popular) for each statement; personally I am not so keen on the median (the middle value).
4. Choose the 4 (or 5) highest means and modes to (possibly) discuss.
5. Choose the 4 (or 5) lowest means and modes to (possibly) discuss.
6. Calculate the standard deviation (to give an indication of the spread of the responses to each statement) for each statement.
7. Choose the 4 (or 5) statements with the highest standard deviations to (possibly) discuss.
8. Choose the 4 (or 5) statements with the lowest standard deviations to (possibly) discuss.

These are **Descriptive Statistics**. In your thesis, take each statement in turn, start with the bar chart, and then focus on and discuss any 'socially significant' (i.e., meaningful) findings. Perhaps you can collapse the data for each statement into those that agree with the statement and those that disagree (easier with 4 or 6 options), and discuss these findings. Maybe you can group some of the statements together using your professional judgement and calculate a mean for these groups of statements? If you have administered the same questionnaire twice, then focus on statements where there is a large difference between the means (say about 1.0) and/or the standard deviations on the two occasions. Or sometimes you can say something like "The first time the questionnaire was administered 50% of the respondents agreed or strongly agreed, however on the second occasion this had risen to 80%". Small differences are probably not meaningful and are best ignored.

At this point you should read (or have already read) Denscombe's (2003) book *The Good Research Guide*. If you want to push your statistical analysis and use **Inferential Statistics** to identify those findings that are 'statistically significant' as well as 'socially significant' then we will be extremely pleased and this will add to your thesis, but this is not necessary! At this point you should read (or have already read) Gorard's (2001) book *Quantitative Methods in Educational Research. The role of numbers made easy* and Pallant's (2001) book *SPSS Survival Manual. A step by step guide to data analysis using SPSS for Windows (Versions 10 and 11)*. Pallant's book is very readable and easily understood: she outlines each statistical technique, gives a step by step procedure for performing each analysis, explains how to interpret the output, and finally (and most usefully) presents examples of how to present the results in a report or a thesis! This book really does demystify

the use of SPSS! Please note that SPSS Version 12 is now available and so you may need to adapt Pallant's advice.

You need to be clear about the difference between:

1. parametric statistics where you are dealing with real numbers that are *either* ratio data (where the categories exist on a scale which has a 'true zero' or an absolute reference point, distances/weights) *or* interval data (where the categories are ranked on a scale where all the intervals are equal, calendar years/tests).
2. non-parametric statistics where you are dealing with categorical numbers that are *either* nominal data (counting things and placing them into a specific category, men/women) *or* ordinal data (where the categories are 'in order' but unlike interval data, the intervals are not equal, Likert scales in questionnaires).

Chi square, t-test, ANOVA, factor and cluster analysis, etc, are all possible but do make sure that you understand a little of the mathematical basis for these forms of analysis, the sort of data that is appropriate, and what the findings mean. Pallant's book explains these matters very clearly. Try www.graphpad.com/quickcals/index.cfm for online calculations using Chi square and t test.

Factor analysis has great value in reducing the data (i.e., instead of dealing with the responses to, say, 20 statements in a questionnaire you might be dealing with, say, only two factors). However Gorard (2001) adds a note of caution in that "There is also the heavily over-used, in my opinion, set of techniques known as factor analysis" (p182). An alternative may be to start with the matrix of correlation coefficients between pairs of the various questionnaire statements that form the basis for factor analysis, and then use your professional judgment to group statements together?

However if you want advice on analysing questionnaire data that goes beyond Descriptive Statistics then for non-parametric statistics, having looked at Pallant, Chi square is, arguably, a good place to start, especially for 2X2 tables of data.

We suggest doing a couple of calculations by hand to understand what is required before using GraphPad, SPSS or whatever, or even just for fun! The only point in the Two Way Chi square calculation where you might have difficulty is in calculating the Expected Values, note the formula carefully. On the other hand with Chi square: the independent variables (e.g., men/women) have got to be independent and categorical (in this example the variables are nominal) and the data on the dependent variables should be random and categorical (i.e., either nominal or ordinal as in the responses to a questionnaire using a 1 to 5 scale). Chi square could not be used with the TSW Pathfinder Project questionnaire which, you may recall, was administered in 2002 and again in 2003 but to the same sample (i.e., the two samples were not independent variables and this was the problem). DR did

consider a paired t-test but moved on to factor analysis and ANOVA (although these tests are really for parametric statistics). Here we are looking at differences that are 'statistically significant' and meaningful! Of course, nothing beats sitting down and talking through your data and your analysis with your supervisor and/or colleagues from the EdD. We hope these thoughts just set you on the 'right track'.

Inferential Statistics: Some further thoughts

Chi Square: A Simplified Overview

Chi square is relatively easy to understand. At the simplest level, assume you have two groups (A and B) answering the same questionnaire. The responses to each question may be Yes or No or may be Agree and Disagree, the latter perhaps conflated from a 4 or 6 point Likert scale. For each question you will have the numbers of Yes and No for Group A. On this basis (assuming that the total numbers in groups A and B are different) you can calculate the Expected Frequencies for Group B to this question, assuming that there is no difference between the responses from groups A and B (i.e., the null hypothesis). You now compare these with the Actual Frequencies for Group B for this question, are they the same or is there a statistically significant difference between the two distributions? Chi square will calculate this for you. Even better there is an on-line calculator you can use!

Go to

www.graphpad.com/quickcals/index.cfm

Select categorical data and click on continue
Then select Fischer's and ... and then click on continue
Covert all your data to 2 times 2 tables, using numbers not percentages
Enter your data, maybe select the basic chi square calculation and see what happens

Factor Analysis: A Simplified Overview

The key purpose of Factor Analysis is 'data reduction' – so reducing the number of items/ questions/statements in a questionnaire to a fewer number of factors is essential otherwise the process becomes pointless. Factor analysis is based on the idea that the ways statements are answered are affected by underlying beliefs/psychological constructs/factors. It is assumed that similarly answered statements will therefore correlate with one another.

Step 1: Say with a questionnaire of 20 statements, the first step is the calculation of a 20 times 20 **correlation matrix**, showing the correlation coefficients between all of the statements. At this point statements that do not appear to correlate with any of the others can be removed and also, but less likely, can a statement(s) that correlates too closely with another statement(s).

Step 2: Assuming there are still 20 statements, the next step is the **principal components factor analysis**. This will produce a table with 20 factors along the top and the 20 statements listed on the left hand side. The data in the matrix consists of 'loading values' for each of the statements on each of the factors. Loadings with a value of 0.6 or greater are the key ones. 20 factors are too many. These can be reduced by looking at the eigenvalues (the square of the loading values) for each factor or at a scree test? When deciding on a useful number of factors – the use of eigenvalues or the scree plot are the two generally recommended approaches. They usually end up with the same number of factors. Three factors might be appropriate to 'extract'? The researcher must decide which item goes with which factor (if any). This is dictated by balancing the level of loading of the item on a given factor and something that makes theoretical sense - a rather delicate balance.

Step 3: Now that there are only three factors the **varimax rotation factor analysis** can be done. The purpose here is to reduce the overlap between the factors (and so increasing or decreasing the loading values and making the interpretation of the factors easier).

Step 4: This is the **creative part** where the researcher has to give some meaning to the three factors from the varimax rotation factor analysis that captures the underlying meanings/ideas/concepts that group the statements together.

Step 5: Another useful distinction is between exploratory and confirmatory factor analysis - and this has an impact upon the 'balancing' mentioned above. These are subtly different techniques, but more importantly is the philosophical difference between the two: confirmatory seeks to confirm ideas that the research might have (therefore demands a greater amount of 'imposing' of theory on the data by the researcher), while exploratory seeks to generate ideas (therefore demands a greater amount of seeing what the data says, akin to 'grounded theory' in a strange sort of way)

PS Summing the squares of the loading values gives the eigenvalues, which when divided by the number of statements gives the amount of the variance attributed to that factor.

Analysing Experimental Data

Some students may wish to structure their research around an experimental study. For example, if a group of students is split randomly into two sub-groups: the first sub-group may follow a conventional route through their programme (i.e., the 'control' group) and the second group (i.e., the 'experimental' group) a new initiative. Hopefully a baseline test would show no difference between the two sub-groups at the start, but what about the same test (or a more demanding one?) at the end of their programme? 'Effect Size' is a simple way of quantifying the difference between two such groups. This is explained by Coe (2000) at: <http://www.cem.dur.ac.uk/ebeuk/research/effectsiz/ESbrief.htm>

and by Joyce et al (1999) in 'The New Structure of School Improvement' (pp 83-87).

$$\text{Effect Size} = \frac{\text{Average (experimental group)} - \text{Average (control group)}}{\text{Standard Deviation of the Control Group}}$$

With the use of a table, Coe gives some advice on how to interpret Effect Sizes.

The Curriculum, Evaluation and Management Centre (<http://www.cemcentre.org>) which is part of the University of Durham is, in our opinion, the leading authority for this kind of work in the UK.

Theory and your Thesis

1. What do we understand by Theory?

Everyone tends to answer this question differently. For us, a theory is a collection of related ideas that give coherence/meaning/sense to our thinking and to our often chaotic [research] findings. And that, in our opinion, is the use of theory? You will need to 'theorise' your own findings in your thesis!

Types of Theories

Descriptive: How things are the way they are

Interpretive: How can we understand how things are the way they are

Explanatory: Why things are the way they are

Prescriptive: How things should be

Predictive: How things will be

Conceptual: What is the bigger picture behind the way things are

Critical: What lies beneath the way things are

Interpretive and Positivist Approaches/Standpoints

Descriptive and Interpretive theories are found within what you will read as an Interpretive approach/ standpoint.

Explanatory, Prescriptive and Predictive theories are found within what you will read as a Positivist approach/standpoint.

2. What's the use of Theory?

We may well ask ourselves what's the use of theory? However there are a number of very good reasons! For example, to help us think through:

- What exactly is the focus of our research? How can we approach this - what are the possibilities? How does this fit with other research in the field?
- How are we going to do it? What literature do we need to review? What research design will we need to develop?
- What do we want to get out of our research? How can we make some sense from our findings?

3. **What, in simple terms, do we understand by the word 'Theory'?**

Cohen and Manion (Adapted from Barr Greenfield 1975 in Cohen and Manion 1994) offer two possibilities either "A rational edifice built by [social] scientists to explain [and predict] human behaviour" or "Sets of meanings which people use to make sense of their world and behaviour within it". (p 10) The second possibility seems more relevant to our work?

Wallace and Poulson (2003) put it in a more complicated way like this:

"Ideas like 'education' are *concepts*: terms used for classifying, interpreting, describing, explaining and evaluating aspects of the social world. ... What authors can do, however, is to offer a 'stipulative' definition of concepts to indicate what they mean when using particular terms." (p 11)

For example, culture is another concept.

"Sets of concepts are often combined to form *perspectives*: selected facts, values and assumptions forming a screen for viewing social events and processes. [For example] A cultural perspective focuses on facts, values, assumptions and codes governing what can be thought and done connected with the central concept of culture." (p 12)

"Theories are widely viewed as a coherent system of connected concepts, sometimes lying within one or more perspectives. They may be used to [describe,] interpret, explain or, more normatively, to prescribe what should be done to improve an aspect of the social world, as in a 'progressive theory of education'."(p 13)

4. **Types of Theories**

Davies (1999) distinguishes between four types of theoretical activity: **descriptive** (i.e., a theory about what people, institutions or societies actually do, or say, or are, answering the question *how*); **explanatory** (i.e., a theory that asserts *why* people, institutions or societies do, say or are certain things, here relationships are linked with the word 'because' and we are talking about cause and effect); **conceptual** (i.e., a theory by which we *map* our world by imposing new concepts, ideas and categories on it); and **prescriptive** (i.e., a theory which contains, explicitly or implicitly, *what ought* or *what should*).

Davies goes on to mention **predictive** theories (i.e., a theory that can be tested) and **interpretive** theories (i.e., a theory that seeks to describe and conceptualise complexity). In two important papers Grace (1997, 2000) describes **critical theories** which relate to the matter of power. To make it more complicated there can be theories about individuals, groups, institutions or systems. Does this lead to a matrix?

However some would argue that all theories begin with description and so a descriptive theory is not a theory in itself but rather a starting point for theorising. Description, then, is the catalyst for theory building.

Perhaps at this point it is important to think back to the focus of your research and to the particular kinds of research questions that you are asking. What exactly are you trying to find out? Is your study seeking explanations and answers to pressing problems and prescriptions for future actions, or is it only seeking to understand, or is it focusing on reflection and subsequent emancipation? If it is the former then a positivist approach is required which argues that there is a world out there that is independent of ourselves that can be researched using methods that are drawn from the natural sciences. However, if you are seeking to understand the motives and behaviours of people then an interpretive approach is required which argues that the world out there is largely a social construction and that the 'scientific method' is not applicable. Whereas the natural sciences approach may have more reliability the interpretive approach claims greater validity and, perhaps, relevance? (Hartley 2006).

Thomas and James (2006) distinguish between two kinds of theory: theory that provides tools for thinking and which serves to map out a problem area, aimed at understanding and interpretation and, hopefully, stimulating inspiration; theory as explanation and prediction, which can be proved or disproved by empirical investigation as found in the natural sciences. It is the former that they commend and quote from Becker who asserts that there are no recipes for doing social research; rather one has to have imagination and smell a good problem and find a good way to study it.

Gary's earlier papers give further insight into his thinking. They are quite challenging! Here are some quotations from his 1998 paper that may productively disturb our thinking!

It is not only educational inquiry in the positivist tradition which suffers from rationalist delusions of utility; it is that both positivist research and the proffered alternatives to positivist research in education tacitly share the same faith in rationalism: a faith that good, logical reflection and thinking can result in theories - of whatever kind - which will explain and predict aspects of the educational world. (p 142)

In short, my thesis is that with our lingering attachment to the paraphernalia of rational thinking, fertility is sacrificed to orderliness in contemporary educational inquiry. (p 143)

... inconsistency is the hallmark of the human worlds in which educationalist are interested. (p 143)

There lingers an assumption of order and structure which can be accessed via methods and techniques. (p 144)

The rules of the rational game are given away in the title of Glaser and Strauss's *The Discovery of Grounded Theory*. The assumption behind the title is that there must be a *theory* there somewhere, if only we look hard enough, and it is waiting to be *discovered*. Note the word 'discovery' is used in preference to 'invention'. (p 146)

Why should there be a theory behind the chaos, save to satisfy our lust for the rational and the ordered? (p 146)

But the problem is not only with these grand theories. It is also the belief that one's observations and reflections can be corralled, cleansed and transformed to provide an improved explanatory structure and guide for one's future professional life. (p 147)

His own reflections [Einstein] showed that he relied on more unconventional means – resting in imagination rather than experiment – for developing his ideas. (p 152)

Educational research as it is currently practised places great store on what-is, and on the correctness of methods. Students on ... taught doctorates typically undertake an introductory course on research methodology where they examine words - ontology, epistemology, reliability, validity - rarely in a questioning way but more usually as ingredients for obligatory inclusion in the dissertation ... it introduces a kind of stereotypy to their research, and - more seriously - to their own thinking about practice. (p 153)

Much new thought on human intelligence stresses the importance of chance, the serendipitous and the irrational ... and it attests to the power of insight rather than rationality. (p 156)

We should be less self-conscious about our methods and use what is best for answering our research questions. There are no right or wrong methods. (p 156)

The idea that finding out is best done via a kind of anarchy ... significant additions to knowledge are characterised ... by departure from, as opposed to adherence to, method. (p 156)

It implies an encouragement of the student's and the researcher's unrestrained intelligence so that they do whatever seems best – not what is implied by some theory, or what is consistent with some existing body of knowledge. (p 157)

On the other hand David Hartley, during the course of Module 2 on 'Educational Research and the Researcher - Identity and Epistemology' which, as you know, is part of the Research Training Programme, drawing on the work of Habermas, argues that there are three different modes of enquiry: the empirical/positivist (which draws its strength from the natural sciences); the interpretive (which, as has been discussed, Gary Thomas supports and which, arguably, draws much of its strength from the social sciences); and critical theory. David points out that the most clear and recent statement of the positivist position can be found from the USA in The National Academies Press (2004) publication entitled *Advancing Scientific Research in Education* which can be read on-line at: <http://www.nap.edu/html/scientific-research/>

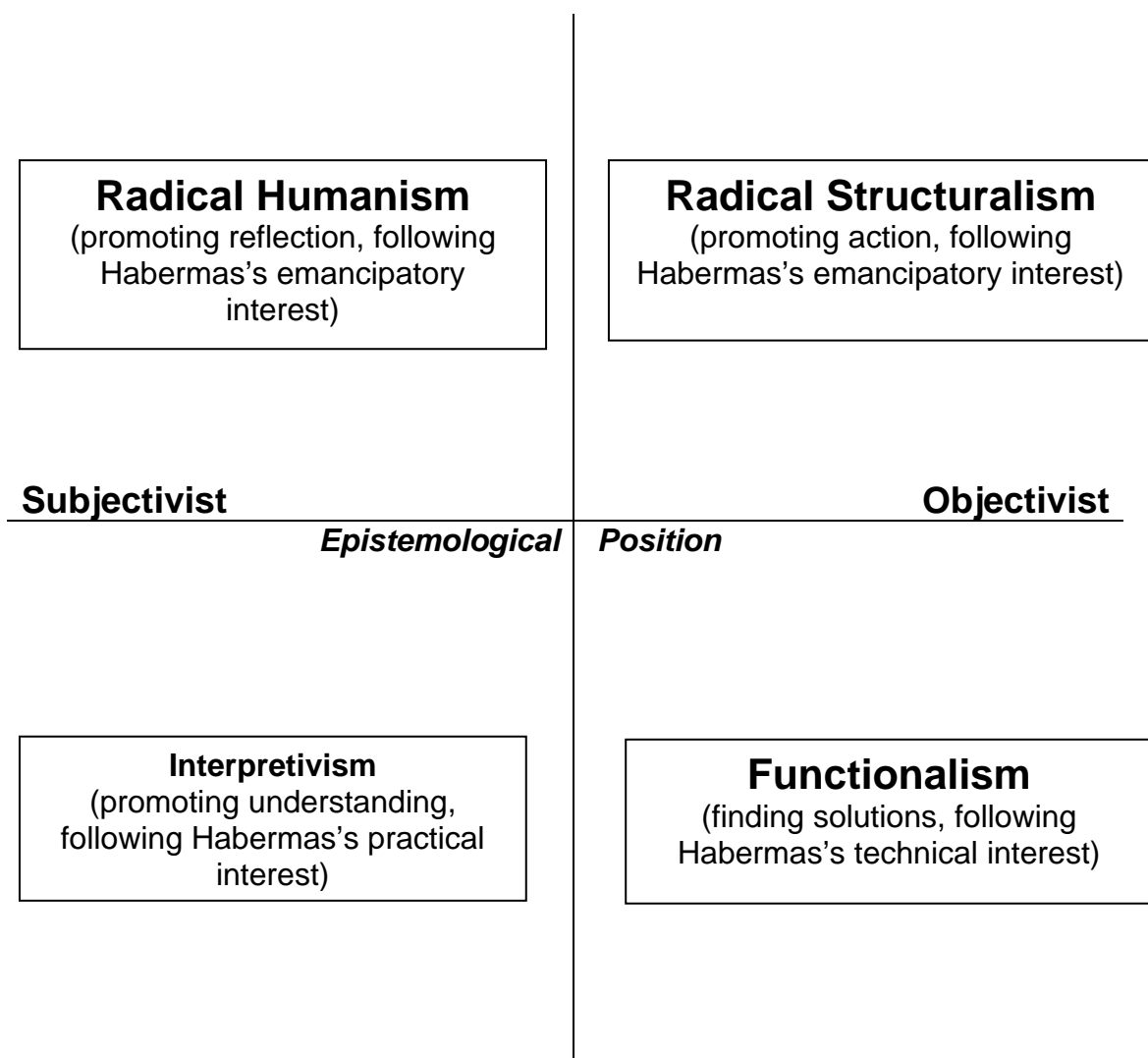
You may find the Executive Summary and Appendix B of interest. The purpose of the report is "to spur actions that will advance scientific research in education" and the premise that "education should be an evidence-based field" (Executive Summary, p1). So we found many references to randomised field trials (to help establish cause-and-effect relationships), replication studies, knowledge accumulation, generalisability and theory building. We also noted that "Theory without empirical backing lacks real-world testing of its explanatory power. And data without theory leads to "dust-bowl" empiricism - that is, data that lack meaning or relevance to describing or modelling the phenomena of interest (teaching, learning, and schooling in education)" (Appendix B, p 99).

Nevertheless there was support for the use of multiple methodologies "... the skilful combination of quantitative and qualitative methodologies is not only powerful but may be necessary in education research (Appendix B, p 102). The importance of partnerships between researchers and policy-makers and practitioners is also emphasised.

In the concluding chapter of your thesis, what sort of theory will you develop to 'make some sense' of your findings? In addition to what we have already suggested, this typology of different types of theories where David Hartley has brought together the work of Burrell and Morgan (the main source for the diagram) and of Habermas may be helpful. View the diagram using Web Layout.

Types of Theories: Different Paradigms

Focus on radical change - challenge the status quo - question the ends



Focus on radical change - challenge the status quo - question the ends

References

Burrell, G. and Morgan, G. (1979) *Sociological Paradigms and Organisational Analysis*, Aldershot: Gower. In particular chapter three.

Habermas, J. (1971) *Towards a Rational Society: Student Protest, Science and Politics*. Translated by Shapiro, J. J. (1987) Cambridge: Polity Press.

Hartley, D. (2008) *Paradigms and leadership research*. Unpublished research paper for the EdD 'Leaders and Leadership' programme, May 2008. School of Education, University of Birmingham.

Ortenblad, A. (2002) "Organizational learning: a radical perspective" *International Journal of Management Reviews*, Vol. 4, No. 1, pp 87-100. In particular pp 88-90.

Glossary

Agency

This is about the ability of the individual to make choices and take decisions, within a particular structure and culture.

Culture

This is about the widely shared but generally unspoken values, beliefs, attitudes and assumptions that constitute what is known and how it is to be interpreted - "how we do things around here" - that inform and shape individual behaviour (i.e., agency).

Epistemology

Epistemology is the philosophical study of the nature, limits, and grounds of knowledge. Epistemology is closely related to Ontology but refers to knowledge and its production. Epistemology is concerned with what distinguishes different kinds of knowledge claims - what are the criteria that allow distinctions to be made and how what exists can be known. What knowledge counts and by what evidence? Again there are two extreme positions. On one hand, it can be argued that knowledge is hard, real and capable of being transmitted in a tangible form. For example, for the most part, people who are physical scientists would subscribe to this belief. How else is space travel possible? In contrast, it can also be argued that knowledge is subjective and is based on experience and insight.

"Beliefs about what counts as knowledge are a central determinant about what a field knows about its subject matter... Is there a single absolute truth about educational phenomena, or are there multiple truths? ... can we count on our sense, or on reason to distinguish that which is true about the world from that which is false Is knowledge about the world discovered or constructed?" (Pallas, 2001, Research Methods Module 1)

Ethnography

An ethnographic approach to leadership, first of all, aims to ascertain the understanding that leaders (and their followers) have of leadership and the factors that shape that understanding. An appropriately framed study entails naturalistic investigation (relying principally on observational, documentary, and interview data) of samples of education leaders and comparison of leaders' perspectives against those of colleagues, peers and significant others. These are then related to wider political and policy environments which define the organizational contexts for leading, in order to explain the similarities and differences observed in the sample. (p458)

Gronn, P. and Ribbins, P. (1996) Leaders in context: Postpositivist approaches to understanding educational leadership. *Educational Administration Quarterly*, 32 (3), pp 452-473.

Hegemony

This is about the domination or leadership of one group over others.

Hermeneutics

This is about a philosophical tradition which is concerned with the nature of understanding and interpreting human behaviour and social traditions.

Historiography

This is writing about the history of history (i.e., past stories of history)

Identity

The term *identity* is another of those protean words that has acquired nearly as many meanings as it has authors to write about it. ... Erikson used the concept of identity as a vehicle for discussing the problems of self-awareness and personal identification. Others have viewed identity as the means by which a person situates himself or herself in social relations ... as a source of motivation for the person ... or as a way of providing meaning for individuals in mass society. ... In its broadest sense, identity may be said to encompass "all the things a person may legitimately say about himself – his status, his name, his personality, his past life", thus "any generally satisfactory answer to the question, Who am I? (Who are you?)"... there is a more limited use for the term *identity*, which relates to the act of labeling. To illustrate the latter use, let us assume that we are introduced to a person who is a stranger to us. He has mannerisms and an accent that we can not place at first. We watch him closely, however, and then, suddenly, we can identify him as "a Frenchman" or whatever. He now has an *identity* for us, and to some extent we can use this information to plan appropriate behaviors with regard to him. (Biddle, p89)

Biddle, B. J. (1997) *Role Theory. Expectations, Identities and Behaviors*. London: Academic Press.

Managerialism

Simkins, T and Lumby, J. (2002) Cultural transformation in further education? Mapping the debate. *Research in Post-Compulsory Education*. 7, pp 9-25.

The analysis of events has been debated within the dominant conceptual frame adopted in much of the literature, that of managerialism. ... Drawing on

the literature concerning change in the public service more generally ... the 'managerialist critique' embodies a number of interlinked threads. The first concerns a discourse, which, it is claimed, is replacing traditional professional and public service **values** with those of management and the public sector. The second emphasises the embodiment of these values in a range of **managerial approaches**, such as strategic planning, human resource management, and a focus on measured outcomes as primary indicators of success. Third, and underpinning these, is a set of ideas about the **distribution of power** in the FE system, with claims that the authority and autonomy of professionals is being diluted or replaced by the power of managers to establish agendas and to determine modes of work. This last thread encompasses arguments relating both to the disempowerment of lecturing staff and the co-optation of lecturers into management roles and hence, it is argued, the managerialist agenda. (DR's bold)

Wright, N. (2001) Leadership, 'bastard leadership' and managerialism. *Educational Management & Administration*, 29, pp 275-290.

The main belief in managerialism is in the value of management; that better management should lead to a better world, economically and socially. Social progress should be achieved through greater economic productivity. This in turn can be attained through the use of disciplined workforces and, for management to bring this about, managers must have the 'right to manage'. (p281)

Managerialism requires a focus on means rather than ends; it is calculative and quasi-scientific; its proponents require ever more privileged positions and power to deliver; and it casts managers in the heroic mould. Most serious of all, it purports to be value-neutral, where managers reduce conflicting values to alternative sets of options. (p286)

Meyer, H. (2002) The new managerialism in education management: corporatization or organizational learning? *Journal of Educational Administration*, 40, pp 534-551.

To implement the nation's/organisation's vision and strategic goals, post-bureaucratic management/new managerialism uses two key tools to achieve control and compliance with organisations/'departments' respectively:

1. Allocation of resources based on internal competition;
2. Tighter relations with the 'centre' through; negotiated contracts (e.g., for student numbers); performance measures and target setting; performance reviews; and contingent budgets.

Ontology

Ontology is a branch of philosophy concerned with the nature of being. Ontology is concerned with matters relating to reality and truth. What is the nature of the world, what exists, what is reality? There are two extreme positions. On one hand, it can be argued that reality and truth are a 'given' and are external to the individual. For example, people holding a strong Religious Faith would subscribe to this belief. In contrast, it can also be argued that reality and truth are the product of individual perception.

Performativity

This, arguably, may be regarded as the impact of externally-imposed policies and practices to raise standards, assure quality and demonstrate 'value for money' (in this case the cumulative effect of legislation over the last twenty five years, especially the Green Paper) on a particular group of people (in this case heads, deputies and teachers). The impact is on both values and behaviours. First, to values that regard targets not as a means to achieve wider moral and educational purposes but as an end in themselves; and second, that such values inevitably inform and determine what is considered approved of behaviour in a 'performance culture'.

Phenomenology

This is about a philosophical perspective that concentrates on phenomena as objects of perception (rather than as facts or occurrences that exist independently) in attempting to examine the ways people think about and interpret the world around them. In contrast to positivism or 'scientific' philosophy, phenomenology sees reality as essentially relative and subjective.

Position and Role

Hargreaves (1972) argues that **position** is one of the fundamental concepts in sociology and that "All social systems ... consist of a complex structure of interrelated positions. ... These positions are really categories of persons with certain attributes who hold certain structured relationships with members of other positions" (p70). Such positions may be ascribed (i.e., acquired independently of the individual, such as age) or achieved (i.e., acquired due to the efforts of the individual, such as a post in an organisation). Headteacher, teacher and pupil are all examples of positions. Much research has been devoted to exploring the functions of positions and the contribution they make to society. Positions are sometimes confused with roles. But whereas positions are classifications of human beings, roles are classifications of behaviour.

Handy (1981, chapter 3) presents a very accessible introduction to the concepts of role theory written from a business perspective "as a way of understanding the dilemmas and problems of individuals as members of organizations, groups, and pairs" (p83). In contrast, Biddle (1979) presents "an integrative exposition of role theory" (p16) written from a social scientist's perspective. The latter is not easy reading and is not recommended unless your thesis is in this area!

The concept of a **role** is much more than that of a designated position in society's or an organisation's hierarchy (or, more accurately, structure of positions) with a detailed job description outlining particular responsibilities and challenging targets that have to be met. Playing a role also means responding in appropriate ways that meet the expectations (e.g., legal, occupational, cultural) of the group of people (i.e., the 'role set') that the individual (i.e., the 'focal person' or the 'role incumbent') interacts with in that particular situation. A teacher's role set will include the headteacher, the other teachers, the support staff, the pupils and their parents. In turn, it is also

about the individual being clear what they can expect from the group. Thus Hargreaves (1972) uses “the concept of role in a broad way to refer to the behavioural expectations associated with a position” (p71). Role performance is therefore the behaviour of an individual in the role which, in the case of teachers, was largely hidden before Ofsted. ‘Role signs’ (e.g., dress, place, furniture) help to clarify particular roles and expected behaviours ‘Role ambiguity’ results when there is some uncertainty in the mind of the individual (or among their ‘role set’) as to the appropriate role at a given time in a given situation (e.g., uncertainty about how one’s work is evaluated, about scope for advancement, about scope of responsibility, and about others’ expectations of one’s performance). Thus playing a role not only encompasses actions but also the attitudes and emotions that underpin those actions which together provide “a pattern according to which the individual is to act in a particular situation” (Berger, 1966, p112). In other words, role is a dynamic rather than a static concept and shapes both the individual and their actions, generally in an unconscious and unreflecting manner. In our lives, we all play many different and often conflicting roles (e.g., at work, at home, and in our leisure activities) and these are constantly changing (e.g., when we are promoted a completely different set of expectations may be placed before us). At work, we have many different roles (e.g., manager, colleague, teacher, tutor and even friend!) and often have to play these different roles in the same situation. So, at times, the various expectations and demands can become incompatible leading to ‘role conflict’ or ‘role overload’ which may lead to ‘role stress’ (i.e., ‘role pressure’ which is beneficial or ‘role strain’ which is generally thought to be harmful. However some friction and conflict may be may be essential ingredients for health and change). In contrast, from a feeling of ‘role underload’, we may seek to extend our contribution to the organisation and ‘make a role’ rather than ‘take the role’ that is offered to us (Ribbins, 1985, p356). On the negative side, we may seek to play a role with our ‘tongue in cheek’ without really meaning it or perhaps with an ulterior purpose (i.e., ‘role distance’). Furthermore, playing a role carries with it the possibility of ‘bad faith’ in pretending that something is necessary which in fact is voluntary. However, on the positive side, ‘role attachment’ occurs when playing a role coincides with the individual’s personal values and needs.

Handy and Aitken (1990) argue that every organisation “has its set of roles, some with formal titles of ‘jobs’ or ‘responsibilities’ and others more informal: ‘trouble-maker’, ‘clown’ or ‘helper’ (p57) and in groups Handy (1981) suggests that these roles include: comedian, organiser (i.e., leader), commentator and the deviant (p83). To summarise, roles give individuals a sense of purpose, helps them decide what they need to do and how they need to act, and are constantly defined and redefined by ‘significant others’ (i.e., the various ‘role sets’) in their lives.

Biddle, B. J. (1979) *Role Theory. Expectations, Identities and Behaviors*. London: Academic Press.

Berger, P. L. (1966) *Invitation to Sociology. A Humanistic Perspective*. Harmondsworth, Middlesex: Penguin Books.

Handy, C. (1981) *Understanding Organizations*. Harmondsworth, Middlesex: Penguin Books.

Handy, C. and Aitken, R. (1990) *Understanding Schools as Organizations*. Harmondsworth, Middlesex: Penguin Books.

Hargreaves, D. H. (1972) *Interpersonal Relations and Education*. London: Routledge & Kegan Paul.

Ribbins, P. (1985) The role of the middle manager in the secondary school. In M. Hughes, P. Ribbins and H. Thomas *Managing Education. The System and the Institution*. London: Holt, Rinehart and Winston.

Praxis

This is about the interplay between theory and practice - how they inform one another. Or rather praxis is about the practice of an art, science or skill, as opposed to the theory.

Reflexivity

The following two quotes are from Denscombe's (1999) 'Good Research Guide'.

"There is growing acceptance among 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 s/he feels personal experiences and values might influence matters. The reader of the research ... is given valuable information on which to base judgement about how reasonable the writer's claims are with regard to the detachment or involvement of self-identity, values and beliefs. THE ANALYSIS OF QUALITATIVE DATA CALLS FOR A REFLEXIVE ACCOUNT BY THE RESEARCHER CONCERNING THE RESEARCHER'S SELF AND IMPACT ON THE RESEARCH" (p212).

"Reflexivity concerns the relationship between the researcher and the social world" (p240).

There is a full paragraph explaining how because of our experiences, values, norms and concepts that we have amassed during our life we can never be objective when exploring social issues.

Denscombe, M. (1998) *The Good Research Guide*. Buckingham: Open University Press.

Structure

This is about the organisational arrangements, the distribution of power and authority, and the modes of sanction and regulation that inform and shape individual behaviour (i.e., agency).

Components of a Thesis

Wallace, M. and Poulson, L. (eds.) (2003) *Learning to read critically in educational leadership and management*. London: Sage. See pp 59-61. ISBN 0-7619-4796-5 (pbk).

Title

- Containing keywords that reflect the central question you are seeking to answer, expressed in general terms.

Abstract

- A brief summary (say, around 200 words) of the purpose of the study, any empirical work and your main conclusions.

Acknowledgements

- Any acknowledgement you wish to make of the support of individuals (e.g. your supervisor, your family) and of the cooperation of informants.

Chapter 1 Introduction

- A statement of purpose – to contribute to answering a central question expressed in general terms, usually about a substantive topic in your field of enquiry.
- A summary of the more specific aims of your research:
 - *substantive* (e.g. to determine factors affecting the effectiveness of some aspects of policy or practice in a specific context);
 - *theoretical* (e.g. to employ a specified set of concepts as a framework for investigating the effectiveness of this aspect of a policy or practice in this context);
 - *methodological* (e.g. to employ a particular methodology and research design and methods of data collection and analysis to address the central question by investigating the aspect of a policy or practice in this context).
- A justification of the significance of the substantive topic (e.g. its importance for policy or practice).
- A statement of your value position in relation to this topic that shapes the focus of your enquiry.
- A statement of the broad issues or problems linked to the specific aims of your research to be investigated in addressing the central question:

- *substantive* (indicating which aspects of the substantive topic identified in the central question you will be investigating in detail);
 - *theoretical* (considering the strengths and limitations of the theory or set of concepts you are using to help you understand and analyse the substantive topic relating to the central question);
 - *methodological* (considering the strengths and limitations of the methodological paradigm and methods you are using to investigate the substantive topic in addressing the central question).
- A brief description of the context of your enquiry. If you are investigating practice in a country other than the one in which you are studying for your dissertation or thesis, you may wish to insert a section outlining the national context relevant to your central question.
 - An outline of the rest of the study – offering signposts to the content of the remaining chapters and how they develop your argument.

Chapter 2 Review of literature

- An introduction which offers signposts to what will be covered in each section.
- A *critical and focused* review of the literature guided by review questions relating to your substantive and theoretical issues or problems in turn. It is likely that more of the emphasis will be placed on the substantive area, then theoretical.
- A brief summary of your position concerning your substantive and theoretical issues or problems in the light of your review.
- The identification of one or more detailed research questions related to the central question.
- An indication of how the research design chapter will take forward your work in relation to the substantive and theoretical areas and your research questions.

Chapter 3 Research design

- An introduction setting out what you are going to cover in each section.
- Your research questions and/or hypotheses focusing on detailed aspects of the substantive topic that relate to the central question.
- The theoretical framework you are using to help you understand and analyse the substantive topic relating to the central question.

- A brief critical and focused review of the literature relating to your methodological issues or problems, indicating how other researchers have approached them and have investigated similar substantive topics.
- A brief summary of your position concerning your methodological issues or problems in the light of your review.
- Your methodology and methods:
 - a justification for the methodological paradigm within which you are working;
 - detailed methods of data collection you are using and your justification for using them
 - specification of the sample of informants and your rationale for selecting them from the wider population;
 - a summary description of your data collection instruments indicating how research questions and/or hypotheses about the substantive topic are addressed and your rationale for using the instruments chosen;
 - a summary of how data collection effort (e.g. piloting, the number of interviews or the number of individuals surveyed);
 - a summary of how data are to be analysed (e.g. statistical methods, use of matrices for qualitative data);
 - ethical factors (e.g. confidentiality of interviews);
 - the timetable for the research process (e.g. timing of first and second rounds of interviews).
- A concluding reflective consideration of the strengths and limitations of your design (e.g. reliability, internal and external validity, sample size relative to population size) and an indication that you will evaluate the design in the concluding chapter.
- An indication of how the presentation of findings chapter will present the results of implementing this design to answer your research questions and/or test your hypotheses.

Chapter 4 Presentation of findings

- An introduction where you set out the ground to be covered in each section.
- A summary of all the findings broken down into topics relating to the research questions and/or hypotheses, possibly supported by tables and matrices, diagrams and quotations from informants.
- A concluding summary of key findings and emerging issues you have identified.

- An indication of where they will be taken up in the discussion chapter.

Chapter 5 Discussion of findings

- An introduction where you set out the ground to be covered in each section.
- A discussion of topics identified earlier relating to the substantive, theoretical and methodological broad issues or problems, linking your key findings with your research questions and the literature you have reviewed.
- A concluding summary of how the key findings together provide a response to your substantive, theoretical and methodological issues or problems.
- An indication of where you will draw conclusions about the contribution of your findings to answering your central question in the conclusion and recommendations chapter.

Chapter 6 Conclusion and recommendations

- An introduction where you set out the ground to be covered in each section.
- Your conclusions relating to your substantive, theoretical and methodological aims, including an evaluation of your research design and the certainty of your answers to your research questions, in the light of the findings and experience of using your theoretical framework and methods
- Implications of your findings overall for answering the central question expressed in general terms.
- Any recommendations for different audiences (e.g. policy-makers, researchers, trainers) with reference to their backing from the evidence you have gathered.
- Any new questions that arise from your study for theory, research, practice or policy.
- A final concluding statement which includes your summary contribution to answering the central question posed in the introduction and related to the title.

Reference list

- Containing all works to which reference is made in the text, but not background material to which you have not make direct reference.

- In alphabetical author order, and in the required format.

Appendices

- For example, research instruments, letters to informants, examples of raw data.

In the concluding chapter of your thesis what sort of theory will you develop to 'make some sense' of your findings?

A Final Checklist for your Thesis

For use of English and presentation, again please note the University of Birmingham 'House Style Guide' which is available on the University website.

Nevertheless here are ten key questions that you must ask yourself when you have a full draft of your thesis, if not before!

1. Are your research questions clearly stated?
2. Are your research questions placed in [historical] context, so demonstrating the timeliness of your research?
3. Is all of the literature you have selected to review absolutely relevant to your thesis?
4. Have you reviewed your literature chronologically to show the development of the field or on a thematic basis? And have you tried very hard to critically review the literature?
5. Does your literature review end with a summary or, much better, a [conceptual] framework – either taken from or adapted from previous work – that will inform your research design?
6. Have you justified the decisions you have made in your research design? And is your research design 'fit for purpose'?
7. Have you explained how you will analyse your data?
8. Have you presented your findings and then discussed [and theorised] your findings together or, much better, separately?
9. Does your conclusion return to your research questions and link back to your literature review? And so do you close the loops?
10. Is your use of English and your presentation 'up to scratch'? Pay particular attention to consistency, for instance in the in-text referencing and in the list of references at the end. **Don't spoil your good work by carelessness in English and in presentation.**

Writing Your Thesis: Some reflections from a successful EdD student

Writing your thesis is a daunting experience. It is not something that you can complete in a week-end, a week or even a month. It is a process that is likely to occupy you for up to a year. You will become obsessed with your thesis. It will be on your mind constantly and family and friends will find incoherent notes that you have written to yourself in the most unlikely places. Just pray that they ask you “is this important before they throw it away”.

So how do you write a thesis? Alas I can't tell you. I can only tell you how I wrote mine. Every student who has ever completed a thesis has had to discover for themselves how they write. What helps them? What is a hindrance? How to deal with doubt and uncertainty? Therefore, what follows is not a set of instructions, rather a distillation of my own experience of writing an EdD thesis. Take from it what you think might be useful and disregard the rest.

Firstly, choose your topic carefully. As stated above, you are going to be living with this topic for a significant length of time. So ask yourself:

- Is it worth doing?
- Am I genuinely interested in this topic? Does it enthuse me? If it doesn't you will find it hard to continue when the going becomes difficult.
- Have you got ready access to the people you need to speak to? If not, change your topic.
- Is the topic too big or complicated for an EdD thesis? Remember this is not your life's work nor is a submission to the Nobel Prize Committee. Design a piece of research that has clear boundaries and is 'doable' in the time you have available.

Secondly, the non-PC answer to the question “how do you eat an elephant?” is one mouthful at a time. Likewise with your thesis, break it down into manageable chunks. Thus, the Introduction (3,000), Literature Review (16,000) and Research Methodology (6,000) should account for 25,000 words maximum. The Findings (20,000) and Conclusions (5,000) should account for the remaining 25,000 words. So now the longest piece of work that you have to write is 20,000 words. Already the task is starting to appear easier.

There is also absolutely no reason why you have to write the sections in any particular order. If research methodology fascinates you write that section first. If you are very familiar with the literature in this area write the literature review first. If you have already undertaken the research you might prefer to draft the findings first. It doesn't matter which section you start with because inevitably you will have to revisit it as the thesis takes shape and new ideas appear to you.

Remember that up to 49% of your thesis can be material that you have used in previous assignments. So cut and paste as much as possible from your previous EdD work. The sight of previously blank pages being populated with

10,000 words is a huge psychological fillip. Even though you know that the material will have to be edited and updated at some stage.

Thirdly, when writing the first draft of the Literature Review adopt the Christmas Tree approach. Select between 8 and 12 references and write a skeleton Literature Review. This will provide a clear narrative framework. You are then free to decorate your Christmas tree with as many additional references as you desire. Make the material you use your own. For example instead of writing “Handy (1993) suggests that there are four basic organisational cultures ...” write “There are four basic organisational cultures ...(Handy 1993).

Fourthly, if you have undertaken 20 forty-five minute interview you will have approximately 180,000 words of data. Similarly if you used questionnaires or observations you will have a vast amount of data that you cannot possibly fit into the 20,000 word Findings section. This means that you have to be selective about what data you report. Start by considering what are the big themes that have emerged from the data collected? These may or may not coincide with your original research questions. If they don't change your research questions – unless you want to repeat the data collection phase of your work! Then consider which minor issues fit into each of the themes. What you might end up with is five themes with say 17 issues distributed between them. This means that on average you will have 1,000 words to discuss each issue. The remaining 3,000 will be required to introduce themes, link sections together and summarise findings.

Fifthly, writing your first draft is a creative process. Don't be over critical of your efforts at this stage. Some writers prefer to write multiple drafts, with each draft written fairly quickly. Others won't commit a word or a sentence to paper until they are satisfied that it says precisely what they want it to say. Their first draft will take longer to complete. Whichever type of writer you are, remember that your objective is to produce a complete draft. Therefore:

- Cut and paste as much as you can, but accept that it may require major revision.
- Remember that in a 50,000 word document the reader can easily get lost. Provide the necessary structure for them to navigate their way around your thesis. With the possible exception of the Introduction provide an introduction at the start of each chapter, summarise at regular intervals and finish with a conclusion at the end of each chapter.
- Remember create first then edit – don't worry about length at this stage. Instead write it then get it right.

Sixthly, once you have an initial draft you are into the process of either redrafting, if you write multiple drafts, or revision if you completed a 'near perfect' first draft. At this stage the balance starts to shift from creativity towards critical evaluation. Either way the aim at this stage is to improve on the first draft. Questions you want to ask yourself are:

- Have I covered everything that I want to?
- Is the thesis logically structured?

- Are the contents of chapters and sections logically ordered?
- Is there a clear narrative thread running through the thesis that guides the reader through the work?
- Is my use of figures, graphs and tables appropriate?

As yet you do not have to be overly concerned about over running the word count. That is addressed in the final section below.

Seventhly, having completed your redrafts or revisions you now need to edit and polish your thesis. Your aim is to cut away any unnecessary flab from your masterpiece and ensure that what you say is clear, unambiguous and is within the permitted word length. For the first time your mind set is one of unrelenting critical scrutiny which has as its aim the removal of any unnecessary:

- Chapters or sections e.g. if you have material in your literature review that is not used to explain/explore your findings or to contextualise the issues discussed why is it included?
- Themes and/or issues that add little or nothing to the thesis – no matter how hard you worked to write them.
- Paragraphs and sentences which are ambiguous, badly written or repetitious.
- Words that are not required e.g. highly criticised. What does 'highly' add to the phrase?

Finally, when you have finished put the revised draft in a drawer for a week or two and forget about it. Then go back to it with a fresh mind and correct all the blatant errors that you missed previously and which you were convinced didn't exist!

Preparing for your Viva

The purposes of the viva are: for the examiners to ensure the thesis is your own work; for the examiners to ensure the thesis meets the standard for a Doctorate; for you to defend your thesis.

Check out the examiners. Read the thesis from their point of view and make links with your own work. What's their angle (e.g., a gender perspective, an international perspective, a policy perspective)?

In looking over your thesis make sure nothing is left 'hanging' that you are unsure about: there are no hostages to fortune waiting to be discovered! Watch out for sweeping claims without evidence (either from the literature or your own research) to justify them, and overly emotive language.

The examiners are looking for a spirited and enthusiastic defence of the thesis. Confident but not arrogant! You need to be able to justify the decisions you took and yet respond positively to their advice/suggestions! They are on your side!

There will generally be one or two opening questions to put you at your ease. Tell me about your career to date? What interested you about this topic? What have you found out? What's the value of the work?

After this opening the questions are almost unpredictable, but for the most part they will be strongly linked to what you said in your thesis.

Have you a very clear statement of your aim (and ensured that you have achieved this) and your research questions? These must be reflected in your literature review; in how you did the work; and returned to in your findings. The research questions drive the thesis!

Then there will be very specific questions on aspects of your thesis: literature review, research design (at least, be clear about the difference between positivism and interpretivism, where the research fits in those 'wider frameworks', and your position in the research), data analysis, findings, contribution to theory and conclusions. Your recommendations must flow naturally from the rest of your thesis.

If your list of references looks too few, say you have only included the references that you have referred to and not the many others that you have consulted. Better, have two lists: works cited; works consulted.

The big things now are ethical issues and 'engagement with users' to verify your findings (see Miles and Huberman) and to demonstrate the value of your findings. How have you done this, or plan to do this?

Examiners are generally interested in how you intend to disseminate your findings - a conference presentation and/or article for a journal – have something to say on this aspect!

And have you any future research in mind? Where now?

The Viva Experience: Some advice from successful students

I (Maggie Inman) would emphasise the need to prepare well. I found it useful to compile a summary for each section of my thesis and write a list of anticipated questions/answers for each section. I also made sure I was aware of literature that I did not put in my thesis as evidence of wider reading and to avoid being caught out! I think you also need to be clear about the differences between your own work and other similar work to enable you to justify sufficient originality. If there is a misconception about your work, I suggest trying to pin it down and explain it. This happened with one of my models, but after explanation, it was agreed that it was appropriate. If you are using a slightly unusual research design, be sure to be able to really justify it. I had a number of questions which really targeted the thinking behind my methodology and method. If I hadn't have been sure in my own mind as to why I did it in the way I did, I could have become very easily misled and its credibility would have been compromised.

I (Kay Fuller) found I was incredibly nervous. This was largely because I was petrified I would be asked a question I did not understand at all. The advice from Chris and Des was extremely valuable in terms of not trying to pretend I knew something I did not. The availability of stock phrases such as “That is very interesting...”; “I would need to look into that further...”; and “It is not within the scope of my project...” gave me confidence. In the event none of them was needed as the meeting was much more supportive than I anticipated.

I had prepared as I would for any examination or interview by reducing it all to a series of cards – one per chapter. That way I could remind myself of key points immediately prior to the viva. I did not use them once but the process probably helped to fix things better in my mind.

I was asked about what I enjoyed most in the project; what literature influenced me; specific aspects of my argument or findings; my writing style; what I would publish; and something I had not anticipated how my thesis might improve professional practice. Of course, as it is a professional doctorate I should have anticipated this. In my case I was asked how my thesis about secondary headship might be useful to a new headteacher.

I felt confident that Chris and Des had prepared me well. Certainly, Chris had chosen my examiners wisely. The reminders that this is a conversation with peers helped too. I did not need to be as nervous as I had been.

Referencing

Books

1. Single Author

Jones, A. (1987) *Leadership for Tomorrow's Schools*, Oxford: Basil Blackwell.

2. Two Authors

Huczynski, A. and Buchanan, D. (1991) *Organizational Behaviour: An Introductory Text* (Second Edition), Hemel Hempstead: Prentice Hall.

3. More than Two Authors (in an Edited Collection)

Glatter, R., Preedy, M., Riches, C. and Masterton, M. (eds.) (1988) *Understanding School Management*, Milton Keynes: Open University Press.

4. A Single Author in an Edited Collection

Hughes, M. (1988) "Leadership in professionally staffed organisations" in Glatter, R., Preedy, M., Riches, C., Masterton, M. (eds.) *Understanding School Management*, Milton Keynes: Open University Press.

(The conventions for joint and multiple authorship of chapters are as in 2 and 3 above)

5. Unpublished thesis

Huczynski, A. (1991) *Organizational Behaviour*, Unpublished Doctoral Thesis, University of Birmingham.

Articles in Journals

1. Single Author:

Knight, P. (1991) "Teaching as exposure: The case of good practice in junior school history" *British Educational Research Journal*, Vol. 17, No. 2, pp 129-140.

(The conventions for joint and multiple authorship are as in 2 and 3 above)

If the article has been submitted for publication then you could write:

Knight, P. "Teaching as exposure: The case of good practice in junior school history" *British Educational Research Journal*, Submitted for publication.

And if the article has been accepted but not yet published then you could write:

Knight, P. "Teaching as exposure: The case of good practice in junior school history" *British Educational Research Journal*, In press.

Government Publications

Ofsted(1993) *Handbook for the Inspection of Schools*, London: HMSO.

Referencing authors you have read in another book or article!

You may read about another author's ideas or even see a useful quotation from an author in an article or book. You should always try to obtain the book or article that contains those ideas or the quotation so that you can check accuracy and appropriateness. At Doctoral level you should always go to the original or be prepared in a viva to defend the use of second hand quotes.

If you quote an author quoting or referring to another author then this is how to do it. For example,

In the actual research paper it would be: (Adair 1973 in Hughes 1988)

In References:

Hughes, M. (1988) "Leadership in professionally staffed organisations" in Glatter, R., Preedy, M., Riches, C., Masterton, M. (eds.) *Understanding School Management*, Milton Keynes: Open University Press.

You do not put Adair 1973 in the References because you have not read it, but you do reference in full the chapter by Hughes.

Referencing your own research papers

The papers you give in the sessions

Gunter, H.M. (1993) *Management in the middle: preliminary data analysis of a case study of a school of education in a higher education institution*. Research paper presented to the EdD Leaders and Leadership programme, June 1993. School of Education, University of Birmingham.

Your assignments

Gunter, H.M. (1994) *Management in the middle: a case study of a school of education in a higher education institution*. Unpublished research paper for the EdD Leaders and Leadership programme, January 1994. School of Education, University of Birmingham.

Referencing the internet

Gunter, H.M. (2004) *Studying for the EdD: a life of joy and excitement*. www.gunter.bham.ac.uk/EdD Accessed 1st April 2004

(Give the web address for the actual pages).

Also note the following advice:

In your paper you refer to authors in a range of ways. Ensure that you use double line spacing for the text except quotes that are single line spaced and indented one centimetre. ALL quotes should have the page number. Two examples:

Rutherford (2005) argues that there is evidence that middle managers in schools in England don't work as long hours as those in other parts of the world:

It is clear from the research evidence that heads of departments in schools do not work as hard as heads of faculty in FE colleges. This evidence is based on a one year project conducted by an international research team across three countries. (p 22)

It is the case that middle management is an over researched area in schools and what we need is more work on higher education (Gunter, 2002). In particular, Rutherford *et al.* (1999) has shown that the number of articles

written on higher education total 100 compared with 1025 on schools. Further evidence shows this to be the case:

The work on middle management in schools is growing, and in particular there is a range of work that shows the pluralism in this part of the organisational structure. The growth of teaching assistants is a key feature that is beginning to be researched and the evidence so far shows that the span of control by the middle manager is growing wider. (p 64)

Actually because we do cut and paste a great deal it is good practice to quote the full reference at the end of each quotation, thus:

The work on middle management in schools is growing, and in particular there is a range of work that shows the pluralism in this part of the organisational structure. The growth of teaching assistants is a key feature that is beginning to be researched and the evidence so far shows that the span of control by the middle manager is growing wider. (Rutherford *et al*, 1999, p 64)

This could eliminate a great deal of work and heartache when you are reading your final draft!

From reading the drafts of your theses, just to repeat this advice! The one thing we did not do clearly enough is the quoting of references in the text, so here goes for starters. You can say:

As Rutherford (2003) has argued ...

or

It has been argued (Rutherford, 2003) that ... [notice the comma]

If you are quoting two sources then use:

It has been argued (Rutherford, 2003; Gunter, 2004) that ... [notice the semi-colon]. Just a thought, is it better to list these references in chronological order (I prefer this) or alphabetical order?

If you use a quotation then you must include the page number(s), we prefer:

Rutherford (2003) argues that "Life is wonderful" (p 12) [Note the use of quotation marks in the text and place the page number at the end of the quotation].

If you use long quotations then indent these, and have then single spaced. There is no need for quotation marks. If you miss a bit out of a long quotation then use three full stops ... between the sections. Don't use *ibid*, this will cause you problems later as you cut and paste sections around. Use *et al* in the text (for three or more authors) but you must quote the full list of authors

(and the full title of the journal) in the list of references at the end. Only include the references you have quoted in the text and check they are all there! It's not a bibliography of everything you have looked at.

References

Bell, J. (1999) *Doing Your Research Project*, Third Edition, Buckingham: Open University Press. A key book for first-time researchers. Then move on to Denscombe (2003).

Brown, M. and Rutherford, D. (1998) "Changing roles and raising standards: new challenges for heads of department" *School Leadership & Management*, Vol 18, No 1, pp 75-88.

Buzan, T. (1974) *Use your Head*. London: British Broadcasting Corporation. (The latest edition of this very popular book was published in 2003 by BBC Worldwide Ltd.)

Clandinin, D. J. and Connelly, F. M. (1991) "Narrative and story in practice and research", in Schon D (ed.) *The Reflective Turn. Case Studies in and on Educational Practice*. New York: Teachers College Press. pp 258-81.

Clarke. S and Wildy. H (2004) "Context counts: viewing small school leadership from the inside out" *Journal of Educational Administration*, Vol 42, No.5, 555-572.

Coe, R. (2000) *What is an 'Effect Size'?*
www.cem.dur.ac.uk/ebeuk/research/effectsiz/ESbrief.htm Accessed on 17th January 2001

Cohen, L. and Manion, L. (1994) *Research Methods in Education* (Fourth Edition), London: Routledge.

Connelly, F. M and Clandinin, D.J. (1990) "Stories of experience and narrative inquiry" *Educational Researcher*, Vol. 19, No. 4, 2-14.

Davies, L. (1999) *Distance Education in Research Methodology. Ways of Doing Research. Unit One. Researching a Theory*, Birmingham: School of Education and Continuing Studies.

Denscombe, M. (2003) *The Good Research Guide*, Second Edition, Maidenhead: Open University Press. See Chapter 7 entitled Phenomenology, particularly the North American version, pp 103-105.

Eisner, E. W. (1998) *The Enlightened Eye: Qualitative Inquiry and the Enhancement of Educational Practices*. NJ, USA: Prentice-Hall,.

Flinders, D. J. and Eisner, E. W. (1994) "Educational criticism as a form of qualitative inquiry" *Research in the Teaching of English*, Vol. 28, No. 4, 341-57.

Gorard, S. (2001) *Quantitative Methods in Educational Research. The role of numbers made easy*, London: Continuum.

Gunter, H. (1999) "Adding Value. The role of LEA appraisal co-ordinators in the implementation of teacher appraisal 1991-1996" *Educational Management & Administration*, Vol 27, No 4, pp 375-378.

Gunter, H. and Ribbins, P. (2003) "The field of educational leadership: studying maps and mapping studies" *British Journal of Educational Studies*, Vol. 51, No. 3, pp 254-281.

Grace, G. (1997) "Critical leadership studies" in Crawford, M., Kydd, L. and Riches, C. (eds.) *Leadership and Teams in Educational Management*, Buckingham: Open University Press.

Grace, G. (2000) "Research and the challenges of contemporary school leadership: The contribution of critical scholarship" *British Journal of Educational Studies*, Vol. 48, No. 3, pp 231-247.

Gronn, P. and Ribbins, P. (1996) "Leaders in context: Postpositivist approaches to understanding educational leadership" *Educational Administration Quarterly*, Vol. 32, No. 3, pp 452-473.

Habermas, J (1971) *Towards a Rational Society: Student protest, science and politics*. Translated by Shapiro, J J (1987) Cambridge: Polity Press.

Hartley, D (2005) Paradigms and leadership research. Research paper presented to the EdD Leaders and Leadership programme, January 2005. School of Education, University of Birmingham.

Hartley, D. (2007) Leadership studies and 'theory'. Research paper presented to the EdD Leaders and Leadership programme, January 2007. School of Education, University of Birmingham.

Huberman, A. M and Miles, M. B. (2002) *The Qualitative Researcher's Companion*. London: Sage Publications.

Joyce, B., Calhoun, E. and Hopkins, D. (1999) *The New Structure of School Improvement. Inquiring schools and achieving students*, Buckingham: Open University Press. See Chapter 6 entitled Connecting to the knowledge base: finding curricular and instructional options, pp 83-87.

Lincoln, Y and Guba, E. (1986) "But is it rigorous? Trustworthiness and authenticity in naturalistic evaluation" in Williams, D D (ed.) *Naturalistic Evaluation*. San Francisco, CA:

Miles, M. B. and Huberman A M (1994) *Qualitative Data Analysis*. Second Edition. London: Sage Publications.

Pallant, J. (2005) *SPSS Survival Manual. A step by step guide to data analysis using SPSS versions 12* (Second Edition), Buckingham: Open University Press.

Pring, R. (2001) "The virtues and vices of an educational researcher" *Journal of Philosophy of Education*, Vol. 35, No. 3, pp 407-421.

Riessman, C. K. (2002) "Narrative Analysis" in Huberman, A. M and Miles, M. B (eds.) *The Qualitative Researcher's Companion*. London: Sage Publications. pp 217-270.

Ribbins, P. (2003) "Biography and the study of school leader careers: towards a humanistic approach" in Brundrett, M., Burton, N. and Smith, R. (eds.) *Leadership in Education*, London: Sage.

Ribbins, P. and Gunter, H. (2002) "Mapping leadership studies in education. Towards a typology of knowledge domains" *Educational Management & Administration*, Vol. 30, No. 4, pp 359-385.

Thomas, G. (1998) "The myth of rational research" *British Educational Research Journal*, Vol. 24, No. 2, pp 141-161.

Thomas, G. (2002) "Theory's spell – on qualitative inquiry and educational research" *British Educational Research Journal*, Vol. 28, No. 3, pp 429-434.

Thomas, G. and James, D (2006) "Reinventing Grounded Theory: Some questions about theory, ground and discovery" *British Educational Research Journal*, In press.

Trochim, W. M. (2002) *Positivism and Post-Positivism*.

www.socialresearchmethods.net/kb/positvsm.htm. Accessed on 18 July 2004.

Wallace, M. (2003) "Managing the unmanageable? Coping with complex educational change" *Educational Management & Administration*, Vol. 31, No. 1, pp 9-29. See pp 16-17.

Wallace, M. and Poulson, L. (eds.) (2003) *Learning to Read Critically in Educational Leadership and Management*, London:Sage.

EdD Students: Publications

Rowland, K. (2002) "Effective leadership and service improvement in contemporary educational psychology services: modernize, demonstrate quality or be privatized" *Educational Management & Administration*, Vol. 30, No. 3, pp 275-291.

Gunter, H., Brodie, D., Carter, D., Close, T., Farrar, M., Haynes, S., Henry, J., Hollins, K., Nicholson, L. and Walker, G. (2003) "Talking leadership" *School Leadership & Management*, Vol. 23, No. 3, pp 291-313.

Taysum, A. (2003) "In search of the holistic leader" *Management in Education*, Vol. 17, No. 5, pp 9-12.

McGrath, J. (2005) "Leading in a Managerialist Paradigm: a survey of perceptions within a faculty of education" *Management in Education*, Vol. 18, No. 4, pp 17-22.

Woolford, P. (2005) "Changing times for FE leaders" *Management in Education*, Vol. 19, No. 4, pp 19-23.

Bizley, S. (2006) "The legacy of performance management" *Managing Schools Today*, Vol. 16, No. 1, pp 38-42.

Bradbury, L. and Gunter, H. (2006) "Dialogic identities: the experiences of women who are headteachers and mothers in English primary schools" *School Leadership & Management*, Vol. 26, No. 5, pp. 489-504.

EdD Students: Theses

These theses can all be found in the Library but, in addition, some (Feeney, Inman, Lagor, McGrath, Moore and Woolford) can be found on the website for the EdD programme at:

http://www.education.bham.ac.uk/programmes/research/leaders_and_leadership.shtml

Stephen Bizley (2003) Performance management and the 1998 Green Paper: implications for leadership

Lynne Bradbury (2004) A study of women who are headteachers and mothers

Yuk Yee Chiu (2008) Helping and hindering? How educational leaders affect the overseas student learning experience.

Malcolm Davies (2001) The headmaster tradition revisited: a comparative study of public school headship in the Victorian era and the present day.

Mary Dunne-Thomas (2008) Testing times.

Cathy Feeney (2004) The making of Catholic Headteachers in Birmingham and the North East

Eilis Field. Small primary schools: Should we have faith in their leadership? An exploration of servant leadership in small Catholic primary Schools. To be submitted in 2008.

Sandra Fitzgibbon (2007) Shaping the leader's role and professional identity of Mental Health Nurse Consultants in the National Health Service

Kay Fuller (2008) Birmingham secondary school headteachers: what are the similarities and differences between women and men?

Alan Kirsz (2007) An investigation into the knowledge and understanding of leadership amongst adult role incumbents in a voluntary sector organisation providing informal education for young people: the Scout Association in a case study city

Margaret Lagor (2007) Partners not competitors: the developing role of the senior administrators in academic units in UK Universities in the early 21st century

Catherine Inman (2007) The journey to leadership: a study of how leader-academics in higher education learn to lead

Sharon Menghini (2007) Perceptions on the management of change in Children's Services in light of the Children Act 2004: A case study

James McGrath (2004) Leading in a managerialist paradigm: a survey of perceptions within a Faculty of Education.

Tessa Moore (2008) Primary strategy learning networks: a local study of a national initiative.

Mazda Jenkin (2004) In the eye of the storm: selected secondary headteachers and their experience of OFSTED's failure category of serious weaknesses.

Kevin Rowland (2008) A national study investigating the role of the principal educational psychologist emphasising the exploration of leadership.

Alison Taysum (2006) A survey of the learning journeys of school leaders doing the Doctorate of Education in England.

Pat Woolford (2004) Changing times for FE leaders: and investigation into the impact of the first two years of the Learning and Skills Council upon the leadership of ten further education principals.

FORM EC2 FOR POSTGRADUATE RESEARCH (PGR)
STUDENTS
MPHILA, MPHILB, MPHIL/PHD, EDD, PHD

This form MUST be completed by ALL students studying for postgraduate research degrees and can be included as part of the thesis even in cases where no formal submission is made to the Ethics Committee. Supervisors are also responsible for checking and conforming to the ethical guidelines and frameworks of other societies, bodies or agencies that may be relevant to the student's work.

Tracking the Form

- I. Part A completed by the student
- II. Part B completed by the supervisor
- III. Supervisor refers proposal to Ethics Committee if necessary
- IV. Supervisor keeps a copy of the form and send the original to the Student Research Office, School of Education
- V. Student Research Office – form signed by Management Team, original kept in student file.

PART A: TO BE COMPLETED BY THE STUDENT

NAME:

COURSE OF STUDY (MPhil; PhD; EdD etc):

POSTAL ADDRESS FOR REPLY:

CONTACT TELEPHONE NUMBER:

EMAIL ADDRESS:

DATE:

NAME OF SUPERVISOR:

PROPOSED PROJECT TITLE:

BRIEF OUTLINE OF PROJECT: (100-250 words; this may be attached separately)

MAIN ETHICAL CONSIDERATION(S) OF THE PROJECT (e.g. working with vulnerable adults; children with disabilities; photographs of participants; material that could give offence etc):

RESEARCH FUNDING AGENCY (if any):

DURATION OF PROPOSED PROJECT (please provide dates as month/year):

DATE YOU WISH TO START DATA COLLECTION:

Please provide details on the following aspects of the research:

1. What are your intended methods of recruitment, data collection and analysis? **[see note 1]**

Please outline (in 100-250 words) the intended methods for your project and give what detail you can. However, it is not expected that you will be able to answer fully these questions at the proposal stage.

2. How will you make sure that all participants understand the process in which they are to be engaged and that they provide their voluntary and informed consent? If the study involves working with children or other vulnerable groups, how have you considered their rights and protection? **[see note 2]**

3. How will you make sure that participants clearly understand their right to withdraw from the study?

4. Please describe how you will ensure the confidentiality and anonymity of participants. Where this is not guaranteed, please justify your approach. **[see note 3]**

5. Describe any possible detrimental effects of the study and your strategies for dealing with them. **[see note 4]**

6. How will you ensure the safe and appropriate storage and handling of data?

7. If during the course of the research you are made aware of harmful or illegal behaviour, how do you intend to handle disclosure or nondisclosure of such information? **[see note 5]**

8. If the research design demands some degree of subterfuge or undisclosed research activity, how have you justified this and how and when will this be discussed with participants?

9. How do you intend to disseminate your research findings to participants?

PART B: TO BE COMPLETED BY THE SUPERVISOR

1. Have the appropriate guidelines from relevant research bodies / agencies / societies (e.g. BERA, BPS, SRA, Research Governance Framework, Data Protection Act, Freedom of Information Act) been checked and applied to this project?

Yes

Not applicable

If Yes, which:

2. If relevant, have you ensured that the student holds a current Criminal Records Bureau check for the participants they will be working with during their research project? **[see note 6]**

Yes

Not applicable

If not applicable, please state why:

3. Have you seen information and consent forms relevant to the present research project? [if not relevant at this time, please review this within 6 months]

Yes

No

4. Is a referral to the Ethics Committee necessary?

Yes

No

5. Do you require a formal letter of approval from the Ethics Committee?

Yes

No

Not applicable

Declaration by Project Supervisor

I have read the University's Code of Conduct for Research and the information contained herein is, to the best of my knowledge and belief, accurate. I am satisfied that I have attempted to identify all risks related to the research that may arise in conducting this research and acknowledge my obligations as Project Supervisor and the rights of participants. I am satisfied that those working on the project have the appropriate qualifications, experience and facilities to conduct the research set out in the attached document and that I, as Project Supervisor, take full responsibility for the ethical conduct of the research in accordance with the School of Education Ethical Guidelines, and any other condition laid down by the School of Education Ethics Committee.

Print name:

Signature:

DECLARATION BY THE CHAIR OF THE SCHOOL OF EDUCATION ETHICS COMMITTEE (ONLY TO BE COMPLETED IF MAKING A FORMAL SUBMISSION FOR APPROVAL)

The Committee confirms that this project fits within the University's Code of Conduct for Research and I approve the proposal on behalf of the University of Birmingham's School of Education Ethics Committee.

Print name:
(Chair of the Ethics Committee)

Signature:
Date

Date:

SUPERVISOR – PLEASE KEEP A COPY OF THIS FORM FOR YOUR RECORDS AND SEND THE ORIGINAL TO THE STUDENT RESEARCH OFFICE, SCHOOL OF EDUCATION.

Date sent to Student Research Office:

STUDENT RESEARCH OFFICE – PLEASE OBTAIN SIGNATURE FROM MANAGEMENT TEAM AND RETAIN ORIGINAL IN STUDENT FILE

Date Form Received:

PRINT NAME:

SIGNATURE

For and on behalf of
Student Research
Office

DATE:

