**Transformational Classroom Leadership and Workplace Engagement:**

**Exploring the Relationship**


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**requirements for the degree of Doctor of Professional Studies**


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## Dedication

This work is dedicated to my mother, Josie.

## Disclaimer

The views expressed in this document are mine, and are not necessarily the views of my supervisory team, examiners, or Middlesex University.

## Projects undertaken during the DProf

## Full papers

Pounder, J.S., Stoffell, P.G. and Choi, K.Y. (in review) 'Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship in Hong Kong', *Education Management and Administration*, SAGE.

## Poster presentations

Stoffell, P.G. (2015) 'Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship'**.** Middlesex University celebrates the achievements of their Hong Kong Doctoral Students, 10 November 2015: Kowloon, Hong Kong.

## Reports

Stoffell, P.G. (2016) 'Transformational Teaching and Engagement at Work: Project Report', Centre for the Advancement of Outcomes Based Education, Teaching and Learning Centre, Lingnan University, Tuen Mun, Hong Kong.

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# Glossary

This paper uses the following terms and abbreviations.

| Term | Definition |
|------|------------|
| AGS | Australian Graduate Survey |
| AUSSE | Australian Survey of Student Engagement |
| CEQ | Course Experience Questionnaire |
| CTLQ | Classroom Teacher Leadership Questionnaire |
| GWA | Gallup's Q$^{12}$® Workplace Audit instrument |
| HE | Higher Education |
| LASSI | Learning and Study Strategies Inventory |
| LTDP | Learning and Teaching Development Programme |
| MAI | Metacognitive Awareness Inventory |
| MLQ | Multifactor Leadership Questionnaire |
| MOOCs | Massive Open Online Courses |
| MSLQ | Motivated Strategies for Learning Questionnaire |
| MDX | Middlesex University |
| OECD | Organization for Economic Co-operation and Development |
| OIAAA | Office of Institutional Advancement and Alumni Affairs (Lingnan University) |
| ORS | Office of Research Support (Lingnan University) |
| PAP | Programme Approval Panel (Middlesex University) |
| P/G | Postgraduate |
| SoTL | Scholarship of Teaching and Learning |
| TCL | Transformation Classroom Leadership |

| | |
|---|---|
| TLC | Teaching and Learning Centre (Lingnan University) |
| U/G | Undergraduate |
| UGC | University Grants Commission (Hong Kong) |

# Abstract

In the global higher education (HE) environment characterised by rising accountability, fiscal pressures, fierce competition for student placements and increasing expectations for successful graduate employment, academic teaching proficiency continues to generate increasing amounts of attention among researchers. Given the critical importance of teaching styles and models in terms of meeting these expectations, and crucially those of students, to what extent does the concept of the 'caring professor' contribute to the longer-term satisfaction of students in subsequent work settings after graduating? Can the behaviours exhibited by the 'caring professor' be attributed to transformational leadership behaviours of teaching academics? And can any association be found between the students' experiences of the behaviours of the 'caring professor' and their subsequent workplace engagement?

This study, carried out in a Hong Kong higher education institution (HEI), explored the extent to which the idea of the 'caring professor' could be explained by the notion of transformational classroom leadership by examining the relationship between transformational classroom leadership and workplace engagement. Acting in a role of internal practitioner/researcher, I adapted the Multifactor Leadership Questionnaire (MLQ) to measure transformational leadership in this HEI and examined the extent to which undergraduate and postgraduate cohorts perceived they experienced transformational leadership among teaching academics while completing their studies. In a series of cross-sectional surveys, alumni cohorts from years 2011-15 in the HEI were surveyed to retrospectively rate perceptions of transformational leadership among teaching academics, using a modified, 10-item instrument, and concurrently, cohorts' levels of workplace engagement using a proprietary instrument.

Findings indicated that, in the specific context, transformational leadership behaviours among teaching academics were reportedly observed in the instructional setting, and a positive relationship was established between alumni experience of transformational classroom leadership and subsequent workplace engagement. The hypothesis that the 'caring professor' exhibits transformational leadership behaviours was found to be plausible. Within its limited scope, the study provides a basis for further investigation of specific forms of behavioural assessment and associated professional development frameworks within the HE environment.

# Chapter 1 – Introduction

## 1.1 – Background

### The Gallup-Purdue Index findings

In May 2014, a US News article was headlined *'Gallup: College Type Has Little to Do with Success'* (Bidwell, 2014). The article's sub-heading was of particular interest:

> 'Just having one inspiring professor can double a graduate's odds of being engaged at work'.

The source document of the study, entitled the *Gallup-Purdue Index* (2014), Bidwell (2014), offers the following observation:

> 'If an employed graduate had a professor who cared about them as a person, one who made them excited about learning, and had a mentor who encouraged them to pursue their dreams, the graduate's odds of being engaged at work more than doubled.' (Gallup Inc. and Purdue University, 2014, p. 7)

The Gallup-Purdue Index set out to identify the relationship, if any, between people's expectations and experiences during their college years and the probability of subsequently landing a good job and having a happy life. The Gallup study emerges as an examination of the perceived 'value' of a college degree by fee-paying students and their subsequent employers in an environment of neoliberalism, and the employability of graduates. Equally, given the power of alumni associations as a source of revenue-raising for some institutions in an increasingly competitive higher education environment, the Gallup report combines the element of critique of the dominant neoliberal discourse with the element of producing something of instrumental value, and in addition, presents as an excellent marketing vehicle for both the named institution and the proprietary instrument.

The survey measured three key aspects of graduates' lives: their undergraduate college experiences; their current well-being; and their current level of workplace engagement. A fourth, minor, aspect was also measured: their ongoing attachment and loyalty to their respective institutions.

To measure their undergraduate college experiences, the *Gallup* survey asked questions about three aspects of their undergraduate years at college: the support they received; experiential and deep learning experiences with their professors; and their institutions' learning pedagogies.

The alumni's current well-being was determined using the *Gallup Health-Wise Well-Being 5 View*[1], which asks questions based on five elements of well-being:

- Purpose Well-Being: Liking what you do each day, and being motivated to achieve your goals.

- Social Well-Being: having strong and supportive relationships and laughter in your life.

- Financial Well-Being: effectively managing your economic life to reduce stress and increase security.

- Community Well-Being: a sense of engagement with your place of residence, liking where you live, feeling safe where you live, having a sense of pride in your community.

- Physical Well-Being: having good health and enough energy to get things done on a daily basis.

Each response was categorised as *thriving*, *struggling*, or *suffering.*

Their level of workplace engagement was determined using the Gallup Q[12]® workplace audit instrument (GWA). Based on their responses to the 12 elements of the instrument, responders were categorised as *engaged*, *not engaged*, or *actively disengaged*.

Their level of ongoing attachment to their alma mater was based on the success of institutions maintaining a healthy and ongoing relationship with their previous 'customers'.

Only 11% of the surveyed alumni were rated as *thriving* in all five elements of well-being.

Alumni who were rated as *engaged* in their workplace were nearly five times more likely to rate as *thriving* across all the five well-being metrics (Gallup Inc. and Purdue University, 2014, p. 7).

Questions about their relationships with their college professors identified that only 14% of respondents agreed with all of the following three statements:

- I had at least one professor at college who made me excited about learning.

- My professors at college cared about me as a person.

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[1]   Further information on the Gallup Health-Wise Well-Being 5 View can be found at
http://www.gallup.com/poll/128186/Gallup-Healthways-Index-work.aspx

- I had a mentor who encouraged me to pursue my goals and dreams.

An even darker picture emerged about the respondents' experiences of quality, experiential learning events, as only 6% of respondents acknowledged experiencing all three of the following:

- I worked on a project that took a semester or more to complete.

- I had an internship or job that allowed me to apply what I was learning in the classroom.

- I was extremely active in extra-curricular activities and organisations while attending College (Gallup Inc. and Purdue University, 2014, p. 10).

There were definitive links between the alumni's ongoing attachment to their institution, heightened well-being, and enhanced workplace engagement (Gallup Inc. and Purdue University, 2014, p. 17).

Of particular interest to my investigation into the influence that the 'caring professor' has on graduates' outcomes, was the finding that 48% of the graduates who indicated an ongoing attachment to their alma mater recalled the positive influence of a professor who cared about them as a person, made them excited about learning, and encouraged them to pursue their dreams.

In 2015, a second Gallup-Purdue Index was published, which focused on the relationship between student debt, learning experiences, and graduates' perceptions of the worth of their college experience. The research methodology was enhanced by the use of the Ten Item Personality Inventory (TIPI) (Gosling et al., 2003), which was able to factor in the potential effect of each graduate's personality type. The study found that each of the experiences addressed in the *Big Six* (Seymour and Lopez, 2015) 'continues to have a statistically significant relationship with long-term life outcomes, regardless of graduates' personality dimensions, indicating that these experiences are beneficial to all college graduates' (Gallup Inc. and Purdue University, 2015, p. 18). The importance of the interpersonal relationships with their professors again featured prominently in responses.

In a salutatory lesson for higher education leaders who are considering strategies that will increase the value of college experiences for students, Gallup offers the following advice to the higher education community: 'in the longer run, it may mean shifting the institution's culture to give faculty members more incentive to hone their teaching practices or to make

a talent for engaging students in supporting learning outcomes a more important part of hiring criteria for educators' (Gallup Inc. and Purdue University, 2015, p. 9). While the Gallup study arguably presents a rather restrictive notion of success tied to the achievement of objectives, Yorke (2016) purports that, within the UK higher education environment, success may also be linked to the more holistic engagement of students through the 'hidden curriculum' of personal achievement that engenders a sense of belonging within the higher education environment.

In the higher education sector, there is an ongoing debate, mixed with a great deal of scepticism, about the attributes and competencies required by students and higher education teachers (Hattie and Marsh, 1996; Salvatori, 2002; Chambliss, 2015), and it is here that the findings of the Gallup studies offer the most promise. Rather than providing a 'kitchen list' of specific, desirable outcomes in students, the Gallup studies emphasise that it is the specific characteristics and behaviours of university teachers that may result in a level of work engagement that, in turn, results in improved organisational performance. The emphasis is not on the students' outcomes, nor the professors' behaviours in isolation: the Gallup study is based on the assumption of the relationship between the two.

However, beyond using the vague term of the 'caring professor', the Gallup reports did not specify the actual teaching behaviours that have an influence on college graduates in terms of the extent to which they become engaged workers. Hence, the opportunity for this research project arose.

This project drew on the concepts of transformational leadership and its potential within the higher education setting in Hong Kong which have been previously examined by Pounder (2005), and the relationship between three key transformational leadership behaviours and workplace engagement which were examined during the 2014 Lingnan University Alumni Survey.

## Lingnan University Business School Study (2005)

An earlier examination of transformational leadership of teaching in a Hong Kong university (Pounder, 2006) to establish the existence of transformational leadership behaviours in the Business School's teaching academics was based on the assumption that it is possible to conceive of a university classroom as a quasi-organisation with teachers as leaders and students as followers. Pounder's study was carried out in the Business School of Lingnan University, and focused on the Strategic Management course in the school's Bachelor of

Business Administration (BBA) programme, which was its major undergraduate offering. As the validity and reliability of measurement in the study relied on the development of a psychometrically sound classroom leadership, the instrument developed for data collection was based on the Multifactor Leadership Questionnaire (MLQ) Form 5X Short[2] (Bass and Avolio, 2000). Its wording was modified for a university setting and then scrutinised by senior university academics in the field of educational research who had a special interest in transformational-transactional leadership. A further review by a university academic, well respected in the field of teaching English language, resulted in further modifications that accommodated Hong Kong's cultural context. In developing a Chinese language component, Brislin's (1993) back translation procedure was used to ensure valid and reliable translations.

Subsequent confirmatory factor analysis (Joreskog and Sorom, 2002) and Cronbach's alpha scores (Cronbach, 1951) confirmed that the instrument developed for Pounder's study retained the integrity of the original leadership model and was therefore capable of valid and reliable measurement. Although the study's data collection and analysis has aged, in light of specific data gained in the Lingnan University Alumni survey (2014), the results of this study indicated the value of effective classroom leadership in a higher education setting, and generally confirmed the positive association between transformational classroom leadership and positive graduate outcomes. These findings are consistent with a substantial body of findings that suggests that subordinates view transformational leadership as effective and as having a positive influence on motivation, commitment and extra effort.

As the Full Range (transformational-transactional) Leadership offers a useful benchmark method for assessing the quality of such leadership, the instrument developed for the Hong Kong study provided an effective way of assessing the extent to which a particular university teacher displays the transformational style, and provided behavioural examples that can be used to develop academic staff.

## Lingnan University Alumni Survey (2014)

An indicative relationship between the notion of a 'caring professor' and 'engagement in the workplace' was established during the annual survey of Lingnan alumni in 2014 (as

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[2]  Reproduced with special permission of the publisher, Mind Garden, Inc., 1690 Woodside Road No. 202, Redwood City, CA 94061 USA, www.mindgarden.com . Derived from the Multifactor Leadership Questionnaire for Research by Bernard M. Bass and Bruce J. Avolio. Copyright 1995, 2000 by Bernard M. Bass and Bruce J. Avolio. All rights reserved.

shown in *Figure 1:  Lingnan Alumni Survey 2014 – Overall: Other Learning Experiences)*, one section of which contained the following questions that sought to establish the relationship between graduates' experiences at Lingnan and their current levels of engagement in their workplace.

*Q27. I had at least one professor at Lingnan who cared about me as a person, who made me excited about learning, and encouraged me to pursue my dreams.*

*Q28. I am highly engaged and motivated at work.*
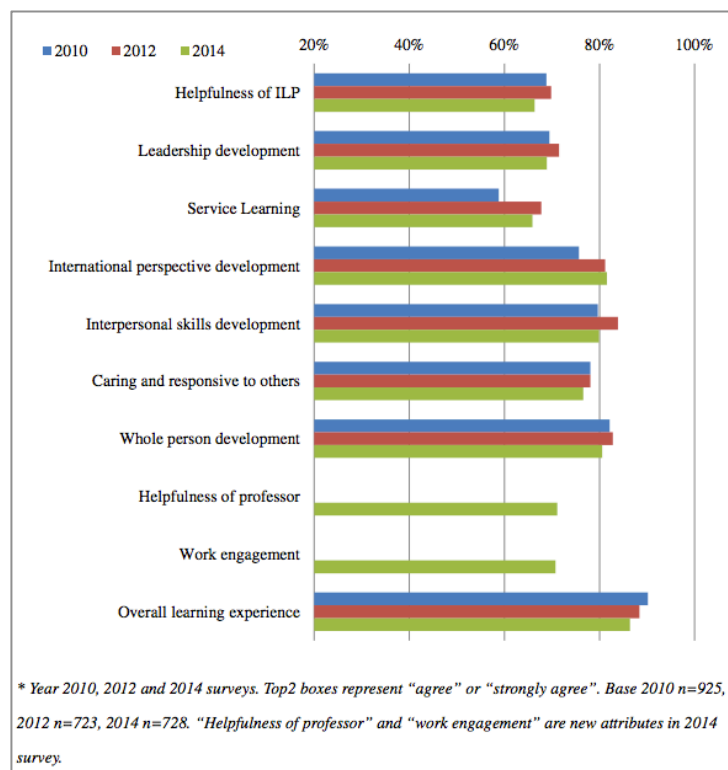


*Figure 1:    Lingnan Alumni Survey 2014 – Overall: Other Learning Experiences*

The survey findings revealed a statistically significant outcome with a Spearman's rho correlation coefficient = 0.576 ($p < 0.001$), providing a positive indicative relationship between the 'caring professor' at Lingnan and the level of workplace engagement. While 'helpfulness of the professor' and 'work engagement' were new attributes in the 2014 survey (and therefore there is no capacity to analyse any changes in perceptions from previous years' results), the strong relationship between the two becomes apparent when making comparisons between the university faculties, as shown in *Figure 2: Lingnan Alumni Survey 2014 - Faculty Differences*.
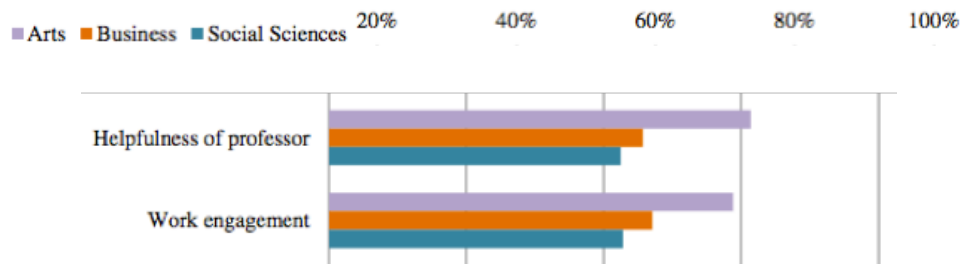
*Figure 2:    Lingnan Alumni Survey 2014 - Faculty Differences*

## 1.2 – Context

### Introduction

As previously discussed, this research project builds on an earlier research project that explored transformational leadership in the classroom (Pounder, 2005), and a later examination of an indicative relationship between the reported transformational leadership experiences of Lingnan University alumni and their perceptions of their workplace engagement (Lingnan University Alumni Survey, 2014). The earlier work of Pounder (2005) examined the existence of transformational leadership behaviours amongst the teaching faculty of the Lingnan University Business School, using an MLQ survey instrument adapted to the higher education environment. The MLQ instrument was subsequently readapted for use in this research project through comprehensive validity and reliability processes.

Coincidentally, the Alumni Survey was scheduled for its annual release at the same time the results of the 2014 Gallup-Purdue Index were published, so it was determined by the university that questions linking the three criteria of the 'caring professor' and workplace engagement would be included in the survey for the first time. The results in the Hong Kong setting indicated a surprisingly positive relationship between the 'caring professor' and workplace engagement, and thus the impetus for funding and resourcing this investigation.

### Focus on university teaching

The 2014 and 2015 Gallup studies are significant because in recent years the spotlight has fallen increasingly on the quality of university teaching. Due to global changes in educational strategies and policies, more students from comparatively socially disadvantaged circumstances are moving into higher education, and are therefore arguably far less prepared for the challenges of undergraduate studies, possibly making them 'candidates for remediation', not education, as asserted by Hersh and Merrow, (2015). Arum and Roska

(2011, 2012), reporting on a study of the capability development of USA graduates after completing a four-year degree, found that a significant proportion of them had failed to achieve substantial 'value-added' development in areas such as complex reasoning, writing skills, and critical thinking.  Kandiko and Mawer (2013) highlight similar outcomes in Britain and claim a general concern with the quality of teaching in the British higher education environment. In the Australian context, Norton et al. (2013) assert the importance of developing 'good teachers' who will be able to help such students not only succeed, but flourish in higher education.

Wild and Berger (2016) argue that the current implementation of the Teaching Excellence Framework (TEF) in the UK is well overdue. They outline the long-standing imbalance resulting from focussing resources on the development and implementation of a succession of initiatives for higher education research, which has been to the detriment of teaching and learning scholarship.

It has been argued that the equivalent imbalance in Australian universities is equally problematic, possibly due to the knock-on effects of massification and widening participation. Norton et al. (2013, p. 1), commenting on the impact of prioritising research over teaching, conclude that Australian students 'rarely reported being pushed to do their best work, are often not actively participating in classes, and have little interaction with academic staff outside of class'.

The issue of the inherent quality of higher education teaching has been recognised on a global scale. A recent report commissioned by the Organization for Economic Co-operation and Development (OECD) to examine the standard of university teaching, conveyed a note of concern to the higher education sector in general:

> 'Quality teaching in higher education matters for student learning outcomes. But fostering quality teaching presents higher education institutions with a range of challenges at a time when the higher education sector is coming under pressure from many different directions. Institutions need to ensure that the education they offer meets the expectations of students and the requirements of employers, both today and for the future.' (Hénard and Roseveare, 2012, p. 3)

This presents a paradox: employers are seeking the next generation of critical and innovative thinkers, yet arguably, to meet that requirement, the students need to be disruptive of the status quo. This paradox presents yet another unique challenge to the higher education sector. This intense scrutiny of the quality and standard of university teaching is inevitable, given the increased private funding of higher education, achieved

mainly from charging tuition fees, and the high cost of such fees. Accordingly, Gibney (2013), examining the transforming face of global education and writing for *Times Higher Education*, notes that between 2000 and 2009, a 7% increase in university funding from private sources was primarily sourced from students' tuition fees. Gallup (2015) reports that, since the 1980s, the average cost of education has outstripped the rate of inflation, and that the cost of this tuition is rising dramatically.

This is demonstrated by the fact that in the USA, to take just one example, between 2003 and 2013, college tuition rose by 79.5% compared to a 26.7% increase in the consumer price index for the same period (Kurtzleben, 2013). Norton and Cherastidtham (2015) contend that a similarly challenging economic environment exists across the Australian higher education landscape, and this was confirmed in a subsequent report (Norton and Cakitaki, 2016). Furthermore, in 2012, *The Economist* reported that 'rising fees and increasing student debt, combined with shrinking financial and educational returns, are undermining at least the perception that university is a good investment' (*The Economist*, 2012).

That a university education is a worthwhile investment, offering the promise of employment and future security appears to be a diminishing dream for prospective Australian graduates (Carroll and Norton, 2015). An uncertain future labour market, increased numbers of people completing degrees, and the resulting increased competition for graduate jobs, means that lower rates of full-time employment are predicted (Carroll and Norton, 2015). The Australian Graduate Survey (AGS) revealed that one-third of recent graduates seeking full-time work in 2014 were still looking for work four months after completing their studies (Carroll and Norton, 2015).

The question this raises is: does the significant financial investment required to complete a degree at one of Australia's highly regarded 'sandstone' universities, which may result in years of postgraduate repayment of a student loan, bring with it any guarantee of employment? Interestingly, after controlling for gender and course studied, the type of university attended did not significantly affect graduates' probability of having a job within four months of course completion (Carroll and Norton, 2015).

In an environment characterised by rising accountability and fierce competition for graduate employment, higher education providers are being challenged to improve their graduates' potential to successfully transition to employment. Statements of graduate qualities are commonplace at many institutions and are often used in marketing the institution, despite the flaws in how generic attributes are often described, seemingly taught, and assessed

(Hager and Holland, 2006). Despite the claims of these institutions, employers continue to report that graduates are underprepared for the world of work and lack some of the basic skills needed to be successful in their employment (Ackoff, 1990). Self-reporting by graduates also indicates a widespread lack of engagement with development that would make them more employable (Tymon, 2011). Little wonder, then, that the quality of academic teaching is generating such an increasing amount of discussion and attention (Quinlan, 2014).

As reported by Ramsden (1998, p. 3), the issues confronting providers of higher education are ever-changing, complex, and challenging:

> 'Everyone who works in a university knows just how troublesome these days are. There is no prospect of them becoming any easier in our lifetimes. It is idle to pretend that the growing pressures placed on universities in the last few decades by governments, employers and students will abate. We face an almost certain future of relentless variation in a more austere environment. There will be more competition for resources, stronger opposition from new providers of higher education, even more drastically reduced public funding. There will be even greater pressure to perform and be accountable combined with the challenges of new forms of learning, new technologies for teaching, and new requirements for graduate competence. Underlying all this is deep uncertainty about the proper role and functions of different universities in systems of mass higher education. And to complete the picture, these changes and uncertainties must be managed through the medium of an academic workforce whose confidence and spirit have been severely degraded.'

This complex web of stakeholders, responsibilities, anxieties, and expected deliverables can all be categorised as a cluster of emerging accountabilities for providers of higher education. In most cases, universities are accountable to the government and the public for the management of the public funds they receive for education, and this accountability is incorporated into policy and regulations, and is subject to frequent monitoring. In addition, most institutions aiming to improve their services are using sophisticated analytics to gather, assess and report on 'big-data' (Marr, 2016). The IBM Corporation (2009) proclaimed that 'all types of organizations, from businesses to higher education institutions, share some of the same business reasons for adopting analytics: increasing financial/operational efficiency; expanding local and global impact; establishing new funding models during a changing economic climate; and responding to the demands for greater accountability'.

These analytics are therefore primarily based on integrated business software systems that are designed to capture metrics for the detailed analysis and management of a wide range

of issues such as finance, sales, clients, products, continuous improvement, human resources, and occupational health and safety. However, introducing these to universities has created a 'double discourse' (Kennedy, 2011, p. 211), where, somewhat frustratingly, 'academic staff may well accept the gains in terms of better understanding student learning but they will also be sceptical of the accountability overtones', suggesting that the global movement to a reliance on 'big data' that pervades the higher education sector will be considered by teaching staff as irrelevant for evaluating the 'real' quality of education. Charles (2017) reports on what some may contend is an overly cynical viewpoint argued by Reading (1996), that 'there is a lack of a precise definition of teaching quality for a deliberate reason', significantly that teaching 'excellence' and similar concepts are 'not designed to really observe teaching but to permit the introduction of an integrated system of accounting' (Charles, 2017, p. 3).

Accountability in higher education, with all its inherent opportunities and anxieties, is a consistent and recurring topic in the press and in university literature (Kearns, 1998; Alexander, 2000; Hoecht, 2006; Astin, 2012; Aithal and Kumar, 2015; Aftab and Gibbs, 2015). Arguably, central to this theme is the issue of trust. Billy Joel's 1986 hit song, *A Matter of Trust*[3], while ostensibly addressing the complexity of the human condition, appears to sum up this higher education conundrum, and the apparent groundswell of disenchantment quite well:

> It took a lot for you to not lose your faith in this world
> I can't offer you proof
> But you're going to face a moment of truth
> It's hard when you're always afraid
> You just recover when another belief is betrayed
> So break my heart if you must
> It's always just a matter of trust.

Hoecht (2006) addressed the dilemma that accountability in higher education presents, by exploring the issues of trust and professional autonomy with consideration of the increasing adaptation of modern quality assurance regimes. 'There has been a change from informal "light touch" quality control systems based on local practices and a significant amount of trust and professional autonomy, to a highly prescribed process of audit-based quality control today' (Hoescht, 2006, p. 541). While acknowledging that academics should

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[3] *A Matter of Trust* (1986), written by Billy Joel, from the album *The Bridge,* produced by Phil Ramone, Columbia Records, NY.

unreservedly accept the principles of accountability and transparency, Hoecht cautioned that contemporary, audit-based quality controls introduced a ritualistic, one-way accountability that 'instead of fostering trust, has high opportunity cost and might well be detrimental to innovative teaching and learning' (Hoescht, 2006, p. 541). One of the more insidious outcomes of the movement to 'big data' in higher education has been the rise of occupational stress on teaching academics as they attempt to keep pace with the increasing levels of demands placed on them. Berg and Seeber (2016) purport that these pressures actually counteract the intended outcomes of enhanced teaching and result in reduced teaching quality, along with the potential for increased student disengagement and increased personal stress levels in both the teaching and student cohorts.

Some universities are attempting to clarify their expectations of teachers' performance in higher education by examining the emerging body of evidence-based performance standards (Wills et al., 2013), and developing ways to articulate the theory that quality teaching may influence graduates' attributes and workplace performance (Hager and Holland, 2006). This has also been evidenced internationally by initiatives in several higher education environments timed at improving teaching excellence through government policy reforms and interventions at the institutional levels (Schleicher, 2016).

One response from the higher education sector to the pressure to provide both quality teaching and demonstrable evidence of the impact of this, including students' progression and employability outcomes, has been to focus on the development of measurable, assessable learning outcomes. Over the past ten years, there has been a flurry of activity in researching and articulating 'graduate attributes' that are more closely aligned with the expectations of employers, and on trying to reach broad agreement on how to better develop and assess these traits (Mager and Pipe, 1992; Schaafsma, 1995).

Fundamental to this focus is a widespread desire to show that university teaching produces students who have the knowledge, skills and attitudes that are relevant to the marketplace (Beckett and Hager, 2002; Boud and Garrick, 1999), although there is much debate over the nature of the learning outcomes that are suited to the marketplace. To further muddy the waters, there is ongoing controversy about the value of generic learning outcomes (such as skills in communication, problem-solving, critical thinking, and collaboration) compared to the value of vocational skills (specific skills required for a particular profession or discipline) (Gonczi, 1999; Ulrich and Brockbank, 2005; Ulrich et al., 2008*).*

The results of projects to enhance the 'customer experience' for the students, parents and employers—the key stakeholders of higher education—have, to date, been unclear. Practical answers to the questions about how to deliver the appropriate customer experience (by enhancing teaching, in particular) haven't been conclusively reached. The diversity of possible solutions to these complex issues highlights the opportunity to consider the contributing factors from a different perspective. One of the key issues appears to be a lack of focus on the higher education student, who, amongst a mix of factors, is arguably the principal stakeholder (Harvey and Knight, 1996; Pucciarelli and Kaplan, 2016). However, the potential peril of positioning the student as 'sovereign consumer' is asserted by Nixon et al. (2016), who provide an alternative, and perhaps extreme view, that market ideology in a higher education context amplifies the expression of deeper narcissistic desires and aggressive instincts that appear to underpin some of the student 'satisfaction' and 'dissatisfaction' so crucial to the contemporary marketised higher education institution.

Notwithstanding the commentary concerning the importance and quality of the broader higher education reputation, Harvey and Knight (1996) and Pucciarelli and Kaplan (2016) acknowledge the lack of pragmatic and broadly acceptable solutions to the issue of enhancing university teaching. It is within this setting that recent developments in transformational classroom leadership should be viewed. In the search for a solution, it is not too much of a mental leap to consider leadership in a different environment: for example, Senge (1990), in his seminal work on corporate learning, argues that leaders (*teachers*) are directly responsible for organisational (*classroom)* learning. In addition, Jones (2004) asserts that for organisational (*classroom)* learning to occur effectively, all members (*students*) need to develop a sense of personal mastery and build mental models that challenge them to learn new or improved methods of performing tasks (italicised words added). Therefore, even after minimal scrutiny, one can assume that the qualities observed in transformational leaders are the same as those required from the much-vaunted 'caring professor'.

Hager and Holland (2007) contend that a contemporary focus on the post-graduation transition to work and the role of higher education teaching needs to be considered more comprehensively and coherently as part of a lengthy and interactive research project. Perhaps as a belated acknowledgement of Hager and Holland's call to action, this research project hypothesises that providing transformational leadership in the classroom is one possible way for universities and colleges to improve the quality of teaching and meet students' expectations.

## Transformational classroom leadership

A concept that might answer the question 'what are the attributes of a 'caring professor'?' is that of *transformational classroom leadership*. Studies of the adoption of transformational leadership characteristics—originally developed in a business context (Bass, 1985, 1990; Bass and Avolio 1989, 1994, 2000)—in a variety of learning contexts, including the higher education sector (Bolkan and Goodboy, 2009; Ojode, Walumbwa and Kuchinke, 1999; Pounder, 2008a; 2008b, 2009a; 2009b, 2014), have indicated a range of potential benefits to teachers, as well as confirming in certain circumstances, the potential to influence student outcomes and performance.

Indicating an alignment with Gallup's statements of the 'caring professor' in the *Big Six* (Seymour and Lopez, 2015), the characteristics of transformational leadership, originally described in an industry context, are as follows.

- *Idealized Influence or Charisma*: Leaders provide vision and a sense of mission. They extol the virtues of the vision and display total commitment to it. Leaders emphasise trust: they take a stand on difficult issues, present their own most central values and point out the ethical consequences of decisions. They are admired as role models, and generate pride, loyalty, and confidence, not least because they are able to consider followers' needs over their own. Such leaders create alignment to a shared purpose.

- *Inspirational Motivation*: Leaders are role models for subordinates, communicate a vision in an appealing way and use symbols to focus employees' efforts. They communicate high performance expectations to followers, talk optimistically and with enthusiasm, and provide meaning to what has to be done. Such leaders encourage subordinates to envision, and take ownership of, attractive future states.

- *Individual Consideration*: Leaders coach and mentor, provide continuous feedback, and link employees' needs to the organisation's mission. They consider their subordinates' individual needs, abilities and aspirations. They are advisors, coaches and mentors. Followers are developed to higher levels of capability as a result of new learning experiences. Individual differences in needs and desires are addressed.

- *Intellectual Stimulation*: Leaders stimulate followers to rethink old ways of doing things and to reassess their old values and beliefs. New ideas and creative solutions

are solicited and there is a tolerance for mistakes that may occur in the search for creativity. (Bass and Avolio, 1996)

Results from studies about leadership in the separate disciplines of education and industry tell us that motivation and commitment are essential prerequisites for effective outcomes, which would, across a range of instances, commonly include high levels of engagement, discretionary effort, and satisfaction (Alderfer, 1972).

## Workplace engagement

As it is difficult to find any clear congruence on the definition of the term 'workplace engagement' in the relevant literature, it is worth considering that 'engage' comes from Middle English and its multiple meanings include 'pledging one's life and honour, and charming or fascinating someone so that they become an ally' (Barkley, 2011, p. 5). Coates (2007, p. 122) describes engagement in the higher education environment as 'a broad construct intended to encompass salient academic as well as certain non-academic aspects of the student experience'. In these definitions, we see both a motivational focus, and a suggestion of activity—that things will get done, goals will be achieved, and challenges will be overcome.

Kahn (1990), the originator of the concept, describes workplace engagement as a 'psychological presence at work', and, in contrast to the numerous definitions of the term, there is a clear agreement on the positive organisational benefits attributed to enhanced workplace engagement (Ulrich and Brockbank, 2005; Bolton and Houlihan, 2007; Jacobs, 2012). Accordingly, 'the relationship between engagement and performance at the business/work unit level is substantial and highly generalizable across organisations' (Harter et al., 2013, p. 2).

The emergence of human capital theory in education and training policy has promoted the skills development of graduates to the forefront of debates about global competitiveness (Blackwell and Hyson, 2014). Of particular interest to this research project is the assertion of a growing acceptance of the importance of higher education to the development of graduates' 'soft' workplace skills within a milieu of individual, collective and organisational efficacy (Arum and Roska, 2011; Fearon et al., 2013), along with trust, security and just decision-making (Malinen et al., 2013).

In essence, there has been a significant amount of effort and a significant number of resources given to the study, measurement, and enhancement of workplace engagement

because it has consistently scored poorly on an international scale for a long time. *Table 1: Gallup Worldwide Report on Engagement 2013 – Engagement by Region*, reproduced from a recent Gallup study of worldwide workforce engagement (O'Boyle and Harter, 2013), shows results by region that indicate a global workplace engagement average of just 13% [4].

| Region | Engaged | Not Engaged | Actively Disengaged |
|---|---|---|---|
| United States and Canada | 29% | 54% | 18% |
| Australia and New Zealand | 24% | 60% | 16% |
| Latin America | 21% | 60% | 19% |
| Commonwealth of Independent States and nearby countries | 18% | 62% | 21% |
| Western Europe | 14% | 66% | 20% |
| Southeast Asia | 12% | 73% | 14% |
| Central and Eastern Europe | 11% | 63% | 26% |
| Middle East and North Africa | 10% | 55% | 35% |
| South Asia | 10% | 61% | 29% |
| Sub-Saharan Africa | 10% | 57% | 33% |
| East Asia | 6% | 68% | 26% |

2011-2012

GALLUP

*Table 1:    Gallup Worldwide Report on Engagement 2013 – Engagement by Region*

With an engagement rate of just 6% (less than half of the global average of 13%), East Asia has the lowest proportion of engaged employees in the world. This is predominantly because of the results in China and Hong Kong: in China, just 6% of employees are engaged in their jobs, and in Hong Kong, only 4% are, giving them one of the lowest workplace engagement figures in the world. According to the Gallup report, this low engagement may increasingly pose a barrier to each country's continued growth as they transition to a more consumer-based economy where businesses increasingly rely on front-line employees to attract and retain customers (Yu and Wang, 2012; Yu and Lyons, 2012).

East Asia's engagement results are of particular significance to this research project, given the hypothesis that the higher education sector, specifically the academics involved in learning and teaching, may offer part of the solution to creating a more engaged workforce. In order to accurately confirm this, there needed to be accurate assessment and

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[4]    "Worldwide, 13% of employees are engaged at work," Gallup, October 8, 2013,
       http://www.gallup.com/poll/165269/worldwide- employees-engaged-work.aspx

measurement of workplace engagement for the target group of alumni, which made the selection and use of the Gallup Q¹²® an essential component of this research project.

## Identifying links between Workplace Engagement and the College Experience

The Gallup-Purdue Index studies referenced earlier in this paper reveal that a graduate who reports the influence of a 'caring professor' during their undergraduate years is more than *twice as likely* to report being highly engaged in the workplace as a graduate without such an influence. This finding assumes significance (especially in light of the very low workplace engagement levels worldwide) because positive engagement in the workplace is strongly correlated with positive organisational performance, a goal to which all organisations aspire. However, other than its non-specific use of the term 'caring professor', the Gallup-Purdue Index does not specify the behaviours and attributes that result in alumni who go on to become positive, engaged workers.

This DProf research project ("research project") examined the relationship between transformational classroom leadership (TCL) and workplace engagement in higher education in a Hong Kong setting. The goals of the research project were: to confirm in the first instance, the extent of TCL across Lingnan University faculty; to identify whether there is or is not an association between the transformational leadership qualities of Lingnan's teachers as perceived by Lingnan alumni and their subsequent levels of work engagement; and to discover whether the 'caring professor' as reported in the Gallup[5] findings, is in fact, the professor who demonstrates transformational classroom leadership.

## 1.3 – Summary

In summary, the Gallup-Purdue Index was a study of over 30,000 USA college graduates that revealed that a 'caring professor' supports the development of graduates who go on to become highly engaged in the workplace, and that positive engagement in the workplace is strongly correlated with individual discretionary effort and positive organisational performance. However, other than its non-specific use of the term 'caring professor' and three general items describing the supportive relationships with professors (Rivard, 2014;

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[5]  Great Jobs Great Lives: The 2014 Gallup-Purdue Index Report. Gallup Inc. Washington, DC.

Henry, 2015), the Gallup-Purdue Index does not specify, in any detail, the behaviours that result in alumni who become positive, engaged workers.

In order to provide a meaningful analysis of the Gallup-Purdue conclusions, and to link its findings to the previous Lingnan University study into transformational leadership, this research project sought to find answers to the following significant questions:

1. How could the findings and broader implications of the Gallup finding be tested in a higher education environment in Hong Kong?

2. What is a 'caring professor'—what are the specific behaviours and how might they be reliably measured?

3. What is 'engagement in the workplace'? Are valid and reliable instruments available to assess the concept, and how would that assessment be conducted?

4. Can any links between a 'caring professor' and subsequent workplace engagement be established?

Adapting the various research projects and studies previously conducted at Lingnan University, and building on them through developing targeted instruments and using propriety engagement products, this research project set out to explore the range of contemporary issues confronting the higher education teaching academic and look toward an alternative outcome. Care was exercised in extrapolating from business to education when seeking solutions in the leadership construct that may enhance the relationships and opportunities in higher education. An examination of the literature on leadership in order to gain insights into some of the specific aspects of leadership in academic contexts, including leading and managing learning environments, was essential to the design of an effective project methodology.

The higher education environment is complex, and a thorough consideration of the tensions and contradictions confronting all stakeholders of contemporary higher education was an essential step in developing a practical solution that could potentially improve professional practice in teaching and learning. I had the opportunity to see first-hand these tensions during an earlier project I undertook as a consultant to the University when I was tasked with the development and implementation of a business analytics solution. The challenges and range of responses I witnessed across the campus during this process provided a valuable perspective of the challenges I would face in this project if it were to become a structurally and culturally acceptable intervention.

Accordingly, this project's review of literature and related information examines not only the significant aspects of leadership and engagement, central to the main theme, but also what is needed to bring about positive change in the higher education environment and culture.

# Chapter 2 – Review of relevant literature and other information

## 2.1 – Introduction

*Section 2.2 Review of relevant literature and other information* provides a critical analysis of the contributions to the body of current knowledge that relates to the research question. It begins with an outline of what is currently known about transformational classroom leadership, and ventures into peripheral bodies of knowledge, such as metacognition and life-long learning. Given the unique nature of this project's research, a number of questions are raised regarding what the current body of research *doesn't* answer, thus strengthening the argument for further investigation of these research questions. Topics addressed are:

- The evolution of transformational leadership

- Transformational leadership in the classroom

- Measuring transformational leadership

- The decentring of teaching

- The teaching-research nexus

- Higher education rankings

- Scholarship of Teaching and Learning (SoTL)

- Metacognition and life-long learning

- Workplace engagement

- Measuring workplace engagement.

## 2.2 – Review of relevant literature and other information

The two aims of this research project were to: determine the relationship between higher education experiences within a milieu of transformational classroom leadership and graduates' subsequent engagement in the workplace; and determine whether the 'caring professor' displays characteristics of transformational classroom leadership.

Accordingly, the key themes that were investigated in the current knowledge and information included leadership theory, the emergence and measuring of transformational leadership, transformational leadership in the classroom, and workplace engagement. Aspects of the gathering and assessment of information relating to these themes were also

investigated. Other themes of significance to this research project and worthy of investigation are concerned with workplace engagement, performance, and graduates' attributes.

## The evolution of transformational leadership

> If your actions inspire others to dream more, learn more, do more and become more, you are a leader — John Quincy Adams

Historically it was believed that, by assessing an individual's characteristics, physical qualities, mannerisms and even genetics against a catalogue of exemplar individualities (traits), organisations could select a successful leader with some degree of certainty (Kirkpatrick, and Locke, 1991). Reinforced by such luminaries as Lai-tzu and Plato, a universal belief that great leaders were distinguishable by a set of personal traits that the rest of us could not lay claim to (McShane and Von Glinow, 2010) existed well into the late 1940s and early 1950s. A persistent view, which continues to be supported by popular literature and media, held that the transformational characteristics of successful leaders were commonly acquired through genetic heredity. As purported by Zaccaro (2007), the link between successful leadership and individual genetic traits probably dates back to Galton's (1869) 'Hereditary Genius', a body of work that has 'come to form, and sometimes misinform, popular notions of leadership' (Zaccaro, 2007, p. 6).

Academic interest in leadership theory increased over the ensuing decades, arguably spurred on by the human, economic and political challenges of successive world wars and economic depression. Lists of individual traits continued to grow in an attempt to explain all leadership eventualities, and the developing resistance to individual traits as a theoretical *fait accompli* mirrored their increasing complexity. Gibb (1947), the foundation professor of Psychology at the Australian National University and internationally pre-eminent for his early research into individual traits of leadership, argued that 'there is no leader type; there are only individuals whose attributes of character, personality and skill so differ as to fit them variously for leadership roles in specific situation' (ibid p. 273). Consequently, from the early 1950s through to the mid-1980s, researchers turned away from trait theory, observing that leadership had more to do with behaviour, the situation in which the action was occurring, and its impact on performance.

This movement saw the emergence of the contingency perspective on leadership, where, amongst others, Fiedler's (1967) 'contingency model' and Hersey and Blanchard's (1988) 'situational leadership theory (SLT)' rose to prominence. The concept of charismatic

leadership (Weber, 1947) was presented in an early body of work addressing the relationship between leaders and followers, focusing on spirituality in social crisis. Focusing on change within an organisational setting, 'transforming' leadership theory emerged (Burns, 1978), followed by 'transactional/transformational' leadership (Bass, 1999) that highlighted the importance of considering both the situational aspects of organisational leadership and personal traits to determine the effectiveness of leadership.

Importantly, an increased focus on the behavioural aspects of leadership, including personal and organisational performance, had spawned an earlier, less sophisticated concept of competency-based human resources (McClelland, 1973) that resulted in a broadly accepted tool for leadership assessment and development. An increasing reliance on broad descriptive competencies, including requisite knowledge, skills and personal attributes, has seen personal traits '[re-emerge] into the lexicon of scientific leadership research' (Zaccaro, 2007, p. 6).

Kotter (2001) argues that leadership is 'inductive' and is primarily focused with direction setting and change, whereas management is 'deductive' in nature and is primarily focused on 'producing orderly results, not change' (p. 87). For this reason, the inductive/change aspects of contemporary leadership models lend themselves well to transformational leadership theory. Addressing the management/leadership distinction helps to define the subtle differences between transactional and transformational leadership.

Transactional leadership, as asserted by McShane and Von Glinow (2010), adopts all the hallmarks of a management function. In contrast, the attributes of the change agent and visionary who is seen to invigorate and guide employees to organisational values and behaviours, accurately describes a leader with transformational characteristics.

The Full Range Leadership model (Bass and Riggio, 2006) presents leadership styles on a continuum, with negative behaviours at the passive/ineffective end, and positive behaviours (transformational leadership) at the active/effective end. As argued by Hautala (2006, p. 778), 'higher productivity, lower employee turnover rates, and higher job satisfaction and motivation are due to transformational leadership more than transactional leadership or non transformational leadership'. Rather than focusing on gaining compliance through 'transacting' reward and punishment cycles, transformational leaders motivate their followers to achieve performance outcomes beyond general expectations, by altering attitudes, beliefs and values.

Weber (1947) introduced the concept of charismatic leadership, addressing the relationship between leaders and followers, with a principal focus on spirituality in social crisis. Although Weber's theories have been gradually superseded by more contemporary views on leadership, Milosevic and Bass (2014) have argued that Weber's original thesis has been bolstered by their recent research, suggesting its relevance to modern leadership theory. The sheer amount of time, work, and resources dedicated to unravelling the concept of leadership, its application and benefits is a phenomenon in itself.

Breevaart and Bakker (2013, p. 31) assert that the 'leadership style used by leaders can have a profound influence on employee work engagement'. Given the huge potential to increase productivity by enhancing workplace engagement, it is no surprise that the study of leadership has assumed great significance. Indeed, educational leadership has emerged as a significant area of enquiry (Bush et al. 2010; Bush, 2011), and the weight of evidence of the positive impact of leadership on student learning outcomes 'is greater than previously thought' (Bush et al. 2010, p. 10).

Organisations' increasing interest in effective leadership saw the 'transforming' leadership theory emerge (Burns, 1978), and a decade later, through further refinement, the 'transactional/transformational' leadership theory (Bass, 1999) highlighted the merger of the situational aspects of organisational leadership and the importance of personal traits as a determinant of leadership effectiveness.

Transformational leadership sits at the 'Active/Effective' point of the Full Range Leadership model's continuum (Bass and Avolio, 1996; 1997), as it actively and effectively supports the human development aspects of any successful change or renewal endeavour (Nel, 2009; Bahamid, 1994).  See *Figure 3: The Full Range Leadership Model*.
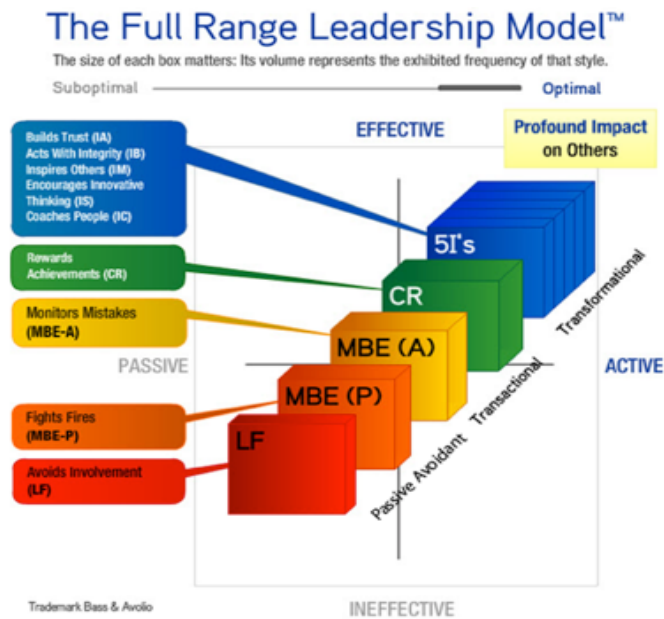
*Figure 3: The Full Range Leadership Model*

The model has become something of an accepted standard in leadership theory, and, in what may be perceived as a somewhat self-aggrandising, yet also reasonably accurate review of his product, Avolio (2011, p. 135) maintains:

> 'Over the last decade, the full range model has become the most researched model in the leadership literature - and the most validated - and has been proven to be an accurate guide for developing exemplary leadership in diverse cultures, organizations, and leadership positions'.

The motivational/collaborative influence of transformational leaders, increasingly more clearly identified within contemporary measures, can be identified as a contributory factor to historical leadership success (Marshall, 2008). As asserted by George (2003, p. 91), successful corporations of the last 25 years were 'built by a team at the top, not by a single person'. Goleman (2002, p. 69) observes that leaders should be true democrats, as opposed to aristocrats: 'true collaborators' who work as 'team members rather than top-down leaders', and are great listeners who 'create the sense that they truly want to hear employees' thoughts and concerns'.

The emergent theories of *servant* leadership (Greenleaf and Spears, 2002) and *distributed* leadership (Gronn, 2002) both acknowledge their respective developmental and operational alignment with transformational leadership. Gronn (cited in Jones et al., 2012, p. 70) described distributed leadership as an alternative architecture for leadership 'in which activity bridges agency (the traits/behaviours of individual leaders) and structure (the systemic properties and role structures in concerted action)'. Jones et al. (2012) caution,

however, that this 'does not eschew the important role of formal, structural leadership, but rather argues for a dual, or hybrid, approach in which formal leaders and informal experts are recognised for the leadership contribution they make' (Jones et al., 2012, p. 75).

Kellerman (2012, p. 182) further confirms an alignment between the models, contending that 'both the servant leader and the transformational leader have merit that is intrinsic', and, in reporting the positive influences of both types of leaders, argues that 'both include followers in the process of creating change'. Of significance to this research project is that 'the higher education sector requires a less hierarchical approach that takes account of its highly specialised and professional context, and that transformational leadership may well serve the imperative to continue to provide leading edge change' (Jones et al., 2012, p. 75).

McShane and Von Glinow (2010, p. 371) purported that the role of the change agent and visionary—to invigorate and guide organisational values and behaviours—also describes the role of the transformational leader, and that this includes the process of 'linking job performance to valued rewards and ensuring that employees have the resources needed to get the job done'. The concept of job resources in leadership theory is the subject of increasing interest and research. The Job Demands-Resources (JD-R) model (Demerouti et al., 2001) classifies risk factors associated with job stress into two general categories ('job demands' and 'job resources') and 'focuses on both negative and positive indicators of employee well being. The JD-R model can be applied to a wide range of occupations, and can be used to improve employee well being and performance' (p. 310). They conclude by saying that 'work engagement is most likely when job resources are high (also in the face of high job demands)' (p. 323).

Accordingly, as organisational design models provide 'flatter', more efficient leadership structures, answers to questions about the provision of autonomy, opportunities for development, performance feedback, and skill development and diversification are increasingly sought. The leader is expected to provide the daily necessities for employees to achieve a satisfactory outcome (Burns, 1978; McShane and Von Glinow, 2010). Job resources are 'all aspects of a job that a) stimulate personal growth and development; b) contribute to the achievement of work goals; and/or, c) reduce the unfavorable impact of job demands', (Bakker and Demerouti, 2007; Schaufeli and Bakker, 2004). Arguably, when compared with the leadership characteristics stipulated in any contemporary leadership model, these employee outcomes should be well within the grasp of any competent leader.

Behaviours exhibited by leaders to inspire transformational outcomes at both the organisational and personal levels include idealised influence, inspirational motivation, intellectual stimulation, and idealised consideration (Bass and Avolio, 1996). A refinement of the first of these—'idealized influence'—was subdivided into two: "idealized influence (attributed)" and "idealized influence (behavior)" (Bass and Avolio, 1997). Importantly, these modifications followed recommendations that 'behavioral and attributed Idealized Influence be differentiated on the basis that charisma is demonstrated by leadership behavior and is also a quality attributed to a leader by followers' (House et al., 1991; Hunt, 1991).

The notion of charismatic leadership being an independent, trait-driven concept was strengthened by research arguing the significance of 'followers' and the need for shared values and beliefs (Choi, 2006; Howell and Shamir, 2005). Discussing the importance of effective communication in the relationship between leaders and followers, Goffee and Jones (2006, p. 23) contend that for 'leaders to genuinely succeed, they'll need to reflect on what their team members, their 'followers', really want from them', and subsequently offer an elegant and practical model to describe their theory. Breevaart and Bakker (2013) examined the relationship between the transformational leader and follower, based on the 'need for leadership' as perceived by each party through the lenses of their respective need for independence. It was reported that 'during weeks that leaders inspire their employees and stimulate them intellectually, employees are more dedicated to their work and perform better. During weeks that leaders are not available, employees can use self-leadership strategies to motivate themselves and perform well'. And that 'during weeks that employees are challenged and really need their leaders, transformational leadership is most effective. During other weeks, in which employees are less dependent on their leader, employees may take the lead themselves' (Breevaart and Bakker, 2013, p. 322).

The next section examines the concept of transformational leadership and its positive attributes and outcomes, as applied to higher education.

## Transformational leadership in the higher education instructional setting

> Leadership and learning are indispensable to each other —
> John F. Kennedy

The notion of transformational leadership in higher education can be applied in two ways: to the governance of higher education institutions; and to learning and teaching strategies/practices. Ojode et al. (1999) refer to 'instructional setting' rather than

'classroom', and in the case of this project, the use of the term classroom is an expansive term encompassing a range of higher education learning environments. The application of leadership theories to higher education is based on the notion of the university classroom being a small social organisation, with leader and followers substituted respectively by teacher and students (Cheng, 1994; Luechauer and Shulman, 2002). Using the classroom as a site for organisational leadership research, Ojode et al. (1999) undertook one of the earliest studies of transformational leadership in a USA university classroom with a small sample of graduate students (n = 57) and employing a classroom adaptation of the MLQ (Bass and Avolio, 2000). The research found that elements of transformational leadership were positively and significantly correlated to the effectiveness of classroom leadership, student satisfaction with classroom leadership, and the students' willingness to put in extra effort. The concept of an individual contributing extra energy to tasks and increasing the productivity of any organisation, including the higher education classroom, is termed *discretionar*y *effort*, and is one of the fundamental outcomes of engagement. As posited by Jawad and Scott-Jackson (2016, p. 74), engagement increases discretionary effort, and from an organisational industrial relations perspective, 'engagement is the antithesis of the industrial relations view of a shifting balance of conflicting interests between the opposing parties of management and workers'.

Pounder (2008a; 2008b) confirmed earlier findings about transformational classroom leadership, employing the Classroom Teacher Leadership Questionnaire (CTLQ), which was based on the MLQ and modified for a university classroom setting, in a study of students in a Hong Kong university business school. The results of confirmatory factor analysis and alpha scores also indicated that the classroom leadership instrument developed in the study retained the integrity of the original transformational leadership model and was capable of valid and reliable measurement (Pounder, 2014). Other studies examining the effects on university student outcomes of teaching behaviour characterised by transformational classroom leadership continued to report positive results in a number of areas including cognitive and affective learning, motivation, communication satisfaction (Goodboy and Myers, 2008; Bolkan and Goodboy, 2009, 2011), enhanced student engagement (Tsai and Lin, 2012), student self-determined motivation, and behavioural engagement (Wilson et al., 2012). The characteristics of transformational leadership include inspirational motivation that considers the individual (Bass and Avolio, 1999). Another study with 'underprepared' and ethnically diverse community college students confirmed the positive influence of transformational leadership characteristics on student outcomes, and also reported that the

frequency and quality of interactions between students and faculty resulted in another positive outcome: that of 'persistence' in dealing with academic and life-related issues (Barbatis, 2010).

Equally, the positive outcomes for employees and organisations that result from increased engagement and discretionary effort translate well to the higher education environment (Jones, 2004; Bryman, 2007; Pounder, 2008a, 2008b; Berman, 2015), and indicate the potential of a positive development pathway for students and teaching academics (Cheng, 1994; Bolkan and Goodboy, 2009, 2011; Pounder 2014). As reported by Ulrich and Brockbank (2005), the characteristics of engagement and discretionary effort are consistent with, and appear to reflect, a broad social change embracing individual freedom and expression.

Bryman (2007) conducted a comprehensive analysis of leadership expectations from the students and the teaching staff in the higher education environment with a focus on enhancing learning and teaching capability. Reporting at both faculty and establishment level, faculties and institutions expected their teaching staff to do the following:

- provide direction

- create a structure to support the direction

- foster a supportive and collaborative environment

- establish trustworthiness as a leader

- have personal integrity

- have credibility to act as a role model

- facilitate participation in decision-making consultation

- provide communication about developments

- represent the department/institution to advance its cause(s) and network on its behalf

- respect existing culture while seeking to instil values through a vision for the department/institution

- protect staff autonomy. (Bryman, 2007, p. 2)

When comparing the institutions' expectations of faculty members with the core characteristics of transformational leadership, listed below, there is a clear alignment. As

asserted by Bryman (2007, p. 2), 'what seems to lie at the heart of this list is the need for the leader to create an environment or context for academics and students to fulfil their potential and interest in their work' (Bryman, 2007, p. 2).

- *Idealized Influence or Charisma*: Leaders provide vision and a sense of mission. They extol the virtues of the vision and display total commitment to it. Leaders emphasise trust: they take a stand on difficult issues, present their own most central values and point out the ethical consequences of decisions. They are admired as role models and generate pride, loyalty, and confidence, not least because they are able to consider followers' needs over their own. Such leaders create alignment to a shared purpose.

- *Inspirational Motivation*: Leaders are role models for subordinates, communicate a vision in an appealing way and use symbols to focus the efforts of others. They communicate high performance expectations to followers, talk optimistically and with enthusiasm, and provide meaning to what has to be done. Such leaders encourage subordinates to envision, and take ownership of, attractive future states.

- *Individual Consideration*: Leaders coach and mentor, provide continuous feedback, and link employees' needs to the organisation's mission. They consider their subordinates' individual needs, abilities and aspirations. They are advisors, coaches and mentors. Followers are developed to higher levels of capability as a result of new learning experiences. Individual differences in needs and desires are addressed.

- *Intellectual Stimulation*: Leaders stimulate followers to rethink old ways of doing things and to reassess their old values and beliefs. New ideas and creative solutions are solicited and there is a tolerance for mistakes that may occur in the search for creativity. (Bass and Avolio, 1996)

Driven by increasing expectations and accountability, higher education institutions have an increased focus on development frameworks and standards of competence for higher education as a means of assessing professional practice. With roots in the behaviourist approach, competency standards are attributed with the development of accurate, repeatable, and most importantly, observable outcomes, and were embraced with a flourish by the higher education community (Field, 2004; McKenna and Mitchell, 2006; Lester, 2014). Competency frameworks have an interesting history. Offering caution, opponents argue that behaviourism fragments outcomes into narrow categories of behaviour that 'lose sight of the forest of skilled competence for the trees or perfected, discrete performances'

(Bruner, 1971, p. 113). Early American teacher education programs that were designed to introduce a definitive, all-encompassing description of everything a successful teacher needed to be in the classroom were not viewed as a complete success. Gonczi (1999) wrote of these repeated attempts to fit teaching performance into increasingly accurate descriptors as collapsing into 'a never ending spiral of specification', and, even more hauntingly, as 'a descent into the most primitive behaviourism' (p. 181).

Calling for more sophisticated, practical frameworks for assessing performance in higher education, Lester (2014, p. 38) recognises that 'confidence standards cannot provide prescriptions for practice, reflecting the need for practitioners to act intelligently and ethically and to make judgements in complex and unpredictable situations; they also support valid, robust and consistent assessment, and are capable of being adapted into different practice contexts while remaining sufficiently precise'. Notwithstanding the drive for precision and accuracy, Kellerman (2012) contends that all forms of leadership are ultimately critiqued on very human, observable conditions, stating that 'no matter how gussied up the language, no matter how many leadership traits, skills, characteristics, and capacities you can think to name, leadership is judged on only two criteria: *ethics* and *effectiveness*. A good leader is presumed to be ethical. A good leader is presumed to be effective' (p. 71-72).

While there is general consensus that transformational leadership has real potential to make a significant difference to the outcomes of higher education, Beauchamp et al. (2010) contend that the lack of reliable and valid measures of transformational teaching is a key inhibitor of its broader application. Therefore, to undertake an effective assessment of transformational leadership characteristics, the instrument must be valid and reliable, use accurate, clearly defined language, and incorporate the concepts of ethical and effective behaviour. With this level of precision, feedback to the teachers or the students becomes increasingly specific, and development interventions at the individual, team and organisational level become far more meaningful and effective. The *Multifactor Leadership Questionnaire* (MLQ) (Bass and Avolio, 1996, 1997) appears to deliver on these criteria.

## Measuring transformational leadership

> 'If students want to be taught by outstanding teachers, they need to focus on measures of teaching effectiveness rather than reputations based on research performances.' — Marsh and Hattie, 2002, p. 635.

One of the most commonly used instruments to assess transformational leadership behaviours is the *Multifactor Leadership Questionnaire* (MLQ) (Bass and Avolio, 1996, 1997), which elicits scaled responses to statements about behaviour, based on the leadership characteristics described in the Full Range Leadership model. The MLQ is closely associated with the concepts of transformational leadership, a paradigm based on previously defined leadership descriptors, such as autocratic/democratic, directive/participative, and task-focused/relationship-oriented (Bass and Avolio, 2000). The MLQ's high levels of validity, reliability and application were achieved because the instrument's questions '[emerged] from the combined influence of multiple leadership traits' (Zaccaro, 2007, p. 12).

The Multifactor Leadership Questionnaire (MLQ) is closely linked to the concepts of Transformational Leadership (Bass and Avolio 1989, 1994) and of Full Range Leadership (Bass, 1985, 1990). With development that spanned more than 25 years and consolidated the major leadership constructs of transformational leadership, transactional leadership, and passive/avoidant leadership, the Full Range Leadership model (usually portrayed as an hierarchical graphic) provides an alternative way of understanding the different effects of different leadership styles. The MLQ paradigm 'builds on earlier leadership paradigms—such as those of autocratic versus democratic leadership, directive versus participative leadership, and task- versus relationship oriented leadership—which have dominated selection, training, development, and research in this field for the past half century' (Mind Garden, Inc.).

The MLQ, originally expounded in the emerging mindset of positive psychology (Seligman and Csikszentmihalyi, 2000), was developed to explain explorations of leadership previously measured in the more narrowly focused paradigms previously mentioned. As such, by providing concise feedback on a range of clearly identifiable organisational behaviours, this instrument focuses on the development of the individual, the team, and the organisation. Seligman and Csikszentmihalyi (2000) exhorted the psychology profession to move its focus from repairing damage and curing disease to engaging with what makes humans flourish. Lamenting the fact that 'almost exclusive attention to pathology neglects the fulfilled individual and the thriving community', they championed for a focus on 'positive psychology' as a 'science of positive subjective experience, positive individual traits, and positive

institutions' (p. 5). Accordingly, with accurate assessment instruments, the focused application of positive psychology interventions, as proclaimed by Meyers et al. (2013, p. 631), is 'likely to be the key to improving organizational performance'.

Seligman and Csikszentmihalyi contend that the field of positive psychology, and associated psychometric instruments such as the MLQ 'at the individual level, are about positive individual traits: the capacity for love and vocation, courage, interpersonal skill, aesthetic sensibility, perseverance, forgiveness, originality, future mindedness, spirituality, high talent, and wisdom. At the group level, they are about the civic virtues and the institutions that move individuals toward better citizenship: responsibility, nurturance, altruism, civility, moderation, tolerance, and work ethic' (Seligman and Csikszentmihalyi, 2000, p. 5). Within this expansive doctrine, the *Classroom Teacher Leadership Questionnaire (CTLQ)* (Pounder, 2009, 2014), which is based on the *Multifactor Leadership Questionnaire* (MLQ 5X Short) (Bass and Avolio, 2000), was adapted for the higher education environment and used for this research project. The adaption of the wording of the CTLQ for the higher education environment was scrutinised through continuous peer review and focus groups in order to achieve high levels of validity and reliability (Pounder, 2005a, 2005b, 2008a, 2008b, 2014). The validity of transformational classroom leadership (TLC) and its accurate assessment are two significant elements of this research project that, importantly, enabled the investigation of the potential for enhancing the student's workplace engagement through exposure to transformational leadership characteristics.

As reported by Trowler (2010, p. 2), the results of a comprehensive review of successful higher education strategies conclusively linked enhanced 'student engagement to persistence, achievement and success': all arguably worthy outcomes that higher education teachers would want for their students. While debates continue about the extent to which transformational leadership as espoused is the same as delivered, nevertheless as perceived, it is purported to be an influencing factor in many significant outcomes for those who experience it, including higher levels of satisfaction, increased discretionary effort, and positive workplace engagement (Bass and Avolio, 1996, 1997, 2000; McShane and Von Glinow, 2010).

The importance of transformational classroom leadership and its accurate assessment has been examined earlier, and accordingly, an investigation of the current literature and contemporary knowledge of contributing factors and potential benefits follows. Other areas of this research project's investigative equation include the role of the teacher/leader in

higher education, the challenges and assumptions in the broader higher education environment, and the emergence of the phenomenon known as Scholarship of Teaching and Learning (SoTL).

## The decentring of teaching

Tuchman (2009) highlighted higher education's increasing emphasis on teaching and learning, driven by an environment of rising accountability for the provision of services, competition between education providers for prospective students, and mounting demands from employers that graduates be able to successfully transition to employment. Notwithstanding this catalogue of predominantly external drivers for change, higher education institutions have long been confronted with the challenge of the research-teaching nexus. As contended by Hattie and Marsh (1996, p. 507), 'that universities exist for teaching and research seems incontrovertible to many, although the relative importance of each and the relationships between them have been hotly contested'. Hazelkorn (2011, p. 203) laments that opportunity was lost 'at a time when society requires interdisciplinary solutions to global challenges', and reflected that 'rather than embracing the teaching-research nexus, higher education has moved away from research-informed teaching towards research in its narrowest sense'. The emergence of university ranking systems, with an emphasis on research instead of teaching and learning 'may now be emerging as the enemy of higher education rather than its complement' (Boulton, cited in Hazelkorn, 2011).

That there is a diversity of views is interestingly illustrated by Burnett's (2015) adoption of an alternative argument about the teaching-research nexus, issuing caution of 'controlling aspects' of the introduction of the Teaching Excellence Framework (TEF), stating 'let's explain to our students and their parents that they will not be best served by league tables that smother the knowledge and creativity of their teachers, or which skew their education. They need something better than teaching by regulation' (Burnett, 2015, n/p).

Historically, the teaching-research nexus is not a new challenge: as posited by Newman (1853), an Oxford scholar and founder of the University College, Dublin, research should be free from 'censorship' and should occur away from the university environment, which, in turn, should be singularly focused on creating inspired and influential teaching and learning. He hypothesised that 'the personal influence of the teacher is able in some sort to dispense with an academical system, but that the system cannot in any sort dispense with personal influence. With influence there is life, without it there is none; if influence is deprived of its due position, it will not by those means be got rid of, it will only break out irregularly,

dangerously. An academical system without the personal influence of teachers upon pupils, is an arctic winter; it will create an ice-bound, petrified, cast-iron University, and nothing else' (Newman, 1853, p. 74).

Herein, Newman touched on the spectre of academic freedom, free from 'censorship': 'a value that is globally understood to be a prerequisite for scholarship', as asserted by Burnett, (2015). Hattie and Marsh (1996, p. 508), reporting on the findings of their meta-analysis of the teaching-research nexus, find a lack of correlation between research productivity and teaching effectiveness, 'thus supporting the hypothesis that they are independent constructs'. Within a Hong Kong context, tensions between research and teaching should be somewhat reduced in top-tier universities that have strong research agendas, but this nexus will no doubt create considerable concern for "lower-ranked" institutions, who are expected to provide resources for enhanced teaching, but are potentially disadvantaged because of reduced access to research funding (Mok and Cheung, 2011). 'The growing concern, not only among academics but also the community at large (including legislators), about research displacing teaching in higher education institutions has lately led the UGC to re-emphasise the importance of teaching and learning' (Mok and Cheung, 2011, p. 246).

## Teaching-research nexus

The term 'nexus' is derived from the Latin word *nectere* meaning 'to bind or tie', and when used contemporarily, describes the intersection of dissimilar ideas or items (vocabulary.com, 2016), or, according to a more 'conciliatory' definition, an 'important connection between the parts of a system or a group of things' (Cambridge Dictionary, 2016).

Norton (2012) asserts that the academic profession has maintained a high degree of autonomy and independence when it comes to teaching standards in higher education. In relation to research undertaken by academics, Norton argues that there has been a high level of professional development and scrutiny, leading to what might be called a professional approach. However, in relation to teaching in higher education there has been comparatively little development towards a professional standard. Norton (2012) proclaims that, compared to other professional teaching frameworks, university teaching is 'early in its transition from amateurism to professionalism'. In a recent review, Norton (2015) lamented that 'academia failed to develop a professional culture around teaching. It generally did not determine appropriate quality standards, require teaching qualifications, or monitor performance'.

An empirical analysis of the teaching–research nexus using the CEQ[6] and an AUSSE[7] (Norton, 2013) found minimal evidence to support the hypothesis that a high level of research in a university supported quality teaching outcomes. 'Australian universities have similar approaches to teaching, which leave many teaching staff without the skills they need. All universities are more likely to hire academics for their research than their teaching ability. They are all more likely to promote academics to senior positions based on research rather than teaching performance. They are all happy for temporary staff to do much of the teaching.' (Norton, 2013)

In their contribution to a comparative study of the academic profession in higher education, Arimoto and Ehara (1996) defined three categories of the relationship between teaching and research based on cultural-historical guidelines:

- German: having a strong research orientation

- Anglo-Saxon: having a more or less balanced emphasis on research and teaching

- Latin-American: having a strong teaching orientation.

The balanced emphasis on teaching and research in the Anglo-Saxon model of higher education, as reported by Arimoto and Ehara (1996), has arguably not been achieved in Australia where higher education appears to be heavily skewed towards research. Of note in the *Changing Academic Profession* survey, it was reported that Australian academics scored in the lowest quartile of international results in the 'preference towards teaching' category (Ulrich et al., 2013).

These studies are evidence that the role of teaching in higher education, and its relationship with research (the teaching-research nexus), present an ongoing challenge for higher education institutions, one that is influenced by many factors and stakeholders, none less controvertible than the rapidly expanding spectacle of university ranking systems.

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[6]   CEQ - Course Experience Questionnaire
[7]   AUSSE - Australasian Survey of Student Engagement

## Higher education rankings

> Not everything that counts can be counted; and not everything that can
> be counted counts — William Bruce Cameron (1963)

Two comprehensive surveys conducted into perceptions of higher education (Kandiko and Mawer, 2013; Hill et al., 2003), although published a decade apart, report remarkably similar findings, while offering little comfort to those seeking solutions to the problems perceived in higher education. Both reports support the contention that pragmatic solutions may emerge if a number of key questions about the higher education sector are answered:

1. Is it accommodating higher levels of student participation from broader educational backgrounds?

2. Is it engaging with the students' consumerist ethos that is demanding real 'value-for-money' from higher education?

3. Is it fostering lecturers and teaching staff who are passionate and knowledgeable about their subject?

4. Is it providing a personalised higher education experience?

5. Is it articulating and providing a pathway to genuine career enhancement?

Addressing the second of these (the question of value-for-money), the 2015 Gallup-Purdue study asked alumni if they agreed that their education was worth the cost. Given that many families invest heavily in their children's higher education, there should be little doubt about the clarity of perceptions in the graduates' minds about its value, yet surprisingly, 'only half of graduates overall (50%) were unequivocally positive in their response, giving the statement a 5 rating on the scale ranging from strongly disagree (1) to strongly agree (5). Another 27% rated their agreement at 4, while 23% gave it a 3 rating or less' (Gallup Inc. and Purdue University, 2015).

A focus on fees and value-for-money has led to the emergence of a 'consumerist-approach' to higher education, and the concurrent development of a plethora of satisfaction surveys. However, as cautioned by Aftab and Gibbs (2015), these surveys principally measure 'hygiene' factors (Herzberg, 1964), rather than students' learning. With the ever-present need for clear and simple answers to critical questions about the quality of higher education providers, Hazelkorn (2011, p. 81) contends that 'rankings have emerged as the favoured format of the moment because of their ability to provide simple information to a wide-ranging audience, but this is also their Achilles' heel'.

Statistical summaries appear to provide high levels of comfort: 'Statistics – whether crime rates or opinion polls – have an ideological function: they appear to ground free floating and controversial impressions in the hard, inconvertible soil of numbers' and 'the public have enormous respect for "the facts" – hard facts' (Hall et al., cited in Hazelkorn, 2011, p. 67).

To comprehend the zealousness of both the support and disdain for university ranking systems, an investigation is warranted into higher education's two main strategic policy positions: those of world-class universities; and those of world-class systems, as summarised by Hazelkorn (2011):

'(i) The *neo-liberal model* aims to create elite, world-class universities by fostering greater vertical or reputational differentiation in order to complete globally. The model favours concentrating research in a few universities which would conduct world-class research across all disciplines; the remaining institutions concentrating on undergraduate or professional teaching with limited locally-relevant applied research'.

'(ii) The *social-democratic model* aims to build a world-class system comprised of a portfolio of diverse high-performing HEI's with a global focus. This model strives to balance excellence with support for good quality universities across the country, with a close correlation between teaching and research.' (Hazelkorn, 2011, p. 185)

It is generally accepted that there are three global measures for university rankings:

- The *Academic Ranking of World Universities (ARWU)*[8] (known as the *Shanghai Ranking)* was the first truly global ranking of universities, developed in 2003 by Shanghai Jiao Tong University, with the intent of establishing an objective comparison between the relative performances of Chinese universities and those in Europe and America.

- *The Times Higher Education*[9] is published in collaboration with Thompson Reuters since 2009. Previously, between 2004 and 2009, it was published in conjunction with the QS World University Ranking.

- The *QS World University Rankings*[10] has been published in various formats since 2004, and, as reported by Hazelkorn (2011, p. 62), because it contained a

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[8]    For further information, refer to http://www.shanghairanking.com/
[9]    For further information, refer to https://www.timeshighereducation.com/world-university-rankings/2016/world-ranking#!/page/0/length/25/sort_by/rank_label/sort_order/asc/cols/rank_only

*faculty/student ratio* metric, it was 'the only globally comparable and available indicator that addresses the objective of evaluating teaching quality'. However Hazelkorn highlighted the potential fallibility of this metric: 'in reality, an institution may have what is believed to be a good ratio but many of the top professors may never teach, lecturers and professors may be terrible teachers or have little or no interest in their students, and students may be disengaged' (Hazelkorn, 2011, p. 63). QS addressed the lack of transparency of the teaching and learning capabilities by introducing the *QS World University Rankings by Subject* in 2011, which ranks the world's top universities across popular subject areas, based on 'academic reputation, employer reputation and research impact'[11].

Another measure of ranking is of particular interest to this research project: *QS World University Rankings*, in conjunction with South Korea's major newspaper, *The Chosun Ilbo*, began publishing *QS University Rankings: Asia* in 2011. This ranks the top 350 universities in Asia[12]. Of note, the site of this research project—Lingnan University, an establishment with a history of over 116 years reaching back to China, and combining the best liberal arts traditions of Chinese and Western societies, informed by none other than the legendary revolutionary and educator, Sun Yat Sen—achieved a ranking of #109.

A relative 'newcomer' to the international stage in its current format, the *U.S. News & World Report's Best Global Universities Rankings*[13] that uses Thomson Reuters' research data and metrics, was first published in 2014. Published in various formats since 1983 and initially specifying only internal USA rankings, the latest format expands the focus to include global research reputation, publications, and the number of highly cited papers, in addition to teaching and learning.

Hazelkorn (2011, p. 186) purports that university rankings, rather than emphasising 'fairness and equity, and supporting excellence wherever it occurs', are potentially sugar-coating a bitter pill, acting 'as a free-market mechanism, introducing competition into the system in a way the governments or public might otherwise find disdainful' (p. 185). In a later study, Hazelkorn (2015) contends that worldwide university rankings have attained status of 'viral

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[10]  For further information, refer to http://www.topuniversities.com/qs-world-university-rankings

[11]  For further information, refer to http://www.topuniversities.com/subject-rankings/2016

[12]  For further information, refer to http://www.topuniversities.com/university-rankings/asian-university-rankings/2016#sorting=rank+region=+country:+faculty:+stars=false+search=

[13]  For further information, refer to http://www.usnews.com/education/best-global-universities

fetishization' because of the single-minded approach to achieving worldwide status against what are broadly perceived as very narrow performance indicators.

Although the principal international university rankings proclaim to effectively measure quality, 'they largely capture institutional wealth', and although a preoccupation with pursuing these rankings can serve some good, it can create a lot of 'perverse incentives' in institutions (Markein, 2015). The key message here, as purported by Hazelkorn (2015), is to move to a more wholesome suite of indicators that better describe the broad scope of quality in higher education. Essentially, this necessary movement will enable more external validation and result in much less self-promotion: a stark contrast to a phenomenon of organisational narcissism, observed by Hazelkorn (2015) as the 'L'Oreal (because you're worth it) approach'.

The arguments about the metrics employed in the rankings continue: Hazelkorn (2011, p. 186) asks 'by valuing some higher education attributes more than others, are rankings driving a reputation race that only some countries and institutions can win?' As a stark illustration of the potential for inequity, Markein (2015) reports on Hazelkorn's (2015) analysis, which, rather staggeringly, contends that the universities ranked in the top 100 capture a mere 0.5% of the world's 18,000 higher education institutions, and therefore represent approximately 0.4% of the world's 200 million higher education students!

The dichotomy between the relevance of rankings and their meteoric acceptance by the majority of higher education stakeholders is captured with enchanting irony by Bruni (2015, p. 80) when he underscores that 'they're about vestigial reputation and institutional wealth as much as any evidence that children at a given school are getting an extraordinary education and graduating with a sturdy grip on the future and the society around them'.

The limitations and problems of the various rankings, as discussed, are of importance to the outcomes of this research project, because, as articulated by van Knippenberg and Sitkin (2013, p. 9), to solve problems 'in a spirit of "creative destruction", we actually need to take a good thing apart in order to make it better'. Emboldened with this philosophy, and having examined several factors that potentially inhibit transformational classroom leadership, the author turned to the potential for improving the teaching and learning function. For, as postulated by Fanghanel et al. (2016), 'SoTL has evolved from its humble beginnings as a focus on learning processes and classroom practice, to embrace the whole spectrum of academic practice (i.e. teaching and learning in its widest connotation) and the meaning of the academic endeavour. Increasingly the implications for institutionalisation, capacity-

building, and the development of new curricula to address global issues, have been examined as legitimate terrain for SoTL' (p. 9).

## Scholarship of Teaching and Learning (SoTL)

Papp et al. (cited in Salvatori, 2002, p. 297) purported that 'teaching is what virtually everyone in the profession does, and it is frequently what we talk about, but we don't talk about it in the same way that we talk about our scholarship'. They contend that in discussions about teaching, the commentary is often more 'experiential and instinctive' than 'analytical', and that the teaching activity is more 'frequently assumed . . . than described'. They surmise that assumptions about teaching are more the norm than unusual because, 'the discourse of teaching among university teachers has not caught up with advances in other areas of research' (ibid).

Salvatori (2002) concluded that teaching and learning, and specifically higher education teaching, needs to move beyond the anecdotal: as 1970s academic folklore has it, Berkley political scientist Raymond Wolfinger, during a class discussion on the validity of anecdotal evidence presented in the courts, stated that 'the plural of anecdote is data'. Silver (2014) asserts in his blog that 'Wolfinger's formulation makes sense: Data does not have a virgin birth. It comes to us from somewhere. Someone set up a procedure to collect and record it'. The agenda of research into teaching has indeed moved on and is emerging as a positive force for change (Hutchings and Shulman, 1999; McCarthy, 2008). In a recent publication reviewing the literature engaging with the emerging scholarship of teaching and learning, Fanghanel et al. (2016, p. 5) stated: 'in the changing context for higher education, SoTL can serve as a vehicle to bring teaching and research together, and combat the view that teaching should have a lower status'.

With their initial focus on learning processes and classroom practice, early SoTL interventions were traditionally categorised as functions of pedagogy (Fanghanel et al., 2016), and therefore, rightly or wrongly, accorded a lowly status commensurate with mechanistic, repetitive functions that did not match the heady, atmospheric ponderings of academic research. This viewpoint, however colloquial or ill conceived, may have subverted rational arguments about the teaching-research nexus. The ever-pragmatic Salvatori (2003) posited a useful solution to the ongoing conundrum of the use of the term pedagogy when she called for the adoption of the term '*reflexive praxis*', where *praxis* (the indissoluble linkage of theory and practice so critical to effective teaching) is tempered, through *reflexivity*, by an awareness that the same practice, at different times or in different

contexts, could result in less effective learning. Those academics contributing to the scholarship of teaching and learning are another issue to be considered. The validity of academics being engaged in decision-making for the SoTL in their institutions, when they have no formal teaching qualifications, is questioned by Kanuka (2011, n/p) when she asserts that 'they are not a specialist in the field of education and cannot make a scholarly contribution to the field'.

Of interest to this research project was the similarity of Social and Emotional Learning (SEL) and transformational classroom leadership. Jones et al. (2013, p. 63) assert that 'teachers with stronger SEL competencies have more positive relationships with students, manage their classrooms more effectively and implement SEL programmes targeted to students with greater fidelity'. The teaching behaviour associated with transformational classroom leadership produces similar student outcomes, such as positive results in cognitive and affective learning, motivation, and communication satisfaction (Goodboy and Myers, 2008; Bolkan and Goodboy, 2009, 2011), enhanced student engagement (Tsai and Lin, 2012), and student self-determined motivation and behavioural engagement (Wilson et al., 2012).

## Social and Emotional Learning (SEL)

Claude Steiner's original theories of 'emotional literacy' first emerged in the late 1970s, (Steiner and Perry, 1979), providing a model for people to improve their lives by recognising their own emotions and developing an understanding of and empathy for the feelings of others. The subsequent emerging concepts of 'emotional intelligence' (Goleman, 1995) and 'social intelligence' (Albrecht, 2006) attracted intense interest from people working in the areas of counselling, human resource development, education, and leadership who were considering human development from a much more integrated and holistic perspective. Used as a powerful intervention to achieve social and personal change in children of school-age, Social and Emotional Learning (SEL) is defined as 'the process through which children and adults acquire and effectively apply the knowledge, attitudes, and skills necessary to understand and manage emotions, set and achieve positive goals, feel and show empathy for others, establish and maintain positive relationships, and make responsible decisions' (CASEL, 2016)[14].

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[14]    CASEL – The Collaborative for Academic, Social and Emotional Learning. For more information, go to
http://www.casel.org/social-and-emotional-learning/

Encompassing a wide range of competencies, from emotional intelligence (Goleman, 1995) and social competence (Albrecht, 2006) to self-regulatory skills, SEL addresses three areas of concern, explained below.

- *Emotional processes* - understanding and labelling feelings accurately; regulating emotions and behaviours for the situation at hand; taking another's perspective; and displaying empathy.

- *Social/interpersonal skills* - understanding social cues; correctly attributing the intent of others' behaviours; interacting positively with others, and acting in pro-social ways.

- *Cognitive regulation* - maintaining attention and focus; engaging working memory; inhibiting impulses that are not appropriate to the situation, and flexibly shifting gears when needed (e.g. trying another approach) (Jones et al., 2013, p. 63).

Challenging the 'traditional' cognitive-focused outputs of mainstream education systems, SEL produced significant results through broadly supported, international programs (Elias et al., 1997), and thus became a focus for transferable knowledge and skills for life as well as work (Pellegrino and Hilton, 2012), and was promoted as an essential ingredient in improving the higher education environment for adults (Schlossberg et al., 1989). More recently, arguing that the next logical enhancement to mainstream learning should include 'capitalising on the connections and synergies between Social and Emotional Learning (SEL) and systems thinking', Goleman and Senge (2014a, p. 31), identified 'three skill sets essential for navigating this world of increasing distractions and decreasing face-to-face communications: focusing on self, tuning in to other people, and understanding the larger world and how systems interact'. The authors also highlight the importance of involving all the stakeholders in SEL's holistic processes, in particular the teachers and educators, for, as asserted by Jones et al. (2013, p. 62), 'a clear understanding of SEL, recognition of SEL's effect on teaching and learning and openness to innovation in cultural change' are at the core of an effective curriculum. They go on to caution against 'the false assumption that all educators naturally possess these abilities in equal measure'.

Tomkins (1990, p. 660) explores the concept of holistic professional development when she contends that 'a kinder, more sensitive attitude toward one's own needs as a human being, in place of a desperate striving to meet professional and institutional standards of arguable merit, can bring greater sensitivity to the needs of students and a more sympathetic understanding of their positions, both as workers in the academy and as people in the wider

world'. The apparent conflict between attaining professional standards and attending to students' best interests is discussed by Palmer (2007, p. 10) who, exploring the conundrum from a personal perspective, stated that 'good teaching cannot be reduced to technique; good teaching comes from the identity and integrity of the teacher'. He expanded this hypothesis thus: 'in every class I teach, my ability to connect with my students, and to connect them with the subject, depends less on the methods I use than on the degree to which I know and trust my selfhood – and am willing to make it available and vulnerable in the service of learning' (p. 11).

The theme of scholarship is critical to the general theme of this research project, because the necessary enquiry and reflection of contemporary learning and subsequent employment must ensure that both the teacher and student are adequately developed for a life of learning underpinned by the requisite metacognition - defined as the ability to 'reflect upon, understand, and control one's learning', 'and includes the key categories of knowledge about cognition and regulation of cognition' (Schraw and Dennison, 1994 p. 460). Individual success with learning increasingly relies on competent self-directed learning strategies: Dunlap and Lowenthal (2011) assert that many graduates will struggle because they lack the necessary 'self-directed learning and metacognitive awareness skill sets' that are critical in the workplace because 'people with well-developed metacognitive activities engage in effective problem solving and reasoning activities' (Dunlap and Lowenthal, 2011, p. 5). De la Harpe and Radloff (2000) recognise that 'cognitive, metacognitive, motivational and affective characteristics' play an important part in developing life-long learning and effective university study habits. 'Students must, therefore, possess both *skill* and *will* if they are to be effective lifelong learners' (de la Harpe and Radloff, 2000, p. 170).

## Metacognition and life-long learning

> It is the mark of an educated mind to be able to entertain a thought
> without accepting it — Aristotle

At around the same time that Toffler (1973) contended that the illiterate of the 21st century would not be the people who 'cannot read, but those who cannot learn, unlearn and relearn', Malcolm Knowles (1975) published his landmark concepts of self-directed, life-long learning. The concept of employees managing and directing their own learning was irresistible to managers and human resource departments of business organisations that were intent on increasing workplace knowledge and productivity. Self-directed learning emerged as an essential component of the development offerings of contemporary

organisations. Where individuals could identify learning goals, needs, and strategies to meet their professional or personal requirements, as well as the materials they needed for learning, and then evaluate their learning outcomes, the principles of life-long learning have won much acclaim, particularly in times of austerity or organisational downturn…and by those of us who don't have much time for the traditional classroom environment!

Knowles made a bold leap forward for adult learners and practitioners, particularly in organisations, by differentiating the theory and practice of adult education (which he labelled as *andragogy*) from the theory and practice of teaching children (well known as *pedagogy*). Knowles's thesis was underpinned by research into aspects of adult maturation, individual life span, and social change. The motivational theories of Abraham Maslow (1970) and humanistic educator Carl Rogers (1969) also greatly influenced Knowles's development of his philosophy of the adult learning process.

There is a prevailing, but incorrect, perception that Knowles's work was founded on a behaviourist philosophy that was governed by an exhaustive list of highly prescriptive statements setting out observable, measurable, and terminal behaviours for the learners. In fact, Knowles reported that his theories were influenced by Tough's (1971) unexpected findings that effective adult learning follows a natural pathway in preference to a structured one. Rather than promote behaviourist-learning theory, Knowles was in fact quite scathing of the developmentally prohibitive properties that structured behavioural objectives brought to the learning environment. Knowles (1975, p. 234) contended that adults 'very often will enter into a learning project with rather vague objectives and that as they become better informed about the content of their inquiry the objectives become sharper and clearer – which is hard to do with predetermined terminal behavioural objectives'.

Longworth and Davies (1996, p. 22) remind us of the continuing critical importance of 'the development of human potential through a continuously supportive process which stimulates and empowers individuals to acquire all the knowledge, values, skills and understanding they will require throughout their lifetime and to apply them with confidence, creativity and enjoyment in all roles, circumstances and environments.' However, many people, to this day, continue to assume that the processes of life-long learning are a solitary endeavour: many have overlooked Knowles's (1975, p. 18) considered advice that development in the adult years may be conducted 'with or without the help of others'. Again and again, this sage advice has been ignored, and consequently many hours of organisational and personal learning have arguably been squandered, albeit inadvertently.

At a time when contemporary learning methodologies (such as online learning and MOOCs) are widely used and individual success increasingly relies on competent self-directed learning strategies, many students may be disadvantaged because they lack the requisite 'self-directed learning and metacognitive-awareness skill sets' (Dunlap and Lowenthal, 2011, p. 3). Critically viewed through the lens of organisational development, it can be argued that employees 'with well-developed metacognitive activities engage in effective problem solving and reasoning activities' (p. 5).

Consistent with long-held views about poor SoTL standards and capabilities (Salvatori, 2002; Fanghanel et al., 2016) is the view that 'teachers often appear to ignore ways in which they could help their students to develop effective life-long learning characteristics and do not explicitly teach or assess these aspects of learning' (de la Harpe and Radloff, 2000, p. 173). Further challenging university recruiting and selection standards, de la Harpe and Radloff posit that 'this is not surprising given that university teachers are normally appointed on the basis of their content expertise rather than on their knowledge of teaching and learning' (ibid, p. 173). Pedagogical design in higher education should, therefore, as advocated by de la Harpe and Radloff (2000), incorporate assessment of their 'students' cognitive, metacognitive, motivational and affective characteristics in a number of ways' (p. 174). Instruments with high degrees of reliability and validity in the assessment of the four essential abilities for successful life-long learning, cognitive, metacognitive, motivational and affective capabilities include the Learning and Study Strategies Inventory (LASSI) (Weinstein et al., 1988), and the Motivated Strategies for Learning Questionnaire (MSLQ) (Pintrich et al., 1991).

The Metacognitive Awareness Inventory (MAI) (Schraw and Dennison, 1994) assumes two hypotheses in its design:

- 'Cognition engages with the reflective aspect of metacognition and includes three subprocesses:

    - 'Declarative Knowledge - knowledge of one's skills, intellectual resources, and abilities as a learner;

    - 'Procedural Knowledge - the application of knowledge for the purposes of completing a procedure or process;

    - 'Conditional Knowledge - the determination under what circumstances specific processes or skills should transfer.' (Schraw and Dennison, 1994, p. 464)

- 'Regulation of cognition facilitates the control aspect of learning, including planning, information management strategies, comprehension monitoring, debugging strategies and evaluation strategies.' (Schraw and Dennison, 1994, p. 465)

Of particular interest is that studies of the MAI have found that 'differences in strategy use and performance were related to differences in metacognitive awareness rather than differences in intellectual aptitude (Swanson, cited in Schraw and Dennison, 1994, p. 463), supporting the MAI as a viable instrument to support metacognitive awareness and development across a broad spectrum of student abilities. The concept of transformational classroom leadership can potentially contribute to further development of these critical skills in higher education students.

Following are examinations of the concepts of engagement, of research into causal links between transformational leadership and engagement, and of the assessment of transformational leadership and how it can enhance outcomes in the workplace and the higher education environment.

## Workplace engagement

> Your work is to discover your work and then with all your heart to give
> yourself to it — Buddha

Engagement in a workplace, according to the originator of the theory, Kahn (1990, 1992), is simply a 'psychological presence at work'. The Gallup organisation was among the first to adopt the new term in the 1990s (Buckingham and Coffman, 1999), and the continuing popularisation and propagation of the term 'workplace engagement' in the mainstream organisational vernacular is due to the Gallup Research Group and the global acceptance of the *Gallup Q*[12]® (Pati and Kumar, 2011). An unprecedented level of access to the global market by the *Gallup Q*[12]®, coupled with a process of continuous refinement of the instrument based on cultural grounds, has contributed to the broad application of the instrument (Pati and Kumar, 2011). Noting the interchangeable use of the terms 'employee engagement' and 'work engagement' in the literature, Schaufeli and Bakker (2010, p. 10) argue that the latter term is more definitive, as 'work engagement refers to the relationship of the employee with his or her *work*, whereas employee engagement may also include the relationship with the *organization*' (italics added).

Unlike the issue of defining the concept, there is an apparent clarity about the variety of organisational benefits attributed to workplace engagement (Ulrich and Brockbank, 2005;

Bolton and Houlihan, 2007; Jacobs, 2012). Accordingly, Harter et al. (2013, p. 2) reveal that 'the relationship between engagement and performance at the business/work unit level is substantial and highly generalizable across organisations'. The subsequent appearance of 'human capital theory' (Crook et al., 2011; Brian, 2007) in the organisational development lexicon has promoted the 'skills development of graduates to the forefront of debates about global competitiveness' (Blackwell and Hyson, 2014, p. 241). Of particular interest to this research project was the assertion of a growing acceptance of the importance of higher education to the development of graduates' 'soft' workplace skills within a milieu of individual, collective and organisational efficacy (Fearon et al., 2013), along with trust, security and just decision-making (Malinen et al., 2013).

Shuck and Herd (2012) contend that one of the key attributes of effective leadership is the positive influence on, or *transformation* of, followers, and that this influencing notion is conceptually connected to employee engagement. They further purport that 'the leader creates the environment in which the conditions for engagement thrive, or diminish. Here, leadership and engagement share theoretical and conceptual parallels' (p. 162). Additionally, they assert that 'transformational leadership, using the four components of idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration, potentially foster increased engagement at all levels' (p. 171).

Xu and Thomas (2011) and subsequently Shuck and Herd (2012) report little evidence of any significant investigations into the potential relationships between leadership styles and employee engagement in the preceding five years (Zhu et al., 2009). However, since then, in the workplace context, there has been a veritable proliferation of research identifying positive causal links between transformational leadership and enhanced levels of engagement in a range of environments and countries (Tims et al., 2011; Wefald et al., 2011; Salanova et al., 2011; Aryee and Walmbwa, 2012; Song et al., 2012; Vincent-Höper et al., 2012; Yuan et al., 2012; Kopperud et al., 2014). The context of this research project was distinctly different as it specifically focused on examining the potential 'ripple effect' of any identified transformational leadership among teaching staff and any carry-over effect into the subsequent workplaces of the alumni.

Xanthopoulou and Bakker (2013) point out in their study that, due to the vagaries of the human condition, the degree to which employees are engaged is not a constant state: 'the extent to which employees are engaged in their work fluctuates within persons over a short period of time', 'automatically implying that even generally very engaged employees

sometimes have an off day' (Breevaart and Bakker, 2013). Accordingly, the contextual accuracy of the measurement and reporting of workplace engagement is a key element of any discussion.

## Measuring workplace engagement

> We are what we repeatedly do. Excellence then, is not an act, but a habit
> — Aristotle

Almost without exception, improving levels of work engagement is a key business solution offered by major human resources consultancy firms worldwide. The heady mix of organisational benefits that include increased customer satisfaction; increased profitability as a result of more sales; and improved employee attraction, retention and productivity (Towers Watson, 2014; Sanborn and Oehler, 2014; Harter et al., 2013) are a compelling proposition for executive and organisational stakeholders. That the different models offer many and varied instruments to measure and report levels of workplace engagement, and that they all claim validity and reliability, often results in 'a laundry-list approach to predict employee well being', as asserted by Demerouti et al. (2001, p. 309).

Schaufeli and Bakker (2010) challenge claims of instrument validity, suggesting that 'instead of presenting scientific *evidence* it is merely *stated* in reports that a positive relationship between employee engagement and company's profitability has been established' (p. 12), further asserting that 'with the exception of the Gallup Organization (Harter, Schmidt, and Hayes, 2002) this claim is not substantiated by publications in peer-reviewed journals' (Schaufeli and Bakker, 2010, p. 11). The earliest versions of the Q$^{12}$® Gallup Workplace Audit (GWA), based on more than 30 years of accumulated quantitative and qualitative research, (Harter and Agrawal, 2011) appeared in the 1990s, and were based on the premise that instruments developed for the purposes of workplace change should clearly and accurately measure the workplace dynamics that predict key outcomes (Harter et al., 2013).

The Q$^{12}$® was established within the milieu of 'positive psychology' (Seligman and Csikszentmihalyi, 2000, p. 5), a theory that was promoted as a 'science of positive subjective experience, positive individual traits, and positive institutions that promises to improve quality of life and prevent the pathologies that arise when life is barren and meaningless'. The Q$^{12}$® is specifically the study of the characteristics of successful employees and managers and productive work groups. 'In developing measures of employee perceptions, Gallup researchers have focused on the consistently important human resource issues on which managers can develop specific action plans. Throughout the workplace research

conducted by Gallup researchers, both qualitative and quantitative data have indicated the importance of the supervisor or the manager and his or her influence over the engagement level of employees and their satisfaction with their company' (Harter et al., 2002, p. 269).

'The Q$^{12}$® is designed to reflect two broad categories of employee survey items: those measuring attitudinal outcomes (satisfaction, loyalty, pride, customer service intent, and intent to stay with the company) and those measuring or identifying issues within a manager's control that are antecedents to attitudinal outcomes' (ibid, p. 270). Shaufeli and Bakker (2010, p. 15) argue that the Q$^{12}$® has been explicitly designed from an *actionability* standpoint, and 'that in the development of the instrument, practical considerations regarding the usefulness of the Q$^{12}$® for managers in creating change in the workplace have been the leading principle'.

As a result of the 'accumulation of 263 research studies across 192 organisations in 49 industries and 34 countries' (Gallup Inc. 1992-1999), the Q$^{12}$® is reported as capable of a broad, universal application and high validity. This level of access to the global market and continuous refinement along cultural grounds has contributed to the broad application of the instrument. In addition, international studies have examined and confirmed the cross-cultural properties of Gallup's Q$^{12}$® research instrument (Harter and Agrawal, 2011).

Pati and Kumar (2011) contend that the popularisation and propagation of workplace engagement into the mainstream organisational vernacular is due, in large part, to the Gallup Research Group and the global acceptance of the Gallup Q$^{12}$® Workplace Audit. In 1938, George Gallup Jnr, after completing studies in advertising and market research, formed the fledgling Gallup organisation that developed and popularised scientific sampling methods to gauge popular opinion. A key finding in the 1970s was that less than half of North America's employees were highly satisfied with their work (Gallup Inc.).

> 'Because most people spend a high percentage of their waking hours at work, studies of the workplace are of great interest for psychologists, sociologists, economists, anthropologists, and physiologists. The process of managing and improving the workplace is crucial and presents great challenges to nearly every organization. So it is vital that the instruments used to create change do, in fact, measure workplace dynamics that predict key outcomes — outcomes that a variety of organizational leaders would consider important.' (Gallup Inc.)

While there was evidence of some similarities between Hong Kong and the US studies, there was value in, as part of this research project, identifying and fully scrutinising factors that could influence the study's outcomes, particularly culture, environment, and leadership as

they relate to workplace engagement. For this reason, these three factors were examined in detail, as explained below.

## Cultural factors

The significant cultural differences that influence how employees respond to survey questions must be taken into account when examining data relating to workplace engagement from various sources (Sanborn and Oehler, 2014; Hofstede, 2001). Research into specific cultural differences provides an interesting perspective, as well as offering a potential explanation of outcomes of research conducted in Hong Kong. Hofstede (2010, p. 6) defines culture as 'the collective programming of the mind distinguishing the members of one group or category of people from others', and also as 'software of the mind'. When viewed through the lens of his *6-D Model*$^©$ (Hofstede, 2001), response patterns to questionnaires can be more clearly understood.

'The *6-D Model*$^©$ of national culture consists of six dimensions. These cultural dimensions represent independent preferences for one state of affairs over another that distinguish countries (rather than individuals) from each other (Hofstede, 2001). In Hong Kong, the following outcomes were observed for each cultural dimension:

- Power Distance (PDI) – the extent to which the less powerful members of institutions and organisations within a country expect and accept that power is distributed unequally. With a score of 68, Hong Kong rates highly in this dimension, indicating that it is a society that believes that inequalities amongst people are acceptable. Individuals are therefore influenced by formal authority and sanctions, and are, in general, optimistic about people's capacity for leadership and initiative.

- Individualism (IDV) – the degree of interdependence a society maintains among its members. In cultures that score highly in individualism, personal relationships prevail over task and company. Hong Kong's relatively low score of 25 indicates that Hong Kong is a collectivist culture, where people build cooperative relationships with colleagues from in-groups, but are cold or even hostile to people from out-groups.

- Masculinity (MAS) – the extent to which a culture is masculine (wanting to be the best) or feminine (liking what you do). With a score of 57, Hong Kong rates as a somewhat masculine society that is success-oriented and driven. Students care very

much about their exam scores and ranking, as these are the main criteria that determine success.

- Uncertainty Avoidance (UAI) – the extent to which the members of a culture feel threatened by ambiguous or unknown situations and have beliefs and institutions that help them avoid causes of uncertainty. Hong Kong's very low score indicates that people in Hong Kong are adaptable, entrepreneurial, and comfortable with ambiguity, and that adherence to laws and rules may be flexible in order to suit each situation: pragmatism is a fact of life. For example, the Chinese language is full of ambiguous meanings that Western people can find difficult to follow.

- Long Term Orientation (LTO) – the extent to which a society maintains links with its own past while dealing with the challenges of the present and future. The high score of 61 shows that Hong Kong's culture is definitely pragmatic, and that people believe that truth depends very much on situation, context and time. Members of pragmatic cultures show an ability to adapt traditions easily according to changed conditions, a strong propensity to save and invest, an inclination towards thriftiness, and perseverance to achieve results.

- Indulgence (IND) – the extent to which people try to control their desires and impulses. Hong Kong's score on this dimension is a very low 17, indicating that it is a more restrained culture. Societies with a low score in this dimension have a tendency to cynicism and pessimism, do not place importance on leisure time, and control the gratification of their desires. In addition, they have the perception that their actions are restrained by social norms and feel that indulging themselves is somewhat wrong.

These results are summarised in *Figure 4: 6-D Model© Hong Kong* below.
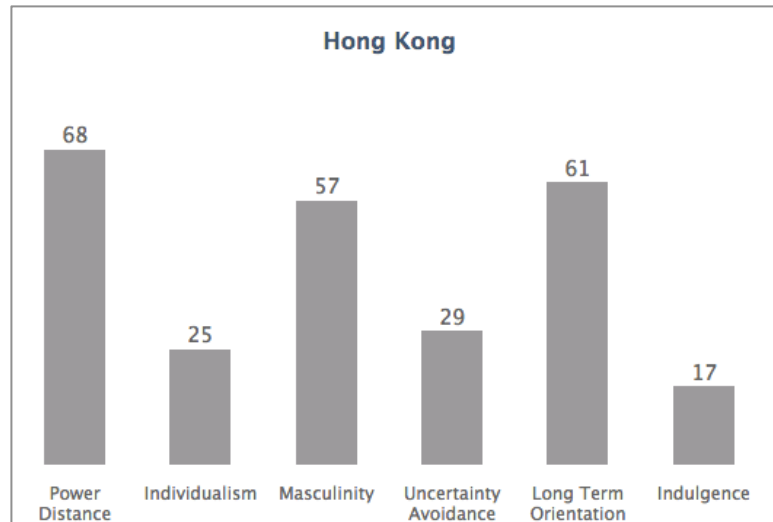
*Figure 4:    6-D Model© Hong Kong[15]*

A recent study challenges Hofstede's (2001) hypothesis that cultural changes occur slowly and generally through generational change. Zhao, Kwon and Wang (2016) assert that in a changing culture, political systems, legal systems, and the integrity of technological influences are as critical as economic advances. The study, whilst acknowledging methodological limitations (Zhao, et al. 2016, p. 99), found that Hong Kong, which has undergone major political, legal and social disruptions in the past two decades, had shown significant increases in the measures of individualism and uncertainty avoidance - the intolerance of ambiguity. Although movements in cultural norms was not a specific objective of this research project, the findings of Zhao, et al. (2016) accord with a number of results about the demands for individual recognition and support, and several comments made by survey participants specifically related to alleged political interference in the executive appointments and governance of the university.

Another discussion paper from Aon Hewitt[16] affirms that Asia Pacific:

- has the lowest rate of highly engaged employees (16%)

- has the highest rate of moderately engaged employees (42%)

- exceeds the global average of employees with passive engagement (25%)

- is on par with the global average of actively disengaged employees (17%).

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[15]    Hofstede (2010) - *www.geert-hofstede.com* uses copyrighted information from Professor Geert Hofstede's books, for which itim International, the owner of the website, has been licensed by Professor Hofstede.
[16]    2014 Trends in Global Employee Engagement, Aon Hewitt.

The Aon Hewitt report also observes that, when factoring in the cultural differences of those who participated in surveys across the APAC region, and regardless of whether the overall engagement level is high or low, 10%–20% of any employer's 'passive' employees are actually actively disengaged. This is of concern, given that Asian employees tend to not answer surveys in the extreme (Sanborn and Oehler, 2014).

## Environmental factors

Environmental factors include the stress factors linked to rising costs, the intense urban life and competition in Hong Kong, and a lack of work-life balance (as reported by Hong Kongers) affecting their physical health and morale (Domicelj and Vartak, 2013). The Hong Kong Quality of Life Index[17] (CUHK, 2014) addresses 23 key indicators of quality of life, based on information collected about 6 of those key indicators from surveys of about 1,000 Hong Kongers, and official data relating to the other 17 key indicators. The base year is 2002, and any score over 100 indicates an improvement in quality of life since then.

As shown in *Figure 5: Hong Kong Quality of Life Index*, the quality of life in Hong Kong declined markedly in 2009 and 2010, and effectively plateaued between 2011 and 2014. However in 2014, it dropped 0.17 points to reach 101.75, with indicators on freedom of speech and housing affordability reaching their lowest levels since the index began.
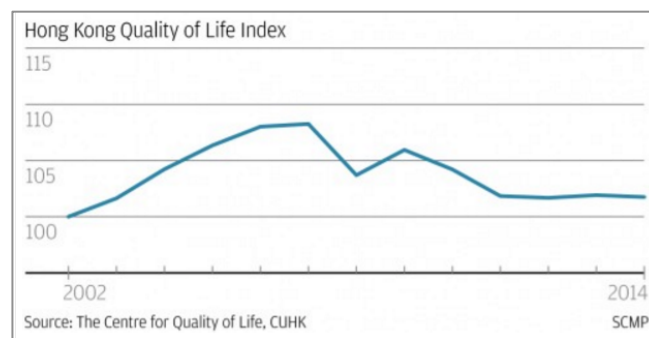


*Figure 5:   SCMP 2014 Hong Kong Quality of Life Index*

The Kelly Group report[18] identifies three key factors that drive Hong Kong workers' lack of engagement and their desire to leave their current workplace: the competitiveness of earnings and financial incentives; work-life balance; and opportunities for professional advancement.

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[17]   The 2014 *Hong Kong Quality of Life Index*. Published annually since 2006 by the Hong Kong Institute of Asia-Pacific Studies, Chinese University of Hong Kong.

[18]   The 2014 *Kelly Global Workforce Index* is an annual global survey of 230,000 workers around the world.

Hong Kong employees, more so than their global and APAC counterparts, expect their employers to address these concerns and attempt to satisfy their fundamental work motivations. According to the Kelly Report (2014), only 28% of Hong Kong employees believe their current employment provided them with a sense of "meaning", compared to 35% of Singaporeans and 55% of Mainland Chinese. As such, it is not surprising that only 9% of Hong Kongers thought they were highly valued by their employers, which is the worst result in APAC.

## 1. Earnings/financial incentives

Sixty per cent of the study's respondents said that having pay levels below their expectations was enough to prompt them to switch jobs. Of respondents from APAC countries, Hong Kong's topped the chart (68%) indicating the highest levels of dissatisfaction with pay levels. In 2014, the average on-job salary increment in Hong Kong was 4.7% while inflation was 3.6%. This means that an employee without a salary rise (a common occurrence in increasingly difficult economic conditions) would find it more difficult to meet the city's rising cost of living. And for the 50% of Hong Kong's population who want to live in private housing, the requirement for an increasingly higher salary is even greater because of the unreasonably high property prices: the median cost of a flat in Hong Kong was almost 15 times the average annual household income[19].

## 2. Work-life balance

Poor work-life balance triggers more job changes in Hong Kong (48%) than in other parts of the world. Full-time employees in Hong Kong worked an average of 49 hours per week, the second highest figure in APAC after Singapore, and the fifth highest in the 72 countries surveyed[20].

## 3. Job advancement opportunities

In comparison with their APAC colleagues in Singapore and Mainland China (40%), Hong Kongers are more likely to look for a job change if there are no advancement opportunities in their current position (42%).

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[19]  In 2014, Hong Kong received the dubious honour of being the city with the most unaffordable housing in the *10th Annual Demographia International Housing Affordability Survey*, released in January 2014. The survey covers 85 major metropolitan areas around the world with a population of 1,000,000 or more.

[20]  2012 Price and Earnings Report by UBS.

## Leadership factors

The Towers Watson report[21] contends that Hong Kong corporations continue to ignore the importance of senior leader and manager effectiveness, presumably content with low levels of effectiveness: only 23% of employees rate senior leaders as effective, which is particularly worrying as it is significantly lower than the global average of 48%. Managerial effectiveness is also rated lower in Hong Kong, with just 49% of the respondents reporting that they have effective managers compared to the global average of 61% (Wong, 2014), suggesting that key attributes of manager effectiveness are 'authenticity' and 'trust'.

Employees expect their managers to do what they say, listen carefully to different viewpoints, and treat employees with respect. Managers who can establish trust often have more engaged and productive employees (Wong, 2014).

The data collected for this research project consistently indicated graduates' dissatisfaction with workplace leadership, evident in the low Q[12] ratings given by the Lingnan alumni to the following survey items:

- Q01 – *I know what's expected of me at work* (GDPR[22] 1)

- Q08 – *The mission or purpose of my organisation makes me feel my job is important* (GDPR 1)

In addition, reflecting their extremely low engagement in the workplace, the Hong Kong respondents returned an extremely low GDPR of 1 to the question about their colleagues' general commitment to doing quality work (Q09 – *My colleagues are committed to doing quality work)* (Gallup Inc., 2011). As purported by Wong (2014), managers and leaders can have an important impact on employee engagement: '72% of employees with effective leaders and managers report being highly engaged against only 8% of those with ineffective managers and leaders'.

Wong (2014) further reported that dissatisfaction with current management is the second most common reason Hong Kong employees defect to another employer (40%). The link

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[21] The Towers Watson *2014 Global Talent Management and Rewards Study* provides an in-depth look at the attraction, retention and engagement issues, practices and concerns of over 1,600 organisations around the globe.

[22] GDPR – *Gallup Database Percentile Rank* – a benchmark value that shows how the individual Q[12] item results in your survey compare with Gallup's worldwide database of organisations that have administered the Q[12] survey.

between dissatisfaction with management and discretionary effort are evident, as only 16% of Hong Kong employees would definitely do more than was expected or required from them if they were dissatisfied with their leadership. This is the lowest in APAC, compared to 32% of Mainland Chinese and 25% of Singaporeans. Wong (2014, p. 14) notes this is a change in expectations: 'it seems that the diligent workforce that Hong Kong was known for in the 1960s and 1970s may now be less zealous, or more reasonably, have a greater expectation of their leaders and managers'.

The obvious question now to be answered, with the rise of negative workplace sentiment, low engagement, high turnover and lack of confidence in the future, is: how does Hong Kong maintain its competitiveness on the world stage? Leaders in China and Hong Kong (functioning under the 'one country – two systems' mantra) achieve economic growth with an apparent absence of freedom and democracy. As contended by Kellerman (2012, p. 59), China 'has found a third way – market authoritarianism, it's been called - a way of commingling a relatively high degree of economic growth with a relatively high degree of political repression', and 'is too highly developed and technologically sophisticated for political repression to be totally free of repercussion', arguing that leaders in China continue to balance 'a passion for political order on one hand, and a passion for economic development on the other'.

Given this complex business environment, it is not too much of a stretch to feel genuine empathy for Lingnan University graduates leaving a college milieu potentially characterised by genuine transformational leadership behaviours and entering a workforce characterised by negativity, misunderstanding and limited engagement, as evidenced by the arguments presented in this chapter.

## 2.3 – Summary

There is a body of literature that argues the emerging growth of, and increasing interest in, transformational leadership. However making a direct link between transformational leadership in industry settings, where models usually presuppose a relatively free hand, to transformational leadership (the 'caring professor') in higher education settings, where there are multiple traditions and vested interests to negotiate, needs to be done carefully, with a full understanding of varying factors. Transformational leadership can be problematic when applied in higher education contexts, especially in the public sector, however the reported capacity for transformational behaviours to empower, engage those

involved, and enhance their experiences and performance, provides a powerful impetus for further investigation.

Many challenges and opportunities appear in the cultural and environmental issues evident in the higher education sector. The emerging 'teaching excellence' frameworks and the coinciding big data platforms offer many opportunities for the ongoing 'professionalisation' of higher education teaching and learning. However, detractors assert the loss of academic independence and the undermining of the scholarship inherent in the teaching academic's role. Ongoing tensions appear to persist in the teaching-research nexus, and the decentring of teaching is a constant theme. However many positive initiatives to address the consolidation of academic teaching onto an equal footing with research are in place globally and provide great potential.

Of interest to this research project was the potential enhancement of students' attributes (which may include engagement) as a result of the potential synergies between transformational classroom leadership, metacognition, life-long learning, and the fields of social and emotional learning. Many connected themes became evident during the literature review: some relating directly to the descriptive analysis of key concepts, such as leadership and engagement, and others that didn't, on the face of it, immediately appear to be relevant, yet offered great possibilities. The evidence in the literature and knowledge review suggests a concert of connected themes, signposting that a mutually supporting environment may well deliver positive student outcomes that are worthy of further investigation. These themes, and the realities of an increasingly competitive higher education environment undergoing seismic change, are incorporated into the aims, objectives and outputs of the research project in the following chapter.

# Chapter 3 – Aim, objectives and outputs

## 3.1 – Introduction

The environment in which the higher education sector is currently operating is characterised by rising accountability for the provision of quality higher education services, competition for prospective students, and employers who are demanding graduates who are able to successfully transition to employment. Central to the contemporary higher education challenges are issues relating to teaching efficiency and performance (McKee and Tew, 2013; Norton et al., 2013). At the heart of this research project are the findings of the 2014 Gallup[23] study revealing that a 'caring professor', who may be a coach or mentor, has a significant role in supporting the development of graduates who are assessed as highly engaged in the workplace. Significantly, the term 'caring professor' is not defined in the Gallup studies, however, I believe that there is, potentially, an association between the attributes of a 'caring professor' and someone who displays transformational classroom leadership that needs to be examined.

This chapter examines the rationale for this research project – that of making another contribution to the ways in which higher education academics can improve their teaching and thus reduce some of the challenges they currently face. Consistent with research that identifies the challenges of higher education, this research paper also sets out the objectives that consolidate the project's hypotheses in order to provide recommendations that may answer the project's questions.

## 3.2 – Focus of this doctoral study

### Rationale

As discussed in Chapter 2, the expansion of neoliberalism in higher education with its increasing focus on the student as consumer/principal stakeholder has increased the range of pressures experienced by the higher education teaching profession. The higher education sector is now experiencing rising accountability for the provision of quality higher education services (Tuchman, 2009; Arum and Roska, 2012; Chambliss and Takacs, 2014), competition for prospective students, and employers who are demanding graduates who are able to

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[23]   Great Jobs Great Lives: The 2014 Gallup-Purdue Index Report. Gallup Inc. Washington, DC.

successfully transition to employment (Goleman and Senge, 2014a; Gallup Inc. and Purdue University, 2014, 2015; Fanghanel et al., 2015).

At the heart of this study's research hypotheses (as well as the original 2014 Gallup report and a subsequent follow-up study in 2015), is the notion that a 'caring professor'—a term that can encompass pedagogic, coaching and mentoring roles—has a significant role in producing graduates who are subsequently assessed as highly engaged in the workplace. Significantly, the term 'caring professor' is not defined in the Gallup studies, and it is this lack of definition that provided the possibility of linking transformational classroom leadership to Gallup's 'caring professor'.

The clarification of transformational leadership characteristics in specific behavioural terms offers much scope for a description, along with understanding and acceptance by stakeholders, and may well provide the cornerstone for future professional development frameworks.

Given the potential significance of these outcomes to higher education stakeholders, which may include increased engagement with the learning community and staff, enhanced guidance and support for students and augmented levels of engagement and satisfaction in subsequent workplace environments, these questions are worthy of review and examination.

## 3.3 – Aims, objectives and outputs

### Project aims

This research project aimed to link the findings and tools of the Gallup study with previous studies of Lingnan University students carried out by researchers from Lingnan University, in order to establish an hypothesis based on specific leadership behaviours: that is, that a 'caring professor' exhibits transformational leadership characteristics across the higher education learning environment, including in the classroom, tutorials, emails and everyday interactions between staff and students. As discussed in the project design section of this paper, the alumni survey focused on the characteristics of transformational leadership, thereby considerably expanding on the three teaching-related questions[24] in the original Gallup-Purdue Index, and achieving a detailed alignment of the transformational leadership

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[24] The *Big Six* questionnaire (Seymour and Lopez, 2015)

characteristics found in Classroom Teacher Leadership Questionnaire (CTLQ) [25] derived from the MLQ[26] adaptation by Pounder (2005).

This research project, in turn, aimed to establish the links, or otherwise, between transformational classroom leadership experiences (reported retrospectively) during graduates' university days and their subsequent view of their levels of workplace engagement. Therefore, the immediate goal was confirmation, or otherwise, of an association between the transformational leadership qualities of Lingnan's teachers as perceived by Lingnan's alumni and the same alumni's subsequent work engagement. Given that alumni were being asked to rate the first item retrospectively, and the second item contemporaneously at a given point in time, the project combined a series of cross-sectional surveys. More specifically, an important goal of the research project was to determine whether the 'caring professor' of the Gallup findings is indicative of the professor who displays characteristics of transformational classroom leadership.

The research project sought to confirm, or otherwise, the following hypotheses:

H1    Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University.

H2    Levels of workplace engagement of a sample of Lingnan alumni can be ascertained at their places of employment.

H3    Specific behaviours of the 'caring professor' can be understood in terms of the characteristics of transformational classroom leadership.

H4    Causal links can be drawn between transformational classroom leadership that that Lingnan alumni experienced during their time at college and their current levels of workplace engagement.

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[25]  An unrelated use of the acronym *CTLQ,* Chan (2001), reported on the development of a 30-item 'Personal Theories' questionnaire seeking reactions to five categories of important issues about the work of teaching which consolidated responses into two broad categories of conceptions of teaching and learning: (1) traditional; and (2) constructivist. The instrument was reported as the *Conception for Teaching and Learning Questionnaire (CTLQ)* (Chan and Elliot, 2004; Teo and Sing, 2008; Wong and Lo, 2014). Chan (2004) subsequently reported on 30-item instrument as the *Teaching/ Learning Conceptions Questionnaire (TLCQ)* in a follow-up study. In addition, the Hong Kong University of Science and Technology, at the time of writing, also uses the acronym as the *Senate Committee on Teaching and Learning Quality (CTLQ)* www.ctlq.ust.hk/index.html

[26]  The Multifactor Leadership Questionnaire (MLQ—also known as MLQ 5X Short) (Bass and Avolio, 1996)

## Objectives

This research project set the following objectives in order to test the project hypotheses and seek outcomes:

1. The review and development of the *Classroom Teacher Leadership Questionnaire* (CTLQ)[27], based on the MLQ (Form 5X Short) adapted to the higher education environment by Pounder (2005).

2. The communication, engagement and surveying of Lingnan University postgraduate and senior undergraduate students, in Years 3 and 4 of their studies[28] using the revised CTLQ instrument.

3. The development of the *College Experience +10 Questionnaire*[29] to be combined with the *Gallup Q¹²®* in an online alumni survey.

4. Liaison with the Lingnan University's Office of Institutional Advancement and Alumni Affairs (OIAAA) to coordinate the communication and distribution of the survey to Lingnan Alumni.

5. The review and analysis[30] of the three data sets, and…

6. The reporting of the outcomes and recommendations.

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[27] Further information on the *Classroom Teacher Leadership Questionnaire* can be found in Evidence of Achievements 2 and 3, and Appendices 1, 6, 7, and 8*.*

[28] The choice of higher-level students is consistent with the findings in the literature that senior students are generally more discriminating in their evaluation and judgment of their teaching experiences (Langbein, 1994).

[29] Further information on the *College Experience +10 Questionnaire* can be found in Evidence of Achievements 4, 5 and 6, and Appendices 2, 3, and 4.

[30] Detailed information on the analysis processes and tools is in *Chapter 3 – Project Design and Methodology*.

## Outputs

This research project investigated, in a Hong Kong higher education setting, the relationship between transformational classroom leadership and workplace engagement. As well as a number of outputs directly related to achieving the project outcomes, consideration of the following was required:

### *Infrastructure and support*

- Office of Research Support (ORS), Lingnan University – to ensure compliance with the regulations, project governance and ethics approval protocols to ensure the institutional efficacy of the project.

- Office of Institutional Advancement and Alumni Affairs (OIAAA), Lingnan University – to provide the service that supports the ongoing consultation and liaison with the Lingnan alumni, including the distribution and receipt of the alumni survey.

- Teaching and Learning Centre (TLC), Lingnan University – to provide administrative, IT systems support and, importantly, the services of a research statistician. The TLC, through a prior agreement, secured access to the use of the MLQ as the basis of developing the CTLQ, from the instrument's propriety owners[31].

### *Research instruments*[32]

- The *Classroom Teacher Leadership Questionnaire (CTLQ),* adapted from an earlier MLQ, used to survey the Lingnan University undergraduate and postgraduate students.

- The *College Experience +10 Questionnaire,* designed and developed from the items in the CTLQ exhibiting the highest statistically valid markers for the transformational leadership attributes, and adaptations of the three leadership-related behavioural questions included in the Gallup survey.

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[31] Reproduced with special permission from the publisher, Mind Garden, Inc., 1690 Woodside Road No. 202, Redwood City, CA 94061 USA, www.mindgarden.com. Derived from the *Multifactor Leadership Questionnaire* for research by Bernard M. Bass and Bruce J. Avolio. Copyright 1995, 2000 by Bernard M. Bass and Bruce J. Avolio. All rights reserved.

[32] Details of the development and validation procedures for these instruments are described in *4.5 Project Design.*

- The *Gallup Q*$^{12®}$[33] workplace audit instrument (Gallup, 1992-1999), administered concurrently to the Lingnan University alumni with the +10 questionnaire.

## *Project Report*

This research project was completed while I held the role of the Principal Project Supervisor with the Teaching and Learning Centre, Lingnan University, which conferred on me control of all aspects for fiscal, physical and human resources for the research project. The project concluded in February 2016 with the tabling of the following project report:

- Stoffell, P.G. (2016) 'Transformational Teaching and Engagement at Work', *Centre for the Advancement of Outcomes Based Education, Teaching and Learning Centre*, Lingnan University, Tuen Mun, Hong Kong.

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[33] The Q$^{12®}$ ("The Gallup Workplace Audit" or GWA) Q$^{12®}$ is a registered trademark of Gallup Inc. All rights reserved. (Gallup Inc. 1992-1999). For details of Q$^{12®}$ content, refer to Harter, J. K., Schmidt, F. L. and Hayes, T. L. (2002) 'Business-unit-level relationships between employee satisfaction, employee engagement, and business outcomes: A meta-analysis', *Journal of Applied Psychology*, *87*(2), pp. 268–279.

# Chapter 4 – Methodology and research design

## 4.1 – Introduction

The previous chapter defined the aims and objectives that tested the project hypotheses to provide a set of outputs that may provide useful responses to the research question. Accordingly, this chapter explains, through detailed discussions of the research design and methodology, how these objectives were achieved. It begins with the important issue of the underpinning ontological and epistemological considerations, followed by the projected issue of the insider-outsider researcher tensions, and an argument of the merits of operating within the critical rationalist construct. Next, it articulates the processes of project design solutions, scheduling, resourcing and risk management, which is followed by a detailed discussion of data collection and analysis. It closes with an examination of the ethical considerations and issues associated with insider researching.

## 4.2 – Research paradigm

### Ontological and epistemological considerations

This research project sought outcomes to three key questions: does a 'caring professor' play a significant role in the longer-term satisfaction and engagement of graduates? Can the behaviours exhibited by the 'caring professor' be attributed to transformational leadership behaviours of teaching academics? Can any association be found between the students' experiences of the behaviour of the 'caring professor' and their subsequent workplace engagement?

As an organisational development consultant, I was appointed to a role, for the duration of the project, as an internal practitioner researcher and 'inherited' a research instrument, some threads of some previous leadership research conducted at the institution, and the findings of a Gallup survey and its proprietary survey tool. The inherent design challenge was to initially understand the most effective philosophy, practices and approach with which to construct a project within the context of a liberal arts university in Hong Kong, and to subsequently achieve a successful outcome, the precise shape of which was to some extent unforeseeable at the time.

The project design journey began with an investigation into the first design choices I was confronted with, the epistemological issues of positivism/post-modernism, and my position as an insider-outsider researcher.

## Positivism and post-positivism

Two fundamental principles of positivist philosophy are: the gathering and organisation of knowledge with the purpose of finding a 'single truth' (Arbnor and Bjerke, 2009); and developing the intellectual attributes of the mind (Elias and Merriam, 1995). With the concept of *theoria* (theory, ethics, values, rituals) at its core, Socrates' original epistemology deliberately omitted the pragmatism of *techne* (practical skills), holding true to the rationale that reasoned higher-order thinking is directed at something outside of art or practical considerations (Benson, 2000). It was therefore held within this hypothesis that there was a moral purpose to the gathering and development of 'pure' wisdom, and that it was a true human virtue (Elias and Merriam, 1995; Beckett, 1999).

Aristotle subsequently advanced the thinking that 'practical reasoning' or *phronesis* (practical wisdom/ judgement) was the persuasive creation of combining *theoria* and *techne*, which was identified as *praxis* (Aristotle, 1985; Beckett, 1999; Beckett and Hager, 2002). Perhaps due to the intemperate response to his emerging philosophical position, he is also remembered for purporting the concept of moderation in all things—a concept that could serve the fledgling practitioner researcher well in considering their ontological and epistemological underpinnings.

The processes for developing increased knowledge of social systems, and social change in particular, requires a range of methodological tools and perspectives to capture the richness and complexity of the phenomena. The perspectives of someone within an organisation or system can provide unique insights for organisational change and development and can be provided by someone in the position of an insider-researcher (Robson, 2002). Furthermore, the application of a suite of change management skills may well be useful in the implementation of any research findings. These practitioner-as-researchers work 'as outside, or at least on the margins of both research *and* practice – an uncomfortable but creative marginalization', and 'there is something of an Aristotelian craft in such research, where creativity, skill and identity are involved' (Shaw and Lunt, 2012, p. 207). Accordingly, practical wisdom is defined as the basis of a reasoned capacity to get to a pre-determined outcome when that knowledge depends on the existing circumstances within a specific context or culture (Robson, 2002, Beckett and Hager, 2002). There is evidence that aspects of the critical perspective paradigm provide opportunities for a 'triangulation' with both quantitative and qualitative data (Robson, 2002; Denscombe, 2010).

As asserted by Nunan (1992), there needs to be a balance between the usefulness of the research question and our capacity to implement or make use of the findings if the research is to add any value to the higher education profession, both in a local and broader professional context. Equally, there must be careful consideration of the research perspective, as contended by Hammersley and Atkinson (2007, p. 2): the ontological and epistemological framework of ethnography promotes it to a 'central, if not the only legitimate social research method', drawing a sharp distinction between the context of justification and the context of positivist discovery (Reichenbach, 1973). Accordingly, it was useful to examine my role in the research project as a practitioner/ researcher, or more specifically, issues of my insider/ outsider-ness.

## Insider-outsider

An early question I had to address was: should I develop the research framework in the role of the classical ethnographer, as a detached and objective outsider, conducting teaching observations of everyday practice in the classroom? Not so, asserts Spradley (2016, p. 4), who contends that so much more can be gained by adapting the insider's view, and that it is a 'different species of knowledge from one that rests primarily on the outsider's view'. Perhaps there is a middle road in the insider-outsider researcher position, an opportunity to be 'working the hyphens' (Fine, 1994), for, as introduced by Caroline Dyer, 'there is no binary divide of inside and outside. Rather, there is fluidity, reflection and the recognition that research is constantly moving in and out of spaces along a dynamic continuum, and that their identities may thus be better characterised in other ways – such as 'alongsider' or 'inbetweener' ' (McNess et al. 2016, p. 10).

This created the opportunity to adjust the design of the study from one of theoretical detachment as an outsider, through the pragmatism of the design situation, to one of an insider potentially engaging the study's participants with the design and implementation of the potential conclusions. Autoethnographic studies are often conducted in higher education environments (Bryman and Lilley, 2009; Blackburn, 2015; Pillay et al. 2016; Warren, 2017) due to the inherent convenience of researching one's own organisation, and such an approach can inform the design of projects that are based on the topic of most interest to researchers (Jones et al. 2016). Reed-Danahay (1997, p. 2) indicates the emerging flexibility of ethnography by highlighting the three main foci for research – the 'writing and research process (graphy), culture (ethnos) and self (auto)' – and the varying emphases given to each of these foci over time during the project.

However, given the constraints of the 'inherited' instruments, pragmatic limitations of time, and the purposive nature of my aims, the project design drew on some of the principles of ethnography, such as immersion in the environment or culture being studied and attention to its specific qualities and processes, while incorporating data from specific interventions such as surveys, rather than data based on observing real time events. Ethnography in this pure sense would mean looking at what goes on in the organisation while attempting to minimise any influence over what is happening. This is not necessarily my preferred, nor indeed a feasible, researcher position compared to that of the 'alongsider' or 'inbetweener' perceived by other researchers armed with surveys designed to make a difference.

The arguments around the comparative effectiveness of either epistemological paradigm continue: the value that continues to be assigned to many forms of positivism (particularly in education research), the significance and depth of the changes in our modern society (particularly the rise of postmodernism), and the coexistence of these paradigms have clearly created tensions (Burbules, 1996). However, this overlooks the apparent futility of winning an 'either-or' argument about the inherent pre-eminence of the qualitative or quantitative methods, and how they align to ontological and epistemological theories (Robson, 2002).

In an era of post-positivism where it is accepted that the theories, hypotheses, background knowledge and values of the researcher can influence what is observed (Reichhardt and Rallis, 1994), embracing a more flexible approach with micro-adjustments to the research methodology is arguably more acceptable than the rigid positivist regime (Richards, 2003).

## Postmodernism

The discussion and logic of a purely positivist approach to social science research by an 'insider' practitioner-researcher, as explained above, are arguably unsustainable, unless there is some adaptation and modification of the approach. At the other end of the philosophical continuum, postmodernism provides an alternative ontological and epistemological approach to social research. This approach arguably asserts a stance of 'non-objectivity' in challenging the core elements of positivism's knowledge development—an absolute reliance on data and empirical inquiry (Alvesson, 2002). However, postmodernism's outré-cynicism about claims of positive outcomes and findings in research have led to criticism of its negativity, destructiveness and lack of apparent ability to meaningfully contribute:

> 'The core of postmodernism is the doubt that any method or theory, discourse or genre, tradition or novelty, has a universal and general claim as a right or the privileged form of authoritative knowledge.' (Richardson, 2000, p. 928)

Alternative perspectives argue that postmodernism is a broad church, and that softer, more affirmative versions of the paradigm are in a quieter abundance. Alvesson (2002) contends that postmodernism should be viewed as an umbrella term for the healthy scepticism and self-doubt it engenders, and that these very human characteristics should be incorporated into all research processes and texts, acknowledging and addressing the complexities and contextual uncertainties that naturally occur in social science research. This important thread of 'social context', as it relates to the focus of the research, is woven through a number of supporting themes, and importantly for the ontological and epistemological purposes of this research project, and in recognition of its attention to social context, supports the notion there is an increased uptake of critical realism in educational scholarship (Shipway, 2010).

## Critical Realism

The philosophical principles of critical realism were first proposed by Roy Bhaskar (1975) as 'transcendental realism', and initially focused on scientific research. The approach was subsequently connected more broadly with contemporary social science research by referring to it as 'critical naturalism', before adapting its current nomenclature. Critical realism can be seen as a dauntingly complicated social theory with the potential to overwhelm the researcher in vague abstractions and hyperbole, thus reducing its contribution to practical knowledge and research. However, Margaret Archer, one of the seminal theoreticians influenced by Roy Bhaskar's work, offers the following interpretation of this complex phenomenon:

> "Critical realism is not an empirical program; it is not a methodology; it is not even truly a theory, because it explains nothing. It is, rather, a meta-theoretical position: a reflexive philosophical stance concerned with providing a philosophically informed account of science and social science which can in turn inform our empirical investigations." (Archer et al. 2016, p.5)

A particular knowledge paradigm may be dominant at any given time and will therefore define how knowledge is constructed and how scientists, educators and researchers think about problems. Foley (2004) contends there is no pure or objective knowledge, only knowledge as it relates to a particular social context or set of values: the importance of the

contextual experience is central to an earlier assertion by Stenhouse (1981, p. 104) that 'in the broadest sense, the physical and life sciences pursue research into the *context* of experience'. In the combined contexts of blended philosophies, social context, and pragmatism, practical examples of multiple philosophical approaches operating effectively in unison abound.

Polkinghorne (1998) offers a useful contribution to addressing the challenge of effectively describing critical realism, and provides a succinct picture of the aspects of 'stratification', the breadth of the model's ontological and epistemological applicability to research:

> "I believe that the advance of science is not just concerned with our ability to manipulate the physical world, but with our capacity to gain knowledge of its actual nature. In a word, I am a realist. Of course, such knowledge is to a degree partial and corrigible. Our attainment is verisimilitude, not absolute truth. Our method is the creative interpretation of experience, not rigorous deduction from it. Thus I am a critical realist." (p. 104)

Advancing the consideration of critical realism as a model of 'ontological stratification' in the quest for knowledge in a postmodern era, Groff (2004, p. 2) cautions that 'relativism undermines the possibility of rational critique, and is therefore antithetical to a just society'.

An excellent case study from medical education highlights the 'overarching oddity of medicine's ideal of positivist science existing right alongside its use of a flexible, interpretive, ineradicably practical rationality' (Montgomery, 2006, p. 8). Argyris and Schön (1974), from the perspective of organisational learning theory, describe these very real human tensions as the differences between 'espoused theories' (values, beliefs and philosophies communicated to others) and 'theories in action' (values, beliefs and philosophies as evidenced by behaviour), sometimes referred to in everyday vernacular as 'talking' and 'walking'. Robson (2002) laments the futility of continually arguing the relative merits of qualitative or quantitative discourses, asserting that the differences between the two discourses are more 'apparent than real'. This argument is supported by the contention that a pragmatic option is to view the two paradigms not as opposites, but rather as 'two different ends of a continuum' (Dahlberg and McCaig, 2010, p. 25). Critical realism supports the accommodation of both positivism and the broader phenomena of relativism, and it has been applied extensively within ethnographic and educational settings (Robson, 2002; Archer, et al. 2013). The twentieth-century philosopher Ludwig Wittgenstein, whose early and highly influential work was linked to the claims that positivist science was the main, if not only, source of authentic verifiable knowledge, later argued that positivism was the

least adequate method of describing the human condition, and was concerned that the methodology may be destructive to the 'richness of human life' (Wittgenstein, 1980). Further, Smeyers (1998) contends that a purely scientific research explanation potentially 'strips human life of its humanity', providing a view on the importance of incorporating the context of any research environment.

This research project, for example, presented an opportunity to effectively combine previous research results and tools: to use a quantitative study to generate data, and a qualitative study to explore deeper contextual meaning. The opportunity to cross-fertilise epistemological paradigms was real, adaptable, and pragmatic. Adopting the principles of critical realism arguably enhanced this research project and supported the empirical findings of the survey instruments, importantly adding to the depth and value of the findings. The benefits of a pragmatic approach ring true for the design of this project, which, rather than seeking a universal concept to explain the world of higher education, sought to describe a variety of meanings attached to these particular phenomena in a particular Hong Kong situation. On the other hand, the relevance of critical realism to higher education research of the kind applied here in order to avoid the pitfalls of relativism, comes to the fore, notably in a context where the research is seeking to identify real world impacts. Compare, for example, the work of Jennifer Case (Case, 2013), which draws on critical realism in a pioneering follow-up study of graduates of a South African higher education engineering program for engineering students. In addition to providing some clarity on the complex and convoluted theories inherent in critical realism, Case emphasises the contribution of critical realism to a qualitative theory of causality that avoids some of the pitfalls of empiricist theories of causality, such as the mixed methods of Dewey's original concepts of pragmatism in education (Dewey, 1917).

In relation to my own situation while conducting the research, and the inherent challenges experienced as an insider-researcher, Case offers useful advice by cautioning against planning for 'some idealistic or utopian future', and reemphasises the criticality of expounding a 'careful sense of small possibilities for change and progress that are grounded in a sense of the mechanisms that causally influence our lives in emergent ways' (Case, 2013, p. 11). Case asserts the positive influence of positioning 'student agency' to a position of dynamic interrelatedness with the structure and culture of the environment, and the subsequent impacts this has on the meaningfulness, interest and engagement of the learners in the study. The concept of 'student agency', broadly described as the ability and inclination to initiate decisive enterprise, an opposite of passivity (Archer, 2000), can also be

considered when identifying the potential of transformational leadership in the higher education teaching and learning environment, and was therefore an important cornerstone of the research design.

## 4.3 – Practitioner researcher

Consistent with the inherent pragmatism of critical realism, the design of this project, and my position in the subject organisation, all work with the participants was based on the distinction between the knowledge of the practitioner and the knowledge of the academic. The concept is also referred to as 'peer research' (Southgate and Shying, 2014). A more definitive analysis by Chavez (2008) differentiates between 'total insiders' (when the researcher shares multiple identities and associations with their participants), and 'partial insiders' (when the researcher shares a few identities with their participants, but is not located in the immediate community or system). Although the latter of these probably best describes my role during the course of this research project, both are discussed further in this paper as the scheduled phases come to fruition.

One of the initial design concepts for this project's research methodology was to engage the teaching academics at Lingnan University in self and peer assessment of their transformational classroom leadership. This was regarded, in the initial project design, as a useful technique to triangulate the views of academic staff and their teaching peers, the current students, and alumni, thereby potentially adding an extra dimension of validity to the project.

However, the possibility for a conflict of interest in my role as a practitioner-researcher was identified in the later stages of the development of the project proposal. In addition, some of the Lingnan teaching staff perceived the use of the *Classroom Teacher Leadership Questionnaire (CTLQ)* as a potential form of judgement, akin to a performance assessment or peer review. Preliminary discussions with several faculty members about the potential for this research project highlighted their genuine concerns that there were already many data-gathering processes and tools employed on campus and that this would be yet another subtle attempt to gather information about the performance of individual staff.

This was a highly controversial issue that had the potential to derail the intent of the research project. Although it was obviously a problem, it was, for a whole lot of reasons, avoided as a subject for discussion—that is until the unsuspecting researcher appeared on the scene. The 'elephant in the room' was the conflict between satisfying institutional

requirements for accountability (most usually evident in the form of 'big data') and achieving academic freedom and trust (Hoecht, 2006; Alexander, 2000; Astin, 2012)—and the tension was evident.

The importance, as a practitioner-researcher, of exercising care when conducting research that involved peers and others in similar organisational positions, was becoming increasingly apparent. Gibbs (cited in Costley and Gibbs, 2006, p. 95) asserts that great care must be taken to avoid the potential for exploitation, and that 'the ethic of care realigns the notion of power in a conventional research relation'. Engaging with the broad philosophical discussion on ethical issues, Gert (2004) offers a universal code of ethics and highlights the potential tensions between the moral and utilitarian aspects of maintaining an ethical approach in the professions. As a novice researcher reflecting on all of these considerations during the design and implementation of this research project, I was drawn to Gert's summary of his code of ethics, which simply states, 'do not cause harm' and 'do not violate trust' (2014, p. 21).

Adhering to these important sentiments, I was confident that in my role as a contracted employee of the university's Teaching and Learning Unit, I would be perceived as an 'outsider', a neutral party, and therefore somewhat 'agenda-free'. The process of acquiring increased self-awareness through honest, accurate feedback, as asserted by Luft and Ingham (1955, n/p), suggests that 'the value system of a group and its membership, may be noted in the way unknowns in the life of the group are confronted', and in this case I was perceived, rightly or wrongly, as a faculty member. My misunderstandings were corrected with great enthusiasm and clarity by several academics holding strong views on the subject! I was able to better appreciate the reality of my circumstances thanks to receiving information about my situation that others knew, but I didn't.

Merton (1972) dismisses the categorisation of the researcher's positioning in the organisation as frivolous and argues that it may be counterintuitive to the potential of new understandings, asserting that, 'insiders and outsiders in the domain of knowledge unite. You have nothing to lose but your claims. You have a world of understanding to win' (Merton, 1972, p. 44). As a result of this period of personal project enlightenment, I made several adjustments to the project design and methodology, particularly in relation to managing stakeholder expectations, noted throughout the following chapters. Importantly, I was not dissuaded from my attempts to ensure that the usefulness of the research question was thoroughly examined, ensure that my capacity to carry out the required research was

not undermined, and, as exhorted by Nunan (1992), identify the 'value-add potential' that the research might bring to the profession. These sentiments are echoed in a useful 'survival guide' I discovered for the aspiring insider-researcher, where Coghlan (2008), informed by the notion of authenticity proposed by the philosopher-theologian Bernard Lonergan, lists four imperatives of the research process:

- Be attentive (to the data)

- Be intelligent (in inquiry)

- Be reasonable (in making judgements)

- Be responsible (in making decisions and taking action). (p. 355)

Traditional views of research generally argue for increasing levels of objectivity and detachment, however insider researchers have a unique opportunity to secure an authentic perception: an 'understanding in use rather than a reconstituted understanding' (Brannick and Coghlan, 2007, p. 66). Importantly for my situation in a Hong Kong university setting, Cui (2015) highlights the important influence of the relation-oriented nature of Chinese culture on the researcher's identity in reflexivity-based research methodologies. Aware of Cui's (2015) assertion that Confucianism considers proper human relationships to be a fundamental basis of society, the need for a lot of face-to-face contact, multiple meetings, lots of thoughtful listening and gallons of Chinese tea to oil the wheels of knowledge exchange were factored into the project planning.

## 4.4 – Methodological approach

### Project management in higher education

After many years of working as an organisational development consultant on major industries projects, consulting to the higher education environment gave me an interesting insight into the effectiveness, at least in my local environment, of the formal project management structures in place to support organisational development opportunities. In a higher education context, up until recently, and with the general exception of IT functions, formal project management structures in the form of project management offices (PMO) and the supporting resourcing and leadership development were lagging behind established industries such as construction and healthcare (Austin, et al. 2013; Lockwood, 2015).

The complexity and challenges of higher education, I found, were better suited to 'gentle project management': a strategy of integrating traditional change management, project

management, and instructional design models (Schoen and McNamara, 2016). Therefore, I attempted throughout the design of this research project methodology to adapt these combined strategies to the unique academic environment in order to meet both the project and stakeholder requirements. When managing a research project with such a broad spread of environments and stakeholders, 'there is no algorithm to help you or any other project manager deal with issues about ethics with absolute assurance of effectiveness. About the most you can hope for is to make a judgment and act in a manner that resolves an issue equitably and honestly' (Kleim 2012, p. 16).

## Risk management

The research project's initial risk assessment involved broad consultation forums with stakeholders to identify the various obstacles, trips and traps that could potentially derail the project. Consistent with contemporary standards for project development specifications, the *PMBOK® Guide*[34] describes the development of a risk management plan as 'the process of conducting risk management planning, identification, analysis, response planning, and monitoring and control on a project', noting, with inspired clarity, that effective risk management should 'increase the likelihood and impact of positive events, and decrease the likelihood and impact of negative events in the project' (Project Management Institute, Inc., 2013, p. 309).

Importantly, following the identification of potential risks, the contingency planning for risk mitigation should include both material and time resources for a 'contingency reserve' (Tonnquist and Hørlück, 2009). During the course of the project, I maintained an abridged version of a 'risk register' by diarising potential issues, stakeholders, problem-solving strategies and the assigned solutions and outcomes. In the course of managing a project with a great number of issues, a detailed record of risks proved invaluable as a project management support instrument. (See *Appendix 14 – DProf Supervision, consultation and development diary*.)

One of the most common 'show-stoppers' for complex, multifaceted projects is the critical ongoing project commitment to the allocation of adequate fiscal, technical and personnel resourcing to support the project through to its planned resolution.

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[34]   The *Project Management Body of Knowledge*, (PMBOK) is a trademark of the Project Management Institute, Inc.

## Project resourcing

From a policy position formulated in 2008, the focus of Hong Kong's Government higher education research has gradually shifted away from highly specialised research topics to projects that focus on practical transfer of knowledge, and the government has grown increasingly interested in the broad enhancement of learning and teaching (Kennedy, 2011). Accordingly, the governing funding body responsible for approving and funding Hong Kong's higher education research, the University Grants Commission (UGC) has increasingly supported research into institutional knowledge transfer, particularly in the areas of learning and teaching.

As one of the nine Hong Kong universities managed within the policy and funding provisions of the UGC, Lingnan University (Hong Kong's only liberal arts institution) has responded to these shifts in focus and is actively supporting research proposals that align with the principles of institutional knowledge transfer. Consequently, a proposal for a research project to investigate the relationship between transformational leadership in the classroom and graduates' workplace engagement, with the potential to provide useful outcomes for both the higher education environment and industry, was endorsed for implementation.

This research project was completed while I was employed in the role of a Senior Project Consultant at the Lingnan University's Teaching and Learning Centre for the time required to complete the programme according to its schedule. In accordance with the university's application for project approval and funding, I was subsequently appointed to the position of Principal Project Supervisor, which conferred governance of the research project and access to any fiscal, physical and human resources required for the research project.

Following the initial round of negotiations with key organisational stakeholders, the university resources listed below agreed to support and resource relevant aspects of this research project.

### *Support from Office of Research Support (ORS), Lingnan University*

Liaison with the ORS ensured compliance with the regulations that govern research projects at the university, and the ORS provided research project governance and ethics approval protocols to ensure the institutional efficacy of this research project.

## Support from Office of Institutional Advancement and Alumni Affairs (OIAAA), Lingnan University

OIAAA provided services to support the consultation and liaison with the Lingnan alumni, as well as the distribution of the Gallup Q[12]® instrument to the alumni and receipt of their responses. Consistent with required aspects of the ethical approvals for this research project, the OIAAA provided complete anonymity of the recipients and their organisations. To ensure confidentiality, the author had visibility only of the research instruments and the responses to these instruments.

## Support from the Teaching and Learning Centre (TLC), Lingnan University

The TLC provided a range of valuable general administrative support, including securing the copyrighted access for the Gallup Q[12]® workplace audit instrument to be distributed to Lingnan University alumni (n = 200), and securing access to the use of the Classroom Teacher Leadership Questionnaire (CTLQ) from the instrument's propriety owners[35] through a prior agreement. The TLC team also provided extremely important spontaneous Cantonese translation, advice and critical support about local cultural norms and local university protocols, and personnel and contacts to enhance the research project outcomes. In addition to this valuable administrative support, the expertise of two specialists (an IT Systems Specialist and a Research Statistician) proved instrumental in the achievement of the project design and analysis.

The services of the Centre's IT Systems Specialist were critical to the project's success and included support in the following specialist areas.

- Consultation on the design and development of the CTLQ to convert it from a paper-based format into an online survey in the university's Qualtrics™ survey platform[36].
- Consultation on the design and development the +10 for use in the Qualtrics™ survey platform, including links to the Gallup Q[12]® questionnaire login page and explanatory notes.

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[36] For further information, refer to http://www.qualtrics.com

- Consultation and support of the consolidation of responses to both the CTLQ and +10 instruments within the university's Qualtrics™ survey platform.

- Consultation and support with the Gallup Q¹²® desktop to final design requirements.

Equally important to the project's success was the support of the Centre's Research Statistician. Without expert input, my limited capacity to design and implement research statistical analysis would have severely hampered the project, so this support provided project validity and reliability, and a much-appreciated instructional role. The expertise included planned analysis for internal consistency (coefficient alpha) among other forms of statistical analysis, including the following.

- Consultation on the design, development and analysis of the final CTLQ survey data from a paper-based format into an online survey including testing for content, construct (convergent and discriminate) and criterion-related validity, and an initial test for reliability, which included test-retest, alternate forms, split halves, and internal consistency (Cronbach's alpha).

- Consultation on the design, development and analysis of the final College Experience +10 Questionnaire survey data, including analysis of the transformational leadership 'top loaders' from the CTLQ.

- Consultation and analysis of the CTLQ, +10 and Gallup Q¹² data to investigate the research hypotheses and any unexpected results.

## Project timescale

This research project was scheduled to run for 7.5 months, commencing in August 2015 and concluding in February 2016 with the submission and presentation of a report to Lingnan University stakeholders. The Lingnan University report forms part of the evidence of achievement and is included in *Evidence of Achievement 1*.

The initial project consultation and design phases culminated in the development of a project plan specifying three concurrent phases to examine respective responses to the three validated research instruments (the Classroom Teacher Leadership Questionnaire (CTLQ), and the Gallup Q¹²® workplace audit instrument, and the *College Experience +10 Questionnaire),* and to subsequently examine and analyse the results to produce a comprehensive report of the findings. I adopted the Gantt chart format for the project plan as it provides a simple visual representation for all stakeholders, and helps to organise thinking and establish reasonable timeframes. The higher-level, graphic-oriented design of a

Gantt chart also eliminates the need to separately plot and maintain all the project interdependencies, a major disadvantage of the tool in more complex projects such as IT projects that require high levels of input and maintenance (Martinelli and Milosevic, 2016). *Table 2: Project Schedule as a Gantt chart* shows the project schedule in a Gantt chart format.

| TIMESCALE 2015 | AUG 2015 | | SEP 2015 | | OCT 2015 | | NOV 2015 | DEC 2015 | |
|---|---|---|---|---|---|---|---|---|---|
| Phase 1: CTLQ | | 1.1 Focus Group | 1.2 Review #1 | 1.3 Pilot Sample | 1.4-7 Review & Testing | | 1.8 CTLQ Survey distribution | 3.1 CTLQ Collection & analysis | **Holiday** |
| Phase 2: Gallup Q$^{12}$® & +10 | | | 2.1 Focus Group | 2.2 Review | 2.3 Pilot Sample | 2.4 Review & Testing 2.5-6 Liaison | | 2.7 Q$^{12}$® +10 survey distribution | **Holiday** |
| Phase 3: Analysis & Report | | | | | | | 3.2 Develop report on the study | | **Holiday** |
| Phase 3a: Publication | | | | | | | | | **Holiday** |

| TIMESCALE 2016 | JAN 2016 | FEB 2016 | MAR 2016 | APR 2016 |
|---|---|---|---|---|
| Phase 1: CTLQ | 3.1 CTLQ Collection & analysis | | | |
| Phase 2: Gallup Q$^{12}$® & +10 | 3.1 Q$^{12}$® +10 Collection & analysis | | | |
| Phase 3: Analysis & Report | 3.2 Develop report on the study | | | |
| Phase 3a: Publication | | | 3.3 Publish Report | 3.4 Draft a conference paper/ journal article (TBC) |

*Table 2:    Project Schedule as a Gantt chart*

## 4.5 – Project design

This research project investigated the relationship between transformational classroom leadership and workplace engagement in a Hong Kong higher education setting at Lingnan University. The following three instruments were adapted, developed or purchased as a proprietary product to gather the data required to test the project hypotheses.

- The *Classroom Teacher Leadership Questionnaire (CTLQ)*, based on the original MLQ adapted for higher education (Pounder, 2006) and validated for the purposes of this research project. This was used to identify the extent of transformational classroom leadership currently provided at Lingnan University.

- The *College Experience +10 Questionnaire.* This was developed and validated in order to gauge the alumni's recollection of their transformational classroom leadership experiences during their time at Lingnan University.

- The *Gallup Q*[12]® workplace audit instrument (Gallup, 1992-1999). This proprietary instrument was purchased and used under licence to identify alumni's workplace engagement.

*Figure 6: Research methodology development pathway* shows the progressive development of the tools used in this research project.



Notes:
**MLQ** – The original Multi Factor Leadership Questionnaire.
**MLQ (HE)** – Pounder's updated questionnaire adapted to the higher education environment (2006) based on the original Multifactor Leadership Questionnaire.
**CTLQ** – Author's updated Classroom Teaching Leadership Questionnaire, based on Pounder's MLQ (HE) (2006).
**College Experience +10** – Author's questionnaire for alumni based on the CTLQ and Big 6 questions (Seymour & Lopez, 2015)
**Gallup Q**[12]® – Gallup's Workplace Audit Instrument (Gallup Inc. 1992–1999)

*Figure 6:    Research methodology development pathway*

The project's final design articulated three phases that addressed instrument design or adaptation, data collection, and data analysis. Each phase also included a discrete stage for

completion. These phases are shown in *Table 3: Research design phases and related research stages* below.

| | | |
|---|---|---|
| **Project Design Phase** | 1.1 | Redevelop and validate the CTLQ instrument |
| | 1.2 | Develop and validate College Experience +10 instrument |
| | 1.3 | Develop Gallup Q$^{12}$® Alumni survey processes |
| **Data Collection Phase** | 2.1 | Implement the CTLQ surveys for PG and UG students |
| | 2.2 | Implement the Lingnan Alumni Q$^{12}$® +10 survey |
| **Data Analysis and Reporting Phase** | 3.1 | CTLQ Q$^{12}$® +10 survey data analysis and findings |
| | 3.2 | Project Report Publication/ Journal Article development |

*Table 3:     Research design phases and related research stages*

## Phase 1.1 – Redevelop and validate the CTLQ

The *Classroom Teacher Leadership Questionnaire (CTLQ)* is based on the original MLQ (also know as the MLQ *Form 5X Short*) and adapted for higher education by Pounder (2006). The standard version of the MLQ seeks answers to 45 items using a five-point behavioural scale (Likert, 1932) that ranges from "Not at all" to "Frequently if not always", and measures all nine characteristics of the transformational-transactional model and three leadership outcomes described in the Full Range Leadership model. Emerging from the combination of multiple leadership traits (Zaccaro, 2007), the nine characteristics of the MLQ Form 5X Short (the first five of which are in the transformational leadership paradigm) are:

(1) idealized influence (attributed);

(2) idealized influence (behavioural);

(3) inspirational motivation;

(4) intellectual stimulation;

(5) individual consideration;

(6) contingent reward;

(7) management-by-exception (active);

(8) management-by-exception (passive); and

(9) laissez-faire leadership.  (Mind Garden, Inc.)

The separation of the Idealized Influence characteristic into (1) and (2) above is based on the recommendation by House et al. (1991) and Hunt (1991) that Behavioural and Attributed Idealized Influence be differentiated on the basis that charisma (Idealized Influence) can be both identified as a quality attributed to a leader by followers (i.e. attributed), and demonstrated by leadership behaviour (i.e. behavioural).

This phase of the project design and implementation was designed and implemented in the stages listed below.

1.1.   Convene a focus group to assess the contextual relevance of the MLQ (5X Short) instrument adapted for use in the higher education environment.

1.2.   Review and update the questionnaire based on the focus group outcomes.

1.3.   In conjunction with the TLC administrative support team, develop both traditional (Cantonese) and simplified Chinese (Putonghau) translations for the revised CTLQ instrument.

1.4.   Assess the contextualised validity of the translations by back translating (Brislin, 1970, 1986), working with Chinese language specialists from the university.

1.5.   Create an additional comments section to address the issue of using an essentially qualitative instrument in this study's ontological milieu.

1.6.   Develop a scoring key for the revised CTLQ.

1.7.   Conduct a pilot study with the revised simplified Chinese version of the CTLQ with Lingnan postgraduate students (n = 46).

1.8.   In conjunction with the TLC research statistician, test for content, construct (convergent and discriminate) and criterion-related validity.

1.9.   In conjunction with the TLC research statistician, test for reliability: test-retest, alternate forms, split halves, and internal consistency (Cronbach's alpha).

1.10.  Adapt the testing outcomes to a revised (final) English version of the CTLQ.

1.11.  Adapt the updates to a traditional Chinese translated version and re-validate through back translations (Brislin, 1970, 1986).

1.12.  In conjunction with the TLC IT systems specialist, develop the CTLQ to an online survey for use in the university's *Qualtrics*™ survey platform.

# Phase 1.2 – Develop and validate the College Experience +10 Questionnaire

The College Experience +10 Questionnaire (+10) instrument was designed to accompany the Q¹²® with the intention of validating the original items about the 'caring professor', in the post-university environment for the alumni, and to explore the items relevant to the hypotheses of this study: that a 'caring professor' exhibits the characteristics of transformational classroom leadership, as identified in the CTLQ. The design of the +10 questionnaire was based on a careful selection only of those transformational leadership aspects of the Full Range Leadership model that relate to the objectives of this research project. (In addition, feedback from the Alumni Affairs Office indicated that alumni would not wish to complete a 45-item questionnaire in addition to the Q¹²®.) The College Experience +10 Questionnaire adapted the 3 'caring professor' statements from the *Big Six* (Seymour and Lopez, 2015) and the remaining items from the CTLQ that show the highest statistical loading and most closely align to the characteristics of the 'caring professor', thereby supporting the hypothesis that the items related to the notion of the 'caring professor' could be linked to the CTLQ transformational leadership categories. This phase of the project design and implementation was designed and implemented in the stages listed below.

1.2.1. Examine the three questions most closely related to the concept of the 'caring professor' from Gallop *Big Six* questionnaire[37]. Using the redeveloped CTLQ, identify the statistically significant 'top-loaders' (Cronbach alpha) in the MLQ transformational leadership categories. These characteristics are described in five elements of the Full Range Leadership model as: Idealized Influence (Attributed) (IIA), Idealized Influence (Behaviour) (IIB), Intellectual Stimulation (IS), Individual Consideration (IC), and Inspirational Motivation (IM) (Bass and Avolio, 1996). The element of Satisfaction [S] was omitted from the instrument due to its highly subjective nature and the tendency for respondents to focus on one particular professor, rather than broad impressions of their college experience. Three statements relating to the 'caring professor' in the *Big Six* (Seymour and Lopez, 2015) questionnaire were accurately mapped to transformational leadership elements adopting Podsakoff and Organ's (1986)

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[37] Based on the "Big Six" undergraduate experiences discussed by Seymour and Lopez (2015).

approach to analysis in organisational research and contextualised for our purposes as shown in *Table 4: Mapping of Survey Questions 1-3 to Full Range Leadership Elements* below.

| Survey Question | Mapped to Full Range Leadership Element |
|---|---|
| *Q1. I had at least one professor at Lingnan University who made me excited about learning.* | *Intellectual Stimulation (IS)* |
| *Q2. My professor at Lingnan University cared about me as a person.* | *Individual Consideration (IC)* |
| *Q3. I had a professor during my time at Lingnan University who encouraged me to pursue my goals and dreams.* | *Inspirational Motivation (IM)* |

Table 4:     *Mapping of Survey Questions 1-3 to Full Range Leadership Elements*

1.2.2.   To further enhance the validity and integrity of the +10 instrument, include five additional questions, observed as statistically significant 'top-loaders' from the transformational leadership elements IC, IS and IM from the CTLQ, as shown in *Table 5: Mapping of Survey Questions 4-8 to Full Range Leadership Elements and CTLQ Questions* below.

| Survey Question | Mapped to: | |
|---|---|---|
| | Full Range Leadership Element | CTLQ Question |
| *Q4. The behaviour of at least one of my professors earned my respect.* | Idealized Influence – Attributed (IIA) | Q. 21 |
| *Q5. My professor made me look forward to the future after completing their course.* | Inspirational Motivation (IM) | Q. 36 |
| *Q6. My professor suggested various approaches to successfully completing coursework and assignments.* | Intellectual Stimulation (IS) | Q. 32 |
| *Q7. My professor reinforced that a strong sense of purpose was important for course success.* | Idealized Influence – Behaviour (IIB) | Q. 23 |
| *Q8. I had at least one professor who cared about my individual learning requirements,* | Individual Consideration (IC) | Q. 29 |

| | | |
|---|---|---|
| *abilities and aspirations, and understood that I may have had needs that were different from my classmates.* | | |

Table 5:    *Mapping of Survey Questions 4-8 to Full Range Leadership Elements and CTLQ Questions*

1.2.3.  To further support the provision to reassess and validate the potential for any links between experiences of transformational classroom leadership and enhanced student effort and their perceptions of the effectiveness of the learning experience, include the final two elements of the +10 instrument, as shown in *Table 6: Mapping of Survey Questions 9-10 to Full Range Leadership Elements and CTLQ Questions* below[38].

| Survey Question | Mapped to Full Range Leadership element | Mapped to CTLQ Question |
|---|---|---|
| *Q9. My professor strengthened my determination to work harder.* | Extra Effort (EE) | Q. 44 |
| *Q10. I had at least one professor who supported me to successfully achieve the learning outcomes for my course.* | Effectiveness (E) | Q. 46 |

Table 6:    *Mapping of Survey Questions 9-10 to Full Range Leadership Elements and CTLQ Questions*

1.2.4.  Create an additional comments section to address the issue of using an essentially qualitative instrument in this study's ontological milieu.

1.2.5.  Conduct a focus group to review the *College Experience +10 Questionnaire*, and incorporate any required updates.

1.2.6.  Develop the +10 for use in the *Qualtrics*™ survey platform, including links to the Gallup Q[12]® questionnaire login page and explanatory notes.

Of particular interest during the design phases was the close alignment of both the wording and intent of the transformational leadership characteristics of the CTLQ and the three questions relating to the 'caring professor' in the *Big Six* (Seymour and Lopez, 2015). These similarities of language came to light during the design, mapping and validation processes of this research project, and provided strong evidence that the hypotheses were founded in a

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[38]   Refer to the *College Experience +10 Questionnaire* in Evidence of Achievement 4.

reasonably good footing. The mapping and validation process included a desktop review and a focus panel about learning from teaching academics. Significantly, the three *Big Six* (Seymour and Lopez, 2015) questions aligned closely with transformational leadership categories within the original MLQ, as shown in *Table 7: Mapping of Big Six Questions 1-3 to CTLQ Questions and MLQ characteristics* below.

| Big Six Question | Mapped to CTLQ Question(s) | Mapped to MLQ Characteristic |
|---|---|---|
| *#1: 'I had at least one professor at [College] who made me excited about learning.'* | *#2: 'He/She thinks critically and offers comments on a theory or school of thought'…and*<br><br>*#8: 'He/She listens to different opinions for solving problems posed in the classroom'.* | Intellectual Stimulation – IS |
| *#2: 'My professors at [College] cared about me as a person.'* | *#29: 'He/She cares about my personal needs, abilities and aspirations in learning and understands that I may have needs that are different from my classmates'.* | Individual Consideration – IC |
| *#3: 'I had a mentor who encouraged me to pursue my goals and dreams.'* | *#26: 'He/She makes me look forward to the future after completing their course'.* | Inspirational Motivation – IM |

*Table 7:    Mapping of Big Six Questions 1-3 to CTLQ Questions and MLQ characteristics*

## Phase 1.3 – Develop Gallup Q$^{12}$® Alumni survey processes

Early in 2015, survey access to the online Q$^{12}$® for n = 200 was purchased by the Office of the Advancement of Outcomes Based Education, Teaching and Learning Centre at Lingnan University. As discussed in *Chapter 1 - Introduction*, the Q$^{12}$® was the core instrument used in the Gallup-Purdue Index surveys (2014, 2015) to assess workplace engagement of the alumni. Accordingly, for the purposes of analogous design and accurate orientation, the Q$^{12}$® was used for a similar purpose in this research project in a Hong Kong context.

The internal consistency of the Q$^{12}$®, as asserted by Harter et al. (2016, p. 11), 'has a Cronbach's alpha of 0.91 at the business unit level. The meta-analytic convergent validity of the equally weighted mean (or sum) of items Q01-Q12 (GrandMean) to the equally

weighted mean (or sum) of additional items in longer surveys (measuring all known facets of job satisfaction and engagement) is 0.91'. Due to Q$^{12®}$ data confidentiality and retention conditions, Gallup reports provide a Gallup Database Percentile Rank to compare the 'company' GrandMean, and the individual Q$^{12®}$ item results from the survey. This provides benchmark values for engagement relative to other organisations that have administered the Q$^{12®}$, and a comparison of the individual Q$^{12®}$ item and group results to these specific 'company' GrandMean.

Via the Gallup administrative dashboard, the Q$^{12®}$ can be configured to suit the specific structure of each workplace for specific sites of the survey, and given that the Lingnan alumni work at many different organisations, the drop-down menus showing 'work' groupings were built to target the specific relationship between their college experiences and workplace engagement. The questions and statements are listed below, along with their available responses.

Summary Q1. *Which year did you graduate from Lingnan University?*

- 2014
- 2013
- 2012
- 2011
- 2010

Summary Q2. *What is your gender?*

- F
- M

Summary Q3. *I had at least one professor at Lingnan who cared about me as a person, made me excited about learning, and encouraged me to pursue my dreams.*

- Strongly Disagree
- Disagree
- Neutral
- Agree
- Strongly Agree

Survey results for the Q¹²® were generated for the entire survey sample size, and for each group specified in the three summary questions. Both the overall and group Q¹²® reports contain the information set out below.

- *GrandMean* – 'the overall engagement levels of alumni at a particular company. The GrandMean score is an average of the averages for the scores a company received for the individual Q¹²® items. The GrandMean uses the same 5-point scale as the individual Q¹²® items' (Gallup Inc. 2013, p. 17).

- *Sample* – 'the total number of employees in the survey. Depending on your survey participation rate, the sample on your report may not necessarily match the total you selected during survey setup. Q¹²® reports show the sample of employees who took a survey and the sample of employees who responded to each Q¹²® item because respondents are not required to answer all of the Q¹²® items in their survey for their survey to count' (Gallup Inc. 2013, p. 17).

This phase of the project design and implementation was designed and implemented in the following stages:

1.3.1.  Finalise the budget and purchasing arrangements for the Gallup Q¹²® instrument.

1.3.2.  In conjunction with the TLC IT systems specialist, establish the Q¹²® survey administration accountability and access the Q¹²® dashboard.

1.3.3.  Define the Q¹²® survey setup process, including the investigation of the Q¹²® *Purchase and Use* terms to maximise the design capacity of the survey, allocation of group reporting structures, and survey timeframes.

1.3.4.  In conjunction with the TLC IT systems specialist, establish links to the Q¹²® survey log-in in the *Qualtrics*™ survey platform, including detailed explanatory notes explaining the use of a workplace engagement instrument to conduct an alumni survey across multiple workplaces, and ensure appropriate checks and balances exist to ensure the anonymity of individuals and workplaces.

1.3.5.  In conjunction with the TLC IT systems specialist, monitor the survey dashboard and response rates throughout the survey period.

## 4.6 – Methods of data collection

### Phase 2.2 – Conduct the CTLQ survey

To address the 'performance-management-by-stealth' concerns, as discussed in the Introduction, that had been voiced by some of the Lingnan academic teaching staff, the CTLQ will not be distributed to the teaching academics at Lingnan University for the purposes of this survey, as initially considered. However, the survey will be broadened to include postgraduate students as well as undergraduate students, and transformational leadership based questions related to both the CTLQ and the elements of the 'Big Six' undergraduate experience questionnaire (Seymour and Lopez, 2015) will be incorporated into the Gallup Q$^{12}$® Survey. The inherent design of the CTLQ research instrument, its distribution and analysis, will ensure complete anonymity: students' names and other identification protocols, will not be required at any stage. Completed questionnaires will be channelled through a single faculty collection point, thereby masking the origin of the room, workshops, and lecture theatres.

This phase of the project design and implementation was designed and implemented in the stages set out below.

1.2.1. Distribution of a hard-copy CTLQ (Simplified Chinese) and invitations of participation to the Lingnan postgraduate MScHRDOD group[39] (n = 46) as a pilot study and collection of responses thereafter. This was subsequently followed by Lucky Prize Draw[40] presentations and congratulations to MSc in Human Resource Management and Organisational Behaviour group for participation.

1.2.2. In conjunction with the TLC research statistician, test for reliability: test-retest, alternate forms, split halves, and internal consistency (coefficient alpha).

1.2.3. Review and update the instrument as required. Analysis of postgraduate CTLQ with Cronbach's alpha revealed inconsistencies with the validity of some questions, and investigation of language intent against the original MLQ with

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[39]  Further demographic information on the taught postgraduate MScHRDOD program can be seen at
https://www.ln.edu.hk/about-lu/facts-and-figures/statistics-of-students

[40]  The *Market Research Society* advises that any incentive used should be "reasonable and proportionate", that incentives should be considered project-by-project based on the demographics of the expected respondents, how specialist the subject matter is, and how much the respondent will be inconvenienced by participating. The Lucky Prize Draw in this case was vouchers for the purchase of groceries at a local supermarket.

TLC focus group resulted in minor edits to the CTLQ and subsequently the items adopted for the +10.

1.2.4. Distribute the reviewed instrument to Lingnan University undergraduate students[41] in Years 3 and 4[42] (Target Audience n = 200) (online).

## Phase 2.3 – Conduct the Lingnan Alumni Survey

This phase of the project design and implementation was designed and implemented in the stages set out below.

2.3.1. Engage the Lingnan University's Office of Alumni Affairs to establish a timetable and support mechanisms, so that they can administer and distribute the survey. Initial planning designated the 2014[43], 2013 and 2012 alumni groups were targeted for the +10 / Q$^{12®}$ survey.

2.3.2. Design and publish survey process graphics to support all stakeholders[44].

2.3.3. Liaise with the Office of Alumni Affairs throughout the survey period and provide appropriate support and advice. Early analysis of response rates following the release of the survey indicated that the survey target of 100 responses might not be achieved, therefore on 09 December 2015, the survey was extended to also include the 2011 and 2010 alumni. Initially, it appeared that alumni was not as interested in participating as had been anticipated and I had to increase the number and frequency of 'gentle reminders' to ensure that I had sufficient responses from which to draw valid results.

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[41] Further detailed demographic information on Lingnan University undergraduate student cohort can be found at https://www.ln.edu.hk/about-lu/facts-and-figures/statistics-of-students

[42] The selection of more senior students is based on findings that indicate that senior students are generally more discriminating in their evaluation of teaching (Langbein, 1994).

[43] Further detailed information on the 2014 Lingnan University alumni association survey can be found at www.ln.edu.hk/ssc/career/resources/doc/ges2014.pdf

[44] Refer to Appendix 5 – Alumni Survey Registration process flowchart and Evidence of Achievement 7 – +10 Questionnaire and Q$^{12®}$ Gallup Workplace Audit Process Flowchart.

## 4.6 – Methods of data analysis

### Introduction

Given that the Likert item data gathered from the CTLQ, and the +10 are discrete, ordinal and have a limited range, it is generally accepted that parametric tests are employed. Non-parametic tests, also known as 'distribution-free' tests, make no assumptions that data will trend to a specific distribution. Frost (2015) asserts that, compared to parametric tests, non-parametric tests are like a 'non-parallel universe'. It was once considered that a small sample size and non-normal data (e.g. ordinal data, ranked data or outliers that can't be removed) automatically meant the selection of non-parametric tests. The best method to analyse Likert item data, as purported by De Winter and Dodou (2010), is now not so clear-cut, even in the case of a relatively small sample size (as was the case in this research project), because of the significant increases in computing power and development of sophisticated statistical software. Of some comfort to the fledgling researcher/statistician, is their summary statement: 'if you need to compare two groups of five-point Likert data, it doesn't matter which analysis you use' (De Winter and Dodou, 2010, p. 8.).

De Winter and Dodou, (2010, p. 11) further argue that 'both types of tests almost always provide the same protection against false negatives and always provide the same protection against false positives'. A final assurance is provided: that 'these patterns hold true for sample sizes of 10, 30 and 200 per group' (De Winter and Dodou, 2010, p. 11). There are arguments about the selection of the most appropriate analytic tool that assert that the usefulness of working with the median is a more accurate indicator than the mean of the average for Likert item data (Paret, 2012), and that there is now a non-parametric equivalent for most parametric hypothesis tests (Kouiden, 2012). These tests include:

- Internal consistency/reliability
- Spearman's rho rank correlation coefficient
- Pearson's r product-moment correlation coefficient
- One sample t test
- Confirmatory Factor Analysis (CFA).

### Internal consistency and reliability

Developed to gauge the internal consistency of a scale or test, Cronbach's alpha (Cronbach, 1951), available on SPSS version 23 (IBM Corp., 2015), was used to test the twelve elements

in the *CTLQ* (H1) and the three elements in the *+10* (H2, H3) employed in this research project. Results of Cronbach's alpha are expressed as a number between 0 and 1, with a general argument that any values over 0.7 and under 0.95 are good indicators of internal consistency and reliability for test items (Nunnally and Bernstein, 1994; Bland and Altman, 1997; DeVellis, 2003). In the case of an exploratory study, such as this research project, it can be argued that an outcome within this range is considered acceptable in order to establish the inter-relatedness of the test items (Anastasi, 1990; Nunnally, 1978).

## Spearman's rho rank correlation coefficient

With specific reference to hypothesis H3, the use of the bivariate correlation procedure available on SPSS version 23 (IBM Corp., 2015), employing Spearman's rho, examined the correlations amongst five dimensions of the transformational leadership characteristics and the self-reported elements of additional effort and efficiency of the learning experience. Correlation matrices were produced for the transformational leadership elements of [IS] Intellectual Stimulation, [IC] Individual Consideration, [IM] Inspirational Motivation, [IIA] Idealised Influence (Attributed), and [IIB] Idealised Influence (Behaviour), and their relationship to [E] Effectiveness, and [EE] Extra Effort. (The element of Satisfaction [S] was omitted from the instrument due to its highly subjective nature and the tendency for respondents to focus on one particular professor, rather than broad impressions of their college experience.) With specific reference to hypothesis H4, rank correlation coefficient of transformational leadership and workplace engagement items of the 2014 Lingnan Alumni Survey were examined.

## Pearson's r product-moment correlation coefficient

Pearson's r measures the correlation between variables to assess the extent of the elements' linear dependence. Using the bivariate correlation procedure available on SPSS version 23 (IBM Corp., 2015), and with reference to H3, Pearson's r examined the correlations between the five dimensions of the transformational leadership characteristics and the self-reported elements of additional effort and efficiency of the learning experience. Correlation matrices were produced for the transformational leadership elements [IS] Intellectual Stimulation, [IC] Individual Consideration, [IM] Inspirational Motivation, [IIA] Idealised Influence (Attributed), and [IIB] Idealised Influence (Behaviour), and their relationship to [E] Effectiveness, and [EE] Extra Effort.

## One sample t test

Originally introduced in the early 1900s by William Gosset as a cost-effective technique to monitor the quality of stout at the Guinness Brewery in Dublin, Ireland (Box, 1987), the one-sample t test is used to determine if two sets of data are significantly different from each other. With specific reference to hypothesis H4, the one sample t test for independent samples (interval data) procedure available on SPSS version 23 (IBM Corp., 2015) was used to examine data related to transformational leadership on both the +10 and $Q^{12^{®}}$ questionnaires.

## Confirmatory Factor Analysis (CFA)

Confirmatory factor analysis employing the SIMPLIS procedure available on LISREL 8.54 (Jöreskog and Sörbom, 2002) was initially considered and then rejected for this research project, for the reasons set out below.

1. The internal validity of original *MLQ* (Bass and Avolio, 1996), and the instrument subsequently modified for use in the higher education environment (Pounder, 2006), on which the CTLQ used in this research project was founded, had been well established through research, meta-analyses and journal publications.

2. The internal construct validity of the *College Experience +10 Questionnaire* was established through employing Cronbach's alpha. Providing a value >0.7, these tests provided confidence of the internal consistency: in other words, the questions are measuring the same attribute.

3. The internal consistency of the *CTLQ* for undergraduate, postgraduate, and combined undergraduate and postgraduate scores, as highlighted in #1 above, was pre-established by existing research. Although CFA (Confirmatory Factor Analysis) may focus on various categories at the same time, Cronbach's alpha (with a focus on a single category to measure the internal consistency) is acceptable. The range of Cronbach's alpha is between 0 and 1. Most of the journals suggested that values over 0.7 and under 0.95 are ideal, as was consistently achieved in the research undertaken for this research project.

## Phase 3.1 – Analyse the data

Analysis of the completed questionnaires was conducted by the principal researcher and staff of the Teaching and Learning Centre, so that, in terms of organisational reporting lines

and responsibilities, it as independent as possible. The Invitation to Participate in a Research Study clearly set out the research protocols, and contained contact details of the principal researcher, the research supervisor, and the Office of Research Support, so that respondents could raise any concerns or issues they had with confidentiality.

This phase of the project design and implementation was designed and implemented in the stages set out below.

3.1.1. At the conclusion of the scheduled survey period, request the data reports from both survey instruments.

3.1.2. In conjunction with the TLC research statistician, review and analyse the +10 survey data set, including test for reliability: test-retest, alternate forms, split halves, internal consistency (Cronbach's alpha).

3.1.3. Receive and analyse the $Q^{12®}$ report data on receipt from Gallup.

3.1.4. In conjunction with the TLC research statistician, analyse and report on any significant statistical relationships between the CTLQ, the +10, and the Gallup $Q^{12®}$.

## Phase 3.2 – Report on findings

3.1.5. Develop project report for Lingnan University, Teaching and Learning Centre. Refer to Evidence of Achievement 1 – *Lignan University Project Report – Transformational Teaching and Engagement at Work, February 2016.*

3.1.6. Develop a Journal Article in order to publicise this work and, more importantly, engage with the broader professional community in order to receive peer review and critique. The article, Pounder, J.S., Stoffell, P.G. and Choi, K-Y. (in review) *Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship in Hong Kong* was submitted on 10 May 2017 to the Educational Management Administration and Leadership Editorial Office, SAGE Publications.

## 4.7 – Ethics and insider research issues

### Introduction

Aristotle mused that 'we do not act rightly because we have virtue or excellence… but we rather have those because we have acted rightly' (Aristotle, 1985), and he thus pondered that the true measure of the achievement of positive ethical standards is based on pragmatism, that is, on demonstrable behaviours and not words or good intentions about characteristics or traits. Project research ethics were prosecuted accordingly, across two higher education systems: in addition to the Middlesex University's *Research ethics form (REf) for MProf/DProf projects*, Lingnan University's internal research protocols—*Application for Ethical Review of a Research Project Involving Human Participants by an MPhil/PhD Student*—were subsequently assessed and approved.

Lingnan University deems it important that researchers (whether staff or students) adopt the means by which they can ensure and demonstrate ethical conduct of research, consistent with the research policies stipulated by the Hong Kong Research Grants Council (RGC), which specifies:

> 'All research involving human subjects must obtain human ethics approval even though the investigator believes participants will not be exposed to any risk of danger or physical harm, psychological discomfort, stress and the like. As confirmed by the RGC, this requirement applies to standard questionnaire surveys or in-depth interviews as well as any study or experiment involving direct contact with humans.' (Lingnan University, 2014)

Middlesex University ethics approvals process[45] required similar deliberation and sanctions to ensure relevant ethical, legal and professional obligations and standards were met, which were duly approved by the University's ethics committee. Of interest in the Middlesex ethics protocols and supporting tools were the risk assessment guidelines[46], which, although in concept target the safety of researchers conducting field work, provided me, as the fledgling higher education researcher, ambling forward like Don Quixote wielding the reform banner, with fair warning of the impending reception I was about to receive…

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[45]  Further detailed information can be seen at https://unihub.mdx.ac.uk/your-study/research-at-middlesex/research-ethics

[46]  Refer to *INDEPENDENT FIELD/LOCATION WORK RISK ASSESSMENT - FRA1* at https://unihub.mdx.ac.uk/your-study/research-at-middlesex/research-ethics

> Lone working: *difficult to summon help, alone or in isolation, lone interviews.*
> Dealing with the public: *personal attack, causing offence/intrusion, misinterpreted, political, ethnic, cultural, socio-economic differences/problems. (Middlesex University, 2014)*

Ethical considerations provided some challenging situations initially during the consultation and design phases, and then during the latter stages of the project (during the alumni survey), all of which required careful consideration and resolution. The physical settings for this research project, and therefore the arenas for various ethical considerations, included two main locations:

- the grounds of Lingnan University (one of Hong Kong's eight government-funded universities), to enable research about the undergraduate and postgraduate student's experiences of transformational classroom leadership behaviours; and…
- the various workplaces of the Lingnan alumni, to enable research about their retrospective views on transformational classroom leadership behaviours, and the current levels of their workplace engagement.

## The Lingnan University research milieu

The university grounds provided the first challenge in the early stages of the development of this proposal. An initial research design consideration was to seek the teaching academic's personal view of their teaching and learning behaviour: a self-assessment of transformational leadership capability using an abridged form of the CTLQ. This inclusion was guided in part by a strongly held personal view, supported by the earlier review of the Scholarship of Teaching and Learning (SoTL) literature, that engagement with professional development opportunities should be an unquestionable value for anyone in the teaching and learning profession. Additionally, teaching staff in a liberal arts university globally should note that the relevant peak body in the European Union (the European Council of the Liberal Professions (CEPLIS) ), articulates a set of common values for the liberal professions: that, 'professionals have an unequivocal responsibility to maintain competency in their field of practice and to this end must participate in continuous professional development throughout their working lives' (CEPLIS, 2014, p. 3). I also saw this as an alternative exercise in professional development for the teaching staff who would be engaged, directly or indirectly, in the research project.

Many of the issues confronting teaching academics, which have been examined in the literature review, emerged here when some of the Lingnan teaching staff observed that they perceived the use of the Classroom Teacher Leadership Questionnaire (CLTQ) as a potential form of judgement, akin to a performance assessment or peer review, and tensions between the issues of academic accountability and academic freedom were apparent. Preliminary discussions with several faculty members about the potential for this study highlighted to me some of their genuinely expressed concerns about the number of 'big-data' gathering processes and tools already employed on campus. Was this research just another subtle attempt to gather personalised information about staff performance?

The importance of exercising care in the research of others as a practitioner researcher and avoiding the potential for exploitation is emphasised by Gibbs (2004) when he asserts that 'the ethic of care realigns the notion of power in a conventional research relation' (Gibbs, 2004, in Costley and Gibbs, 2006, p. 95). In a broad philosophical discussion on ethical issues, Gert (2004) offers a universal code of ethics, and highlights the potential tensions between the moral and utilitarian aspects of maintaining an ethical approach in the professions. Noting and reflecting on these tensions was useful for a novice researcher both in the design and implementation aspects of my research project, and I was drawn to Gert's (2014, p.21) summary of his code of ethics as simply, 'do not cause harm' and 'do not violate trust'.

Regarding the concerns voiced by some of the Lingnan teaching staff, these principals are paramount. Accordingly, after review, I addressed the concerns of the teaching academics, offering the following assurances in subsequent consultations.

- *Confidentiality:* The inherent design of the CLTQ research instrument, its distribution and analysis ensure complete anonymity because neither staff nor students' names are required at any stage of the completion process.

- Completed CTLQ questionnaires are to be channelled through a common faculty collection point, thereby masking the origin of the room, workshops and lecture theatres.

- *Data analysis:* The completed questionnaires are to be conducted by the Teaching and Learning Centre's research statistician, so the researchers see only the consolidated data on a spreadsheet. In terms of divorcing organisational reporting

lines from responsibilities, this would be as close as one may get to a totally independent agency.

- *Research rights and responsibilities*: In the event of any ongoing concerns or issues experienced by the project respondents with either the questionnaires or the potential for attendance at a focus group, the Invitation to Participate in a Research Study clearly sets out the research protocols for completion of the instrument and participation within a focus group. In addition, the contact details for the principal researcher, the research supervisor, and the Office of Research Support are supplied. A footnote setting out the university's policy on survey data management is included.

Notwithstanding these assurances, the voices of the dissenting teaching academics, while not necessarily in the majority, provided in my view, a considerable risk to the project integrity and acceptance, so the concept of CTLQ self-assessment was removed from the project design. The addition of postgraduate students into the mix for their views on the existence of transformational leadership behaviours in the classroom was also built into the project design.

## The alumni research milieu

The increasing influence of neoliberalism in higher education is a key factor in generating greater competition, expectations and accountability. UK universities are receiving record amounts of funding from private philanthropists. In 2013, it was reported that, for the first time, UK Higher Education Institutions (HEIs) obtained more major donations from philanthropic sources than any other source (Warren et al., 2014). The shrinking government purse and other traditional avenues of higher education funding in the UK, as elsewhere, is sharpening the marketing focus for institutions, who are attempting to create enhanced levels of satisfaction and trust, a positive brand image, and shared values to attract alternative sources of philanthropy (Stephenson and Yerger, 2014; Schlesinger et al., 2016). These concerns are high on the agenda in Hong Kong, including that of the alumni associations.

In 1993, the Central Committee of the Chinese Communist Party (CCP) and the State Council released a policy agenda for higher education which stated 'China welcomes the education aid donations of compatriots from Hong Kong, Macau and Taiwan, overseas Chinese and foreign friendly people' (Xiaoyu and Qianqian, 2016, n/p). The higher education authorities

and institutions across China enthusiastically adopted this policy approach (Zhimin et al., 2016), and in Hong Kong, Lingnan University was no exception, cultivating fund-raising across the alumni. Understandably, as a valuable and increasingly lucrative supporter of the goals of the institution, the team at the alumni office very closely monitors the relationship.

My approach to the Office of Institutional Advancement and Alumni Affairs (OIAAA) for this research was predicated on leveraging the 2014 alumni survey that had indicated a strong relationship between the three core behaviours of the 'caring professor' and workplace engagement (Refer to *Figure 1: Lingnan Alumni Survey 2014 – Overall: Other Learning Experiences*). Recent research indicates that alumni's recalled academic experience had greater effect on subsequent loyalty, attitudes and behaviours than their recalled social experience (Koenig-Lewis et al., 2016), and therefore, there are implications for the development of relationships with alumni associations focusing on academic performance.

Questions contained within the +10 related directly to the alumni's recalled experience of their academic teaching behaviours, however issues with the wording of Gallup's consent section of the Gallup Q$^{12}$® Workplace Engagement instrument were of concern to the OIAAA.

It was decided that, where the alumni association maintains carefully nurtured relationships at the point of employment, any intrusion into the employer's trust, whether real or perceived, was to be studiously avoided. The design of the Q$^{12}$® was primarily to assess workplace engagement and direct any interventions to the areas of greatest need. However in the case of my research, the entire alumni cohort were to be assessed as one 'workplace'.

These concerns were addressed in the design of the College Experience +10 Questionnaire and Gallup Q$^{12}$® Employee Engagement Survey Link (refer to *Phase 1.3 – Develop Gallup Q$^{12}$® Alumni survey processes* for detailed design responses), which included detailed notes explaining how to use a workplace engagement instrument to conduct an alumni survey across multiple workplaces, and ensure appropriate checks and balances exist to ensure the anonymity of individuals and workplaces (refer to *Evidence of Achievement 4 – College Experience +10 Questionnaire - Part Two*).

My research application was conveyed in the terms that it had the potential to provide the university with another unique point of difference that they could market to higher education consumers and their employers, and that the institution's teaching milieu would potentially support higher levels of workplace engagement. Implications of the distribution of the research results in the form of a published TLC report, the development of a peer-

reviewed journal article, and the publication of a DProf thesis, were also of interest to the

OIAAA.

# Chapter 5 – Project results and findings

## 5.1 – Introduction

This research project was initially scheduled to run over 7.5 months, commencing in August 2015. The following chapter examines the details of the three main project phases through the lens of a chronological set of milestones. Details of the following discussions are drawn from the range of formal project management entries and communications channels, and are further supported by my 'chicken-scratch'[47] and observations in a detailed personal research project diary I maintained throughout the project's duration. As discussed in previous chapters, this diary also doubled as a risk management inventory, which, as issues and roadblocks were encountered and subsequently resolved, was an excellent record of the relationships, contributions, resolutions for the evolving project, as well as a source of inspiration.

The project proper concluded in February 2016 with the submission and presentation of a project report to Lingnan University stakeholders. (Refer to the report in *Evidence of Achievement 1*.)

## 5.2 – Results at key milestones and phases

### Phase 1 – Project design

| | | |
|---|---|---|
| **Project Design Phase** | 1.1 | Redevelop and validate the CTLQ instrument |
| | 1.2 | Develop and validate College Experience +10 instrument |
| | 1.3 | Develop Gallup Q$^{12®}$ Alumni survey processes |

*August 2015*

- Initial project consultation, planning, budgets, resourcing.

This was a very positive and convivial project startup meeting, attended by the key personnel representing administrative, financial, IT specialist and research statistician functions from Teaching and Learning Centre (TLC) and Centre for the Advancement of

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[47]  A term describing 'scratching' or scribbling out words on paper that can resemble the footprints or scratching left by chickens in then dirt -  usually incredibly messy and only discernible to the writer!

Outcomes Based Education (CAOBA) stakeholders. Items for discussion included access, review and development of:

- MLQ Student Rater and MLQ Teacher Self Rater forms (Pounder, 2006)

- Gallup/ Healthways Well-Being Index®

- Gallup Big Six (Seymour and Lopez, 2015)

- Gallup Q$^{12}$® Workplace Engagement

- Access and review of the Lingnan 2014 Alumni Survey report, and assessment of application of results to the current research project. This report had, for the first time, the additional questions on specific transformational behaviours of their teaching academics and their perceptions of current levels of workplace engagement included.

## *September 2015*

- Initial engagement with stakeholder from Lingnan's Office of Institutional Advancement & Affairs (OIAAA).

- Draft versions of the redesigned CTLQ survey instrument and letters of invitation distributed for critique.

- Three questions specifically related to learning pedagogies from the *Gallup Big Six*[48] (Seymour and Lopez, 2015) removed from draft college experience questionnaire because they were unrelated to the question of leadership and on advice from the OIAAA to minimise survey time requirements of the alumni.

- Planning with the TLC Research Statistician to develop processes for the identification of five statistically significant 'top-loaders' [49] from the CTLQ transformational leadership category to be added to form the draft *College Experience* +8 instrument.

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[48]  The three questions specifically focusing on learning pedagogy included: "I worked on a project that took a semester or more to complete"; "I had an internship or job that allowed me to apply what I was learning in the classroom"; and I was extremely active in extracurricular activities and organizations while attending [College]" (Seymour and Lopez, 2015).

[49]  The transformational leadership category questions returning the highest Cronbach alpha values.

- Translation processes commence for the 'new' version of the CTLQ, both traditional and simplified Chinese versions required, including back translation validation processes.

## October 2015

- In order to keep up spirits of the TLC team and maintain our hard-won momentum, I initiated 8-week review meetings with our team and key stakeholders. Of considerable importance in these interactions was the need to maintain an informal atmosphere to ensure that, when in contact with a supervisor, traditional cultural norms (whether perceived or real in my case) didn't stifle problem identification and creativity. To this end, rather than provide solutions, I maintained a resolute approach to gaining solutions from the stakeholders – even when it often extended meeting times considerably. Outcomes of the October meeting included:

  - reviewed and finalised of instrument administrative processes

  - reviewed feedback on instruments by focus group

  - reviewed translation and back translation processes, translations of the 5-point rating scale to be included

  - invitations developed for both versions of the CTLQ

  - 'Lucky Prize Draw' prizes identified and budgeted for, prize drawing and distribution protocols established

  - the addition of a free-comments section included in *CTLQ* and *College Experience* +8 instruments.

    The addition of a free comments section in the *CTLQ* and *College Experience* *+10* instruments was a surprisingly contentious point with some members of the team. While I was intent on fully engaging with the critical realism framework within the design of the project, my philosophy of enriching the survey with quantitative data was not well supported among the project team. The principal concern leading to the point of resistance was that the majority of (all?) research conducted by the team had been predominantly positivist and had used qualitative data protocols generating 'irrefutable' proof. This undercurrent of resistance manifested in several subtle ways: for example, the issue of data-gathering in the IT framework creating excessive manual

operations. This issue was eventually overcome through my friendly and gentle stubbornness and, within the broad design capability of the *Qualtrics*™ survey platform, using the indomitable skill of the TLC IT Systems Specialist to provide the written comments in an MS Excel data dump. (Refer to *Appendices 9 – CTLQ & +10 Questionnaire Participant Comments*.)

- In consultation with the TLC's IT Systems Specialist, we concluded our planning for the development and testing of the CTLQ as an online instrument via the *Qualtrics*™ survey platform.

  Rather than conduct a direct mail-out of the CTLQ survey, we determined to adopt a much more personalised approach than the traditional approach of local surveys. This culminated in the development of an online CTLQ (Traditional Chinese) and invitations for Lingnan's Year 3 and 4 undergraduate students (n = 200) before distribution. (Refer to *Appendix 1 – Classroom Teacher Leadership Questionnaire Invitation.)*

- Distribution of a hard-copy CTLQ (Simplified Chinese) and invitations to the Lingnan postgraduate MScHRD group (n = 46) to generate a pilot study. The results of this survey provided an opportunity for an interesting examination of the effectiveness of the revised instrument.

The first examination of results for the revised CTLQ occurred when the instrument was administered to the full cohort of 52 postgraduate students studying the Masters in Science, Human Resource Development and Organisational Development (MScHRDOD) program at Lingnan University. At the completion of this survey phase, 46 serviceable responses were received, with a subsequent response rate of 94%, which is an acceptable rate for questionnaire research in this type of research project, as contended by Saunders et al. (2000). Values over 0.7 and under 0.95 are considered to be good indicators of internal consistency and reliability for test items (Nunnally and Bernstein, 1994; Bland and Altman, 1997; DeVellis, 2003). Of interest is that the Cronbach's alpha for the postgraduate cohort relating to the transformational leadership elements, indicated marginally lower responses for IIA (0.643), IS (0.545) and a significant statistical marker for IIB (0.147). Refer to *Table 8: Cronbach's alpha – Postgraduate students* for detailed information on Cronbach's alpha findings in the postgraduate CTLQ survey, and Appendix *6 – CTLQ Cluster Analysis – Postgraduate Students* for detailed information on findings by tabulation of each postgraduate leadership cluster within the Full Range Leadership model.

Therefore, the results may be attributed to the status of the postgraduate cohort, most of whom have worked in a full-time capacity, and whose program runs during the main student body's academic holidays. In these short courses, where there is reduced tutor contact and relatively limited peer engagement, students would have few opportunities to directly observe situations relating to questions that relate to IIB (an element based on direct observation), such as '*Q6. He/she will talk about his/her personal beliefs and value systems while teaching*', and '*Q34. He/she emphasises the importance for students to cultivate a sense of shared commitment to achieving success on this course*'.

Of note are the favourable Cronbach's alpha indices for the elements of Effectiveness (E) (0.881) (e.g. '*Q45. He/she leads a successful class*'), Extra Effort (EE) (0.902) (e.g. '*Q42. He/she has strengthened my commitment to success*'),* and Satisfaction (S) (0.792) (e.g. '*Q38. I am satisfied with his/her leadership in the classroom*').

**20151119 – Postgraduate students (n = 46)**[50]

| Dimension | N | Cronbach's alpha |
|---|---|---|
| Idealized influence (Attributed) [IIA] | 45 | 0.643 |
| Idealized Influence (Behavior) [IIB] | 46 | 0.147 |
| Inspirational Motivation [IM] | 45 | 0.772 |
| Intellectual Stimulation [IS] | 45 | 0.545 |
| Individual Consideration [IC] | 45 | 0.771 |
| Contingent Reward [CR] | 45 | 0.579 |
| Mgt. by Exception (Active) [MEA] | 45 | 0.722 |
| Mgt. by Exception (Passive) [MEP] | 43 | 0.314 |
| Laissez-faire Leadership [LFL] | 45 | 0.558 |
| Effectiveness [E] | 45 | 0.881 |
| Extra Effort [EE] | 46 | 0.902 |

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[50] For detailed data table, refer to Appendix 6 – CTLQ Cluster Analysis – Postgraduate Students.

| Satisfaction [S] | 46 | 0.792 |
|---|---|---|

*Table 8: Cronbach's alpha – Postgraduate students*

- *College Experience* +8 Questionnaire reviewed, and statistical FETA analysis and internal consistency validation processes for CTLQ outcomes established.

- Lucky Prize Draw presentations and congratulations to MSc in Human Resource Management and Organisational Behaviour (MScHRMOD) group.

### Summary of Phase One results

In summary, a range of positive results indicators were found during the design phase of this research project, as set out below.

- Positive validity and reliability indices observed for the re-developed CTLQ.

- Successful development of the questions and rating scales for CTLQ as a multi-lingual research instrument using back translation.

- Development of the +10 using the statistically significant 'top-loaders' from the transformational leadership elements of the CTLQ, as attributed to the Full Range Leadership model (Bass and Avolio, 1997).

- The +10 instrument excluded the CTLQ items related to *Satisfaction*, as this category was considered less conducive to achieving an overall view of the transformational leadership items and indicated a lower Cronbach's alpha than the categories of *Efficiency* and *Extra Effort.*

- The +10 instrument was developed in consultation with the OIAAA to avoid potential dissatisfaction with extended survey completion times and lack of relevance for the participating alumni.

## Phase 2 – Data collection

| **Data Collection Phase** | 2.1 | Implement the CTLQ surveys for PG and UG students |
|---|---|---|
| | 2.2 | Implement the Lingnan Alumni Q$^{12^{®}}$ +10 survey |

### November 2015

- Final versions of the CTLQ completed.

The CTLQ was then distributed to approximately 1,100 Lingnan undergraduates completing years 3 or 4 of their degrees, through the college's online survey platform (*Qualtrics*™). The expected response rate was approximately 200. Although only 92 responses were received (8.4% of the total population and 46% of the expected response rate), this was deemed a useful sample. Biersdorff (2009) reports that 'expert opinions as to what is considered good or adequate as a mail survey response' ranges between 25%-75%, however, as argued by Fan and Yan (2010), these estimates should be reduced by at least 10% in an online survey. Of note here is that the response rate, while seemingly low, provided a very high level of 'cooperation rate', with few errors, incomplete surveys, or omissions.

- On-line CTLQ released to Lingnan undergraduate students, as follows:

  - 11 November 2015 - CTLQ 1st Reminder

  - 18 November 2015 - CTLQ Final Reminder (extended to 25 November 2015 due to slower than anticipated response rate)

  - 20 November 2015 - CTLQ Closing Date (extended to 27 November 2015)

- Analysis of both the undergraduate and postgraduate CTLQ surveys to be included in the final revision of the *College Experience* instrument.

Refer to *Table 9: Cronbach's alpha – Undergraduate students* for detailed information about Cronbach's alpha findings in the undergraduate CTLQ survey, and *Appendix 7 – CTLQ Cluster Analysis – Undergraduate Students* for detailed information about findings by tabulation of each undergraduate leadership cluster responses within the Full Range Leadership model.

**20151119 – Undergraduate (n = 76)** [51]

| Dimension | N | Cronbach's Alpha |
|---|---|---|
| Idealized influence (Attributed) [IIA] | 76 | 0.733 |
| Idealized Influence (Behaviour) [IIB] | 76 | 0.726 |
| Inspirational Motivation [IM] | 76 | 0.746 |
| Intellectual Stimulation [IS] | 76 | 0.671 |

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[51] For detailed data table, refer to Appendix 7 – CTLQ Cluster Analysis – Undergraduate Students.

| Dimension | N | Cronbach's Alpha |
|---|---|---|
| Individual Consideration [IC] | 76 | 0.836 |
| Contingent Reward [CR] | 76 | 0.660 |
| Mgt. by Exception (Active) [MEA] | 76 | 0.748 |
| Mgt. by Exception (Passive) [MEP] | 76 | 0.640 |
| Laissez-faire Leadership [LFL] | 76 | 0.719 |
| Effectiveness [E] | 76 | 0.904 |
| Extra Effort [EE] | 76 | 0.829 |
| Satisfaction [S] | 76 | 0.849 |

*Table 9:    Cronbach's alpha – Undergraduate students*

- Key alumni survey dates established and communicated to the Alumni Affairs Offices (OIAAA) as follows:

    - 03 December 2015 – Release date

    - 10 December 2015 – 1st Reminder

    - 17 December 2015 – 2nd Reminder

    - 21 December 2015 – Closing Date

- Analysis of postgraduate CTLQ with Cronbach's alpha revealed inconsistencies with the validity of some questions, and investigation of language intent against the original MLQ with TLC focus group resulted in minor edits to the CTLQ and subsequently the items adopted for the *College Experience* +8.

The issue of dual translation processes was also re-addressed at this stage. The demographics of the postgraduate student population indicated they were predominantly Putonghua (Simplified Chinese) speakers, and the CTLQ had been developed with best-fit language duality for this requirement. Noting that the majority of undergraduate students were native Cantonese (Traditional Chinese) speakers, the CTLQ was redeveloped to accommodate this.

As the CTLQ had been developed as an English/Putonghua (Simplified Chinese) instrument to suit the postgraduate cohort, it was not anticipated that misinterpretation of the

questions would be a significant factor. Nevertheless, feedback from language specialists suggested that, while the back translation processes ensured a high level of validity with the original English language questionnaire, there was still potential for misinterpretation of the rating scales. Back translation (Brislin, 1970, 1986) requires that the original English document that has been translated into the alternative languages—in this case, Cantonese (Traditional) and Putonghua (Simplified) Chinese—are then translated back into English by a different set of language experts. The combined processes of translation, editing and proofing, back translating and reconciliation of variances adds two extra opportunities to assess and refine the survey instrument, thereby providing a 'gold standard' for cross-cultural researchers (Ozolins, 2009).

Accordingly, a similar translation and validation process was applied to the instruments in order to eliminate any other cross-cultural misinterpretation of the Likert rating scale, as shown in *Table 10: Rating Scale with Traditional and Simplified Chinese interpretations* below.

| | Rating Scale | Traditional Chinese | Simplified Chinese |
|---|---|---|---|
| 0 | Not at all | 從沒有 | 从没有 |
| 1 | Once in a while | 偶然一次 | 偶然一次 |
| 2 | Sometimes | 間中 | 间中 |
| 3 | Fairly often | 時常 | 时常 |
| 4 | Frequently, if not always | 經常 | 经常 |

*Table 10:   Rating Scale with Traditional and Simplified Chinese interpretations*

With the CTLQ elements now thoroughly examined and tested for their internal reliability and validity, including the duality of the languages, it was time to develop the instrument to accompany the $Q^{12®}$ for the planned survey of the alumni.

- *College Experience +8* re-developed as *College Experience +10* questionnaire to support the CTLQ updates and also the inclusion of Extra Effort (EE) and Effectiveness (E) questions from the MLQ[52].

The *College Experience +10* instrument to accompany the $Q^{12®}$ was intended to validate the original transformational leadership items about the 'caring professor', and to explore the

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[52]   Refer to the Discussion section of *Chapter 3 - Project Design and Methodology*.

items relevant to the hypotheses of this study: that a 'caring professor' exhibits the characteristics of transformational classroom leadership, as identified in the CTLQ. The characteristics of the transformational leaders are described in five elements of the Full Range Leadership model as: Idealized Influence (Attributed) (IIA), Idealized Influence (Behaviour) (IIB), Intellectual Stimulation (IS), Individual Consideration (IC), and Inspirational Motivation (IM) (Bass and Avolio, 1996). Three statements relating to the 'caring professor' in the *Gallup Big Six* questionnaire (Seymour and Lopez, 2015) were accurately mapped to transformational leadership elements adopting Podsakoff and Organ's (1986) approach to analysis in organisational research and contextualised for our purposes as shown in *Table 11: Mapping of Survey Questions 1-3 to Full Range Leadership Elements* below.

| Survey Question | Mapped to Full Range Leadership Element |
|---|---|
| *Q1. I had at least one professor at Lingnan University who made me excited about learning.* | Intellectual Stimulation (IS) |
| *Q2. My professor at Lingnan University cared about me as a person.* | Individual Consideration (IC) |
| *Q3. I had a professor during my time at Lingnan University who encouraged me to pursue my goals and dreams.* | Inspirational Motivation (IM) |

*Table 11:   Mapping of Survey Questions 1-3 to Full Range Leadership Elements*

Next, based on the Cronbach's alpha assessments of the CTLQ, indicating the statistically significant 'top loaders', the following five questions were selected and each one assigned to the corresponding transformational leadership element, as shown *in Table 12: Mapping of Survey Questions 4-8 to Full Range Leadership Elements and CTLQ Questions* below. To ensure the absolute validity and integrity of the +10, three additional questions from the transformational leadership elements IC, IS and IM were included from the CTLQ.

| Survey Question | Mapped to: | |
|---|---|---|
| | Full Range Leadership Element | CTLQ Question |
| *Q4. The behaviour of at least one of my professors earned my respect.* | Idealized Influence – Attributed (IIA) | Q. 21 |
| *Q5. My professor made me look forward to the future after completing their course.* | Inspirational Motivation (IM) | Q. 36 |

| Q6. My professor suggested various approaches to successfully completing coursework and assignments. | Intellectual Stimulation (IS) | Q. 32 |
|---|---|---|
| Q7. My professor reinforced that a strong sense of purpose was important for course success. | Idealized Influence – Behaviour (IIB) | Q. 23 |
| Q8. I had at least one professor who cared about my individual learning requirements, abilities and aspirations, and understood that I may have had needs that were different from my classmates. | Individual Consideration (IC) | Q. 29 |

*Table 12:   Mapping of Survey Questions 4-8 to Full Range Leadership Elements and CTLQ Questions*

In order to ensure that there was provision to reassess and validate any links between experiences of transformational classroom leadership and enhanced student effort and their perceptions of the effectiveness of the learning experience, the final two elements of the +10 instrument were included, as shown in *Table 13: Mapping of Survey Questions 9-10 to Full Range Leadership Elements and CTLQ Questions* below[53].

| | Mapped to: | |
|---|---|---|
| **Survey Question** | **Full Range Leadership element** | **CTLQ Question** |
| Q9. My professor strengthened my determination to work harder. | Extra Effort (EE) | Q. 44 |
| Q10. I had at least one professor who supported me to successfully achieve the learning outcomes for my course. | Effectiveness (E) | Q. 46 |

*Table 13:   Mapping of Survey Questions 9-10 to Full Range Leadership Elements and CTLQ Questions*

The redeveloped CTLQ identified the statistically significant 'top-loaders' (Cronbach alpha) in the MLQ transformational categories of [IS] Intellectual Stimulation, [IC] Individual Consideration, [IM] Inspirational Motivation, [IIA] Idealised Influence (Attributed), [IIB] Idealised Influence (Behaviour), [E] Effectiveness, and [EE] Extra Effort. (The element of

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[53]   Refer to the *College Experience +10 Questionnaire* in *Evidence of Achievement 4*.

Satisfaction [S] was omitted from the instrument due to its highly subjective nature and the tendency for respondents to focus on one particular professor, rather than broad impressions of their college experience.) The three 'caring professor' questions were combined with the seven CTLQ statistically significant 'top-loaders' to form the *College Experience +10 Questionnaire*[54].

In summary, the *College Experience +10 Questionnaire* developed for this research project established a level of internal consistency-reliability between 0.686 and 0.805. The lower figure of 0.686 for Intellectual Stimulation (IS) is based on an average across all four questions from the CTLQ, and is considered acceptable in the case of an exploratory study such as this research project (Nunnally, 1978; Anastasi, 1990). In the final version, the two questions adopted for use in the +10 were both considered statistically significant 'top-loaders' and provided a revised average Cronbach's alpha of 0.703.

- CTLQ survey closed (27 November 2016) (postgraduates = 46, undergraduates = 91, total n = 137).

- CTLQ Lucky Draw conducted, results posted and prizes distributed (29 November 2015).

  Consistent with the local protocols on the provision of the opportunity of a prize for participation, the TLC administration organised for a random computer allocation of 'lottery' numbers for those participants indicating their willingness to participate. Several prizes of supermarket shopping vouchers were then randomly allocated within those assigned lottery numbers, prizewinners were notified and the prizes were collected.

- Potential issues with the wording of Gallup's consent section of the Gallup Q[12]® Workplace Engagement instrument were addressed in the design of the College Experience +10 Questionnaire and Gallup Q[12]® Employee Engagement Survey Link.

  Issues about the existing wording potentially creating confusion or misunderstandings at the alumni's workplaces were addressed in the design of the College Experience +10 Questionnaire and Gallup Q[12]® Employee Engagement Survey Link (refer to *Phase 1.3 – Develop Gallup Q[12]® Alumni survey processes* for detailed design responses), which included detailed notes explaining the use of a

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[54] Refer to *Evidence of Achievement 6 – College Experience +10 Questionnaire Mapping Graphic*.

workplace engagement instrument to conduct an alumni survey across multiple workplaces and ensure appropriate checks and balances exist to ensure the anonymity of individuals and workplaces (refer to *Evidence of Achievement 4 – College Experience +10 Questionnaire - Part Two*).

- Successful testing of *Qualtrics*™ online versions of invitation, TLC response template, +10 and embedded link Gallup Q$^{12}$® Workplace Engagement.

  This was achieved in conjunction with the TLS Systems Specialist and Research Statistician who worked with the OIAAA to develop testing processes and appropriate response times. They also ensured that confidentiality and identity security protocols were maintained during the transfer of survey results.

- Links forwarded to Alumni Services for distribution to 2014, 2013, 2012 graduates, and communications as follows:

  - 03 December 2015 - Alumni Survey Release Date

  - 10 December 2015 – Alumni 1$^{st}$ Reminder

  - 17 December 2015 – Alumni 2$^{nd}$ Reminder

  - 21 December 2015 - Alumni Survey Closes

## December 2015

- *College Experience +10* and *Gallup Q$^{12}$*® survey despatched to all the Lingnan alumni recorded in the university's alumni office (03 December 2015).

- Early analysis of response rates indicated that the survey target of 100 responses might not be achieved, therefore on 09 December 2015, in consultation with the OIAAA, the survey was extended from the 2014, 2013, 2012 alumni to include the 2011 and 2010 alumni.

- 11 December 2015: "*Thank you*" and "*gentle reminder*" communications were distributed to all respondents.

- Initially, it was a challenge to accept that alumni were not as interested in participating as I had anticipated and that I had to increase the number and frequency of 'gentle reminders' to ensure that I had sufficient responses from which

to draw valid results. With the continued low response rates, pending Winter Solstice festival[55], early office closures, and the Christmas period approaching, the survey period was extended and additional communications were scheduled, as follows:

- Alumni survey 1st Alumni Office reminder (10 December 2015)

- Alumni survey 2nd Alumni Office reminder (12 December 2015)

- Alumni survey 2nd TLC gentle reminder (15 December 2015)

- Alumni survey 3rd TLC gentle reminder (17 December 2015)

- Alumni survey 4th TLC gentle reminder (23 December 2015)

- Alumni survey 5th TLC gentle reminder (29 December 2015)

- Alumni survey 6th TLC gentle reminder (06 January 2016)

- Alumni survey 7th TLC personal calls (11 January 2016)

- Alumni Survey closes (18 January 2016)

## Phase 3 – Data analysis and reporting

| **Data Analysis and Reporting Phase** | 3.1 | CTLQ, $Q^{12^{®}}$, and +10 survey data analysis and findings[56] |
|---|---|---|
| | 3.2 | Project Report Publication/Journal Article development |

*January 2016*

- Following consultation with the OIAAA and the TLC, the decision in December 2015 to extend the closing date of the alumni survey was deemed feasible, and likely to elicit a more satisfactory survey response outcome.

- 18th January 2016: Alumni Survey closes, with the following response rates:

- Agreed to participate (n = 145)

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55  The Winter Solstice Festival falls during the 11th lunar month and has its origins in the Chinese concept of *yin* and *yang*, which represents balance and harmony in life. It's believed that the *yin* qualities of darkness and cold are at their most powerful on the shortest day of the year, but also at their turning point to give way to the light and warmth of *yang*. For this reason, the Winter Solstice Festival is a time for great optimism.

56  Findings also include data from two related questions from the 2014 Lingnan Alumni Survey.

- ▪ +10 completions (n = 117)

- ▪ Gallup Q$^{12}$® completions (n = 91)

- 20 January 2016: In conjunction with the TLC IT Systems Specialist and Research Statistician, data cleaning and analysis commenced. Results for the various data sources are set out below:

*Classroom Transformational Leadership Questionnaire (CTLQ) results*

As discussed earlier, the CTLQ instrument developed for this research project has the validity and reliability of the original Multifactor Leadership Questionnaire (MLQ) that was adapted to assess the extent of transformational classroom leadership in the higher education environment. On analysis, Cronbach's alpha results considerably improved in the transformational leadership elements that postgraduate students reported that they experienced: IIA (0.643 to 0.735), IS (0.545 to 0.686) and a significant statistical marker for IIB (0.147 to 0.656). Of particular note was an increase in the Satisfaction (S) element to 0.836, while the E and EE elements (0.897 and 0.858 respectively) maintained high levels of statistical significance, supporting Pounder's (2006) original thesis that there is a positive correlation between a student's experience of transformational classroom leadership and extra levels of effort and commitment to achieve higher levels of overall satisfaction of 0.836.

Refer to *Table 14: Cronbach's alpha – undergraduate and postgraduate students* for detailed information about Cronbach's alpha findings in the combined undergraduate and postgraduate CTLQ surveys, and *Appendix 8 – CTLQ Cluster Analysis – Undergraduate and Postgraduate Students* for detailed information about findings by tabulation of the combined undergraduate and postgraduate leadership cluster responses within the Full Range Leadership model.

**20151130 – Postgraduate (n = 46) + Undergraduate (n = 92)[57]**

| Dimension | N | Cronbach's Alpha |
|---|---|---|
| Idealized influence (Attributed) [IIA] | 137 | 0.735 |

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[57] For detailed data table, refer to *Appendix 8 – CTLQ Cluster Analysis – Undergraduate & postgraduate students*.

| Dimension | N | Cronbach's Alpha |
|---|---|---|
| Idealized Influence (Behaviour) [IIB] | 138 | 0.656 |
| Inspirational Motivation [IM] | 137 | 0.805 |
| Intellectual Stimulation [IS] | 137 | 0.686 |
| Individual Consideration [IC] | 137 | 0.800 |
| Contingent Reward [CR] | 137 | 0.622 |
| Management by Exception (Active) [MEA] | 137 | 0.761 |
| Management by Exception (Passive) [MEP] | 135 | 0.592 |
| Laissez-faire Leadership [LFL] | 137 | 0.699 |
| Effectiveness [E] | 137 | 0.897 |
| Extra Effort [EE] | 138 | 0.858 |
| Satisfaction [S] | 138 | 0.836 |

*Table 14:  Cronbach's alpha – undergraduate and postgraduate students*

Correlation matrices were produced for the five transformational leadership dimensions (IIA, IIB, IM, IS and IC), which were cross-referenced with the elements of E and EE (Bass and Avolio, 2000), as shown in *Table 15: Pearson's r correlation coefficient* below. The CTLQ data was analysed by Pearson's correlation coefficient, where *r* represents correlation coefficient and *p* represents p-value of the corresponding correlation coefficient. Where $r > 0.4$ and $p < 0.05$, the correlation between the two variables is significant (Nunnally and Bernstein, 1994; Peter, 1979), indicating that all of the tested elements were significantly correlated with each other. Refer to results shown in *Table 15: Pearson's r correlation coefficient* below.

|     | IIA | IIB | IM | IS | IC | E | EE |
|-----|-----|-----|-----|-----|-----|-----|-----|
| **IIA** |     |     |     |     |     |     |     |
| **IIB** | r=0.618 <br> p<0.001 |     |     |     |     |     |     |
| **IM** | r=0.759 <br> p<0.001 | r=0.748 <br> p<0.001 |     |     |     |     |     |
| **IS** | r=0.728 <br> p<0.001 | r=0.614 <br> p<0.001 | r=0.68 <br> p<0.001 |     |     |     |     |
| **IC** | r=0.757 <br> p<0.001 | r=0.646 <br> p<0.001 | r=0.737 <br> p<0.001 | r=0.786 <br> p<0.001 |     |     |     |
| **E** | r=0.813 <br> p<0.001 | r=0.542 <br> p<0.001 | r=0.667 <br> p<0.001 | r=0.79 <br> p<0.001 | r=0.77 <br> p<0.001 |     |     |
| **EE** | r=0.748 <br> p<0.001 | r=0.578 <br> p<0.001 | r=0.671 <br> p<0.001 | r=0.717 <br> p<0.001 | r=0.755 <br> p<0.001 | r=0.857 <br> p<0.001 |     |

*Table 15:  Pearson's r correlation coefficient*

To compare the results of the Pearson's r analysis, the five transformational leadership elements (IIA, IIB, IM, IS and IC) were cross-referenced with the elements of E and EE (Bass and Avolio, 2000), as shown in *Table 16: Spearman's rho correlation coefficient* below, and analysed by Spearman's rho correlation. Where r represents correlation coefficient and p represents p-value of the corresponding correlation coefficient, results between the two variables are significant, as indicated by the scale *r* >0.4 and p <0.05 (Nunnally and Bernstein, 1994; Peter, 1979), as shown in *Table 16: Spearman's rho correlation coefficient* below.

|  | IIA | IIB | IM | IS | IC | E | EE |
|---|---|---|---|---|---|---|---|
| **IIA** |  |  |  |  |  |  |  |
| **IIB** | r=0.599 p<0.001 |  |  |  |  |  |  |
| **IM** | r=0.735 p<0.001 | r=0.668 p<0.001 |  |  |  |  |  |
| **IS** | r=0.702 p<0.001 | r=0.608 p<0.001 | r=0.678 p<0.001 |  |  |  |  |
| **IC** | r=0.775 p<0.001 | r=0.656 p<0.001 | r=0.729 p<0.001 | r=0.799 p<0.001 |  |  |  |
| **E** | r=0.762 p<0.001 | r=0.536 p<0.001 | r=0.618 p<0.001 | r=0.763 p<0.001 | r=0.751 p<0.001 |  |  |
| **EE** | r=0.723 p<0.001 | r=0.566 p<0.001 | r=0.659 p<0.001 | r=0.678 p<0.001 | r=0.738 p<0.001 | r=0.814 p<0.001 |  |

*Table 16:   Spearman's rho correlation coefficient*

The bivariate correlation procedure available on SPSS version 23 (IBM Corp., 2015), employing Pearson's r and Spearman's rho, was used to examine the correlation between the five elements of transformational leadership (Idealised Influence (Attributed), Idealised Influence (Behavior), Inspirational Motivation, Intellectual Stimulation, and Individual Consideration), and Effectiveness (E) and Extra Effort (EE). Results confirmed a positive correlation for students experiencing transformational classroom leadership and their individual effort and effectiveness, as originally reported by Pounder (2006).

*Gallup Q¹² results*

The *Gallup Q¹²* survey of Lingnan alumni (n = 91) reported an average level of workplace engagement of 16%, exceeding both the 2013 Gallup results for Hong Kong (4%) and for the world (13%). Of interest in this research project is the significantly more positive differential regional average engagement/alumni engagement ratio for Hong Kong at 14 basis points (18%-4%), compared to the Gallup-Purdue Index findings of 4 basis points (34%-30%). These results are shown in *Figure 7: Comparison of Gallup's Q¹² Engagement Scores*, where each score indicates the level of workplace engagement for each group.
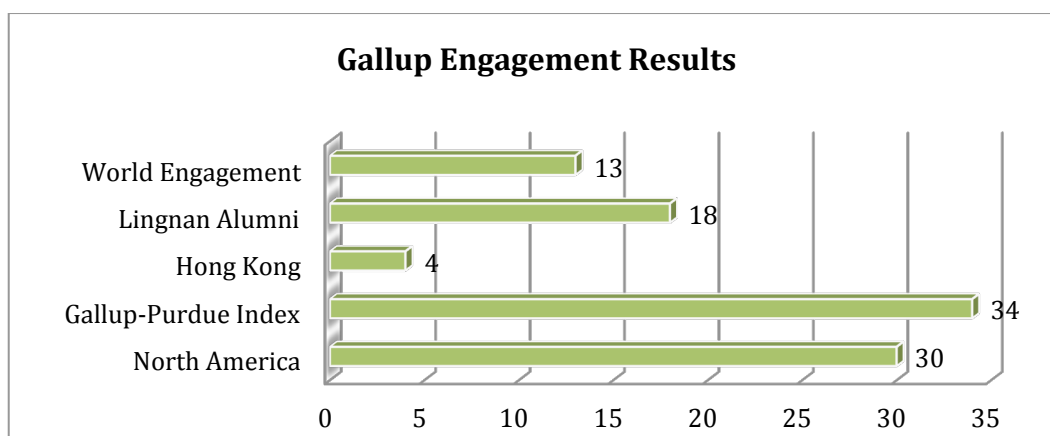
**Gallup Engagement Results**



*Figure 7:    Comparison of Gallup's $Q^{12}$ Engagement Scores*

Of significance here is that Lingnan alumni's result of 16% is statistically significant, when compared to the average level of workplace engagement in Hong Kong, established by Gallup in 2013 as just 4%.

As previously discussed, the $Q^{12®}$ was configurable via the administrative dashboard, and accordingly the drop-down menus displaying 'work' groupings were constructed to target the specific relationship between their college experiences and workplace engagement. The data from the alumni's overall response to these summary questions about their college experience indicated that, as shown in *Figure 8: College experience scores in Gallup $Q^{12}$ survey*, 72% responded with *Agree* or *Strongly Agree* to the transformational classroom leadership items, identified within the CTLQ categories as IS, IM and IC. Overall responses to the $Q^{12®}$ workplace engagement section indicated a workplace engagement result of 16%, previously noted as significantly higher than the world-wide average of 13% and Hong Kong's average of 4%.
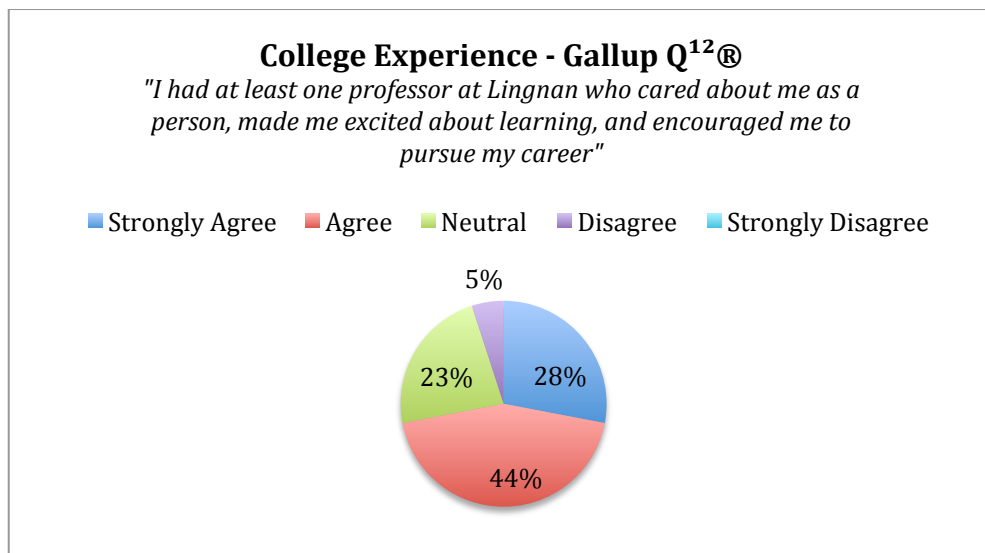
*Figure 8: College experience scores in Gallup Q¹² survey*

*2014 Lingnan University Alumni Survey results*

Running concurrently with this research project, the 2014 Lingnan Alumni biennial survey (n = 728) included the following questions relating to the central hypothesis of this research project:

> *Q27 – I had at least one professor at Lingnan University who cared about me as a person, made me excited about my learning, and encouraged me to pursue my dreams.*

> *Q28 – I am highly engaged and motivated at work.*

The results are shown in *Figure 9: Overview of 2014 Alumni Survey* below.
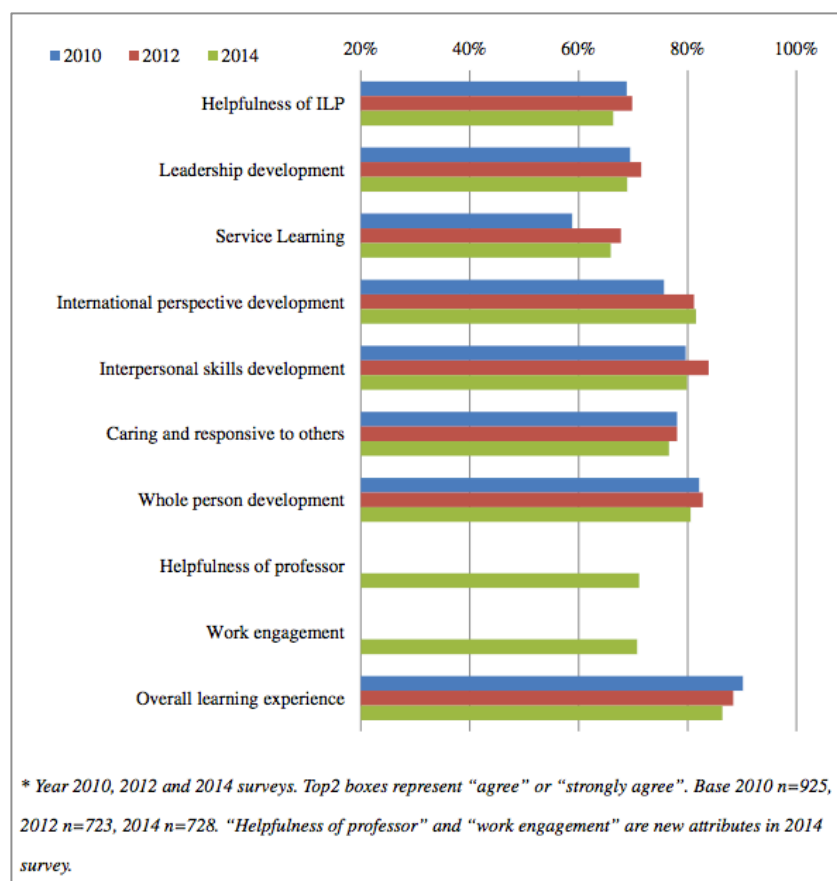
*Figure 9:    Overview of 2014 Alumni Survey*

An investigation of the 2014 Alumni Survey data by the bivariate correlation procedure available on SPSS version 23 (IBM Corp. 2015), and employing Spearman's rho, revealed a statistically significant outcome of 0.576 ($p$ <0.001), indicating a positive indicative relationship between the 'caring professor' at Lingnan and the current level of workplace engagement, although a direct causal relationship is not necessarily evident from this finding.

Of particular interest is that, while 'helpfulness of the professor' and 'work engagement' were new attributes in the 2014 survey (and therefore there is no capacity to analyse any changes in perceptions from previous years' results), the relationship between the two becomes apparent when making comparisons between the university faculties, as shown in *Figure 10: Results of Lingnan Alumni Survey 2014, sorted by faculty*.

*Figure 10: Results of Lingnan Alumni Survey 2014, sorted by faculty*

*College Experience +10 results*

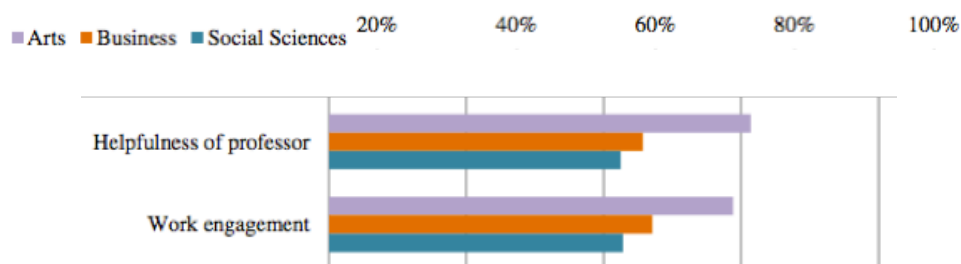The *+10 Questionnaire,* using the CTLQ statistically significant 'top-loaders' from the transformational leadership categories, displayed significant design statistical validity and reliability characteristics for assessing alumni's college experiences. Examination of the +10 data indicates a positive correlation between the classroom transformational leadership findings and workplace engagement results from Lingnan's current undergraduate and postgraduate students.

The results in *Table 17: CTLQ, +10 & Q$^{12}$® t tests* are statistically significant, and therefore worthy of further discussion:

- A p-value (0.28) is observed for the transformational classroom leadership element of 'Effectiveness [E]' when comparing the CTLQ and the +10. In the CTLQ, the undergraduate and postgraduate students' opinions of 'Effectiveness' were assessed by means of five questions (Mean 3.71, SD 0.81), and the +10 assessed this element with Q9 - '*My professor strengthened my determination to work harder'.* This may be because the CTLQ reflects the current state, while the +10 is a retrospective view of their undergraduate experience within the past 5 years, and because in the past 2-3 years, a regime of professional development for teaching staff has been implemented.

- One-sample t test across +10 and the Q$^{12}$® for Intellectual Stimulation [IS] revealed (<0.001) for Q$^{12}$® Q6 – *There is someone at work who encourages my development,* a significantly higher response about the undergraduate college experience than the workplace experience, which is consistent with the broader view in Hong Kong that there are lower levels of support in the workplace.

- Similarly, IC, Q$^{12®}$ Q5 – *My supervisor, or someone at work, seems to care about me as a person*, indicates a less-than-satisfactory view of the workplace from the employee's perspective.

| Mean (SD) | CTLQ (U/G + P/G) (N=138) Mean (SD) | +10 Mean (SD) | Q12 Mean | p-value (CTLQ Vs +10) | p-value (+10 Vs Q12) |
|---|---|---|---|---|---|
| Idealized Influence (Attributed) [IIA] (#04) | 3.8 (0.66) (N=137) | 3.97 (0.90) | | 0.078 | |
| Idealized Influence (Behaviour) [IIB] (#07) | 3.37 (0.76) | 3.34 (0.98) | | 0.779 | |
| Inspirational Motivation [IM] (#03, #05) | 3.54 (0.79) (N=137) | 3.44 (1.08) | Q12(4)=3.26 Q12(11)=3.61 | 0.406 | For Q12(4), p=0.082 For Q12(11), p=0.085 |
| Intellectual Stimulation [IS] (#01, #06) | 3.74 (0.66) (N=137) | 3.72 (0.90) | Q12(6)=3.35 Q12(12)=3.84 | 0.896 | For Q12(6), p<0.001* For Q12(12), p=0.159 |
| Individual Consideration [IC] (#02, #08) | 3.45 (0.95) (N=137) | 3.47 (1.07) | Q12(5)=3.75 | 0.857 | For Q12(5), p=0.006 |
| Effectiveness [E] (#9) | 3.71 (0.81) (N=137) | 3.44 (1.07) | | *0.028 | |
| Extra Effort [EE] (#10) | 3.56 (0.91) | 3.56 (1.08) | | 0.969 | |

*p<0.05. Data is analysed by independent-samples t test (comparing CTLQ Vs +10) and one-sample t test (comparing +10 Vs Q12).

*Table 17:   CTLQ, +10 & Q$^{12®}$ t tests*

In summary, an overall mean from both the +10 transformational classroom leadership items 1–3 and the similarly related item mean from the Q$^{12®}$, were examined, and a statistically relevant p-value of 0.151 was found within a one sample t test[58], as shown in *Table 18: +10 & Q$^{12®}$ one sample t test* below*.*

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[58]   The outcome p = 0.151 accepts the t-test *null hypothesis* that there is no statistically significant difference between the two means and therefore the interpretation of, and responses to, the 3 questions at the heart of the 'caring professor' descriptors are consistent and proven.

| +10 (Q1-3) | Q12 | |
|---|---|---|
| Mean (SD) | Overall Mean | p-value |
| 3.67 (0.97) | 3.54 | 0.151 |

p<0.05. Data is analysed by one-sample t test.

*Table 18:   10 & Q¹²® one sample t test*

A comparison of similar transformational leadership categories (Inspirational Motivation, Individual Consideration, and Intellectual Stimulation) within the +10 and Q$^{12^®}$ instruments revealed the consistent correlations in the data gained from the two instruments. The conclusion that can be drawn from these data is a consistency in the mean scores, with some variations for the spreads of graduate years represented, as shown in *Table 19: Transformational Leadership Category Comparison - [IM] Inspirational Motivation*; *Table 20: Transformational Leadership Category Comparison - [IC] Individual Consideration*; and *Table 21: Transformational Leadership Category Comparison - [IS] Intellectual Stimulation*.

| | 2010 | 2011 | 2012 | 2013 | 2014 |
|---|---|---|---|---|---|
| Q12(4) | 3.11 | 3.14 | 3.52 | 3.35 | 3.17 |
| Q12(11) | 3.56 | 3.56 | 3.93 | 3.87 | 3.23 |
| +10[IM] | 3.67 | 3.29 | 3.42 | 3 | 3.67 |
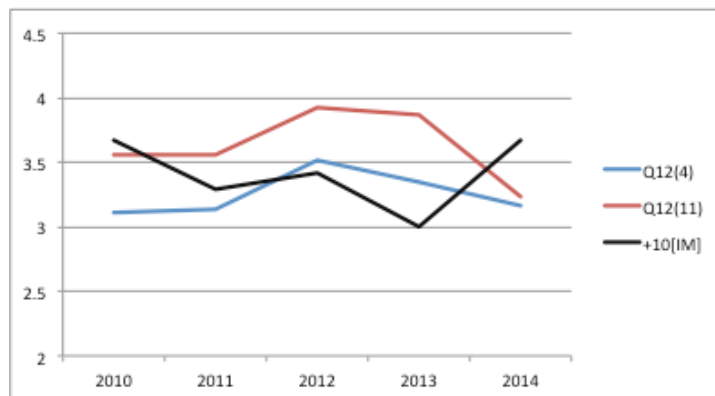


*Table 19:   Transformational Leadership Category Comparison - [IM]*
*Inspirational Motivation*

|          | 2010 | 2011 | 2012 | 2013 | 2014 |
|----------|------|------|------|------|------|
| Q12(5)   | 3.89 | 4.11 | 3.69 | 3.88 | 3.38 |
| +10[IC]  | 3.83 | 3.41 | 3.38 | 3.25 | 3.45 |
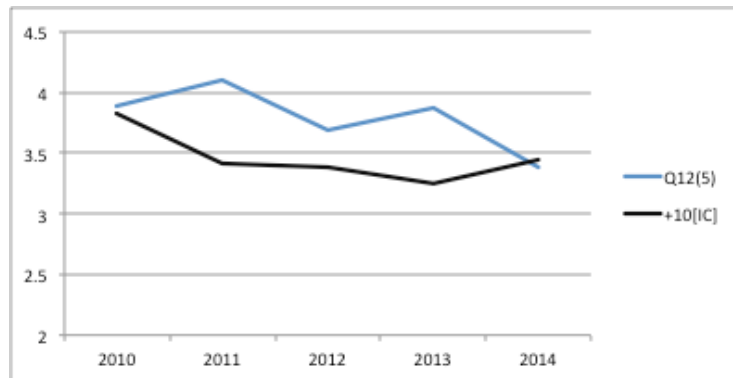


*Table 20:   Transformational Leadership Category Comparison - [IC] Individual*
*Consideration*

|          | 2010 | 2011 | 2012 | 2013 | 2014 |
|----------|------|------|------|------|------|
| Q12(6)   | 3.5  | 3.5  | 3.41 | 3.29 | 3.16 |
| Q12(12)  | 3.78 | 4.11 | 3.9  | 3.71 | 3.79 |
| +10[IS]  | 4.1  | 3.68 | 3.73 | 3.2  | 3.82 |
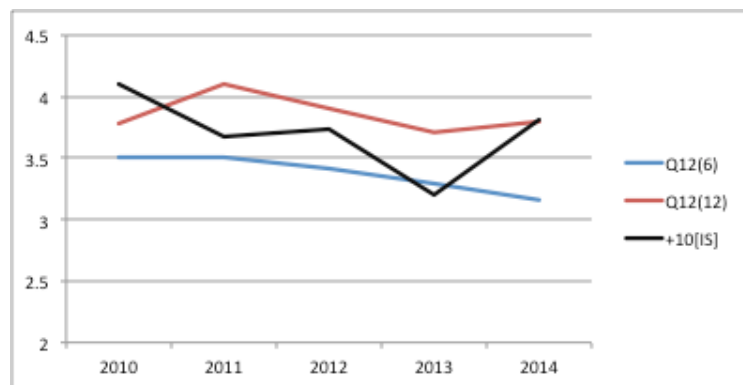


*Table 21:   Transformational Leadership Category Comparison - [IS] Intellectual*
*Stimulation*

Results from the +10 are also consistent with the results of a similar question posed in the 2014 Alumni Survey: while the +10 (2015) produced a slightly lower mean within a lower SD, there was useful evidence of a correlation between the transformational classroom leadership experiences of the 2014 Alumni Survey and the +10 responses as shown in *Table 22: Comparison of survey means - Lingnan Alumni Survey 2014, +10 & Q¹²®*.

| Question | Mean (SD) | Survey | Mean (SD) | p-value |
|---|---|---|---|---|
| Q27 I had at least one professor at Lingnan who cared about me as a person, made me excited about my learning and encouraged me to pursue my dreams | 3.9 (1.12) | +10 (Q1-3) | 3.67 (0.97) | *0.011 |
| Q28 I am highly engaged and motivated at work | 3.88 (0.86) | Q12 (Q0) | 3.59 | |

*p<0.05. Data is analysed by one-sample t test.

*Table 22:   Comparison of survey means - Lingnan Alumni Survey 2014, +10 &*

$Q^{12 ®}$

Alumni's responses to the $Q^{12®}$ suggest that there is a positive association between the characteristics of transformational classroom leadership during their college years and workplace engagement, supporting the accompanying +10 questionnaire data.

*CTLQ and College Experience +10 participants' comments results*

Results from these free comments sections were analysed for language patterns consistent with the behavioural language used to describe transformational leadership, and categorised according to the descriptors of the full range leadership model (Bass and Avolio, 1996) as follows:

- **CTLQ** – 'Please include any additional comments below' (n = 32)

| Leadership Styles | (CODE) Description | % |
|---|---|---|
| Transformational | (IIA) Idealised Influence - Attributed [Builds Trust] | 38% |
| | (IIB) Idealised Influence - Behaviour [Acts with Integrity] | |
| | (IM) Inspirational Motivation [Inspires Others] | |
| | (IC) Individual Consideration [Coaches People] | |
| | (IS) Intellectual Stimulation [Promotes Thinking] | |
| Transactional | (MBE-A) Management By Exception - Active [Monitors Mistakes] | 9% |
| | (CR) Contingent Reward [Rewards Achievement] | |
| Passive/ Avoidant | (LS) Lassez-faire [Avoids Involvement] | 3% |
| | (MBE-P) Management By Exception - Passive [Fight Fires] | |
| Observation | No behavioural classification of teaching evident | 22% |
| Nil/ No comment | Nil, NA, No comment, No thanks etc. | 28% |

*Table 23:   Categorisation of CTLQ free comments according to descriptors of the full range leadership model (Bass and Avolio, 1996)*

- **College Experience +10** – 'Please include any additional comments on your college experience below' (n = 16)

| Leadership Styles | (CODE) Description | % |
|---|---|---|
| Transformational | (IIA) Idealised Influence - Attributed [Builds Trust] | 38% |
| | (IIB) Idealised Influence - Behaviour [Acts with Integrity] | |
| | (IM) Inspirational Motivation [Inspires Others] | |
| | (IC) Individual Consideration [Coaches People] | |
| | (IS) Intellectual Stimulation [Promotes Thinking] | |
| Transactional | (MBE-A) Management By Exception - Active [Monitors Mistakes] | 12% |
| | (CR) Contingent Reward [Rewards Achievement] | |
| Passive/ Avoidant | (LS) Lassez-faire [Avoids Involvement] | 0% |
| | (MBE-P) Management By Exception - Passive [Fight Fires] | |
| Observation | No behavioural classification of teaching evident | 31% |
| Nil/ No comment | Nil, NA, No comment, No thanks etc. | 19% |

*Table 24:   Categorisation of College Experience +10 free comments according to descriptors of the full range leadership model (Bass and Avolio, 1996)*

Further details about the comments sections of both instruments are included in *Appendix 9 – CTLQ & +10 Questionnaire Participants' Comments*.

## February 2016

- In conjunction with the OIAAA and in keeping with the local protocols for the provision of the opportunity of a prize for participation, the lucky draw for an Apple iPad was conducted and the prize was distributed to the lucky winner.

- 16 February 2016: The draft project report entitled *Transformational Teaching and Engagement at Work: Project Report* was submitted for peer review. This process again involved the key stakeholders crosschecking relevant data and claims of accuracy and validity. Consistent with my pragmatic, hand-on approach, this process involved an initial contact outlining the process and getting agreement on timeframes, after which the drafts were forwarded for review and critique, and responses receipted and acknowledged.

- 29 February 2016: Final project report[59] tabled for TLC stakeholders. Coinciding with my final contracted date with the TLC at Lingnan University, the report was presented to the heads of the respective TLC and CAOBE units within a semi-formal environment and the research team celebrated the completion of this important phase with a small Chinese banquet (consistent with our small project budget) at the university's hospitality facility.

## August 2016

- I submitted the first draft of a green paper to the Teaching and Learning Centre team for review and critique. The aim was to produce a journal article in conjunction with the TLC department head and Research Statistician, for submission to a publication targeting leadership and management in the higher education sector. It was considered by the project group that the publication of an article in a recognised journal would provide both peer scrutiny and credibility to the project, as well as encourage broader participation in our research.

## May 2017

- Following several reviews and subsequent development of the paper to a final form, a journal article entitled: *Transformational Classroom Leadership and Workplace*

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[59] Refer to *Evidence of Achievement 1 – Lingnan University Project Report – Transformational Teaching and Engagement at Work – February 2016*.

*Engagement: Exploring the Relationship in Hong Kong* was submitted on our behalf by Professor James Pounder to the SAGE publication, Educational Management Administration & Leadership. As a co-author of this manuscript, I am registered on the online peer-review system and can now receive e-mails and communications from the journal editorial office staff regarding the submitted manuscript.

Both the project report and subsequent journal article submission have been well received by the various stakeholders, and of particular interest to me was the amount of commentary about the report's potential to strongly influence the further development of opportunities for a broad range of higher education stakeholders (discussed in more detail in *5.3 Project findings*).

## 5.3 – Project findings

In summary, the Hong Kong study indicates that the 'caring professor' can be described by transformational classroom leadership behaviours and that these behaviours are present in the Lingnan University teaching across disciplines and at both undergraduate and postgraduate levels, and were experienced by the alumni cohort surveyed. Furthermore, this study found that Lingnan alumni's level of workplace engagement exceed the levels of Hong Kong workplace engagement (as found by the Gallup worldwide study) by a substantial margin. The Gallup-Purdue survey (2014) indicates that a 'caring professor' has a significant and positive effect on graduates' workplace engagement, and indications of a possible similar effect were noted in the 2014 Lingnan alumni survey. Given this, it is reasonable to assume that the transformational classroom leadership experienced by Lingnan alumni during their studies at the university, accounts, at least in part, for their higher level of workplace engagement than might have been expected based on the Gallup worldwide study.

Therefore the findings of this research project provide a basis for positive assumptions related to confirmation of the four central hypotheses of this research project. These findings and assumptions are examined to synthesise the literature and broader subject knowledge acquired through the project to form more robustly derived recommendations set out in the following chapters. Accordingly, for the purposes of clarity, the examination of results are categorised under the project's four hypotheses below.

## H1 – Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University

The results of this study indicate that at Lingnan University, transformational classroom leadership was present, and experienced across academic disciplines at the undergraduate level, postgraduate levels and among the alumni cohort surveyed.

*Discussion*

To accurately examine this hypothesis, the research instrument used had to provide high levels of reliability and validity: the basis of the CTLQ for this study, the MLQ - Form 5X Short (Bass and Avolio, 2000) achieved high levels of internal validity and reliability across multiple organisations, professions and nationalities over many years and with significant numbers of participants (Den Hartog et al., 1997). Consistent with the adopted ontological and

epistemological cornerstones of the project, the MLQ aligns with the emerging theories of positive psychology (Seligman and Csikszentmihalyi, 2000) and, combining the concepts of multiple leadership traits in behavioural terms (Zaccaro, 2007), inherently ventures the notions of constructively engaging with participants to enhance performance in the organisation (Meyers et al. 2013; Pounder, 2008a, 2008b; McShane and Von Glinow, 2010). The identification of higher education learning environments being small social organisations, with teachers and students who are leaders and followers respectively, and the suitability of broader organisational leadership theory being applied to that environment has been argued by Cheng (1994), Luechauer and Schulman (2002) and Ojode et al. (1999).

Positive validity and reliability indices were observed for the re-developed CTLQ, and subsequent analysis of the CTLQ using Cronbach's alpha revealed an inter-relatedness of test items with the lowest level of 0.67 in the undergraduate cohort being considered acceptable in this type of study (Nunnally, 1978, Anastasi, 1990). Using back translation methodology also supported the successful development of the questions and rating scales for CTLQ as a multi-lingual research instrument. Furthermore, it confirms that the Full Range Leadership model can be used to assess the quality of transformational leadership, and that the refined *CTLQ* instrument provides the means to determine if transformational leadership behaviours are exhibited by the behaviours displayed within teaching faculties and gauge the effect of these characteristics on students.

Pearson's r and Spearman's rho were used to examine the correlation of the five transformational leadership dimensions (IIA, IIB, IM, IS and IC) with the elements E and EE (Bass and Avolio, 2000), and the results confirmed the positive association between transformational leadership in the classroom and extra effort, effectiveness and satisfaction. This is consistent with Pounder's earlier findings (2006), and a substantial body of findings that support the notion that students consider that teaching style has an influence on their general level of motivation, commitment, and extra effort (Goodboy and Myers, 2008; Bolkan and Goodboy, 2009, 2011).

Further evidence of the motivational effect of transformation leadership is seen in the responses to the participants' comments section of the CTLQ and College Experience +10 survey instruments (n = 32; n = 16 respectively). These results were analysed for evidence of behaviours attributed to teaching academics that were consistent with the language used in the full range leadership model (Bass and Avolio, 1996). The comments categorised within the transformation leadership category (38% and 38% from each survey instrument

respectively) provided further evidence that transformational classroom leadership was present and experienced across academic disciplines at the undergraduate and postgraduate levels, and were experienced by the alumni based on their recall of their undergraduate experiences. The following samples of comments from students support the outcomes of this analysis:

> *'She could talk about my career path with me helping me make future development clear. She cared about my life and psychological condition.'* (An undergraduate student describing an example of Individual Consideration [IC].)

> *'She is able to be friendly, but affirmative. She is knowledgeable without being arrogant. She also observes everyone individually while also focusing on the class as a single entity.'* (A postgraduate student describing an example of Idealised Influence (Behaviour) [IIB] and Individual Consideration [IC].)

> *'Known around campus as the ethical professor. She is not scared to stand up to those in charge, & sometimes gets her in quite a bit of trouble. She is extremely helpful outside of class. She took over 6 hours out of her week to help me with research that was not part of her class'*. (An undergraduate student describing an example of Idealised Influence (Attributed) [IIA]; Idealised Influence (Behaviour) [IIB], and Individual Consideration [IC].)

Further details are in *Appendix 9 – CTLQ & +10 Questionnaire Participant Comments*.

The +10 instrument was developed as a propriety instrument to accompany the Gallup Q[12] alumni survey using the statistically significant 'top-loaders' from the transformational leadership elements of the CTLQ, as attributed to the Full Range Leadership model (Bass and Avolio, 1997). Additionally, based on considerable experience of alumni surveys gained through the OIAAA, the +10 was designed to overcome the negativity associated with extended survey completion times and lack of relevance for the contributing alumni, which was noted as the number one complaint alumni made about giving feedback via surveys.

The +10 Questionnaire data displays a positive correlation with CTLQ survey findings, confirming that cohorts of current undergraduate students, postgraduate students and alumni experienced transformational classroom leadership at Lingnan University, and in turn reported increased overall levels of classroom satisfaction, efficiency and extra effort.

## H2 – Levels of workplace engagement of a sample of Lingnan alumni can be ascertained at their places of employment

The level of workplace engagement of Lingnan alumni was surveyed using the Gallup Q[12]®
Workplace Audit (Gallup Inc. 1992-1999), an instrument that has been confirmed as
possessing high measurement validity by numerous studies across organisations and
cultures. The results of the Gallup Q[12] survey administered to Lingnan alumni (n = 91)
indicated an average level of workplace engagement at 16%, exceeding both the 2013
Gallup results for Hong Kong in general (4%) and the world (13%). In fact, the Gallup survey
of employee opinions across global workplaces (O'Boyle and Harter, 2013) revealed that the
results from Hong Kong are not only among the lowest globally, but also the lowest in the
Asia Pacific region.

*Discussion*

Improved levels of workplace engagement and the variety of accompanying organisational
benefits are, almost without exception, one of the key goals of organisations globally (Ulrich
and Brockbank, 2005; Jacobs, 2012; Harter et al., 2013). Therefore, having access to the
instruments and results of the GP study enabled me to design a study that was customised
to the HK environment. Nevertheless, some of the difficulties in developing and
administering the survey, and some of the results were not anticipated. Although the study
indicated that Lingnan alumni, as an overall body, did experience transformational
classroom leadership during their studies at the university and did have a higher level of
workplace engagement than the level reported in the Gallup worldwide survey of workplace
engagement (O'Boyle and Harter, 2013), it did not distinguish between the effects on
individual alumni of experiencing or not experiencing transformational classroom leadership.
This means that it did not seek to explain possible high levels of workplace engagement
among those alumni who claimed not to have experienced transformational classroom
leadership. This is an area that warrants further investigation.

The Gallup Q[12]® survey of alumni (n = 91) had a slightly lower than anticipated response rate
(the study had purchased 200 Gallup Q[12]® survey licences), however provided an average
level of workplace engagement in the higher ranges of 16%, compared with Hong Kong's
average of 4%. Although the workplace engagement level of the Lingnan University's alumni
appears low when compared to results from the USA (30%) and global results (34%), and
therefore appears to not support the project's hypotheses, it needs to be considered in its

regional context. The Gallup survey of employee opinions of workplaces around the world[60] (O'Boyle and Harter, 2013) revealed that:

- the average rate of workplace engagement in USA is 30%;

- the global average is a dismal 13%; and…

- just 4% of Hong Kong workers are engaged in their jobs; 68% are biding their time in the "not engaged" category; and 29% are actively disengaged and likely to be disrupting the efforts of their co-workers, making Hong Kong's results not only amongst the lowest in the world, but also the lowest in the APAC region.

## H3 – Specific behaviours of the 'caring professor' can be understood in terms of the characteristics of transformational classroom leadership.

In the absence of a clear definition of 'caring professor', the CTLQ produced an outcome that is similar to what one might expect had the instrument used the term caring profession: that there were positive benefits of transformational classroom leadership across all Lingnan University faculties at both postgraduate and undergraduate levels. By comparison, the three descriptors provided by the Gallup study list general characteristics rather than specific behavioural descriptors and do not provide tangible examples of behaviour that can be the basis of faculty assessment or development.

*Discussion*

A mapping of the three 'caring professor' items in the Big Six (Seymour and Lopez, 2015) to the transformational leadership dimensions in the CTLQ revealed close similarities between them. The three 'caring professor' items were, respectively, directly mapped to the Intellectual Stimulation [IS], Individual Consideration [IC] and Inspirational Motivation [IM] dimensions of the CTLQ. These close similarities provided the initial impetus to further examine the relationship between the 'caring professor', transformational classroom leadership, and workplace engagement in a Hong Kong environment.

For further details of this mapping, refer to *Evidence of Achievement 6 – College Experience +10 Questionnaire Mapping Graphic*.

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[60]  Refer to *Appendix 9 – Gallup 2013 World Employee Engagement graph*.

Additionally, the +10 results returned from the alumni survey indicate a high degree of correlation between the descriptors of the 'caring professor' in the Gallup Big Six (Seymour and Lopez, 2015) and the selected CTLQ dimensions, demonstrating that they are all referring to the same thing (i.e. the CTLQ items describe the characteristics of the 'caring professor'). By adding another question into the 'Group' questions of the Gallup Q$^{12®}$, the positive findings were triangulated. Inserted as Q3 in the section about the respondent's demographics, it addressed the behaviours associated with transformational leadership in the classroom, resulting in the following list of questions:

- Q1 - *'Year of Graduation'* [2014, 2013, 2012, 2011, 2010]

- Q2 - *'Gender'* [F, M]

- Q3 - *'I had at least one professor at Lingnan who cared about me as a person, made me excited about learning, and encouraged me to pursue my career'* [Strongly Agree, Agree, Neutral, Disagree, Strongly Disagree]

Responses to this question in the Q$^{12®}$ confirm a strong correlation with the characteristics of transformational classroom leadership and workplace engagement, as 72% responded with *Agree* or *Strongly Agree*, supporting the findings of the accompanying +10 questionnaire, as shown in *Figure 8: College experience scores in Gallup Q$^{12}$ survey.*

The Gallup-Purdue Index (2014) incorporated three questions about the respondent's undergraduate experience, and these questions were replicated in the +10 as Questions 1-3. As shown in *Figure 11: Undergraduate +10 Experience and Gallup-Purdue Index comparison*, there were comparatively close relationships between the Gallup results and outcomes of this research project in three of the four results. The one exception was Q3 - *'I had at least one professor at* [College] *who made me excited about learning'*, where there was a significant difference of 25 percentage points between the two outcomes (63% responded with *Frequently if not always*, compared to 38% of Gallup-Purdue respondents who responded with *Strongly Agree*). Arguably, this result may be due to the prevailing Asian teaching style and may relate to the acknowledged cultural differences described as Power Distance (PDI), Individualism (IND) and Masculinity (MAS) (Hofstede et al., 2010).
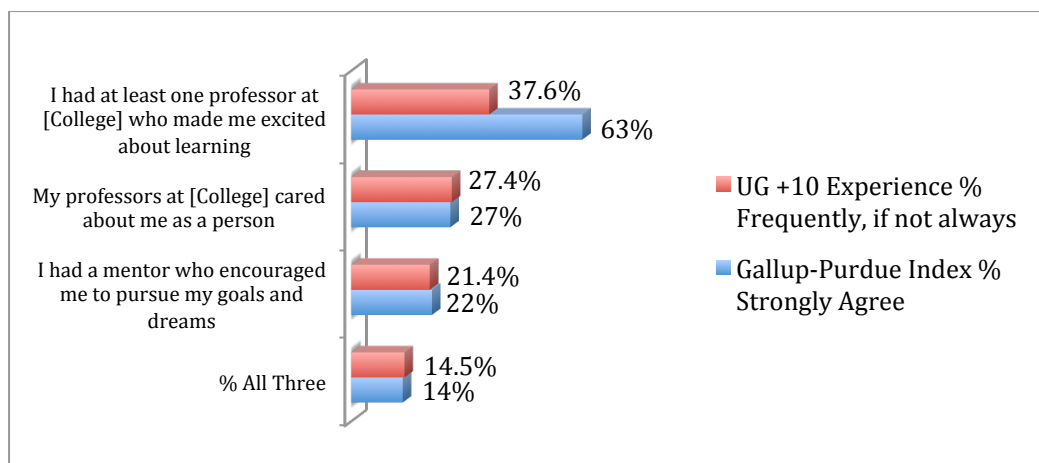
*Figure 11: Undergraduate +10 Experience and Gallup-Purdue Index comparison*

In other words, the three Big Six items (Seymour and Lopez, 2015) that describe the 'caring professor' are more descriptions of what a 'caring professor' *is* rather than what one *does*. By contrast, the transformational classroom leadership model (Pounder, 2008b) and redeveloped *CTLQ*, that appears consistent with the notion of the 'caring professor', provides a catalogue of detailed behaviours that can be accurately assessed, reported on, and learned.

My earlier work with the TLC in 2014/15 involved the design, implementation and review of the *Learning and Teaching Development Programme (LTDP)* (Teaching and Learning Unit, Lingnan University, 2015). This was a work-based, professional development program for higher education teaching academics, PhD students and graduates, newly hired university educators and others interested in enriching their teaching and development experiences at Lingnan University. The program comprises seven study units arranged into workshops/seminars that are interactive and reflect contemporary practice, in order to encourage innovation and creative strategies in teaching and learning (Quinlan, 2014), and assist the integration of enhanced teaching and learning skills to a liberal arts context (Kimball, 2010).

The 'golden thread' running through the program's design and practice was the theme of transformational leadership, however, questions and concerns about what actually constitutes an effective teacher/leader soon emerged in the early sessions. In my previous experience as an organisational development professional, it was always difficult to

accurately describe 'effective (insert-the-profession-here)'. Very positive feedback[61] from the LTDP cohort, emerged in Unit 4, inspirationally entitled *Motivate, Engage & Empower: Lessons from leadership in the classroom*, which introduced the characteristics of transformational leadership in the classroom (Pounder, 2006) within the full range leadership model (Bass and Avolio, 1994). Using concise behavioural descriptors to describe, assess and develop the desired leadership is not only critical to contemporary organisational development (Bahamid, 1994; Kolb, 1984) and a central theme of this study, it also provides the potential for success in higher education professional development models.

## H4 – Causal links can be drawn between transformational classroom leadership that Lingnan alumni experienced at college and their workplace engagement.

As discussed earlier in this chapter, this study indicates that transformational classroom leadership behaviours describe the 'caring professor' and the Lingnan University alumni in their responses reported these behaviours about their college days. Furthermore, Lingnan alumni Gallup workplace engagement results are substantially higher than those of the general Hong Kong population. Noting that the Gallup-Purdue survey (2014) indicates that a 'caring professor' has a significant and positive effect on graduates' workplace engagement, it is certainly reasonable to assume that the transformational classroom leadership experienced by Lingnan alumni during their studies at the university accounts, at least in part, for their higher level of workplace engagement than would otherwise have been expected.

*Discussion*

Alumni responses to the Gallup $Q^{12®}$ and the College Experience +10 confirm a positive statistical relationship between workplace engagement and the characteristics of transformational classroom leadership as reported during their college years. An overall mean from the +10 Questionnaire transformational classroom leadership items 1–3 and the similarly related item mean from the $Q^{12®}$ were examined, and, as described earlier in this chapter, a statistically relevant result was obtained. The results from the university's biennial

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[61] Participant feedback included '*It was a great lecture with inspiring idea to do something unusual in classroom*'; '*This is a really good session!!! Thanks for Peter and Jim's story sharing*'; '*It also inspired me to think about how to be a transformational leader in the office and also the community*'.

survey of alumni (2014) indicated that there is a potential correlation between the influence of the 'caring professor' and levels of workplace engagement. An investigation of the data, using the bivariate correlation procedure Spearman's rho, revealed a statistically significant outcome of 0.576 (p <0.001), suggesting a positive indicative relationship between the 'caring professor' at Lingnan University and alumni's current level of workplace engagement for that survey year.

Further evidence of the alumni's experience of transformation leadership behaviours during their college days is evident in the responses in the participants' comments section of the College Experience +10 survey instrument (n = 16). An analysis of the comments aligning with the full range leadership model (Bass and Avolio, 1996) resulted in 38% in the 'transformational' leadership category, and while not a big sample, this provided further supplementary evidence that the alumni experienced transformational classroom leadership during their college days. The following samples of comments from alumni support the findings of this analysis:

> *'My professor treated students as individuals. This is most important when it comes to both intellectual and psychological development of young adult. I am still very grateful to them.'* (An alumni describing an example of Individual Consideration [IC].)

> *'I would like to take this opportunity to express my sincere thanks to Professor X and Dr Y, who cared about me as a person, supported and really encouraged me during my studying in MIBF programme 2009-2010.'* (An alumni describing an example of Individual Consideration [IC] and Inspirational Motivation [IM].)

> *'My professor encouraged us to link up with what we have learned to the social, cultural and political contexts by identifying discrimination, exclusion, domination and hegemony.'* (An alumni describing an example of Intellectual Stimulation [IS].)

The $Q^{12}$® drop-down menus of 'work' groupings were constructed to examine the alumni's college experiences and workplace engagement. In response to the summary question about transformational classroom leadership items (IS, IM and IC), 72% of alumni responded with Agree or Strongly Agree. The corresponding $Q^{12}$® data indicated an overall workplace engagement result of 16%, 12 percentage points higher than Hong Kong's workplace engagement of just 4% in the corresponding Gallup results.

Although the study indicated that, Lingnan alumni, as an overall body, did experience transformational classroom leadership during their studies at the university and their level of workplace engagement did exceed the level reported in the Gallup worldwide survey of workplace engagement (O'Boyle and Harter, 2013), it did not distinguish between the effects on individual alumni of experiencing or not experiencing transformational classroom leadership. This means that it did not seek to explain possible high levels of workplace engagement among those alumni who claimed not to have experienced transformational classroom leadership and again. This is an area that warrants further investigation.

# Chapter 6 – Conclusions and recommendations

## 6.1 – Introduction

The findings of this research project and an analysis of these findings (as set out in *Chapter 5 – Project results and findings*) provide a basis for positive assumptions relating to the four central hypotheses of this research project. The outcomes of this study—confirming positive relationships between aspects of instructors' transformational leadership and student engagement and satisfaction—are consistent with other research in this area (e.g. Pounder, 2008a, 2008b; Bolkan and Goodboy, 2009, 2010, 2011; Harrison, 2011; Tsai and Lin, 2012).

The following conclusions are drawn from these findings, and the accompanying discussion examines what the research outcomes mean to my professional practice, for other stakeholders, Lingnan University and the wider field of knowledge based on the relevant literature and broader subject knowledge. In addition to addressing important opportunities for further research and development, the recommendations in this chapter also contain specific suggestions for further studies in this field.

## 6.2 – Relevance and significance of the study

In response to an emerging argument that conceptual change approach was critical for the continued advancement of Hong Kong's higher education (Ho et al., 2001), the focus has indeed been repositioned during these past years. Hong Kong's Government higher education research has increasingly been incrementally adjusted away from highly specialised research topics to projects that focus on practical transfer of knowledge. Inherent in this change has been a growing interest in the broad enhancement of learning and teaching pedagogy (Kennedy, 2011). Accordingly, the governing funding body responsible for approving and funding Hong Kong's higher education research, the University Grants Commission (UGC), has increasingly supported research into institutional knowledge transfer, particularly in the areas of learning and teaching. As one of the nine Hong Kong universities managed within the policy and funding provisions of the UGC, Lingnan University has responded to these shifts in focus and is actively supporting research proposals that align with the principles of institutional knowledge transfer.

It appears that the time is right for reforms to Hong Kong's post-secondary policy agenda. As Jensen et al. (2012) contend, the emerging reforms in Hong Kong are seen in many countries as international best practice, demonstrating that the local education sector's rise to prominence is not 'culturally determined, a product of Confucianism, rote learning or Tiger

Mothers [62] ' (p. 2), but rather, a result of careful planning and pragmatic, detailed implementation strategies.

There is much work underway to improve the teaching and learning policies of higher education both in Hong Kong and abroad (as evidenced in the literature review), and yet engagement with the notion of transformational classroom leadership to enhance the continuing professionalisation of higher education teaching with inherent standards, development strategies, assessment and quality assurance remains a challenge. The irony of the situation is highlighted by the fact that Hong Kong's Vocational Education and Training (VET) sector requires, for example, a trainee hairdresser to be assessed as competent before washing a customer's hair, yet across town at the local university, academic and postgraduate students are teaching higher education with little or no preparation that will enable them to develop curriculum, prepare and assess student work, and deal with administrative, disciplinary, and other obligations, let alone teach effectively.

A change in focus is imperative, as asserted by Norton et al. (2013, p. 1): 'universities have long required research qualifications, sought research talent, and promoted their most able researchers. Teaching-focused academics can help lead a university culture shift that will make teaching an equal partner with research'. Of particular relevance to this research project is the exploration by Sin et al. (2011) of the issues relating to staff sentiment and engagement during periods of change in Asian higher education establishments, which noted that respondents expressed a strong need for well-designed continuing professional education that addresses both the human and strategic outcomes.

Although this research project was conducted on a relatively small scale (surveying Lingnan University undergraduate and postgraduate students and Lingnan University alumni) there are positive indicators of the instruments' validity and the relationship between transformational classroom leadership and workplace engagement. The initial adaptation of the MLQ (Bass and Avolio, 2000) to the higher education environment by Pounder (1996) and its subsequent refinement into the *CTLQ* for this study, have objectively and accurately defined the statements of the beneficial behaviour of teaching faculty. For it is ultimately metrics and reporting that define success in this area (van Barneveld et al., 2012), and as

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[62] A term for a 'strict or demanding mother' popularised by Amy Chua in her book *Battle Hymn of the Tiger Mother* (2011), Penguin Books, New York. She cites a study of 48 Chinese immigrant mothers, the vast majority of whom said that "they believe their children can be 'the best' students, that 'academic achievement reflects successful parenting', and that if children did not excel at school then there was 'a problem' and parents 'were not doing their job' " (Chua, 2011, p. 5).

highlighted by Kellerman (2012, p. 168), 'For all the large sums of money invested in the leadership industry, and for all the large amounts of time spent on teaching leadership, learning leadership, and studying leadership, the metrics are mostly missing'.

There is clear evidence that transformational and distributive leadership theories may well be suited to the higher education environment (Harris, 2011) and, on the face of it, consistent with supporting the principles and benefits of purposeful collaboration as (Conyers and Wilson, 2016). This is worthy of further investigation within the higher education environment, for as Marshall (2008) contends, traditional leadership models, which focus on the traits, skills and behaviours that characterise individual leaders, differ from leadership models in the higher education sector that is a highly specialised, professional environment that is not built simply upon hierarchical relationships. 'Distributed leadership identifies leadership as the contribution of many people engaged in a complex interplay of action' (Jones et al., 2014, p. 12).

There are obvious limitations in the Hong Kong study, and its findings need to be treated as indicative and exploratory. For example, the study is confined to one university within the Hong Kong higher education system and its findings cannot claim to go beyond Lingnan to the other Hong Kong universities or higher education institutions overseas. Also, the high degree of internal consistency of the items contained in the College Experience +10 indicated by the Cronbach's alpha values does not, in itself, totally substantiate that the scale is uni-dimensional, and further studies will be required to confirm this to be the case. Furthermore, with the exception of the sample size in the biennial alumni survey, samples are not large, thus again indicating that the findings must be treated with due consideration.

Since this is the first research project of its kind that has linked transformational classroom leadership to workplace engagement, there is scope to investigate this more broadly across all UGC institutions and to establish a cross-university approach to creating a professional development framework for teaching faculties in Hong Kong.

## 6.3 – New understandings, challenges and implications for change

> Creativity should be thought of as a dialogue with a problem – you have
> to have a problem before you can have a game-changing riposte  – James
> Dyson

The problem with the 'art and science' of higher education teaching, whether it's the 'art' or 'science' component, is that its effects are difficult to measure and even harder to

effectively report, given the diversity and complexity of the stakeholders. However, this research project tentatively indicates that not only may students may feel the effects of transformational leadership in the classroom, but also their subsequent employers may in the workplace. Should the findings of the Hong Kong study be confirmed in, for example, other Hong Kong universities or international higher education systems, there could be major demands placed on these systems and their institutions to make a seismic shift in emphasis and resources from research to teaching.

Substantial advances have also been made in the field of cognitive neuroscience in education (Brown and Daly, 2016; Gabrieli, 2016; Shreve and Diamond, 2016) and while the measures of behaviour will remain the primary measure of outcome, and cognitive assessment remains the principal link between neuroscience and education (Brown and Daly, 2016), recent studies in the US have identified individual brain differences that predict which students learn more or learn less from various curricula (Gabrieli, 2016). Consideration of these important developments is essential because they have very real potential for 'disruptive change' in higher education organisations, for both the curriculum design and professional development. The immense potential of this change, as articulated by Brown and Daley (2016, p. 2) suggests that, 'new and unimagined measures, metrics, and methods will enable us to bridge these fields and produce even better outcomes for youth across the globe'.

Furthermore, should the additional research confirm the findings of this research project, there will be significant implications for faculty development. For instance, there is substantial evidence that transformational leadership can be effectively taught (Bass and Avolio, 1990; Barling et al., 1996; Kelloway et al., 2000; Roberts, 2012; Warrick, 2011) and this suggests that there is tremendous scope for developing a professional development framework for higher education teaching academics that focuses on transformational leadership. With some development, a transformational classroom leadership model may be transformed to become a succinct and readily applicable professional development instrument, that includes clear definitions of the behaviours that contribute to alumni's workplace engagement. The validity and reliability of the transformational leadership benefits are well proven and provide a solid basis for future research into this area.

Practical application and implementation of contemporary leadership strategies appear to be predominantly led by industry and consulting organisations, as there is naturally a greater imperative for long-term and effective results when the problem is 'closer to home'.

Regretfully, as observed during my experience of corporate management, the vast majority of organisational development interventions, including leadership development, fall far short of expectations, principally through poor alignment with organisational culture and inadequate change management resources. Critically, for the success of organisational development solutions, avoiding 'reductionism' is paramount (Senge, 1992)—in other words, the concept of organisational components interacting, and therefore creating dependencies, is an important component of a successful solution. Kotter and Heskett (1992) caution that in the design of an intervention, it is also imperative to consider the power of the organisational culture and values, as these underpin most of the observable behaviours, and therefore, organisational performance.

There is a very real requirement for leadership development models that progress the growth of 'adaptive abilities', a metacognitive skillset that is focused on the individual level, but is deeply connected with the values and context of the organisation. This model moves away from an overload of generic competencies to a focus on the mindsets and behaviours that matter to the organisation; from content-heavy training to an exploratory and developmental process; from a one-size-fits-all approach generally seen as imposing the same, propriety model to any organisation, to a unique solution that is deeply rooted in the organisation's unique context; from an intervention that is either slow or ineffectual in producing change to a change accelerator.

Therefore, it is critical to the successful implementation and consolidation of any organisational change, and therefore the organisation's culture and values, to consider the organisation's human capital management system as one comprehensive entity, as entreated by Bahamid, (1994, 2013), adjusting the performance levers for:

- recruitment - focus only on the person-position matching recruitment practices that are most compatible with the organisational realities of today

- performance management – implement management by values, which includes two closely connected parts (objectives of performance and a behavioural component), whereby it is not enough to achieve the goals, you must also demonstrate the key behaviours and compliance to the values

- talent management - build a pool of future leaders, by using organisational values as internal selection criteria

- training and development – create effective training and development by implementing value-linked learning methodologies that favour learning-by-doing and combine self-study, self-reflection, observation, mentoring, coaching, feedback, and team projects. (Bahamid, 2013, pp. 7-8).

Like the 2015 Gallup Purdue study, these industry considerations highlight the urgent need for organisational culture changes in higher education. Therefore, this research study urges 'shifting the institution's culture to give faculty members more incentive to hone their teaching practices or to make a talent for engaging students and supporting learning outcomes a more important part of hiring criteria for educators' (Gallup Inc. and Purdue University, 2015, p. 9). The resulting benefit of enhanced workplace engagement provides substantial benefits for both the graduate and employer, because engagement 'involves employees being intellectually and emotionally connected with their organizations and work teams because they are able to do what they're best at, they like what they do at work and they have someone who cares about their development at work' (Gallup Inc. and Purdue University, 2015, p. 16), and further that 'employee engagement is a key mechanism for explaining the relationship between perceptions of the organization's learning climate and employees' proactivity, knowledge sharing, creativity, and adaptivity' (Eldor and Harpaz, 2016).

## 6.4 – Recommendations

### R1 – That further replication of the study and cross-university consultation occur

That other Hong Kong universities and international higher education organisations replicate this study in order to verify (or otherwise) the findings of this study which is unique in Hong Kong. That Hong Kong's institutions, within the structure of the University Grants Commission (UGC), and based on the outcomes of the further studies, establish a cross-university approach to professional development for teaching academics, underpinned by the link between transformational classroom leadership and workplace engagement.

### R2 – That Lingnan's teaching development and teaching evaluation models be reviewed

That Lingnan University reviews, on a local level, the current *Learning and Teaching Development Programme (TLDP)*, and the format, processes and system of the *Classroom*

*Teaching and Learning Evaluation* (CTLE) against world's best practice. Critically, from the perspective of effective pedagogy, any review must incorporate the needs of a student cohort that is, in every sense of the phrase, 'digitally native' (Neal and Sonsino, 2016). During my early consultation with teaching academics, I became aware of problems with the accuracy of students' evaluation of teaching, and of the assertion by Tsai and Lin (2012) that there may be advantages in enhancing teacher assessment by applying the transformational leadership (classroom) behaviours. There appears to be a lack of strong correlation between CTLE and students' achievement (Pounder, 2008; Tsai and Lin, 2012). Students' bias in rating teachers is typically influenced by a variety of factors, including the type of class (elective or compulsory), course workloads, and the time that class meets (Marsh and Roche, 1997); course grading criteria (Theall and Franklin, 2001); gender of students and teachers, and the teacher's personality type (Aleamoni, 1999).

## R3 – That a professional development framework based in transformational leadership be established

That a professional development framework is designed with consideration of a broader organisational context to address policy review, assessment, contemporary developmental pedagogies, a review of metrics, and performance feedback. Given the evidence that transformational leadership can be effectively taught (Bass, 1990; Barling et al., 1996; Kelloway et al., 2000; Roberts, 2012; Warrick, 2011), Lingan University, perhaps in conjunction with other UGC institutions, could develop a professional development framework for teaching academics that incorporates all aspects of transformational leadership in the classroom.

A clearly articulated strategy for organisational development needs to embrace 'systems thinking' (Senge, 1992) if it is to achieve effective change in an organisation. As asserted by Senge (1992, p. 185) 'systems thinking' is described as 'a philosophical alternative to the pervasive "reductionism" in Western culture – the pursuit of simple answers to complex issues'. Put another way, it is the distinction between process thinking and seeing only snapshots of organisational issues.

Many institutions and professional associations are addressing the pedagogical status of higher education courses, applying technological interventions, and focusing on the experiential and cooperative elements of the learning (Gunn, 2015). When developing learning frameworks, as discussed in *Chapter 2. Review of relevant literature and other*

*information,* all of the following should be considered: teaching strategies including metacognition (learning how to enhance individual learning, and life-long learning – learning to target and manage the knowledge to remain competitive, and Social and Emotional Learning skillsets), and the capacity to engage, solve problems, direct innovation, and work collaboratively. An example of current best practice is Stanford University's student feedback system: as a component of its broader organisational performance system, it collects information about teaching and learning experiences, and, on the face of it, appears to be based on many of the key principles of transformational leadership.

This research project recommends that Lingnan TLC's *Learning and Teaching Development Programme* (which has been piloted for new start teaching academics over the past two years) should include additional research into, and application of, these contemporary development pedagogies*.*

The design of such professional development frameworks for higher education staff must also take into account the issues relating to human resources currently faced by higher education, as discussed at *Chapter 2 - Review of relevant literature and other information.* The decentring of teaching, the teaching-research nexus and the emerging Scholarship of Teaching and Learning (SoTL) can all be used to implement positive change…equally though, they have the potential to derail the implementation of a professional development framework. There is, however, a shared responsibility to achieve a positive outcome for all higher education stakeholders, for, as gracefully articulated by Conyers and Wilson (2016):

> 'The word education is drawn from the Latin term educere, which means 'to lead out'. In the truest sense of the word then, teachers are leaders in their classrooms, in taking charge of their own professional development and in taking on collaborative and leadership roles' (p. 12)

## R4 – That Lingnan's marketing and promotional opportunities be further explored

That Lingnan University uses the findings of this research project to create a list of positive benefits of teaching and learning at Lingnan University that they can use for marketing and promotional purposes, and that other institutions that pursue a liberal arts agenda can use as the basis of their own. An improved development framework that enhances teaching and learning, and provides succinct, accurate metrics to promote a higher education institution's teaching status should provide a much-needed boost to those struggling under the yoke of university ranking regimes, particularly those with smaller populations and budgets. The

implementation of a model of transformational teaching in the classroom presents a major change to existing professional development, and careful consideration of the potential resistance to change is needed. Using an interesting ecological viewpoint, Walker (2013) asserts that 'resilience should not be confused with resistance to change. On the contrary, trying to prevent change and disturbance to a system reduces its resilience' (p. 2).

Simply put, in the case of liberal arts institutions, 'caring for students has to be the key' (Jones and Baldwin, 1999, p. 2), and institutions that focus on smaller class sizes and a positive interaction between teaching academics and students will benefit by having alumni who successfully transition to the workforce, and by enhancing how they can report on and promote their institution.

## R5 – That further suggested studies be investigated

### *Metacognition, life-long learning, student agency and transformational leadership*

As defined by Schraw and Dennison (1994, p. 460), metacognition encompasses the critical skills of 'reflecting upon, understanding and controlling one's learning', and the concepts of metacognition and life-long learning are increasingly recognised as important to the design and assessment of learning and teaching in higher education. As the results of this study confirmed that there is a strong relationship between students experiencing transformational leadership and increased rates of discretionary effort, enthusiasm and satisfaction with their learning, this raises the opportunity for further examination of how to enhance the learning experience. This is further supported by the assertion (de la Harpe and Radloff, 2000) that to develop effective university study habits, students must combine cognitive, metacognitive, motivational and affective characteristics.

There is a proliferation of validated and reliable instruments designed to assess metacognition, including the Learning Studies Strategies Inventory (LASSI) (Weinstein et al., 1988), the Motivated Strategies for Learning Questionnaire (MSLQ) (Pintrich et al., 1991), and the Metacognitive Awareness Inventory (MAI) (Schraw and Dennison, 1994). Noting the inconsistencies identified in the student evaluation of teaching (SET) processes (Tsai and Lin, 2012) and the potential here for a comparable error in student assessment based solely on intellectual aptitude and avoiding measures of metacognitive awareness (Swanson, 1994), there would be scope to consider the relationships between these assessment instruments and the developmental perspectives offered by the transformational leadership milieu.

There is merit in also undertaking further study into links between the notion of transformational leadership in higher education learning environments and the concept of 'student agency', broadly described as the ability and inclination to initiate decisive enterprise in the learning environment – 'the opposite of helplessness' (Ferguson et al. 2015, p. 1). Outcomes of this research project indicate that transformational leadership in the higher education learning environment appears to share a key outcome with 'the influence of teaching on emotions, motivations, mindsets, and behaviours that we associate with agency' (Ferguson et al. 2015, p. 1). Other research into student agency in the US is underpinned by an intensifying view that sole reliance on standardised academic tests are incomplete measures of students' and, by virtue of their direct influence, teachers' accomplishments. Tripod 7Cs™ framework[63] is the most common instrument used to assess these outcomes, and considering the similarities it has with a number of the categories of the CTLQ, there would appear to be merit in further examining positive ways of implementing transformational leadership in the higher education teaching and learning environment.

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[63]   Created by Dr. Ronald F. Ferguson of Harvard University in 2001, Tripod™ began as a bridge from research to practice for teachers working to raise achievement levels and narrow gaps. © Copyright 2017 Tripod Education Partners, Inc. All Rights Reserved.

# Chapter 7 – Project reflection

## 7.1 – Introduction

> The place to improve the world is first in one's own heart and head and hands, and then work outward from there — Robert M. Pirsig

In the mid-1970s I purchased a copy of Robert Pirsig's classic *Zen and the Art of Motorcycle Maintenance: An enquiry into values* which contains this exquisite sentiment. I still have that copy and have revisited it many times over the intervening years. This sentiment, and my enduring passion for professional and person development, has led me to my recent engagement with the rigours and challenges of the DProf.

The range of events I experienced during the period of my DProf engagement provided me with a wealth of opportunities for reflective learning. Undertaking the DProf was actually an unanticipated event and (happily) developed from a series of unrelated events. While undertaking an MA in Human Resource Development as an external student based in Hong Kong, I completed various contracts in leadership development and change management, and it was during this time that I was engaged to complete a piece of work for a local university's teaching and learning department in the area of leadership and its relationship to higher education. This was a relatively new area of work for me so the programme required a great deal of research and development during the development phases. Unlike my experiences of distance learning and online research, I had the opportunity to traverse the university library and even engage the services of a research librarian. This in itself was a significant and challenging development for a learner who had pretty much flown solo for many years. I was challenged to re-engage with all the search mechanisms, library protocols, physical layout and (gasp!) even academic software in order to complete the required tasks.

I completed that particular programme at about the same time I finished the MA, and I was subsequently offered a new contract with the university to facilitate the programme for the teaching staff and academics over the next eight months. In my short 60 years, I have successfully worked as a toolmaker, submariner, teacher, training manager and business services consultant, but the concept of facilitating a programme for university academics and staff was quite daunting (and I'm generally not a shy guy!). I designed a programme that was underpinned by emancipatory principles of empowerment, self-direction, respect and ownership, and the methodologies reflected these principles. The programme was fine, but didn't really get going until the third session when I successfully tapped into the group's real-world environment—and it was within this Schönian construct that a sense of true group

engagement was achieved. Working with academics wasn't that different to working with toolmakers or anyone else: it was just a matter of getting the contextualisation right, and thereby removing the inhibiting tensions between the espoused and actual theories. It was a most liberating experience indeed. (And the good news is that the revised programme was rescheduled to run again in the subsequent academic year!)

The criticality of context in learning was again addressed when developing the DPS 4040 submission, a review of my formal, professional and experiential learning experiences. I had an opportunity to get under the skin of my professional development interventions and, rather than describe events as the programmes unfolded, I reflected on the tensions and challenges of my professional practice. Principally, there were managers and organisations (more than I'd like to admit to) who fail to see the value of human resource development (HRD) for their teams…and clients who just asked for 'training' and avoided any opportunities to create broader development frameworks or connect learning with employee engagement and organisational performance. I was able to consider the tensions between maintaining a status quo and embracing—nay, forcing—change (Mezirow, 1991; Freire, 1975), and the tensions between what is stated in corporate policy and what is actually happening down on the shop floor (Argyris and Schön, 1974). Seeing that others had identified these issues and responded to them with some compassion and rigour was something of an intellectual astringent to my personal tensions between the rigour of intellectual enquiry and learning that is arguably of little value because it cannot be applied in the real world.

My claim for research and development project capability with DPS 4060 challenged me to engage with my 'voice' in my research and writing endeavours, to articulate a synthesis of others' theories and writings and make them relevant to my own unique situations and environments. Donald Schön (1983, 1987), who seems to have developed a pretty clear and eloquent voice of his own, articulated 'knowledge in action' occurring in the 'mess' of practical considerations in the 'swamp' of the workplace environment. As such, he is a major supplier to my ontological and epistemological warehouse. Essentially, completing DPS 4060 gave me cause, within a Schönian construct, to consider the validity of the learning I had achieved in less formal circumstances and to evaluate its legitimacy in relation to more formal undertakings.

While preparing DPS 4520, I was again challenged to reflect on different perspectives of the tensions between rigour and relevance within my personal epistemology. Over the course of

my career and professional development, I have become more receptive to the concepts surrounding the 'democratization' of learning (Freire, 1972), including principles of empowerment, self-direction, respect and ownership which have respectively sat under the various ontological umbrellas of 'critical', 'emancipatory' and 'transformative' learning. Balancing these notably more radicalised approaches while working in conventional Human Resource Development (HRD) and Organisational Development (OD) consulting roles in major corporations certainly required a soft touch. While there were some implementation challenges and disasters, I was lucky to win positions with several organisations that, either knowingly, or as I suspect, unknowingly, got the right philosophical approach at the right time. My RAL 8 submissions centred on the design of a somewhat radical approach to technical education, and provides evidence of a time in my working life when the initial tensions were considerably reduced through articulate design and implementation strategies.

## 7.2 – A question of context?

In relation to the question of subjectivity and reflexivity in research and how we may talk about ourselves, Mruck and Breuer (2003) question if any researchers might begin their study with a personal question, instead of the research question. They purport that the research question often 'in many ways is influenced by what – at a special time or place…belongs to a special (scientific) context' (p. 3), an obstensibly scientific sentiment I perceive as being strongly influenced by personal, subjective drivers. Accordingly, the development of the DPS 4561 research project has offered an opportunity to continue to embrace my ontological and epistemological heritage in a solid organisational framework focusing on a positive outcome. The serendipitous alignment of genuine research intent into transformational leadership in the higher education classroom, some compelling research revelations, and an 8-12 month contact at a Hong Kong University, offered great promise. Equally, the potential to offer some useful outcomes to the client groups (university students, academics, and alumni's employers) generated a sense of anticipation.

The emergence of an investigation into the positive links between transformational classroom leadership and workplace engagement was an interesting development in my personal DProf journey. I had wrestled with an earlier (DPS 4561) research proposal that attempted to link to a RAL 8 submission for the recognition of previous work. The central theme of this submission was the identification of attributes of successful graduates, the development and assessment of which led to workplace engagement and career success—a

task from which I was (happily) ultimately dissuaded from pursuing through peer and academic review and discussion. The subsequent publication of the Gallup-Purdue Index in 2014 gave me a real sense of 'wire in the blood' in my endeavours to develop a really meaningful research project.  Establishing a valid set of metrics to evaluate outcomes that could genuinely contribute to my role in higher education was one of my intrinsic goals, so I was interested to read that the core of the Gallup-Purdue study was Gallup's Q$^{12®}$ Workplace Audit instrument. After all, the primary aim of this form of applied workplace study, as asserted by Lester (2004, p. 764), asserts that 'practitioner doctorates are more concerned with practice development and change than with pure research'.

The importance of maintaining a high level of awareness, or at least a preliminary understanding, of one's philosophical orientation is critical to professional practice (Brookfield, 1990; Heimlich and Norland, 1994), and I have been fortunate to be able to reflect on my progression from an intensely behaviourist milieu (while a school student and then a secondary design technology teacher in the mid-1980s) to a much more humanist-based environment during the corporate Human Resource Development and Organisational Development chapter of my working and learning life. The capacity for self-awareness and reflection is, as asserted by Moon (2004, p. 82), 'often the process of re-organizing knowledge and emotional orientations in order to achieve further insights', and something I view as an essential professional attribute. In my various leadership roles, this awareness and reflection has enabled me to improve my performance and productivity: for example, this knowledge enabled me to determine which development model would best suit my current employer at that particular time.

Over the past decade or so, my career has moved into adult learning, graphically highlighting the existence of a 'pluralism of philosophic viewpoints expected in such an endeavour as education which is closely related to both individual and social goals' (Elias and Merriam, 1995, p. 74). Therefore, I was initially challenged by the apparent positivist stance that is inherent in choosing to work with research instruments like the *Classroom Teacher Leadership Questionnaire* (CTLQ) and Gallup's Q$^{12®}$, having envisaged that an investigation into issues influenced by the 'human condition' would be conducted in a more constructivist, post-positivist paradigm. In developing the project methodology, I based my research model on some of the principles of the paradigm of critical realism (Bhaskar, 2014) because I believe that, on both a philosophical and methodological level, it transcends both positivism and the broader phenomena of realism. It also provided the appropriate balance

between rigour and pragmatism for the project design: 'a scientific approach when conducting real world research' (Robson, 2002).

An academic at the institution (who was subsequently my advisor) suggested that I could expand this study into something meaningful, and potentially break new research ground in the area of higher education learning and teaching. It was suggested that the work be undertaken as a higher degree, but aware of my pragmatism, he proposed that I complete a professional doctorate…and the rest, as they say, is history. Personally, the award of a higher degree remained of secondary importance to the opportunity to get my teeth into a really meaningful research project that had the potential to provide a significant new perspective on development for students, teaching academics and the graduates' future employers. A strong focus on the needs of the student burns bright within. A powerful memory from long-gone days at teachers college is of a practice-teaching session in a local school, when a 'seasoned' teacher, observing my frustration while trying to convey a point to the class, calmly pointed out to me: 'If they don't understand you, it's not *their* fault, it's *your* problem'. This insight has always remained with me…even more so of late, with increasing numbers of 'under prepared' students attempting higher education (McCarthy and Kuh, 2006).

Now to the challenges and motivations of academic writing...

I am not really a natural writer: at times concepts did not flow, my thought patterns did not gel, and I often questioned just how useful the entire body of work would actually be. (Don't all doctoral candidates get a bit gloomy from time to time?) In the midst of a writing 'funk', I was alerted to Italo Calvino's *If on a winter's night a traveller*, which so concisely both articulated and addressed the challenges of writing:

> 'If I think I must write one book, all the problems of how this book should be and how it should not be block me and keep me from going forward. If, on the contrary, I think I am writing a whole library, I feel suddenly lightened: I know that whatever I write will be integrated, contradicted, balanced, and amplified, buried by hundreds of volumes that remain for me to write.' - Calvino, 1981

I investigated whether being a 'Dr' was really worthwhile to my career: what value would it provide? With increasing concern, I read studies that suggested that professionals with Masters degrees made more money than those with Doctorates—and in industry, the 'stigma' of being academically overqualified is real. My concerns about becoming overly distant from pragmatism (my favoured modus operandi) were somewhat reduced after

further research. Doncaster and Thorne (cited in Galvin and Carr, 2003, p. 294) offer useful terminology—'*scholarly professionals*' and '*professional scholars*'—to differentiate between professional degrees and traditional PhDs. That was helpful, and the perception of not having a 'proper' doctorate was further dispelled when I found that Lester (2004) considered that 'practitioner doctorates are more concerned with practice development and change than with pure research'. He went on to postulate that professional doctorates possessed 'robustness', and were valid because 'they required a conception (*outcome, degree status, award)* that is at the same time highly practical and eminently valid academically' (Lester, 2004, p. 765).

I was actually quite disheartened at this point (my contract at the university was wound up due to funding changes) and I deferred my DProf studies, consoling myself with the fact that more people drop out of doctoral degrees than complete them…don't they? During the interim period, I developed a new OD consulting business, launched a web site (which was a whole new learning experience in itself!) and set about networking, developing an understanding the latest trends and conditions in Human Resource Development (Bersin et al., 2015), marketing products, and talking to potential clients, one of whom was the local liberal arts university with whom I had previously worked. They had received a new round of funding, and offered me a new contract to re-engage with my original DProf proposal and complete a feasibility study into a research proposal. I reconnected with my academic advisor and professional consultant with a renewed vigour and a keen ear. The regulation requiring development of the DPS 4561 proposal according to Middlesex University's protocols added to the mix a great deal of discipline (my least favourite modus operandi), quality and validity (much more favoured modus operandi), and, hopefully, professionalism at a doctoral standard.

## 7.3 – Reflections on Level 8 learning outcomes

*The only true wisdom is to know that you know nothing — Socrates*

The DProf journey is nearing completion. The challenge has been considered, defined, implemented, analysed and an outcome at the appropriate standard has been achieved…or has it? The author feels a sense of professional achievement here—after all, the result of this research project will lead to positive developments in professional development for higher education teaching, enhanced results for the students during their undergraduate years, and potentially an improved working life as a more engaged employee—so why the lingering doubt?

Pirsig (1974) consistently maintained in his work that if you have a high evaluation of yourself then your ability to recognise new facts is considerably weakened, and in the context of his treatise, your motorcycle just wouldn't make the distance. Levels of personal or professional 'blindness' have also been described as the 'Dunning-Kruger effect' (Kruger and Dunning, 1999) where 'incompetent individuals lack the metacognitive skills necessary for accurate self-assessment' (Kruger and Dunning, 1999, p. 1122) and are therefore unlikely to benefit from any personal insights into an issue, and highly likely to repeat errors and oversights. They also generally lack the skills required to make accurate observations of others' competence through social comparison.

Yet it appears there are also challenges at the opposite end of the human self-awareness/self-appraisal continuum. For some people, concerns about their own achievement at consistently high standards can manifest as low levels of self-worth, high anxiety, and fear of being found out as a fraud. First coined as the 'imposter' phenomenon by Clance and Imes (1978), the malaise of 'imposterism' was found to affect a wide range of people across professions and to be equally experienced across both genders.

It appears that the phenomenon has also been identified as alive and well in the arena of postgraduate studies, as Craddock et al. (2011, p. 430) assert that 'many doctoral students experience intense feelings of intellectual inadequacy and subsequently worry that their professors or peers will expose them as academic frauds'. While this condition is not necessarily always serious or disabling, it nevertheless raises the unhappy prospect of never allowing those afflicted to 'overcome their profound inability to internalize or enjoy success' (Craddock et al., 2011, p. 430).

While I have had very real experiences with a number of these emotional conditions, it was reassuring to hold true to Robert Pirsig's concept that the breadth of development accrued during the course of the overall journey is more important than the singular and more narrowed focus of the destination. Accordingly, I have carried out an exercise of self-appraisal based on the DProf Level 8 learning outcomes for the research project, providing multiple examples of achievement, and capturing assessment criteria at both the formative and summative levels – albeit my "Zen and the art of professional development"!

For brevity, these learning outcomes are provided in a graphic format at Appendix 15 – DProf Level 8 Learning Outcomes. Each diagram shows clustered Level 8 Learning Outcomes and the work undertaken during this research project that relates to each learning outcome.

The material in *Section 2 - Evidence of Achievement* also supports this discussion of achievement of Level 8 learning outcomes.

## 7.4 - Epilogue

Approaching the conclusion of this work, I am increasingly confident that funding and development of similar studies and projects will add another dimension to the professional development of faculty at Lingnan University and other higher education institutions. I actually feel very privileged and humbled to be able to add to the fabric of this establishment, delightfully described in the *QS Asian University Rankings* statement as: 'the liberal arts university of Hong Kong, embracing the vision to excel as an internationally recognised liberal arts university distinguished by outstanding teaching, learning, scholarship and community engagement. It is committed to providing quality whole-person education informed by the best of Chinese and Western liberal arts traditions; nurturing all-round excellence in students, including such attributes as critical thinking, broad vision, versatile skills, socially responsible values, and leadership in a changing world; and encouraging faculty and students to contribute to society through original research and knowledge transfer'[64].

During my earlier times as a teacher, and over the past 20-odd years as an OD professional, I have held the concepts and positive benefits of self-development near and dear. More recently, I have come to believe that engagement with a model developed from this research project's findings will provide academic teaching staff with an alternative and valuable form of professional development that is, most importantly, pragmatic. Undoubtedly, there is potential to achieve many significant positive outcomes for the higher education sector in Hong Kong, Asia Pacific and globally. These include, to name just a few, effective professional development models for teaching academics, sharpened marketing and profiling for higher education institutions, and, most importantly, better outcomes for students during and beyond their higher education studies.

I look forward to seeing these visions become reality.

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[64]  Found at http://www.topuniversities.com/universities/lingnan-university-hong-kong#322172

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# Appendices

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# Appendix 1 – Classroom Teacher Leadership Questionnaire Invitation

## Invitation to Participate in a Research Study

*Transformational Classroom Leadership and Workplace Engagement:*
*Exploring the Relationship*

Dear Lingnan Student,

I invite you to participate in an important study we are conducting into the relationship between a Lingnan student's classroom experiences and the links, if any, with the level of workplace engagement as working alumni.

Your opinions are valued and will be given due consideration in our future strategic planning for teaching and learning and curriculum design directions.

Please be assured that your responses will be used solely for analysis purposes and all information collected will be kept in the strictest confidence and no identity will be disclosed at any time[1].

Please spare a few minutes to complete the attached on-line survey [LINK] by [6th November, 2015]. As a token of appreciation for your support, if you complete the survey, you will be eligible to enter into the **Lucky Draw** to win a:

**$50 Supermarket Voucher** (Several prizes available!)

Should you have any enquiries, you are most welcome to contact the Teaching and Learning Centre at 2616 7576. We value your participation and opinions, and thank you very much for supporting Lingnan University research.

Yours faithfully,

Professor James Pounder
Director, Teaching & Learning Centre
Lingnan University

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[1] **Privacy Policy Statement**
The University fully supports and where possible observes the internationally recognised standards of personal data privacy protection, in compliance with the requirement of Personal Data (Privacy) Ordinance. In doing so, we will ensure our staff will comply with the aforementioned Ordinance with strictest standards of security and confidentiality. On-line information collection at this web page will adhere to the Personal Data (Privacy) Ordinance that states the purpose and use of the information collected. For more information of Personal Data (Privacy) Ordinance, please refer to the following web site : http://www.pcpd.org.hk/

# Appendix 2 – +10 Questionnaire and Gallup Q$^{12}$® Invitation

## Invitation to Participate in a Research Study

### *Transformational Teaching and Engagement at Work.*

Dear Lingnan Alumni,

I invite you to participate in an important study we are conducting into the relationship between a Lingnan student's classroom experiences and the links, if any, with the level of workplace engagement as working alumni.

If you are willing to spare a few minutes to complete **a short online survey,** as a token of our appreciation, all respondents will have a chance to win Starbucks™ coffee vouchers and the first 200 responses will go into the lucky draw for an **iPad mini**!

It's as easy as **1-2-3-4**…

STEP 1.    Please fill in your personal information using the following link:

http://lingnan.asia.qualtrics.com/SE/?SID=SV_6ScQAGNgDLd8Vxj

STEP 2.    We'll send you the information and links to complete your surveys

STEP 3.    All respondents go into the lucky draw to win Starbucks™ coffee vouchers

STEP 4.    The first 200 respondents, who have completed both sections of the survey, go into the lucky draw to **win an iPad mini** as our thanks for your early support.

Please be assured that your responses will be used solely for analysis purposes and all information collected will be kept in the strictest confidence and no identity will be disclosed at any time[1].

Should you have any further enquiries or comments, please contact the Teaching and Learning Centre at tlc@ln.edu.hk.   We really value your opinion and thank you very much for supporting research at Lingnan University.

Yours faithfully,

Professor James Pounder

Director, Teaching & Learning Centre

Lingnan University

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[1]  **Privacy Policy Statement**
The University fully supports and where possible observes the internationally recognised standards of personal data privacy protection, in compliance with the requirement of Personal Data (Privacy) Ordinance. In doing so, we will ensure our staff will comply with the aforementioned Ordinance with strictest standards of security and confidentiality. On-line information collection at this web page will adhere to the Personal Data (Privacy) Ordinance that states the purpose and use of the information collected. For more information of Personal Data (Privacy) Ordinance, please refer to the following web site : http://www.pcpd.org.hk/

# Appendix 3 – +10 Questionnaire and Gallup Q¹²® Reminder #1



## 'Thank you' or a 'gentle reminder...'

*Transformational Teaching and Engagement at Work.*

Thank you for agreeing to participate in the research project...

... if you've completed **both** parts of the online survey... thanks, you will be entered into the lucky draw... **good luck**

... if you've only completed the **first section** of the survey please take the time to complete the **second section**, The Gallup Q¹²® Employee Engagement Survey, it's a critical part of the survey!

### [Q12 LINK]

Follow the link to the Q¹²®, and respond to the **all** questions to strengthen our results. The **consent** section of the Q¹²® states: *'Gallup is conducting this survey on behalf of your company to obtain your opinion on various aspects of your working environment.'*
**Please disregard this statement**... conditions for the use the Gallup's workplace research tool restricts any editing of this statement to reflect our higher education research intent. The 'company' in this survey is listed with Gallup as the *Lingnan Alumni Transformational Teaching and Engagement at Work Survey;*

... if you haven't begun the survey yet, please take the time to complete **both sections** of the short on-line survey... your response is important to us!

**Confidentiality -** All information collected will be kept in the strictest confidence and no identity will be disclosed at any time[1].

Should you have any further enquiries or comments, please contact the Teaching and Learning Centre at tlc@ln.edu.hk.

Yours faithfully,

Professor James Pounder
Director, Teaching & Learning Centre
Lingnan University

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[1] **Privacy Policy Statement**
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# Appendix 4 – +10 Questionnaire and Gallup Q¹²® Reminder #2



**LAST CHANCE to Participate in a Research Study**

**SURVEY CLOSES Monday 18th JAN**

*Transformational Teaching and Engagement at Work.*

Dear Lingnan Alumni,

I invite you to participate in and fully complete an important study we are conducting into the relationship between a Lingnan student's classroom experiences and the links, if any, with the level of workplace engagement as working alumni.

If you are willing to spare a few minutes to complete **a short online survey,** as a token of our appreciation, all respondents will have a chance to win Starbucks™ coffee vouchers and the first 200 responses will go into the lucky draw for an **iPad mini**!

It's as easy as **1-2-3-4**…

**STEP 1.** Please fill in your personal information using the following link:

http://lingnan.asia.qualtrics.com/SE/?SID=SV_6ScQAGNgDLd8Vxj

**STEP 2.** We'll send you the information and links to complete your surveys

**STEP 3.** All respondents go into the lucky draw to win Starbucks™ coffee vouchers

**STEP 4.** The first 200 respondents, who have completed both sections of the survey, go into the lucky draw to **win an iPad mini** as our thanks for your early support.

Please be assured that your responses will be used solely for analysis purposes and all information collected will be kept in the strictest confidence and no identity will be disclosed at any time[1].

Should you have any further enquiries or comments, please contact the Teaching and Learning Centre at tlc@ln.edu.hk. We really value your opinion and thank you very much for supporting research at Lingnan University.
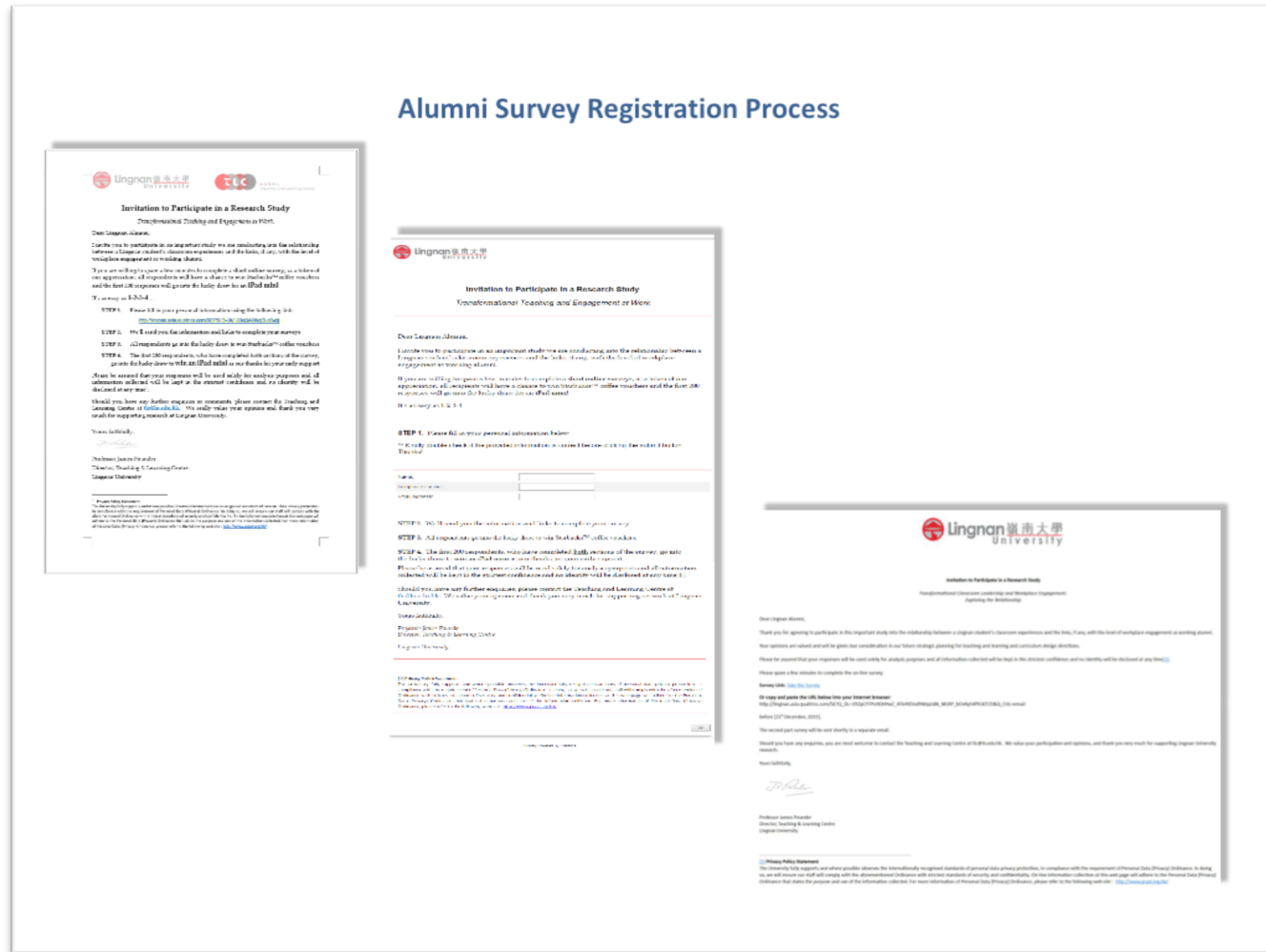
Yours faithfully,

Professor James Pounder

Director, Teaching & Learning Centre

Lingnan University

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[1] **Privacy Policy Statement**
The University fully supports and where possible observes the internationally recognised standards of personal data privacy protection, in compliance with the requirement of Personal Data (Privacy) Ordinance. In doing so, we will ensure our staff will comply with the aforementioned Ordinance with strictest standards of security and confidentiality. On-line information collection at this web page will adhere to the Personal Data (Privacy) Ordinance that states the purpose and use of the information collected. For more information of Personal Data (Privacy) Ordinance, please refer to the following web site : http://www.pcpd.org.hk/

## Appendix 5 – Alumni Survey Registration Process Flowchart

## Appendix 6 – CTLQ Cluster Analysis – Postgraduate Students

**20151116 – PG - Tabulation of each cluster (N= 46)**

**Idealized Influence (Attributed) [IIA]**

|  | #10 (N=46) | #18 (N=46) | #21 (N=46) | #25 (N=45) |
|---|---|---|---|---|
| Not at all | 1 (2.2%) | 1 (2.2%) | 1 (2.2%) | 0 (0%) |
| Once in a while | 2 (4.3%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Sometimes | 1 (2.2%) | 4 (8.7%) | 0 (0%) | 5 (11.1%) |
| Fairly often | 13 (28.3%) | 19 (41.3%) | 14 (30.4%) | 12 (26.7%) |
| Frequently, if not always | 29 (63%) | 22 (47.8%) | 31 (67.4%) | 28 (62.2%) |

**Idealized Influence (Behaviour) [IIB]**

|  | #06 (N=46) | #14 (N=46) | #23 (N=46) | #34 (N=46) |
|---|---|---|---|---|
| Not at all | 2 (4.3%) | 2 (4.3%) | 1 (2.2%) | 1 (2.2%) |
| Once in a while | 5 (10.9%) | 2 (4.3%) | 4 (8.7%) | 2 (4.3%) |
| Sometimes | 11 (23.9%) | 7 (15.2%) | 6 (13%) | 8 (17.4%) |
| Fairly often | 15 (32.6%) | 15 (32.6%) | 19 (41.3%) | 17 (37%) |
| Frequently, if not always | 13 (28.3%) | 20 (43.5%) | 16 (34.8%) | 18 (39.1%) |

**Inspirational Motivation [IM]**

|  | #09 (N=45) | #13 (N=46) | #26 (N=46) | #36 (N=46) |
|---|---|---|---|---|
| Not at all | 1 (2.2%) | 2 (4.3%) | 2 (4.3%) | 0 (0%) |
| Once in a while | 0 (0%) | 4 (8.7%) | 2 (4.3%) | 1 (2.2%) |
| Sometimes | 5 (11.1%) | 6 (13%) | 9 (19.6%) | 4 (8.7%) |
| Fairly often | 17 (37.8%) | 14 (30.4%) | 9 (19.6%) | 12 (26.1%) |
| Frequently, if not always | 22 (48.9%) | 20 (43.5%) | 24 (52.2%) | 29 (63%) |

**Intellectual Stimulation [IS]**

|  | #02 (N=46) | #08 (N=46) | #30 (N=45) | #32 (N=46) |
|---|---|---|---|---|
| Not at all | 0 (0%) | 2 (4.4%) | 1 (2.2%) | 1 (2.2%) |
| Once in a while | 1 (2.2%) | 0 (0%) | 1 (2.2%) | 2 (4.3%) |
| Sometimes | 0 (0%) | 0 (0%) | 4 (8.9%) | 8 (17.4%) |
| Fairly often | 16 (34.8%) | 16 (35.6%) | 19 (42.2%) | 20 (43.5%) |
| Frequently, if not always | 29 (63%) | 27 (60%) | 20 (44.4%) | 15 (32.6%) |

**Individual Consideration [IC]**

|  | #15 (N=45) | #19 (N=46) | #29 (N=46) | #31 (N=46) |
|---|---|---|---|---|
| Not at all | 4 (8.9%) | 2 (4.3%) | 3 (6.5%) | 2 (4.3%) |
| Once in a while | 2 (4.4%) | 5 (10.9%) | 8 (17.4%) | 3 (6.5%) |
| Sometimes | 8 (17.8%) | 10 (21.7%) | 12 (26.1%) | 13 (28.3%) |
| Fairly often | 14 (31.1%) | 10 (21.7%) | 9 (19.6%) | 17 (37%) |
| Frequently, if not always | 17 (37.8%) | 19 (41.3%) | 14 (30.4%) | 11 (23.9%) |

**Contingent Reward [CR]**

|  | #01 (N=45) | #11 (N=46) | #16 (N=46) | #35 (N=46) |
|---|---|---|---|---|
| Not at all | 0 (0%) | 1 (2.2%) | 9 (19.6%) | 3 (6.5%) |
| Once in a while | 3 (6.7%) | 2 (4.3%) | 9 (19.6%) | 1 (2.2%) |
| Sometimes | 8 (17.8%) | 9 (19.6%) | 14 (30.4%) | 7 (15.2%) |
| Fairly often | 17 (37.8%) | 21 (45.7%) | 9 (19.6%) | 17 (37%) |
| Frequently, if not always | 17 (37.8%) | 13 (28.3%) | 5 (10.9%) | 18 (39.1%) |

**Management by Exception (Active) [MEA]**

|  | #04 (N=46) | #22 (N=45) | #24 (N=46) | #27 (N=46) |
|---|---|---|---|---|
| Not at all | 5 (10.9%) | 1 (2.2%) | 1 (2.2%) | 3 (6.5%) |
| Once in a while | 6 (13%) | 1 (2.2%) | 1 (2.2%) | 4 (8.7%) |
| Sometimes | 12 (26.1%) | 2 (4.4%) | 2 (4.3%) | 11 (23.9%) |
| Fairly often | 17 (37%) | 17 (37.8%) | 13 (28.3%) | 17 (37%) |
| Frequently, if not always | 6 (13%) | 24 (53.3%) | 29 (63%) | 11 (23.9%) |

**Management by Exception (Passive) [MEP]**

|  | #03 (N=45) | #12 (N=45) | #17 (N=45) | #20 (N=43) |
|---|---|---|---|---|
| **Not at all** | 2 (4.4%) | 15 (33.3%) | 12 (26.7%) | 16 (37.2%) |
| **Once in a while** | 4 (8.9%) | 17 (37.8%) | 12 (26.7%) | 15 (34.9%) |
| **Sometimes** | 20 (44.4%) | 13 (28.9%) | 15 (33.3%) | 7 (16.3%) |
| **Fairly often** | 14 (31.1%) | 0 (0%) | 3 (6.7%) | 4 (9.3%) |
| **Frequently, if not always** | 5 (11.1%) | 0 (0%) | 3 (6.7%) | 1 (2.3%) |

**Laissez-faire Leadership [LFL]**

|  | #05 (N=46) | #07 (N=45) | #28 (N=46) | #33 (N=45) |
|---|---|---|---|---|
| **Not at all** | 28 (60.9%) | 21 (46.7%) | 10 (21.7%) | 19 (42.2%) |
| **Once in a while** | 10 (21.7%) | 17 (37.8%) | 12 (26.1%) | 16 (35.6%) |
| **Sometimes** | 3 (6.5%) | 3 (6.7%) | 16 (34.8%) | 4 (8.9%) |
| **Fairly often** | 2 (4.3%) | 1 (2.2%) | 6 (13%) | 5 (11.1%) |
| **Frequently, if not always** | 3 (6.5%) | 3 (6.7%) | 2 (4.3%) | 1 (2.2%) |

**Effectiveness [E]**

|  | #37 (N=46) | #40 (N=45) | #43 (N=45) | #45 (N=45) | #46 (N=46) |
|---|---|---|---|---|---|
| **Not at all** | 1 (2.2%) | 2 (4.4%) | 1 (2.2%) | 1 (2.2%) | 2 (4.3%) |
| **Once in a while** | 0 (0%) | 6 (13.3%) | 0 (0%) | 0 (0%) | 0 (0%) |
| **Sometimes** | 2 (4.3%) | 11 (24.4%) | 1 (2.2%) | 7 (15.6%) | 3 (6.5%) |
| **Fairly often** | 18 (39.1%) | 15 (33.3%) | 16 (35.6%) | 11 (24.4%) | 15 (32.6%) |
| **Frequently, if not always** | 25 (54.3%) | 11 (24.4%) | 27 (60%) | 26 (57.8%) | 26 (56.5%) |

**Extra Effort [EE]**

|  | #39 (N=46) | #42 (N=46) | #44 (N=46) |
|---|---|---|---|
| **Not at all** | 2 (4.3%) | 2 (4.3%) | 2 (4.3%) |
| **Once in a while** | 1 (2.2%) | 1 (2.2%) | 1 (2.2%) |
| **Sometimes** | 10 (21.7%) | 7 (15.2%) | 7 (15.2%) |
| **Fairly often** | 20 (43.5%) | 19 (41.3%) | 14 (30.4%) |
| **Frequently, if not always** | 13 (28.3%) | 17 (37%) | 22 (47.8%) |

**Satisfaction [S]**

|  | #38 (N=46) | #41 (N=46) |
|---|---|---|
| **Not at all** | 1 (2.2%) | 1 (2.2%) |
| **Once in a while** | 0 (0%) | 0 (0%) |
| **Sometimes** | 4 (8.7%) | 0 (0%) |
| **Fairly often** | 13 (28.3%) | 13 (28.3%) |
| **Frequently, if not always** | 28 (60.9%) | 32 (69.6%) |

# Appendix 7 – CTLQ Cluster Analysis  – Undergraduate Students

**20151119 - UG - Tabulation of each cluster (N=76)**

**Idealized Influence (Attributed) [IIA]**

|  | #10 | #18 | #21 | #25 |
|---|---|---|---|---|
| Not at all | 2 (2.6%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Once in a while | 4 (5.3%) | 8 (10.5%) | 3 (3.9%) | 1 (1.3%) |
| Sometimes | 20 (26.3%) | 15 (19.7%) | 11 (14.5%) | 15 (19.7%) |
| Fairly often | 30 (39.5%) | 34 (44.7%) | 32 (42.1%) | 39 (51.3%) |
| Frequently, if not always | 20 (26.3%) | 19 (25%) | 30 (39.5%) | 21 (27.6%) |

**Idealized Influence (Behaviour) [IIB]**

|  | #06 | #14 | #23 | #34 |
|---|---|---|---|---|
| Not at all | 2 (2.6%) | 1 (1.3%) | 1 (1.3%) | 1 (1.3%) |
| Once in a while | 13 (17.1%) | 5 (6.6%) | 9 (11.8%) | 10 (13.2%) |
| Sometimes | 20 (26.3%) | 14 (18.4%) | 21 (27.6%) | 23 (30.3%) |
| Fairly often | 29 (38.2%) | 44 (57.9%) | 29 (38.2%) | 33 (43.4%) |
| Frequently, if not always | 12 (15.8%) | 12 (15.8%) | 16 (21.1%) | 9 (11.8%) |

**Inspirational Motivation [IM]**

|  | #09 | #13 | #26 | #36 |
|---|---|---|---|---|
| Not at all | 4 (5.3%) | 1 (1.3%) | 2 (2.6%) | 1 (1.3%) |
| Once in a while | 4 (5.3%) | 4 (5.3%) | 6 (7.9%) | 2 (2.6%) |
| Sometimes | 24 (31.6%) | 19 (25%) | 23 (30.3%) | 20 (26.3%) |
| Fairly often | 33 (43.4%) | 35 (46.1%) | 28 (36.8%) | 42 (55.3%) |
| Frequently, if not always | 11 (14.5%) | 17 (22.4%) | 17 (22.4%) | 11 (14.5%) |

**Intellectual Stimulation [IS]**

|  | #02 | #08 | #30 | #32 |
|---|---|---|---|---|
| Not at all | 0 (0%) | 1 (1.3%) | 0 (0%) | 1 (1.3%) |
| Once in a while | 1 (1.3%) | 4 (5.3%) | 2 (2.6%) | 6 (7.9%) |
| Sometimes | 16 (21.1%) | 23 (30.3%) | 19 (25%) | 11 (14.5%) |
| Fairly often | 33 (43.4%) | 33 (43.4%) | 36 (47.4%) | 44 (57.9%) |
| Frequently, if not always | 26 (34.2%) | 15 (19.7%) | 19 (25%) | 14 (18.4%) |

**Individual Consideration [IC]**

|  | #15 | #19 | #29 | #31 |
|---|---|---|---|---|
| Not at all | 1 (1.3%) | 1 (1.3%) | 2 (2.6%) | 3 (3.9%) |
| Once in a while | 5 (6.6%) | 9 (11.8%) | 9 (11.8%) | 2 (2.6%) |
| Sometimes | 14 (18.4%) | 14 (18.4%) | 19 (25%) | 18 (23.7%) |
| Fairly often | 35 (46.1%) | 37 (48.7%) | 33 (43.4%) | 43 (56.6%) |
| Frequently, if not always | 21 (27.6%) | 15 (19.7%) | 13 (17.1%) | 10 (13.2%) |

**Contingent Reward [CR]**

|  | #01 | #11 | #16 | #35 |
|---|---|---|---|---|
| Not at all | 0 (0%) | 2 (2.6%) | 4 (5.3%) | 2 (2.6%) |
| Once in a while | 2 (2.6%) | 5 (6.6%) | 10 (13.2%) | 3 (3.9%) |
| Sometimes | 15 (19.7%) | 12 (15.8%) | 28 (36.8%) | 23 (30.3%) |
| Fairly often | 37 (48.7%) | 46 (60.5%) | 26 (34.2%) | 38 (50%) |
| Frequently, if not always | 22 (28.9%) | 11 (14.5%) | 8 (10.5%) | 10 (13.2%) |

**Management by Exception (Active) [MEA]**

|  | #04 | #22 | #24 | #27 |
|---|---|---|---|---|
| Not at all | 4 (5.3%) | 1 (1.3%) | 2 (2.6%) | 2 (2.6%) |
| Once in a while | 8 (10.5%) | 5 (6.6%) | 2 (2.6%) | 5 (6.6%) |
| Sometimes | 28 (36.8%) | 23 (30.3%) | 19 (25%) | 18 (23.7%) |
| Fairly often | 28 (36.8%) | 31 (40.8%) | 35 (46.1%) | 39 (51.3%) |
| Frequently, if not always | 8 (10.5%) | 16 (21.1%) | 18 (23.7%) | 12 (15.8%) |

**Management by Exception (Passive) [MEP]**

|  | #03 | #12 | #17 | #20 |
|---|---|---|---|---|
| **Not at all** | 3 (3.9%) | 24 (31.6%) | 9 (11.8%) | 18 (23.7%) |
| **Once in a while** | 7 (9.2%) | 21 (27.6%) | 23 (30.3%) | 27 (35.5%) |
| **Sometimes** | 29 (38.2%) | 19 (25%) | 27 (35.5%) | 17 (22.4%) |
| **Fairly often** | 25 (32.9%) | 9 (11.8%) | 13 (17.1%) | 12 (15.8%) |
| **Frequently, if not always** | 12 (15.8%) | 3 (3.9%) | 4 (5.3%) | 2 (2.6%) |

**Laissez-faire Leadership [LFL]**

|  | #05 | #07 | #28 | #33 |
|---|---|---|---|---|
| **Not at all** | 24 (31.6%) | 21 (27.6%) | 9 (11.8%) | 25 (32.9%) |
| **Once in a while** | 27 (35.5%) | 29 (38.2%) | 16 (21.1%) | 28 (36.8%) |
| **Sometimes** | 13 (17.1%) | 18 (23.7%) | 27 (35.5%) | 16 (21.1%) |
| **Fairly often** | 9 (11.8%) | 6 (7.9%) | 19 (25%) | 7 (9.2%) |
| **Frequently, if not always** | 3 (3.9%) | 2 (2.6%) | 5 (6.6%) | 0 (0%) |

**Effectiveness [E]**

|  | #37 | #40 | #43 | #45 | #46 |
|---|---|---|---|---|---|
| **Not at all** | 0 (0%) | 2 (2.6%) | 1 (1.3%) | 1 (1.3%) | 1 (1.3%) |
| **Once in a while** | 5 (6.6%) | 8 (10.5%) | 2 (2.6%) | 3 (3.9%) | 3 (3.9%) |
| **Sometimes** | 14 (18.4%) | 20 (26.3%) | 17 (22.4%) | 10 (13.2%) | 12 (15.8%) |
| **Fairly often** | 36 (47.4%) | 32 (42.1%) | 33 (43.4%) | 41 (53.9%) | 41 (53.9%) |
| **Frequently, if not always** | 21 (27.6%) | 14 (18.4%) | 23 (30.3%) | 21 (27.6%) | 19 (25%) |

**Extra Effort [EE]**

|  | #39 | #42 | #44 |
|---|---|---|---|
| **Not at all** | 2 (2.6%) | 0 (0%) | 1 (1.3%) |
| **Once in a while** | 4 (5.3%) | 3 (3.9%) | 3 (3.9%) |
| **Sometimes** | 22 (28.9%) | 17 (22.4%) | 22 (28.9%) |
| **Fairly often** | 33 (43.4%) | 41 (53.9%) | 33 (43.4%) |
| **Frequently, if not always** | 15 (19.7%) | 15 (19.7%) | 17 (22.4%) |

**Satisfaction [S]**

|  | #38 | #41 |
|---|---|---|
| **Not at all** | 1 (1.3%) | 0 (0%) |
| **Once in a while** | 5 (6.6%) | 2 (2.6%) |
| **Sometimes** | 12 (15.8%) | 14 (18.4%) |
| **Fairly often** | 36 (47.4%) | 35 (46.1%) |
| **Frequently, if not always** | 22 (28.9%) | 25 (32.9%) |

# Appendix 8 – CTLQ Cluster Analysis – Undergraduate And Postgraduate Students

**20151130 - PG + UG - Tabulation of each cluster**

**Idealized Influence (Attributed) [IIA]**

|  | #10 (N=138) | #18 (N=138) | #21 (N=138) | #25 (N=138) |
|---|---|---|---|---|
| Not at all | 3 (2.2%) | 2 (1.4%) | 1 (0.7%) | 1 (0.7%) |
| Once in a while | 6 (4.3%) | 9 (6.5%) | 3 (2.2%) | 3 (2.2%) |
| Sometimes | 27 (19.6%) | 23 (16.7%) | 15 (10.9%) | 23 (16.8%) |
| Fairly often | 48 (34.8%) | 59 (42.8%) | 49 (35.5%) | 59 (43.1%) |
| Frequently, if not always | 54 (39.1%) | 45 (32.6%) | 70 (50.7%) | 51 (37.2%) |

**Idealized Influence (Behaviour) [IIB]**

|  | #06 (N=138) | #14 (N=138) | #23 (N=138) | #34 (N=138) |
|---|---|---|---|---|
| Not at all | 6 (4.3%) | 5 (3.6%) | 2 (1.4%) | 3 (2.2%) |
| Once in a while | 20 (14.5%) | 8 (5.8%) | 16 (11.6%) | 13 (9.4%) |
| Sometimes | 34 (24.6%) | 23 (16.7%) | 34 (24.6%) | 36 (26.1%) |
| Fairly often | 49 (35.5%) | 66 (48.4%) | 52 (37.7%) | 58 (42%) |
| Frequently, if not always | 29 (21%) | 36 (26.1%) | 34 (24.6%) | 28 (20.3%) |

**Inspirational Motivation [IM]**

|  | #09 (N=137) | #13 (N=138) | #26 (N=138) | #36 (N=138) |
|---|---|---|---|---|
| Not at all | 7 (5.1%) | 5 (3.6%) | 5 (3.6%) | 2 (1.4%) |
| Once in a while | 4 (2.9%) | 11 (8%) | 10 (7.2%) | 4 (2.9%) |
| Sometimes | 33 (24.1%) | 27 (19.6%) | 36 (26.1%) | 28 (20.3%) |
| Fairly often | 58 (42.3%) | 54 (39.1%) | 43 (31.2%) | 60 (43.5%) |
| Frequently, if not always | 35 (25.5%) | 41 (29.7%) | 44 (31.9%) | 44 (31.9%) |

**Intellectual Stimulation [IS]**

|  | #02 (N=138) | #08 (N=137) | #30 (N=137) | #32 (N=138) |
|---|---|---|---|---|
| Not at all | 0 (0%) | 3 (2.2%) | 1 (0.7%) | 2 (1.4%) |
| Once in a while | 3 (2.2%) | 5 (3.6%) | 3 (2.2%) | 9 (6.5%) |
| Sometimes | 20 (14.51%) | 27 (19.7%) | 28 (20.4%) | 22 (15.9%) |
| Fairly often | 54 (39.1%) | 54 (39.4%) | 59 (43.1%) | 70 (50.7%) |
| Frequently, if not always | 61 (44.2%) | 48 (35%) | 46 (33.6%) | 35 (25.4%) |

**Individual Consideration [IC]**

|  | #15 (N=137) | #19 (N=138) | #29 (N=138) | #31 (N=138) |
|---|---|---|---|---|
| Not at all | 6 (4.4%) | 4 (2.9%) | 5 (3.6%) | 5 (3.6%) |
| Once in a while | 8 (5.8%) | 15 (10.9%) | 19 (13.8%) | 7 (5.1%) |
| Sometimes | 25 (18.2%) | 26 (18.8%) | 36 (26.1%) | 33 (23.9%) |
| Fairly often | 53 (38.7%) | 52 (37.7%) | 45 (32.6%) | 66 (47.8%) |
| Frequently, if not always | 45 (32.8%) | 41 (29.7%) | 33 (23.9%) | 27 (19.6%) |

**Contingent Reward [CR]**

|  | #01 (N=138) | #11 (N=138) | #16 (N=138) | #35 (N=138) |
|---|---|---|---|---|
| Not at all | 0 (0%) | 3 (2.5%) | 13 (10.7%) | 5 (4.1%) |
| Once in a while | 5 (4.1%) | 7 (5.7%) | 19 (15.6%) | 4 (3.3%) |
| Sometimes | 23 (19%) | 21 (17.2%) | 42 (34.4%) | 30 (24.6%) |
| Fairly often | 54 (44.6%) | 67 (54.9%) | 35 (28.7%) | 55 (45.1%) |
| Frequently, if not always | 39 (32.2%) | 24 (19.7%) | 13 (10.7%) | 28 (23%) |

**Management by Exception (Active) [MEA]**

|  | #04 (N=138) | #22 (N=138) | #24 (N=138) | #27 (N=138) |
|---|---|---|---|---|
| Not at all | 9 (7.4%) | 2 (1.7%) | 3 (2.5%) | 5 (4.1%) |
| Once in a while | 14 (11.5%) | 6 (5%) | 3 (2.5%) | 9 (7.4%) |
| Sometimes | 40 (32.8%) | 25 (20.7%) | 21 (17.2%) | 29 (23.8%) |
| Fairly often | 45 (36.9%) | 48 (39.7%) | 48 (39.3%) | 56 (45.9%) |
| Frequently, if not always | 14 (11.5%) | 40 (33.1%) | 47 (38.5%) | 23 (18.9%) |

**Management by Exception (Passive) [MEP]**

|  | #03 (N=138) | #12 (N=138) | #17 (N=138) | #20 (N=138) |
|---|---|---|---|---|
| **Not at all** | 5 (4.1%) | 39 (32.2%) | 21 (17.4%) | 34 (28.6%) |
| **Once in a while** | 11 (9.1%) | 38 (31.4%) | 35 (28.9%) | 42 (35.3%) |
| **Sometimes** | 49 (40.5%) | 32 (26.4%) | 42 (34.7%) | 24 (20.2%) |
| **Fairly often** | 39 (32.2%) | 9 (7.4%) | 16 (13.2%) | 16 (13.4%) |
| **Frequently, if not always** | 17 (14%) | 3 (2.5%) | 7 (5.8%) | 3 (2.5%) |

**Laissez-faire Leadership [LFL]**

|  | #05 (N=138) | #07 (N=138) | #28 (N=138) | #33 (N=138) |
|---|---|---|---|---|
| **Not at all** | 52 (42.6%) | 42 (34.7%) | 19 (15.6%) | 44 (36.4%) |
| **Once in a while** | 37 (30.3%) | 46 (38%) | 28 (23%) | 44 (36.4%) |
| **Sometimes** | 16 (13.1%) | 21 (17.4%) | 43 (35.2%) | 20 (16.5%) |
| **Fairly often** | 11 (9%) | 7 (5.8%) | 25 (20.5%) | 12 (9.9%) |
| **Frequently, if not always** | 6 (4.9%) | 5 (4.1%) | 7 (5.7%) | 1 (0.8%) |

**Effectiveness [E]**

|  | #37 (N=138) | #40 (N=138) | #43 (N=138) | #45 (N=138) | #46(N=138) |
|---|---|---|---|---|---|
| **Not at all** | 1 (0.8%) | 5 (3.3%) | 2 (1.7%) | 2 (1.7%) | 3 (2.5%) |
| **Once in a while** | 7 (4.1%) | 16 (11.6%) | 2 (1.7%) | 4 (2.5%) | 4 (2.5%) |
| **Sometimes** | 18 (13.1%) | 35 (25.6%) | 23 (14.9%) | 21 (14%) | 18 (12.3%) |
| **Fairly often** | 62 (44.3%) | 53 (38.8%) | 52 (40.5%) | 56 (43%) | 60 (45.9%) |
| **Frequently, if not always** | 50 (37.7%) | 28 (20.7%) | 58 (41.3%) | 54 (38.8%) | 53 (36.9%) |

**Extra Effort [EE]**

|  | #39 (N=138) | #42 (N=138) | #44 (N=138) |
|---|---|---|---|
| **Not at all** | 4 (3.3%) | 2 (1.6%) | 3 (2.5%) |
| **Once in a while** | 6 (4.1%) | 5 (3.3%) | 6 (3.3%) |
| **Sometimes** | 36 (26.2%) | 26 (19.7%) | 33 (23.8%) |
| **Fairly often** | 58 (43.4%) | 67 (49.2%) | 52 (38.5%) |
| **Frequently, if not always** | 34 (23%) | 37 (26.2%) | 44 (32%) |

**Satisfaction [S]**

|  | #38 (N=138) | #41 (N=138) |
|---|---|---|
| **Not at all** | 2 (1.6%) | 2 (0.8%) |
| **Once in a while** | 6 (4.1%) | 2 (1.6%) |
| **Sometimes** | 19 (13.1%) | 18 (11.5%) |
| **Fairly often** | 55 (40.2%) | 50 (39.3%) |
| **Frequently, if not always** | 56 (41%) | 66 (46.7%) |

## Appendix 9 – CTLQ and +10 Questionnaire Participant Comments

| UG & PG CTLQ Comments (n=33) | Category |
|---|---|
| Most of the professor are really cool and even there is problems, they won't help. They only help students perform well. | LS / CR |
| The teacher in my mind also teach students in accordance of their aptitude. For those talent students, he will try to inspire them solve the same problem in multiple ways | CR |
| In the US, professors are usually more focused on teaching. If you miss a class that is on you. If you perform poorly, it is on you. They give you all the materials, resources and knowledge to perform exceptionally then depend on you to make it happen. They do not typically get involved in personal mates. The professor i though of many have never ever learned my name but she was an extraordinary teacher and I refer to my notes from lecture still today | CR |
| If you willing to ask, teachers are always really active in providing help. But it may be hard for you to reach them sometime since the limited office hour. And teacher won't change the course and normally take action when something happens. | MBE - A |
| Gentlemen, regular communication with students, highly responsible, well-organized course lecture notes | IIB |
| Very good delivery in lectures | IIB |
| She is able to be friendly, but affirmative. She is knowledgeable without being arrogant. She also observes everyone individually while also focusing on the class as a single entity | IIB/ IC |
| Known around campus as the ethical professor. She is not scared to stand up to those in charge, & sometimes gets her in quite a bit of trouble. She is extremely helpful outside of class. She took over 6 hours out of her week to help me with research that was not part of her class | IIA / IIB / IC |
| I think the effective classroom teacher leader shows an interest in the subject and the students' performance. He/She should also always be willing to assist student if is requested, however there are many standards to auxy teacher | IIB / IC |
| She is one of the best teachers I've ever met. She is very passionate in teaching and she inspired me a lot. Unfortunately, she resigned from Lingnan this semester. | IM |
| She makes me understand that to be a responsible and honest person is more important than getting high GPA | IM |
| Nice instructor, she is willing to remember her students' name. sharing her own experience to students. many class activities and clear handout. always keep smile. | IC |
| He usually takes his spare time chatting with us and what I agree with is his good, successful and efficient leadership | IC |
| She could talk about my career path with me helping me make future development clear. She care about my life and psychological condition | IC |
| She is a helpful and patient teacher. | IC |
| She can relate the topics and theories with real cases, which makes the content more practical and interesting | IS |
| Mr. X is the best teacher I have ever met. I feel so great and enjoyable in his lesson. Thank you Mr. X! | Observation |
| the most memorable teacher does not necessary have had taught me before, so some questions are not really applicable | Observation |
| The most memorable teacher should be someone who I admire | Observation |
| The questionnaire needs a "I don't know" statement | Observation |
| Personally, I think this form is well-designed. But some of the elements are a little difficult to evaluate. For example, how to evaluate the success of his class? Thank you. | Observation |
| Prof Z English Department | Observation |
| Q1,3,7,30 - I didn't ask for help actively, so I don't know if I can reach him or he can offer me help immediately or help me see problem from different angles. Q8,15,17,40,43 - some aspects are included in personal willingness or contents we can't reach. So i can't give the valuable opinions I will give comments outside the box if i didn't answer | Observation |
| n/a | Nil |
| NA | Nil |
| Nil | Nil |
| NIL | Nil |
| no | Nil |
| No | Nil |
| No, thanks | Nil |
| none | Nil |
| None | Nil |

| Leadership Style | (CODE) Description |
|---|---|
| Passive/ Avoidant | (LS) Lassez-faire [Avoids Involvement] |
| | (MBE-P) Management By Exception - Passive [Fight Fires] |
| Transactional | (MBE-A) Management By Exception - Active [Monitors Mistakes] |
| | (CR) Contingent Reward [Rewards Achievement] |
| Transformational | (IIA) Idealised Influence - Attributed [Builds Trust] |
| | (IIB) Idealised Influence - Behaviour [Acts with Integrity] |
| | (IM) Inspirational Motivation [Inspires Others] |
| | (IC) Individual Consideration [Coaches People] |
| | (IS) Intellectual Stimulation [Promotes Thinking] |

| +10 Alumni College Experience Questionnaire Comments (n=16) | TL Category |
|---|---|
| Most of the professors in Department of Philosophy had a better academic performance, but they putted less efforts for the goals and dreams among each philosophy's students. | MBE-P |
| Normally professors just taught the course with notes and assignments, and seldom have much communication with students. Or some professors talk with students after lesson and give higher marks to students who stay and talk more with them with is not fair. | MBE-P/ CR |
| I had at least one professor who used his/her act as teaching material | IIB |
| Professors in my department are very nice and humorous. | IIB |
| Most of the Prof are responsible and full of passion in teaching. | IM |
| I would like to take this opportunity to express my sincerely thanks to Prof. X and Dr. Y, who cared about and supported me during my studying in MIBF programme 2009-2010. / | IM / IC |
| My professors treated students as individuals. This is the most important when it comes to both intellectual and psychological development of young adults. I am still very grateful to them. | IC |
| My professor encourages us to link up with what we have learned to the social, cultural and political contexts by identifying discrimination, exclusion, domination and hegemony. | IS |
| Special Thanks to Professor Z @ Social Science Dept. | Observation + |
| When I agreed with the above questions that stated "at least one professor", I actually just thought of one, or two of them. | Observation + |
| Actually i think the relationshi{p between students and professor still have rooms to develop. | Observation - |
| Cultural Studies professors and staff are the treasure of Lingnan. May I strongly advice the management people to respect and preserve what makes Lingnanian truly proud. | Observation + |
| Professors in LingU were really great. Yet, the system, in particular learning outcome, ILP, the election of the Board of Directors, principle always make students frustrate. | Observation + |
| n/a | Nil |
| No | Nil |
| no idea | Nil |

| Leadership Styles | (CODE) Description |
|---|---|
| Passive/ Avoidant | (LS) Lassez-faire [Avoids Involvement] |
| | (MBE-P) Management By Exception - Passive [Fight Fires] |
| Transactional | (MBE-A) Management By Exception - Active [Monitors Mistakes] |
| | (CR) Contingent Reward [Rewards Achievement] |
| Transformational | (IIA) Idealised Influence - Attributed [Builds Trust] |
| | (IIB) Idealised Influence - Behaviour [Acts with Integrity] |
| | (IM) Inspirational Motivation [Inspires Others] |
| | (IC) Individual Consideration [Coaches People] |
| | (IS) Intellectual Stimulation [Promotes Thinking] |

## Appendix 10 – Gallup 2013 World Employee Engagement graph

### Employee Engagement, Country by Country

Engagement results and margin of error estimates for 94 countries in which at least 300 employees were interviewed

| | Engaged | Not engaged | Actively disengaged |
|---|---|---|---|
| Albania | 11% ±5 | 69% ±6 | 20% ±4 |
| Algeria | 12% ±6 | 35% ±5 | 53% ±4 |
| Argentina | 16% ±4 | 56% ±4 | 28% ±3 |
| Australia | 24% ±3 | 60% ±4 | 16% ±3 |
| Austria | 14% ±4 | 74% ±5 | 12% ±4 |
| Azerbaijan | 5% ±6 | 63% ±6 | 32% ±3 |
| Bahrain | 19% ±6 | 52% ±7 | 29% ±5 |
| Belarus | 9% ±4 | 58% ±5 | 33% ±3 |
| Belgium | 12% ±5 | 66% ±6 | 22% ±4 |
| Bolivia | 22% ±4 | 58% ±5 | 19% ±4 |
| Bosnia and Herzegovina | 9% ±6 | 58% ±7 | 33% ±4 |
| Botswana | 10% ±8 | 51% ±8 | 38% ±5 |
| Brazil | 27% ±2 | 62% ±3 | 12% ±3 |
| Bulgaria | 12% ±5 | 68% ±5 | 20% ±4 |
| Canada | 16% ±3 | 70% ±3 | 14% ±3 |
| Chile | 23% ±3 | 58% ±4 | 18% ±3 |
| China | 6% ±2 | 68% ±3 | 26% ±1 |
| Colombia | 26% ±3 | 61% ±4 | 13% ±4 |
| France | 9% ±4 | 65% ±4 | 26% ±2 |
| Germany | 15% ±2 | 61% ±3 | 24% ±2 |
| Guatemala | 26% ±4 | 55% ±5 | 19% ±4 |
| Honduras | 19% ±5 | 55% ±5 | 26% ±4 |
| Hong Kong | 4% ±5 | 68% ±5 | 29% ±2 |
| Hungary | 11% ±5 | 56% ±6 | 33% ±4 |
| Iceland | 16% ±3 | 75% ±4 | 9% ±3 |
| India | 9% ±2 | 60% ±2 | 31% ±1 |
| Indonesia | 8% ±3 | 77% ±3 | 15% ±2 |
| Iran | 7% ±6 | 56% ±6 | 37% ±3 |
| Taiwan | 8% ±6 | 60% ±6 | 32% ±4 |
| Thailand | 14% ±2 | 84% ±4 | 2% ±4 |
| Tunisia | 5% ±5 | 41% ±5 | 54% ±2 |
| Turkey | 7% ±6 | 60% ±6 | 32% ±3 |
| United States | 30% ±<1 | 52% ±<1 | 18% ±<1 |
| Ukraine | 10% ±5 | 67% ±5 | 23% ±3 |
| United Arab Emirates | 26% ±3 | 60% ±4 | 14% ±3 |
| United Kingdom | 17% ±1 | 57% ±2 | 26% ±1 |
| Uruguay | 22% ±4 | 54% ±4 | 24% ±3 |
| Venezuela | 18% ±4 | 60% ±5 | 22% ±4 |

2011-2012

GALLUP

## Appendix 11 – Lingnan University - Information on Human Ethics Approval for Research Conducted by Research Postgraduate Students

**Information on Human Ethics Approval for Research Conducted by Research Postgraduate Students**

I. Preamble

1. The University deems it important that researchers (both staff and students) adopt means to ensure and demonstrate ethical conduct of research. The Research Grants Council (RGC) specifies that all research involving human subjects must obtain human ethics approval even though the investigator believes participants will not be exposed to any risk of danger or physical harm, psychological discomfort, stress and the like. As confirmed by the RGC, this requirement applies to standard questionnaire surveys or in-depth interviews as well as any study or experiment involving direct contact with humans.

2. The above requirement of obtaining approval is applicable to MPhil/PhD students.

II. Application Procedures

3. Registry will remind MPhil/PhD students at the beginning of each academic year to submit ethics applications if their research involve human subjects.

4. A student should fill in the application form (as shown in the Attachment) and submit the completed form to his/her (Chief) Supervisor before conducting research involving human subject.

5. Unless the Supervisor deems it necessary, the ethics application submitted by the student will be approved by the supervisor concerned without referral to the Research Ethics Sub-Committee. The criteria in determining the application are set out in Section III below. The Co-supervisor(s) should normally be consulted in the process.

6. When in doubt, the Supervisor may refer the case to the RPSC concerned for consideration and, if necessary, further to the Research Ethics Sub-Committee. In case the Supervisor wishes to refer the application to the RPSC concerned, please forward the application together with a copy of the research proposal to the Registry for action.

7. Supervisor(s) should report on the application, if any, in the assessment report for confirmation of candidature/annual progress and keep a copy in their file.

III. Criteria Used to Determine Ethical Acceptability

8.  In determining whether ethics clearance should be given, the Supervisor/Research Ethics Sub-Committee should consider the following questions:

- Does the research involve any vulnerable groups (categories of people who are not legally able to provide informed consent due to age or incompetence, or who are in an unequal relationship with the researcher)?

- Does the research involve sensitive topics (sensitive aspects of the subject's own behaviour such as illegal activities, racial biases and sexual behaviour)?

- Does the research involve invasive procedures, physical or psychological stress/distress or discomfort?

- Does the research involve deception or withholding of information from participants?

- Does the research involve access to data by persons or organisations other than the researcher?

- Does the research involve conflict of interest issues or ethical dilemmas?

- Will the information be disposed of safely after the research is completed?

# Appendix 12 – Lingnan University - Application for Ethical Review of a Research Project Involving Human Participants by an MPhil/PhD Student

**Lingnan 嶺南大學**
University

## Application for Ethical Review of a Research Project Involving Human Participants by an MPhil/PhD Student

**Section A: to be completed by the student**

### Title of Research Project

Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship

### Details of Procedures to be used in the Research

In a Hong Kong setting, this research project will investigate the relationship between transformational classroom leadership and workplace engagement respectively using two comprehensive instruments, the *Classroom Teacher Leadership Questionnaire (CTLQ)* (Pounder, 2009, 2014), and the *Gallup $Q^{12}$®* workplace audit instrument (Gallup, 1992-1999).

**Phase 1.** *Classroom Teacher Leadership Questionnaire (CTLQ)*

  1.1   Convene a focus group to assess the modification of the current CTLQ instrument;

  1.2   Review and update the questionnaire consistent with focus group outcomes;

  1.3   Conduct pilot study with the revised CTLQ with Lingnan post-graduate students and staff;

  1.4   Test for content, construct (convergent and discriminate) and criterion-related validity;

  1.5   Test for reliability: test-retest, alternate forms, split halves, internal consistency (coefficient Alpha);

  1.6   Administer the survey to the target group (n = 100)

  1.7   Apply structural equation modelling (LISREL)

**Phase 2.** *Gallup $Q^{12}$® workplace audit instrument*

  2.1   Utilising a focus group, reconfirm validity and reliability of the $Q^{12}$® instrument;

  2.2   Review and update the questionnaire consistent with focus group outcomes

  2.3   Conduct pilot study with the revised $Q^{12}$® with Lingnan post-graduate students and staff;

  2.4   Test for content, construct (convergent and discriminate) and criterion-related validity;

  2.5   Test for reliability: test-retest, alternate forms, split halves, internal consistency (coefficient Alpha);

  2.6   Liaise with Lingnan University's Office of Institutional Advancement and Alumni Affairs (OIAAA) for distribution of the Gallup $Q^{12}$® workplace audit instrument;

**Details of Procedures to be used in the Research (cont.)**

2.7 Liaise with organisations employing Lingnan University alumni and gain acceptance and input for the survey;

2.8 Administer the survey to the Lingnan University alumni (Copyright purchased for 200 instruments)

2.9 Apply structural equation modelling (LISREL)

**Phase 3. Analysis and Reporting**

3.1 Collect and analyse results

3.2 Prepare a comprehensive report on the study

3.3 Draft a conference paper/ journal article on the study

## Participant(s) Involved in the Research

[Approximate number, age group, how obtained, and information on whether the researcher is in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee.]

**Phase 1. *Classroom Teacher Leadership Questionnaire (CTLQ)***

Instrument Validation, Distribution and Analysis

This instrument is to be distributed to the following internal Lingnan University recipients:

- Lingnan University senior (Yrs 3-4) and post-graduate students (n = 100)
- Lingnan staff and academics with a teaching responsibility (n = 100),

The CTLQ is to be distributed and receipted in both paper-based and electronic formats through the Teaching and Learning Centre's Systems Consultant and team. The TLC's Research Statistician will support initial testing of the instrument's validity and reliability and subsequent statistical analysis.

- The CTLQ is administered within an protocol of anonymity so there will be no identification or storage of personal data by the TLC;
- Data security and storage will be in accordance with Lingan University research protocols.

**Researcher's Position vis-à-vis the Participants**

The researcher is an independent Senior Project Consultant contracted for the duration of the research project, there is no teacher-student or employer-employee relationship.

**Phase 2. *Gallup Q¹²® workplace audit instrument***

Instrument Validation, Distribution and Analysis

This instrument will be distributed to the Lingnan Alumni through the Office of Institutional Advancement and Alumni Affairs (OIAAA) (n=200)

- The confidentiality of personal data and anonymity of the alumni is assured by the alumni survey protocols followed by the OIAAA;
- Data security and storage will be in accordance with Lingan University research protocols.

**Do your procedures expose your participants to any risk of:**

[Please check ☒ boxes as appropriate]

**Yes    No**

☐    ☒        - danger or physical harm

☐    ☒        - pain

☐    ☒        - stress

☐    ☒        - fatigue or other form of physical discomfort

☐    ☒        - noxious stimulation

☐    ☒        - emotional distress or other form of psychological discomfort

☐    ☒        - invasion of privacy

☐    ☒        - deception

☐    ☒        - criminal or civil liability

**If you have checked "Yes" to any of the above questions:**

(a)  Estimate the degree of risk involved

N/A

(b)  Describe the steps you will take to minimize the risk and to protect your participants from it

N/A

(c)  How will you explain the risk to your participants?

N/A

(d)  How will you obtain their consent to take part in the research (please attach consent forms to be used)?

N/A

(e)  Will there be any payment(s) to the participants?

N/A (No payment will be made to the participants)

(f)  Describe how the participants will be debriefed after the study

N/A

**Will you collect names, addresses, or any other details which would make it possible to identify your participants?**

☐ YES   ☒ NO

If you have checked "Yes" to the previous question:

    (a)  Describe the identifying data you will collect

        N/A

    (b)  How will you use these data?

        N/A

    (c)  How will you dispose of these data?

        N/A

    (d)  What procedures will you follow to make sure that your participants cannot be identified?

        N/A

## VI.   Declaration

I undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with international standards of ethical practice.

| | |
|---|---|
| _____ | _____ |
| *Signature of Student* | *Date* |
| | |
| Peter Gordon STOFFELL | Doctorate in Professional Studies (Middlesex University, London) |
| *Name of Student* | *Study Programme* |

Personal Information Collection Statement:

1. Personal data provided on this form/report will be treated confidentially and will be used for processing this application/matter only.

2. Information provided may be transferred to other units within the University for necessary actions, where applicable.

3. Applications for access to personal data should be made to the Data Protection Officer (DPO@LN.edu.hk)of the University. For update/correction of personal data, please contact the Registry (registry@LN.edu.hk). 4

**Section B: to be completed by the Supervisor of MPhil/PhD Student**

Having considered the information provided above, I:

☒ approve this application.

☐ do not approve this application.

☐ wish to refer this application to the RPSC concerned and, if necessary, further to the Research Ethics Sub-Committee for consideration.

_____          _____

*Signature of Supervisor*                                    *Date*

Professor James POUNDER

*Name of Supervisor*

(Note: Upon the student's request, the University shall provide a copy of the information given on this form to the student in compliance with the Personal Data (Privacy) Ordinance when all necessary processing of this form is completed.)

## Appendix 13 – Middlesex University - Research ethics form (REf) for MProf/DProf projects

## Appendix 3
## Research ethics form (REf) for MProf/DProf projects
For all candidates and staff planning any research activity

All candidates and staff planning to undertake research/projects are required to complete this form whether you think you need approval or not as all research activity must be registered with the University through the IWBL ethics committee arrangements. These research ethics sub-committees are part of the IWBL ethics committee arrangements.

**For candidates**
This form is submitted to the respective research ethics sub-committees through the WBS/DPS programme approval panels as part of your project proposal.

Candidates must read the information in the module guide before submitting.

**For staff**
It is submitted to the staff research ethics sub-committee (SRESC) along with a summary of your proposal and detailed methodology. Staff must read the staff research guidelines pack before submitting.

Please note that:

it is essential that you have an understanding of ethical considerations central to planning and conducting of research

if your project requires approval by ethics committee from institutions within which you may be planning to conduct the research – for example hospitals, NHS trusts, local authorities, government bodies, civil/government controlled entities such as prisons – applying for ethics approval from the IWBL ethics committee arrangements will not exempt you from that process. University approval will not be given if

.  **a** approval from an external body is a requirement and you have not obtained it

.  **b** you have obtained the approval but do not attach the application and approval from that body as part of the project proposal to the programme approval panels.

**Candidates and students**

| | |
|---|---|
| Your name | Peter Gordon STOFFELL |
| Which programme (MProf or DProf) | DProf |
| Your adviser's name | Professor James POUNDER |
| Date of submission | 21 AUG 2015 |
| Date you wish to commence your project | SEP/ OCT 2015 |

## Declaration

I agree that the REf form attached has been completed accurately to the best of my knowledge at the time.


Student/Candidate signature.........................................................

Date ................................


I agree that the attached REf is accurate based on the evidence supplied by the student/candidate.


Adviser signature..............................................................................

Date ................................

If you place an "X" in any of the white boxes, please provide further information if it is not already contained in your proposal. **Please answer all of these questions**

| Research Ethics form | | Yes | No | NA |
|---|---|---|---|---|
| 1 | Has the draft project proposal and ethical considerations been completed and submitted to the adviser? | ☒ | | |
| **Participant's wellbeing** | | | | |
| 2 | Does your proposed activity involve the participation of human/ sentient beings? | ☒ | | |
| 3 | Have participants been given information about the aims, procedure/processes and possible risks involved in easily understood language? | ☒ | | |
| 4 | Will any person's position or treatment be in any way prejudiced if they choose not to participate in the project? | | ☒ | |
| 5 | Can participants freely withdraw from the project at any stage without risk or harm of prejudice? | ☒ | | |
| 6 | Have all necessary steps been taken to protect the privacy of participants and the need for anonymity? | ☒ | | |
| 7 | Will the project involve working with or studying minors (under the age of 16 years)? | | ☒ | |
| 8 | If **Yes**, will signed parental consent be obtained? | | | ☒ |
| 9 | Have you considered the ethical implications of selecting data and the obligations to accurately represent participants' views? | ☒ | | |
| **Research methods** | | | | |
| 10 | Are there any questions or procedures likely to be considered in any way offensive or inappropriate? | | ☒ | |
| 11 | Does your research involve access to confidential/personal records? | | ☒ | |
| 12 | If **Yes** have you sought permission from the individuals concerned/ followed the protocols required? | | | ☒ |
| 13 | Have you made yourself aware of intellectual property issues regarding any documents, materials you wish to use? | ☒ | | |
| 14 | Have you clarified with participants the ownership of data? | ☒ | | |
| 15 | Is there provision for the safekeeping of written data and video/audio recordings of participants? | ☒ | | |

| | | | | |
|---|---|---|---|---|
| 16 | Are there safekeeping strategies for electronic data and correspondence? (Refer to the Data Protection Act on keeping personal information on computers.) | ☒ | | |
| 17 | If any specialised instruments, for example psychometric instruments are to be employed, will their use be controlled and supervised by a qualified practitioner, such as a psychologist? | | | ☒ |
| **Effects/Impact** | | | | |
| 18 | Have you explored the impact of change that may result in your project activity on any participants/people/sentients involved directly or indirectly in the project? | ☒ | | |
| 19 | If applicable is there provision for debriefing participants after the intervention or project? | ☒ | | |
| 20 | Have you engaged with your sponsor/employer about any ethics relating to how this research will be used? | ☒ | | |
| **Ethical approval from other bodies** | | | | |
| 21 | Does your project require ethical approval from another body? | ☒ | | |
| 22 | If **Yes,** have the proper approval documents been attached? | ☒ | | |
| **General** | | | | |
| 23 | Is there any ethical issue/potential issue you have/may have difficulty managing on which you would like more input? If **Yes,** please attach a summary | | ☒ | |

Institute for Work Based Learning
Middlesex University
College House
The Burroughs
London NW4 4BT


Candidate"s name: Peter Gordon STOFFELL.

Award programme (MProf or DProf):  DProf.

Title of project: Transformational Classroom Leadership and Workplace Engagement
                : Exploring the Relationship

Name of adviser: Professor James POUNDER.

I confirm that the information provided is correct:

Signature of candidate ..........................................................................

Given the information provided, I support the approval of this proposal on ethical grounds:

Signature of adviser ............................................................................

Signature of chair of PAP&RESC..........................................................

Date of programme approval................................................................

Please attach a copy of the REf to your programme plan when submitting for programme approval.

# Appendix 14 – DProf Supervision, consultation and development diary

**DPROF Supervision Diary_StoffellPG_M00509860**

| DATE | PARTICIPANTS | TIME (H:M) | DESCRIPTION | ACTION/ FOLLOW-UP/ COMMENTARY |
|---|---|---|---|---|
| 04/06/2014 | JP, PS | 1:20 | Discussion on DPROF application/ approvals process | Investigation of DPROF module content, requirements and rules. Review the DPS5120 'Claim for Advanced Developments in Professional Practice'. |
| | | | Discussed possible focus of Stage 2 - DPS4561 'Planning a Practitioner Research Programme' and Stage 3 - DPS5240 'WBL Project'. | Investigate possible links between LTDP, Transformational Leadership in the Classroom and Altus 'Insights' programme. |
| 06/06/2014 | PS | | Dprof acceptance letter received from Middlesex Uni. | |
| 11/06/2014 | JP, PS | 01:15 | Review of DPROFCourse Materials Received | |
| | | | Discussion of supervision allocations/ expectations | |
| | | | Discussion of course timeframes, submission dates | Considerable deliberation as to the interpretation of the course rules and materials in relation to the relationships between "study periods 1,2 & 3" and the subject timetable. ACTION: PS to contact Middlesex HK to confirm our understanding. |
| | | | Consideration of RAL application at level 8 (for 120 credits) possible subject to be Australia Post Technical Learning Framework as it invlved a comprehensive project of research into the award of a work-based qualification, industrial relations negotiations, conference presentations and training award nominations. | JP agreed the programme may provide sufficient evidence for RAL, and suggested PS further investigate archived materials for appropriatenes. ACTION: PS to provide a preliminary go/ no-go analysis to JP. |
| 28/06/2014 | Kate M, PS | :45 | Skype - DPROF Programme outlined in detail by KM | |
| | | | DPS 4520 - Review of Learning | 5000 word critical self-engagement; highlighting/ reflecting pivotal learning moments; a non-descriptive account of formative experiences; providing links to learning and the development of a personal view of learning; positioning myself as researcher - development within my context; reflection/ reflexivity |
| | | | | *Contact* - DPS 4520 Review of Learning: Kate Maguire? (TBC) |
| | | | RAL Caims for Credit | **RAL Level 7**. 40 credit points - professional knowledge and certification; formal qualifications and their fusion in the workplace which would constitute 'professional knowledge'; Described as "Continuing Professional Development". Referenced to DPS 4520 Review of Learning |
| | | | | **RAL Level 7**. 60 credit points - research and development capability; "My research was XXX (methodology) including additional experiences; Refflective: 'like to know more'; "Coming from the professions my view is that research MUST be applied (*praxis* - the 'sweet spot' between theory and practice); establish links between research/ research methodology/ application. Referenced to DPS 4520 Review of Learning |
| | | | | **RAL Level 8**. 5,000 - 8,000 words; Establish strong links to project |
| | | | | *Contact* - RAL Claims: Annette Fillery-Travis |
| | | | DPS 4561 DPROF Project Plan | What? |
| | | | | How? |
| | | | | What's currently out there already? |
| | | | | Intended impact - What is new about your approach? Innovation? |
| | | | | *Contact* - DPS 4561 Project Planning: Mehmetali Dikerdem |
| | | | DPS 5360 DPROF Project | *Contact* - DPS 5360 DProf Project: Kate Maguire |
| 07/03/2014 | JP, PS | :30 | RAL application at level 8 | Agreed there is potential in the RAL 8 application; PS to continue to research and gather evidence and materials and prepare draft. |
| 21/07/2014 | JP, PS | :15 | RAL application at level 8 | JP completed a 2 hour supervisors tutorial with Kate M last week; ACTION: We'll need to recommend an external industry specialist to review and endorse RAL 8 claim. Dr Idir Bahamid was suggested as a potential candidate. ACTION: PS to contact IB to ascertain his potential involvement; ACTION: PS to forward Middlesex consultancy forms to IB. |
| 25/07/2014 | PS, IB | :20 | Skype - DPROF Consultancy | |
| | | | PS invited IB to consider supporting the DPROF as a consultant. Discussed the information contained in the Middlesex 'Appointment of Consultant'; 'Consultant's role 2013; 'Consultancy Form 2014NEW'. | |
| | | | IB agreed to support the DPROF as a consultant/ subject matter expert. | |
| | | | IB provided feedback on the project synopsis contained in the consultants form. | |

| Date | Attendees | Time | Description | Notes/Actions |
|---|---|---|---|---|
| 28/07/2014 | JP, PS | :30 | Discussed progress to date, including IB's input to the programme focus.<br>JP proposed the following people be engaged/ interviewed for the study:<br><br><br><br><br><br>JP's thoughts on the potential success contributors at Lingnan<br><br><br><br>JP's suggested references | Leonard Cheng - President Lingnan University, focus on his leadership vision for 'value-adding to graduate achievement'<br>Mette Hjort - moving from 'failure to success'<br>Edward Cheung - Past president Lingnan University - 'student's will cry twice'<br>Carol Archer - Cross-discipline arts education success<br>Idir Bahamid - cultural/ behavioural change models<br>Faculty/ student interaction<br>Transformational leadership in the classroom<br>Class size/ dialogue/ processes outside of comfort zone/ General education across all disciplines.<br>Pounder - Transformational leadership in the classroom<br>Cotter & Slessenger - Competencies<br>Schon - Reflection<br>Burgoyne - Competencies |
| 01/08/2014 | JP, PS | :55 | Discussion on progress with draft 4520 Review of Learning and RAL 7 Claims<br><br>Reviewed assessment criteria, protocols and timeframes. | ACTION: PS to forward soft copies of completed work to support the previously-received hard copies<br>ACTION: Request copy of the Dprof assessment form (as listed p.15 Advisor Handbook 2013/14) |
| 06/08/2014 | JP, PS | :25 | Discussions on the development of RAL 8 Claim | |
| 08/08/2014 | PS | | Requirement for Assessment/ Recommendation proforma | ACTION: Request of Middlesex IWBL East Asia for Assessment Form |
| 15/08/2014 | IB, PS | :40 | Skype - RAL 8 Claim for Advanced Developments in Professional Practice, discussions on proposed content, research and current best practice for proposed Work Place Project | ACTION: First draft RAL 8 paper to IB for initial review and feedback. |
| 19/08/2014 | EL, IB, JP, PS | :45 | Clarification of DPROF submission requirements and administration<br><br>IB's detailed written feedback received, discussed on Skype.<br>Final submissions completed and forwarded to JP for review and final written recommendations | ACTION: PS to contact Middlesex IWBL East Asia DPROF coordinator Esabella Lau - "e-submissions are OK on the due-by date" confirmed by EL.<br><br>ACTION: JP to complete written recommendation processes by 21/08/2014. |
| 21/08/2014 | JP, PS | :30 | Review/ discuss agreed edits to final drafts for DPS4040, DPS4520 and DPS5120 RAL8 | |
| 22/08/2014 | PS | | Submission of DPS4040, DPS4520 and DPS5120 RAL8 | Notified as well received by Middlesex Asia Pacific Hub |
| 23/09/2014 | PS | | Award of Academic Credit for DPS4040 'Capability in Research Methodology' 100 credit points at Level 7<br>Award of Academic Credit for DPS4520 'Review of Previous Learning' 20 credit points at Level 7. | |
| 24/09/2014 | PS | 2:30 | DPS 4561 Planning a Practitioner Research Programme - 'Workshop & Mock PAP' | Presentation and feedback session - Prof Paul Gibbs (UK) in attendance |
| 13/11/2014 | PS | | Sent notification to Middlesex Asia Pacific Hub - deferral DPS4561 and DPS5120 RAL 8 to Semester #2 2015. | Notified as well received by Middlesex Asia Pacific Hub |
| 31/11/2014 | PS, JP | 1:00 | Current contract completion date w Lingnan University | Discussion of Dprof progress to date; Review of future opportunities to complete programme. |
| 01/12/2014 | PS, JP | 2:30 | LTDP Unit 3 "Win-Win: Enriching a flourishing post-graduate environment" | Post programme discussions/ updates |
| 02/02/2015 | PS, JP | 2:30 | LTDP Unit 4 "Motivate, engage & empower: Lessons from leadership in the classroom" | Post programme discussions/ updates |
| 02/03/2015 | PS, JP | 2:30 | LTDP Unit 5 "Innovative teaching & learning: Creating an effective learning environment" | Post programme discussions/ updates |
| 25/03/2015 | PS | | Sent notification to Middlesex Asia Pacific Hub - deferral DPS4561 and DPS5120 RAL 8 to Semester #3 2015. | Notified as well received by Middlesex Asia Pacific Hub |
| 30/03/2015 | PS, JP | 2:30 | LTDP Unit 6 "Internationalisation: Enriching student's international and intercultural experience" | Post programme discussions/ updates |
| 27/05/2015 | PS, JP | 2:30 | LTDP Unit 7 "Partnerships: Enriching a student-centred perspective" | Post programme discussions/ updates |
| 10/06/2015 | PS, JP | 1:45 | Meeting at Lingnan University to discuss contract renewal arrangements and re-engagement with DProf programme | Offered a role as 'Senior Project Consultant' for a period of 7 months commencing 03 AUG, 2015. Discussion and agreement that this period of engagement should enable the completion and submission of DPS4561 |
| 26/06/2015 | PS | | Sent notification to Middlesex Asia Pacific Hub - re-engagement with DPS4561 and DPS5120 RAL 8 in Semester #3 2015. | Notified as well received by Middlesex Asia Pacific Hub |
| 29/06/2015 | PS | | DProf Progression form submitted | Notified as well received by Middlesex Asia Pacific Hub |
| 20/08/2015 | PS, TLC Team | 2:45 | TLC team introductions/ induction | Initial planing, team introductions, office alocation, research librarian introduction |
| 28/08/2015 | PS, JP | 1:15 | Project Initiation meeting: "Transformatiuonal Teaching and Enagement at Work" | Project Planning, Instruments, budgets, key stakeholders, issues, reporting |
| 08/10/2015 | PS, JP | :45 | Review draft PAP presentation | Comments, critique and feedback |

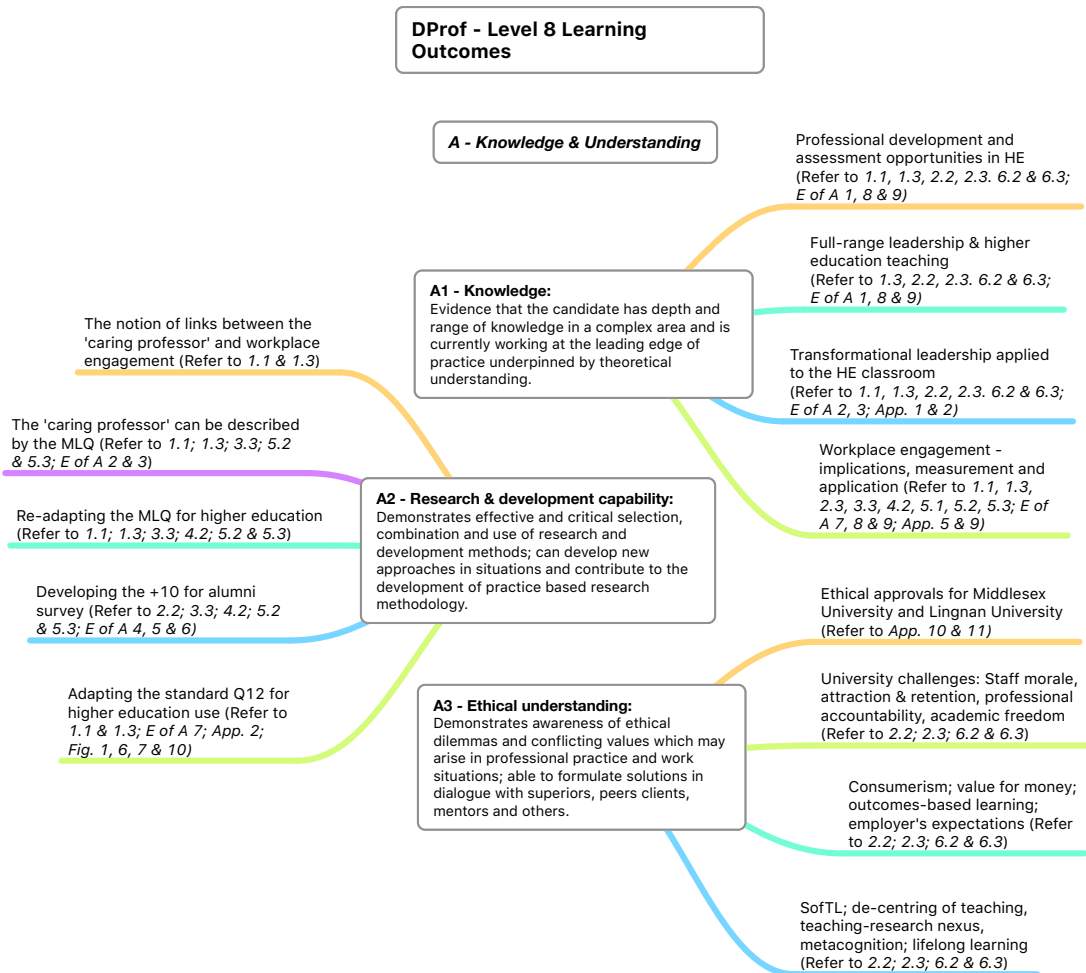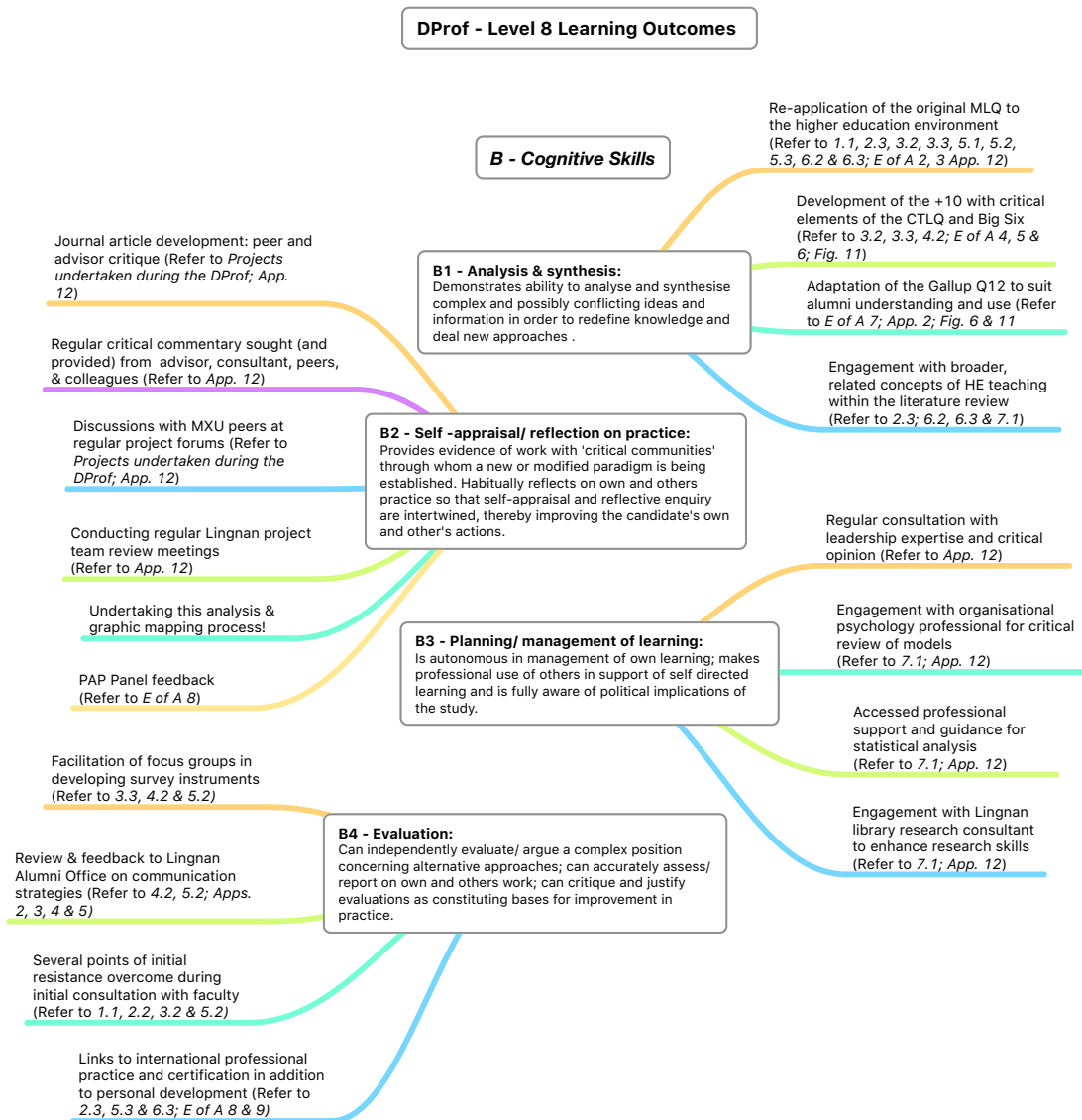| Date | Attendees | Time | Subject | Notes |
|---|---|---|---|---|
| 13/10/2015 | PS, JP, Project Team | 1:45 | Project Team Review Meeting | CTLQ - design of final outcome; translation - English, Chinese simplified/ traditional; Back translation strategy and req'd expertise; Process to analyse 'top loaders' from the CTLQ which may be used in the 'College Experience' instrument that will accompany the Gallup Q12; Discussed strategies for on-line design/ distribution, prize giving and analysis. Q12 reviewed the policy and useage allowances provided in the documentation by Gallup Inc. |
| 21/10/2015 | PS, PAP Team | 2:15 | PAP presentation and feedback | Initial review and feedback quite positive |
| 29/10/2015 | PS, JP | :25 | PAP feedback letter | Review PAP feedback and discuss strategies to resolve conditions |
| 25/11/2015 | PS, JP | :20 | Project budget discussions | Budget review and dev elopment discussions; Agreement on prize allocation and budget processes; Discussed potential solutions for budget reporting. |
| 26/01/2016 | PS, JP | :45 | Project/ Dprof progress review | Project update; First look at initial project findings, issues; discussion, feedback; critique; comments |
| 02/02/2016 | PS, JP | :55 | Project/ Dprof progress review | Reviewed project report draft outline ('strawman'); discussed and agreed next steps for project report and submission dates; Support for statistical to be provided by Edward (specific requirements/ what is feasible to be determined with Edward over the next few days). DPROF progress has been limited to some extent by the development and management of the TLC project, however the way forward in terms of planning has become a lot clearer; Agreement on the general thrust of the direction for DPS 5360 proposed and considered to be effective |
| 24/02/2016 | PS, JP | 1:20 | Project/ Dprof progress review | Reviewed draft executive summary of the Lingnan Project Report - remove graphics and insert an introductory 'findings' section from the main report body; languaging to be less 'tentative' and provide a more 'positive' atmosphere around (what are some pretty good) project findings; DEtailed statistical data is NOT required for this report (and for the DPROF write-up, the level of statistical reporting will need to be carefully considered); Include evidence and references that transformational leadership in the classroom can be trained and develope, (as part of the recommendation for the OD training strategy) ; ADDITIONAL - Reduce the report to approximately 5000 words for development as a paper to be published by Stoffell & Pounder (review the previous papers developed by Jim as a guide) |
| 11/05/2016 | PS, Paul Gibbs | :50 | MXU East Asia Work Based Learning Centre - DPROF Consultation | General timetable and submission requirements for DPS 5360 Project Review of draft chapters (Jim & Idir) and planning for submission (Jim); Attention to running my work through 'turnitin' and providing a report with the final submission Around 4 months from the planned final project report submission (TBC) Jim will need to organise my final oral presentation and viva with Stephen Watt; Jim (and I?) to organise internal and external examiners with Stephen Watt; Liaison and more administrivia with Stephen Watt, (approx. 3 months beforehand) to ensure all aspects of the final exam arrangements have been considered and documented. Attendance at the viva, interpret the examiner's decisions, provide clarity and feedback etc.; Conditions, rewrites, re-submission etc. Discussed the use and extent of statistical reporting Cluster analysis in SSPS Acceptance of relationships Analysis of variance (pre-post) Ordinal/ Nominal data – Continuous / Discontinuous data Parametic/ Non-parametic testing |
| 22/6/16 | PS, JP | 2:10 | Project/ Dprof progress review | Document management issues discussed: A number of problems have occurred with simply managing a document of this size (approaching 47k); keeping the ideas into a coherent framework; to issues of back-up and document security. I have recently engaged Lyn 'Yeowie' Yeowart, (Lynx Writing Pty Ltd) an Australian-based technical writer to oversee the document management and security - and also provide a level of training and development for me to enable me to more effectively manager the day to day writing. To develop my skills in this area I have undertaken an MS Word 'coaching' program. |

| | | | | |
|---|---|---|---|---|
| | | | | Next, and in-depth discussion on the structure/ 'mechanics' of the incorporation of reflexive discussion within the document - principally to incorporate reflection on the project at contextually appropriate parameters to ensure a consistent and related flow to the document structure. Agreed on the insertion of a 'Discussion' section at the conclusion of Chapters 1-6 and a comprehensive 'Project Reflection' chapter at #7. Including as a reference within Project Reflection a copy of this 'DProf Supervision Diary' within the Appendices. Thirdly, we examined the timeframes for the processes of draft review, planning and submission for Dprof assessment; general timeframe parameters agreed upon. Finally, we discussed the next stages to be completed as the Lingnan University component of the project (funding-dependent, as ever!) - Funding anticipated to be available September 2016 for my re-engagement with the TLC to continue the next phase of the project - a project to create a SoTL professional development framework for HE. Additionally, the development of a journal article, target journal and template for development to be directed by Professor Pounder. Development of a book targetting the academic profession is also provisionally planned - Professor Pounder to further advise on the development plan for this exercise. |
| 21/7/16 | PS, JP | email | Journal article development | Discussion on development of an abstract and framework for a journal article. Template and draft abstract provided. |
| 24/7/16 | PS, Lyn Yeowart (LY) | 1:38 | Skype meeting with documentation editor | Due to my lack of knowledge on document management of something this big (and getting bigger!) I engaged a documentation specialist to support the on-going management and security of the DProf writing. Discussion on 1. File Management- structure and access in DropBox. 2. Formatting protocols |
| 27/7/16 | PS, LY | 2:12 | Skype meeting with documentation editor | Detailed examination of document format issues and solutions. VERY detailed but VERY worthwhile! |
| 1/9/16 | PS, Gallup Permissions | email | Request for Permissions | Detailed request to Gallup for permissions to reproduce parts of the Big Six and Q12 instruments in the forthcoming journal article |
| 9/9/16 | PS, JP, IB | email | DPROF Update | Detailed email updating advisor and consultant on progress and anticipated timeframes going forward |
| 11/10/16 | PS, JP | 3:15 | DPROF Update, review and submission planning | Detailed review and discussions with DProf advisor, Prof. Jim Pounder. |
| 14/9/16 | PS, Gallup Permissions | email | Response to Gallup request for further information | Detailed response to Gallup's request for further information on the research project |
| 3/10/16 | PS, LY | 0:55 | Skype meeting with documentation editor | Master Draft v_0.1 completed and reviewed (First look at the document put together as a complete article from the various development sections - Very exciting!) |
| 11/10/16 | PS, LY | email | Document development review | Master Draft v_0.5 completed and reviewed |
| 21/10/16 | PS, LY | email | Document development review | Master v_1.3 completed and reviewed - getting very close to a final product for advisor and consultant review! |
| 24/10/16 | PS, JP, IB | email | DProf DPS5360 Research Project written submission released to Advisor and Consultant for review & submission | Commence planning and development for Oral presentation/ viva voce |

# Appendix 15 – DProf Level 8 Learning Outcomes

## Demonstration of knowledge and understanding

**DProf - Level 8 Learning Outcomes**

*A - Knowledge & Understanding*

Professional development and assessment opportunities in HE (Refer to *1.1, 1.3, 2.2, 2.3. 6.2 & 6.3; E of A 1, 8 & 9*)

Full-range leadership & higher education teaching (Refer to *1.3, 2.2, 2.3. 6.2 & 6.3; E of A 1, 8 & 9*)

Transformational leadership applied to the HE classroom (Refer to *1.1, 1.3, 2.2, 2.3. 6.2 & 6.3; E of A 2, 3; App. 1 & 2*)

Workplace engagement - implications, measurement and application (Refer to *1.1, 1.3, 2.3, 3.3, 4.2, 5.1, 5.2, 5.3; E of A 7, 8 & 9; App. 5 & 9*)

**A1 - Knowledge:**
Evidence that the candidate has depth and range of knowledge in a complex area and is currently working at the leading edge of practice underpinned by theoretical understanding.

The notion of links between the 'caring professor' and workplace engagement (Refer to *1.1 & 1.3*)

The 'caring professor' can be described by the MLQ (Refer to *1.1; 1.3; 3.3; 5.2 & 5.3; E of A 2 & 3*)

Re-adapting the MLQ for higher education (Refer to *1.1; 1.3; 3.3; 4.2; 5.2 & 5.3*)

Developing the +10 for alumni survey (Refer to *2.2; 3.3; 4.2; 5.2 & 5.3; E of A 4, 5 & 6*)

Adapting the standard Q12 for higher education use (Refer to *1.1 & 1.3; E of A 7; App. 2; Fig. 1, 6, 7 & 10*)

**A2 - Research & development capability:**
Demonstrates effective and critical selection, combination and use of research and development methods; can develop new approaches in situations and contribute to the development of practice based research methodology.

Ethical approvals for Middlesex University and Lingnan University (Refer to *App. 10 & 11*)

University challenges: Staff morale, attraction & retention, professional accountability, academic freedom (Refer to *2.2; 2.3; 6.2 & 6.3*)

Consumerism; value for money; outcomes-based learning; employer's expectations (Refer to *2.2; 2.3; 6.2 & 6.3*)

**A3 - Ethical understanding:**
Demonstrates awareness of ethical dilemmas and conflicting values which may arise in professional practice and work situations; able to formulate solutions in dialogue with superiors, peers clients, mentors and others.

SofTL; de-centring of teaching, teaching-research nexus, metacognition; lifelong learning (Refer to *2.2; 2.3; 6.2 & 6.3*)

# Demonstration of cognitive skills

DProf - Level 8 Learning Outcomes

**B - Cognitive Skills**

Re-application of the original MLQ to the higher education environment (Refer to *1.1, 2.3, 3.2, 3.3, 5.1, 5.2, 5.3, 6.2 & 6.3; E of A 2, 3 App. 12*)

Development of the +10 with critical elements of the CTLQ and Big Six (Refer to *3.2, 3.3, 4.2; E of A 4, 5 & 6; Fig. 11*)

Adaptation of the Gallup Q12 to suit alumni understanding and use (Refer to *E of A 7; App. 2; Fig. 6 & 11*)

Engagement with broader, related concepts of HE teaching within the literature review (Refer to *2.3; 6.2, 6.3 & 7.1*)

Journal article development: peer and advisor critique (Refer to *Projects undertaken during the DProf; App. 12*)

Regular critical commentary sought (and provided) from advisor, consultant, peers, & colleagues (Refer to *App. 12*)

**B1 - Analysis & synthesis:**
Demonstrates ability to analyse and synthesise complex and possibly conflicting ideas and information in order to redefine knowledge and deal new approaches .

Discussions with MXU peers at regular project forums (Refer to *Projects undertaken during the DProf; App. 12*)

**B2 - Self -appraisal/ reflection on practice:**
Provides evidence of work with 'critical communities' through whom a new or modified paradigm is being established. Habitually reflects on own and others practice so that self-appraisal and reflective enquiry are intertwined, thereby improving the candidate's own and other's actions.

Conducting regular Lingnan project team review meetings (Refer to *App. 12*)

Undertaking this analysis & graphic mapping process!

PAP Panel feedback (Refer to *E of A 8*)

Regular consultation with leadership expertise and critical opinion (Refer to *App. 12*)

Engagement with organisational psychology professional for critical review of models (Refer to *7.1; App. 12*)

**B3 - Planning/ management of learning:**
Is autonomous in management of own learning; makes professional use of others in support of self directed learning and is fully aware of political implications of the study.

Accessed professional support and guidance for statistical analysis (Refer to *7.1; App. 12*)

Engagement with Lingnan library research consultant to enhance research skills (Refer to *7.1; App. 12*)

Facilitation of focus groups in developing survey instruments (Refer to *3.3, 4.2 & 5.2*)

**B4 - Evaluation:**
Can independently evaluate/ argue a complex position concerning alternative approaches; can accurately assess/ report on own and others work; can critique and justify evaluations as constituting bases for improvement in practice.

Review & feedback to Lingnan Alumni Office on communication strategies (Refer to *4.2, 5.2; Apps. 2, 3, 4 & 5)*

Several points of initial resistance overcome during initial consultation with faculty (Refer to *1.1, 2.2, 3.2 & 5.2*)

Links to international professional practice and certification in addition to personal development (Refer to *2.3, 5.3 & 6.3; E of A 8 & 9)*

# Demonstration of practical skills

**DProf - Level 8 Learning Outcomes**

*C - Practical Skills*

Adaption of Lingnan Alumni Affairs Office protocols to project requirements (Refer to *1.3, 2.2, 3.3, 4.2 & 4.3; App. 5*)

Back translation strategies for CTLQ in Traditional & Simplified Chinese (Refer to *3.3, 4.2, 5.2 & 6.2; E of A 2 & 4*)

Adaptation of Lingnan University survey software to meet Gallup Q12 needs (Refer to *3.2, 3.3 & 4.2*)

Liaison with Lingnan TLC Statistics specialist to support analysis of survey results (Refer to *5.2; App. 6, 7, 8 & 12*)

Alignment of the developing survey strategy with *LTDP* pilot outcomes (Refer to *1.3, 2.2 & 6.3; E of A 9*)

Lingnan University Project Report, February 2016 (Refer to *E of A 1*)

DPS 4561 PAP Panel Presentation, 02 October 2015 (Refer to *E of A 8*)

*Education Management & Leadership* journal article (Refer to *Projects undertaken during the DProf*))

*Alumni Survey Registration* process & communication graphics (Refer to *App 5*)

Project Poster Presentation, 10 November, 2015 (Refer to *E of A 9*)

**C1 - Trans-disciplinary engagement:**
Can take into account complex, unpredictable, specialised work contexts requiring innovative approaches, which involve exploring current limits of knowledge and, in particular, interdisciplinary approaches and understanding. Is able to translate and disseminate theoretical knowledge into workable frameworks and/ or models for practice.

**C2 - Use of resources:**
Effective use of resources is wide ranging, complex and is likely to impact on the work of others.

**C3 - Communication/ presentation skills:**
Can engage in full professional and academic communications with others in their field and place of work; Can give papers/ presentations to 'critical communities' for developmental purposes.

**C4 - Responsibility & leadership:**
Autonomy within bounds of professional practice with high levels of responsibility for self and others; Ability to provide leadership as appropriate.

Lingnan TLC survey processes adapted and improved for this project (Refer to *3.2, 3.3 & 4.2*)

Alternative fund raising & incentive strategies investigated and implemented (Refer to *2.2*)

U/G and P/G students engaged in the broader, university-wide survey (Refer to *1.3, 3.3, 4.2 & 5.2*)

Adaptation & enhancement of LTDP pilot in recommendations for future development (Refer to *1.3, 2.2 & 6.3; E of A 9*)

Full accountability for the project management of the research effort (Refer to *2.2, 3.2, 3.3 & 5.2; E of A 8*)

Project budget, schedules and project outcomes all achieved within agreed parameters (Refer to *2.2, 3.3, 3.4 & 4.2*)

Team-building achieved through the course of the project (Refer to *2.2, 3.2 & 4.2; App. 12*)

Regular review and feedback sessions with the team (Refer to *2.2, 3.2 & 4.2; App. 12*)

# Evidence of Achievement

## Introduction

This section comprises nine items that provide evidence of achievement during the research project. The principal evidence of achievement is a major report to Lingnan University, entitled *Transformational Teaching and Engagement at Work* (February 2016), and makes a significant contribution to the progress in knowledge, instrument development, and practice of Hong Kong's higher education. Other items demonstrate the development and validation of the CTLQ and the College Experience +10 Questionnaire instruments and supporting scoring keys, and thus provide a significant and perceptible link between the concept of transformational leadership and the behaviours of a 'caring professor'. The final two inclusions provide evidence of the management and communication of change within Lingnan University, and the inclusion of stakeholders and other interested parties in the development of the research project.

The documents contributing to the evidence of achievement are:

*Evidence of Achievement 1 - Lingnan University Project Report – Transformational Teaching and Engagement at Work (February 2016).*

The report on a study commissioned in August 2015 by the Office of the Advancement of Outcomes Based Education, Teaching and Learning Centre, Lingnan University, Tuen Mun, Hong Kong. The author was project manager of this project while employed for 12 months as an education and leadership consultant, and the subsequent report of approximately 11,000 words was tabled in February 2016. Written with the tone of an external leadership consultancy, the report and its recommendations focus on the specific implementation of the outcomes at a local level. However, the critical commentary of this research project expands the investigation and discussion of the potential of that project's findings to include Hong Kong and global stage.

*Evidence of Achievement 2 - Classroom Teacher Leadership Questionnaire (CTLQ),* and
*Evidence of Achievement 3 - Classroom Teacher Leadership Questionnaire Scoring Key*

The CTLQ is based on the MLQ (Bass and Avolio, 1997) and adapted to the higher education environment by Pounder (2006). For this research project, it was successfully re-examined for reliability and validity for both the exactitude of questions and the multi-lingual application of English, Cantonese (Traditional Chinese), and Putonghua (Simplified Chinese).

The CTLQ scoring key was similarly re-examined to ensure its accuracy and validity for assessment.

### *Evidence of Achievement 4 - College Experience +10 Questionnaire and Evidence of Achievement 5 - College Experience +10 Questionnaire Scoring Key* and *Evidence of Achievement 6 - College Experience +10 Questionnaire Mapping Graphic*

The use of the +10 with the alumni as its target group is a unique development to support this research project. The +10 incorporates the key elements of transformational leadership from the CTLQ and associated leadership items mapped to the *Gallup Q$^{12}$®*. *Evidence of Achievement 6 – College Experience +10 Questionnaire Mapping Graphic* provides a visual representation of the more complex mapping processes for the purposes of stakeholder communication and the support of change management. The scoring key, again a unique research project development, provides for accurate assessment and communication of results.

### *Evidence of Achievement 7 - +10 Questionnaire and Q$^{12}$® Gallup Workplace Audit Process Flowchart*

This flowchart was developed to provide a visual representation of the relationship between two of the key instruments to be completed by the alumni. Due to the broad range of stakeholders engaged in the distribution and communication of these elements of the research project, this graphic was developed as part of the  effective communication with all stakeholders and to support change management.

### *Evidence of Achievement 8 - DPS 4561 Programme Approval Panel 02 OCT 2015 – Presentation*

This exhibition was principally developed for and presented at many stakeholder communication meetings in order to impart information and facilitate support for the research project. Issues discussed in the presentation included not only the instruments and 'mechanics' of the research project, but also the potential items of concern or resistance identified during many formal and informal discussions with the teaching academics. By 'embracing the conflict' early in the research project, the integrity of communication and the processes of change were significantly enhanced.

### *Evidence of Achievement 9 - Poster Presentation, 10 November 2015*

A poster presentation was developed to celebrate the work that the author was undertaking because of its significance to practice, organisations, and to our region, and the potential to extend into international practice and wider knowledge in our professional field. Consequently, the poster was researched and developed for display at the event, where attendees discussed the work and provided the author with comments and feedback that helped to strengthen the project's usefulness.

# Evidence of Achievement 1 – Lingnan University Project Report – Transformational Teaching and Engagement at Work, February 2016

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# Transformational Teaching and Engagement at Work

## Executive Summary

In May 2014, the US News published a headline: *'Gallup: College type has little to do with Success'*. In the context of this project the following commentary is of particular interest:

> 'Just having one inspiring professor can double a graduates odds of being engaged at work.' (Gallup, 2014. P. 6),

In summary, the Gallup studies reveal a 'caring professor' supports the development of graduates who go on to become highly engaged in the workplace, and further that positive engagement in the workplace is strongly correlated with positive organisational performance. However, what the Gallup studies have not done, other than its broad description of the 'caring professor' referred to above, is specify exactly what these behaviours are that generate an alumni who develop into positive, engaged workers.

In order to conduct an analysis of these concepts, this project carried out a comprehensive investigation of several key factors:

1. How would the findings and broader implications of the Gallup survey be tested in a Hong Kong higher education environment?

2. What is a 'caring professor', what are the specific behaviours and how might they be reliably measured?

3. What is engagement in the workplace? Are valid and reliable instruments available to assess the concept, and how would that be conducted?

4. Can links between the milieu of a 'caring professor' and workplace engagement be established?

## Project Description

In a Hong Kong setting, this project examines the relationship between transformational leadership in the classroom (TLC) and workplace engagement. The immediate projected outcomes are to confirm in the first instance, the extent of TLC across Lingnan University faculty, and then to confirm or otherwise an association between the transformational leadership qualities of Lingnan teachers as perceived by Lingnan alumni and their subsequent levels of work engagement. In a wider context, a more general outcome of the project is to indicate that the caring professor as reported in the Gallup[1] findings, is in fact, the professor who displays transformational classroom leadership attributes.

The project methodology is sustained by the following hypotheses.

H1     Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University;

H2     Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment;

H3     Specific behaviours of the 'caring professor' can be understood in terms of the attributes comprising transformational classroom leadership;

H4     Causal links can be drawn between transformational classroom leadership experienced at college and the workplace engagement status of Lingnan alumni.

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[1] *Great Jobs Great Lives: The 2014 Gallup-Purdue Index Report.* Gallup Inc. Washington, DC.

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## Project Method

1.1. Review and redevelopment of the Multifactor Leadership Questionnaire (MLQ)[2] as adapted to the higher education environment by Pounder, (2006) into the *Classroom Teacher Leadership Questionnaire* (CTLQ)[3],

1.2. Communication, engagement and surveying of senior Lingnan University undergraduate and post-graduate students with the revised CTLQ instrument;

1.3. Development of the *College Experience +10 Questionnaire*[4] combining a link to the *Gallup Q*[12®5] within an online survey platform;

1.4. Liaison with the Lingnan University's Office of Institutional Advancement and Alumni Affairs (OIAAA) to coordinate the communication and distribution of the survey to Lingnan Alumni;

1.5. Review and analysis of the three data sets and reporting on the outcomes and recommendations.

## Project Findings

F1. The revised CTLQ when tested was confirmed as valid and reliable in terms of the former version (Pounder, 2006) and both instruments retain the conceptual integrity of the original transformational leadership model;

F2. The CTLQ survey outcomes confirm both the existence, and positive benefits of transformational classroom leadership across all Lingnan University faculties at both post-graduate and undergraduate tiers (n = 138), building on the earlier study conducted solely in the Business faculty by Pounder (2006);

F3. The *+10 Questionnaire,* utilising the CTLQ 'top-loaders' [6] from within the transformational leadership categories, displayed significant design statistical validity and reliability characteristics for assessing alumni's college experiences;

F4. The *Gallup Q*[12] survey of Lingnan Alumni (n = 86) reported an average level of workplace engagement at 16%, exceeding both the Hong Kong (4%) and World (13%) averages, and displaying a significantly higher alumni/ regional average ratio than the Gallup-Purdue Index (34% alumni engagement/ US regional engagement 30%).

F5. Alumni responses to the Q[12] and the +10 confirm a positive association between workplace engagement and the characteristics of transformational classroom leadership experienced at Lingnan University.

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[2] The Multifactor Leadership Questionnaire (MLQ—also known as MLQ 5X short) (Bass & Avolio, 1996) measures a broad range of leadership types from passive leaders, to leaders who give contingent rewards to followers, to leaders who transform their followers into becoming leaders themselves. The MLQ identifies the characteristics of a transformational leader and helps individuals discover how they measure up in their own eyes and in the eyes of those with whom they work.

[3] Further information on the *Classroom Teacher Leadership Questionnaire* can be found at the Appendices

[4] Further information on the *College Experience +10 Questionnaire* can be found at the Appendices.

[5] The Q[12]® ("The Gallup Workplace Audit" or GWA) measures workplace dynamics that predict key outcomes and efficiently capture the most important workplace attitudes. Based on more than 30 years of accumulated quantitative and qualitative research the Q[12]® is reported as capable of a broad, universal application and high validity achieved through the 'accumulation of 263 research studies across 192 organisations in 49 industries and 34 countries' (Gallup Inc. 1992-1999).Q[12]® is a registered trademark of Gallup Inc. All rights reserved.

[6] 'Top-loaders' - the highest statistically valid markers for each of the transformational leadership classroom attributes as reflected in the CTLQ data.

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## Recommendations/ Implications for Lingnan

R1. Given the evidence that transformational leadership can be effectively taught (Bass, 1990; Barling et al., 1996; Kelloway et al., 2000; Roberts, 2012; Warrick, 2011), it is recommended to establish a professional development framework for teaching academics at Lingnan that incorporates all aspects of transformational leadership in the classroom.

R2. The professional development framework design should occur within a broader context and include within its scope, where applicable: policy review, assessment, contemporary developmental pedagogies[7] and performance feedback elements;

R3. A review of the current Course, Teaching and Learning Evaluation (CTLE) format, processes and system to incorporate/ adapt the transformational leadership in the classroom principles and should be benchmarked against world's best practice[8].

R4. The final project recommendation engages with an assertion by Luxbacher (2013) that sole reliance on university rankings alone for marketing and promotional purposes for all but the world's 'top' recognised institutions, can be enhanced. The broader engagement with these project findings may help define a unique category of positive teaching and learning benefits for Lingnan University and other institutions that pursue a liberal arts agenda.

**DISCUSSION**

There is an expanding emphasis on teaching and learning within higher education, driven by an environment of rising accountability for the provision of services, competition between education providers for the prospective students, and mounting challenges from employers to enhance the potential for their graduating students' successful transition to employment (Tuchman, 2009).

Given that this is the first study of its kind that has linked transformational classroom leadership to workplace engagement, there is scope for a broader investigation across all UGC institutions and for the establishment of a cross-university approach to a professional development framework for teaching faculty in Hong Kong.

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[7] Research and development of contemporary development pedagogies to include the Lingnan TLC's *Learning and Teaching Development Programme.*

[8] For example, Stanford University's student feedback system is part of a broader organisational performance system, providing information on teaching and learning experiences and is based in many of the key principles of transformational classroom leadership.

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## Project Background

### Transformational Leadership

The concept of transformational-transactional leadership (Bass, 1985) is an important development that is widely used in contemporary leadership studies. The subsequent articulation of the Full-Range Leadership Model by Bass and Avolio (1996), describes leadership styles on a continuum from the negative behaviours at the passive/ ineffective point, through to transformational leadership located in the active/ effective point on the scale.
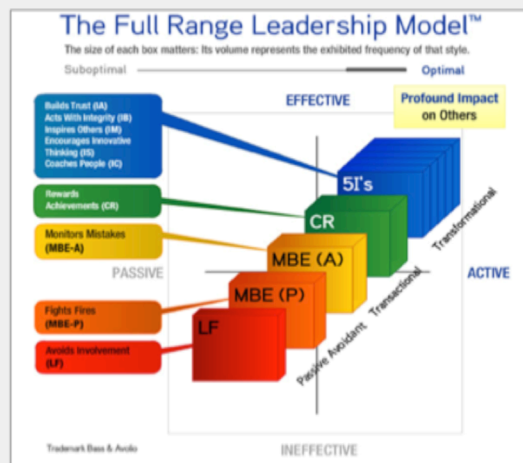


*Full Range Leadership Model (Bass & Avolio, 1996)*

Previous leadership models have fallen short in explaining a ''full range'' of leadership styles, ranging from the charismatic and inspirational leaders to avoidant laissez-faire leaders. The full range model of leadership was developed to broaden the range of leadership styles typically investigated in the field. The model was labeled ''full range'' to challenge the leadership field to broaden its thinking about what constitutes a much broader range of leadership styles than the paradigms of initiation of structure and consideration. The full range model of leadership assumes the existence of differences in the effectiveness of leadership styles, based on the active/passive distinction. Broad categories of leadership range thus from Passive / Avoidant Leadership (Laissez-Faire), through the classical model of Transactional Leadership and up to Transformational Leadership.

The notion of full range leadership conveys the idea that leaders, in practice, are likely to display some or all of the transformational-transactional leadership characteristics. However, effective leaders are felt to be those that display more of the active and less of the passive full range leadership behaviors (Sosik et al., 2002). There is a substantial body of research indicating that the exercise of the transformational characteristics of full range leadership can have a profound effect on those being led. As argued by Hautala (2006, p.778), 'higher productivity, lower employee turnover rates, and higher job satisfaction and motivation are due to transformational leadership more than transactional leadership or non-transformational leadership'.

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Rather than a focus on gaining compliance, transformational leaders motivate their followers to achieve performance outcomes outside general expectations, achieved through altering attitudes, beliefs and values. Behaviours exhibited by leaders to achieve transformational outcomes include idealized influence, inspirational motivation, intellectual stimulation and idealized consideration (Bass, 1985). Typically, the effect of transformational leadership is measured in terms of three leadership outcomes, namely the ability of the leader to generate extra effort on the part of those being led, subordinates' perception of leader effectiveness, and their satisfaction with the leader. These outcomes are components of the Multifactor Leadership Questionnaire (MLQ Form 5x-Short) developed by Bass and Avolio (2000) for use in transformational-transactional leadership studies.

Studies indicate that employing transformational leadership behaviours in the university classroom (Ojode, Walumbwa & Kuchinke, 1999; Pounder, 2006, 2008a, 2008b, 2009, 2014; Bolkan & Goodboy, 2011; Wilson et al. 2012), are likely to generate the following results for students:

- stimulated academic motivation,
- heightened 'intent' and engagement with instructional activities in their own time,
- enhanced student self-efficacy, and...
- enriched cognitive and affecting learning processes.

Similarly, relevant studies suggest that teachers displaying transformational classroom leadership behaviours are perceived by students to be effective classroom leaders and credible teachers. Perusal of the transformational leadership qualities indicate that it not too much of a stretch of the imagination to view university teachers displaying transformational classroom leadership behaviours as being the 'caring professors' referred to in the Gallup studies.

## Measuring Transformational Leadership

The Multifactor Leadership Questionnaire is closely linked to the concepts of Transformational Leadership and of Full-Range Leadership. The MLQ has evolved over the last 25 years based on numerous investigations of leaders in public and private organizations, from CEOs of major corporations to non-supervisory project leaders. The major leadership constructs — transformational leadership, transactional leadership, and passive/avoidant leadership — form a new paradigm for understanding both the lower and higher order effects of leadership style.

This paradigm builds on earlier leadership paradigms—such as those of autocratic versus democratic leadership, directive versus participative leadership, and task- versus relationship oriented leadership—which have dominated selection, training, development, and research in this field for the past half century.

The MLQ was developed to expand the dimensions of leadership measured by previous leadership surveys and to provide concise feedback form that can be used for individual, team, and organizational development as well as individual counseling. Other leadership measures had generally ignored key factors, such as Inspirational Motivation, typically ascribed to successful leaders. Prior leadership research and training had concentrated on identifying and measuring behaviors that fell into a limited range that we have labelled Transactional leadership.

The MLQ has strong validity and reliability and is used extensively in research and commercial applications worldwide.

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It has proven to be a strong predictor of leader performance across a broad range of organisations at different organisational levels and in different national cultures. The MLQ elicits scaled responses (Likert, 1932) to measure all nine characteristics of the transformational-transactional model and three leadership outcomes described within the Full-Range Leadership Model.

Emerging from the combined influence of multiple leadership traits (Zaccaro ,2007), the nine characteristics of the MLQ Form 5x-Short are as follows (noting that the first five characteristics are transformational):

   (1) idealized influence (attributed);

   (2) idealized influence (behavior);

   (3) inspirational motivation;

   (4) intellectual stimulation;

   (5) individual consideration

   (6) contingent reward;

   (7) management-by-exception (active);

   (8) management-by-exception (passive); and…

   (9) laissez-faire leadership.

The separation of the Idealized Influence/Charisma dimension into (#1) and (#2) above in the MLQ, reflects the recommendation by House et al. (1991) and Hunt (1991) that behavioral and attributed Idealized Influence be differentiated on the basis that charisma is demonstrated by leadership behavior and is also a quality attributed to a leader by followers. Participants are asked to respond to 45 items in the MLQ 5x-Short (the current, classic version) using a 5-point behavioral scale ("Not at all" to "Frequently if not always").

## Lingnan University Business School Study

An examination of transformational leadership in a Hong Kong university teaching context (Pounder 2006), was based on the assumption that that it is possible to conceive of a university classroom as a quasi organisation with teacher as leader and students as followers. The study was carried out in the Business School of Lingnan University, and focused on the capstone strategic management course in the school's major undergraduate offering which was a Bachelor of Business Administration (BBA) programme.

The instrument developed for data collection was based on the MLQ Form 5x-Short[9] (Bass and Avolio, 2000) and its wording was modified for a university setting and then scrutinized by senior university academics in the field of educational research with a special interest in transformational-transactional leadership. Further review by a university academic in the field of English language teaching brought additional modifications to the instrument to take account of the Hong Kong cultural context. Development of a Chinese language component in the instrument also saw Brislin's (1993) back-translation procedure utilized to further ensure validity and reliability within the translation processes.

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[9] Reproduced by special permission of the Publisher, Mind Garden, Inc., 1690 Woodside Road No. 202, Redwood City, CA 94061 USA, www.mindgarden.com Derived from the Multifactor Leadership Questionnaire for Research by Bernard M. Bass and Bruce J. Avolio. Copyright 1995, 2000 by Bernard M. Bass and Bruce J. Avolio. All rights reserved. Further reproduction is prohibited without the publisher's written consent.

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The validity and reliability of measurement in the Hong Kong study relied on the development of a psychometrically sound classroom leadership instrument based on the MLQ. Subsequent confirmatory factor analysis (Joreskog & Sorom, 2002) and Cronbach's alpha scores (Cronbach, 1951) confirmed that the classroom leadership instrument developed for the study retained the integrity of the original full range leadership model and was therefore capable of valid and reliable measurement.

The results of Hong Kong study generally confirmed the positive association between transformational leadership and leadership outcomes and were consistent with a substantial body of findings on transformational leadership that suggests subordinates view the style as effective and as having a positive influence on the general level of motivation, commitment and extra effort. This study indicated the value of effective classroom leadership in a university setting. Full range (transformational-transactional) leadership offers a useful framework for assessing the quality of such leadership and the instrument developed in the Hong Kong study provides the means of assessing the extent to which a particular university teacher is displaying the transformational style. It also provides useful behavioral examples for academic staff development purposes.

## Lingnan University Alumni Survey 2014

An indicative relationship between the notion of a 'caring professor' and 'engagement in the workplace' was established during the annual survey of Lingnan alumni in 2014. In this survey, one section of the survey was included which questioned the relationship between their Lingnan experiences and current levels of engagement in their workplace.

> Q27. I had at least one professor at Lingnan who cared about me as a person, who made me excited about learning, and encouraged me to pursue my dreams.

> Q28. I am highly engaged and motivated at work.



*Lingnan Alumni Survey 2014 – Overall: Other Learning Experiences*

10
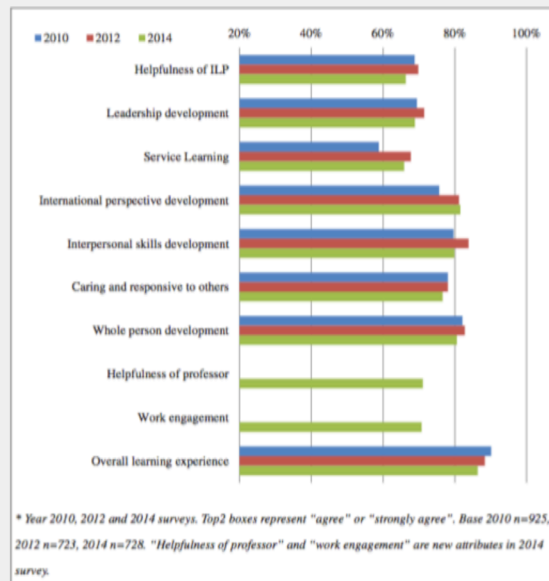
The survey findings revealed a statistically significant outcome with a Spearman's rho correlation coefficient = 0.576 ($p < 0.001$), providing a positive indicative relationship between the 'caring professor' at Lingnan and the level of workplace engagement. Of interest in these specific results, while "helpfulness of the professor" and "work engagement" were new attributes to the 2014 survey, and hence no capacity to assess any changes in perceptions across the various years surveyed, the strong graphical relationship across the university faculties are clearly apparent.



*Lingnan Alumni Survey 2014 - Faculty Difference on Other Learning Experiences*

## Workplace Engagement

It is difficult to find any clear congruence on the definition of this phenomena in the literature, in short however, "engage" comes from Middle English and its multiple meanings include pledging one's life and honour, and charming or fascinating someone so that they become an ally', (Barkley, 2011, p.5). Herein we see both a motivational focus, and in addition there is an element of activity wherein things will get done, goals achieved and challenges overcome. Varied constructs abound in discussions of what the concept of workplace engagement actually entails, accordingly, locating a commonly agreed description is equally challenging.

Kahn (1990), the originator of the concept, describes the concept as a 'psychological presence at work'. In contrast to issues of defining the concept, there is a clear agreement on the variety of positive organisational benefits attributed to positive workplace engagement (Ulrich and Brockbank, 2005; Bolton and Houlihan, 2007: Jacobs, 2012). Accordingly, 'the relationship between engagement and performance at the business/ work unit level is substantial and highly generalizable across organisations' (Harter, *et al*, 2013, p2).

The emergence of human capital theory in education and training policy has promoted the skills development of graduates to the forefront of debates about global competitiveness (Blackwell & Hyson, 2014). Of particular interest to this project is the assertion of a growing acceptance of the importance of higher education to the development of graduates' broader, 'soft' workplace skills within a milieu of individual, collective and organisational efficacy (Arum & Roska, 2011; Fearon, *et al*, 2013), and trust, security and just decision-making (Malinen, *et al,* 2013).

The following table reproduced from a recent Gallup study of worldwide engagement (O'Boyle & Harter, 2013) shows regional engagement results that culminated in a global workplace engagement average of just 13% [10]. Of interest in this table are the negative outcomes of China/ Hong Kong's results in the East Asia region. East Asia has the lowest proportion of engaged employees in the world, at 6%, which is less than half of the global mean of 13%.

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[10] "Worldwide, 13% of employees are engaged at work," Gallup, October 8, 2013,
http://www.gallup.com/poll/165269/worldwide- employees-engaged-work.aspx.

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This regional finding is driven predominantly by combined results from China, where 6% of employees are engaged in their jobs, and Hong Kong 4%, creating one of the lowest workplace engagement figures worldwide. A corollary of the low engagement result, according to the Gallup report is that China/ Hong Kong's low engagement level may increasingly pose a barrier to its continued growth as the countries makes the transition to a more consumer- based economy and businesses come to rely more on front-line employees to attract and retain customers (Yu, & Wang, 2012; Yu, & and Lyons, 2012).

| Region | Engaged | Not Engaged | Actively Disengaged |
|---|---|---|---|
| United States and Canada | 29% | 54% | 18% |
| Australia and New Zealand | 24% | 60% | 16% |
| Latin America | 21% | 60% | 19% |
| Commonwealth of Independent States and nearby countries | 18% | 62% | 21% |
| Western Europe | 14% | 66% | 20% |
| Southeast Asia | 12% | 73% | 14% |
| Central and Eastern Europe | 11% | 63% | 26% |
| Middle East and North Africa | 10% | 55% | 35% |
| South Asia | 10% | 61% | 29% |
| Sub-Saharan Africa | 10% | 57% | 33% |
| East Asia | 6% | 68% | 26% |

2011-2012

GALLUP

*Gallup Worldwide Report on Engagement 2013 – Engagement by Region*

Engaging employees means empowering them to do what they do best and letting them make their voices heard on issues that affect their jobs. Among Asian countries culturally influenced by Confucianism, deference to authority is a deeply entrenched social value (Wong, 2014). Because of this predisposition, businesses may be less likely to focus on workplace conditions that allow all employees to feel capable of taking initiative — or to hire managers who encourage them to do so. In 2012, 16% of employees in East Asia strongly agreed that their opinions seem to count at work, the lowest proportion of any global region.

| | ENGAGED | NOT ENGAGED | ACTIVELY DISENGAGED |
|---|---|---|---|
| South Korea | 11% | 67% | 23% |
| Taiwan | 9% | 60% | 32% |
| Japan | 7% | 69% | 24% |
| China (incl. Hong Kong) | 6% | 68% | 26% |

For results listed in this table, the margin of sampling error ranges from ±1 to ±8 percentage points. See the appendix for a full listing of margin-of-error estimates by country.

*Gallup Worldwide Report on Engagement 2013 – East Asia Regional Engagement*

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Another significant global study[11] reinforced this concern, revealing that only 18% of Hong Kong employees felt "totally committed" to their employers – the lowest in the Asia-Pacific (APAC) region. (The report identified a global workplace engagement average of 31% and an APAC engagement average of 29%). The report suggested that 45% of Hong Kong employees felt less loyal to their employers compared to 2013, making the Hong Kong results for this survey, one of the worst in APAC. Consequently, 56% of employees planned to search for a new job in 2015, with 43% frequently contemplating handing in their resignation letter. Of concern to employers is that nearly 50% of all respondents were eyeing new opportunities, even when they were indicating they were happy in their jobs.
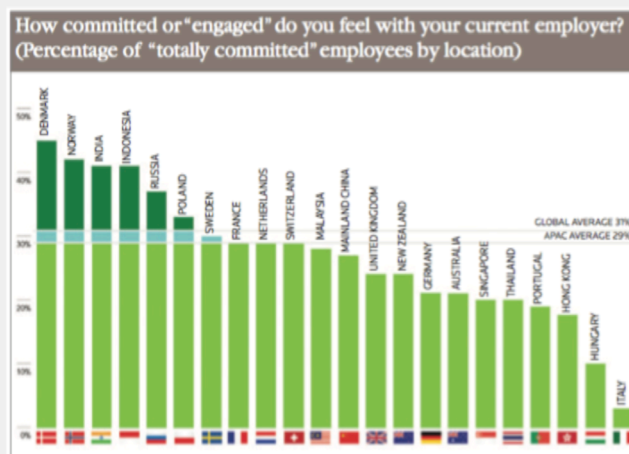


*2014 Kelly Global Workforce Index – Engagement by Country*

Consistent with the other findings on poor engagement scores across China/ Hong Kong, research by Towers Watson[12] revealed utilising a different survey instrument, that just 26% of Hong Kong employees are highly engaged (compared to 40% globally) while 61% are either completely disengaged or detached (compared to 41% of their global counterparts.) Furthermore, the study showed that as many as 31% of Hong Kong employees expect to leave their organisations within two years, compared to the global average of 26%. Just 38% suggested they expected to stay – significantly less than the global rate of 46%.

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[11] The 2014 *Kelly Global Workforce Index* is an annual global survey with opinions gathered from 230,000 workers around the world

[12] The *2014 Towers Watson Global Workforce Study* covers more than 32,000 employees, including over 1,000 employees based in Hong Kong, selected from research panels that represent the populations of full-time employees working in large and midsize organizations across a range of industries in 26 markets around the world.

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## Measuring Workplace Engagement

In the 1930s, George Gallup began a worldwide study of human needs and satisfactions. He pioneered the development of scientific sampling processes to measure popular opinion. In the 1970s, Dr. Gallup reported that less than half of those employed in North America were highly satisfied with their work, workplace satisfaction developed to become a widespread focus for researchers. In addition to Dr. Gallup's early work, the topic of job satisfaction has been studied and written about in more than 10,000 articles and publications. Because most people spend a high percentage of their waking hours at work, studies of the workplace are of great interest for psychologists, sociologists, economists, anthropologists, and physiologists.

The process of managing and improving the workplace is crucial and presents great challenges to nearly every organization. So it is vital that the instruments used to create change do, in fact, measure workplace dynamics that predict key outcomes — outcomes that a variety of organizational leaders would consider important. In the 1990s, Gallup researchers developed the first version of the Q$^{12}$® (" The Gallup Workplace Audit" or GWA) in an effort to efficiently capture the most important workplace attitudes. Gallup Inc. has developed the Gallup Q$^{12}$® Workplace Audit instrument based on more than 30 years of accumulated quantitative and qualitative research. Pati and Kumar, (2011) contend the popularisation and propagation of workplace engagement into the mainstream organisational vernacular is due, in large part, to the Gallup Research Group and the global acceptance of the *Gallup Q$^{12}$*® Workplace Audit.

The Q$^{12}$® is reported as capable of a broad, universal application and high validity achieved through the 'accumulation of 263 research studies across 192 organisations in 49 industries and 34 countries' (Gallup Inc. 1992-1999). This level of access to the global market and continuous refinement along cultural grounds has contributed to the broad application of the instrument. A series of studies have been conducted examining and confirming the cross-cultural properties of Gallup's Q$^{12}$® research instrument (Harter & Agrawal, 2011).

## Identifying links between Workplace Engagement and the College Experience

The Gallup studies mentioned earlier in this report reveal that a graduate experiencing the influence of a 'caring professor' during their undergraduate years go on to become highly engaged in the workplace, and further that positive engagement in the workplace is strongly correlated with positive organisational performance. However, what the Gallup studies have not done, other than its broad description of the 'caring professor' referred to above, is specify exactly what these attributes and behaviours are that generate these successful alumni who develop into positive, engaged workers.

The project aimed to link the findings and tools of the Gallup study with previous studies at Lingnan to establish the hypothesis around more specific leadership behaviours, ie. that a 'caring professor' exhibits transformational leadership characteristics in the classroom. As discussed in the project design section of this report, a specific focus on the transformational leadership characteristics is included into the alumni survey process. In essence, this will considerably expand on the three teaching-related questions found in the original Gallup-Purdue Index[13]

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[13] The positive influence of a 'caring professor' reported in the *Gallup-Purdue Index* is drawn from findings of an additional instrument used in conjunction with the Q$^{12}$ - the *Gallup Plus 6* which asked three general questions respectively about their professors, and their college learning pedagogies.

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## Project Design

### Rationale and Hypotheses

There exists a global environment of economic slowdowns, rising accountability for the provision of services (Tuchman, 2009), competition between institutions for the prospective students, and education providers facing mounting challenges from employers to enhance the potential for their graduating students' successful transition to employment. At the heart of this project's research hypotheses, the 2014 Gallup studies reveal that a caring professor, who may also play the role of a coach or mentor, plays a significant role in producing graduates who are seen as highly engaged in the workplace.

The term 'caring professor' is not expanded upon in the Gallup study, there are potential links here to transformational classroom leadership and these are important to review and examine.

In a Hong Kong setting, this research project will investigate the relationship between transformational classroom leadership and workplace engagement respectively using three instruments[14]:

- The *Classroom Teacher Leadership Questionnaire (CTLQ)* (Pounder, 2009, 2014) to survey the Lingnan University undergraduate and post-graduate students;

-  The *College Experience +10 Questionnaire* and the *Gallup Q*[12]® workplace audit instrument (Gallup, 1992-1999) to be administered together to survey the Lingnan Alumni.

The project aims to establish the links, or otherwise, between transformational classroom leadership within the higher education environment and the subsequent level of workplace engagement for graduates developed within this milieu. The project objectives are based on the following hypotheses.

H1    Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University;

H2    Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment;

H3    Specific behaviours of the 'caring professor' can be understood in terms of the attributes comprising transformational classroom leadership;

H4    Causal links can be drawn between transformational classroom leadership experienced at college and the workplace engagement status of Lingnan alumni.

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[14] Details on the development and validation procedures for these instruments may be seen in detail at the *Project Survey Instruments* section

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STOFFELL, Peter Gordon

## Project Objectives

In a Hong Kong setting, this project will examine the relationship between transformational classroom leadership and work engagement. The immediate projected outcome will be to confirm or otherwise an association between the transformational leadership qualities of Lingnan teachers as perceived by Lingnan alumni and their subsequent work engagement.

In a wider context, a more general outcome of the project is to indicate that the caring professor as reported in the Gallup findings, is in fact, the professor who displays transformational classroom leadership attributes.

1. The review and redevelopment of the MLQ (Form 5x Short) as adapted to the higher education environment by Pounder, (2006) into the *Classroom Teacher Leadership Questionnaire* (CTLQ)[15], as required, for adaptability and usability within the current Hong Kong higher education environment;

2. The second project objective involves the communication, engagement and surveying of senior Lingnan University undergraduate and post-graduate students with the revised CTLQ instrument;

3. The third project objective centres on the development of the *College Experience +10 Questionnaire*[16] combining a link to the *Gallup Q¹²®* within an online survey platform;

4. Fourthly, liaison with the Lingnan University's Office of Institutional Advancement and Alumni Affairs (OIAAA) to coordinate the communication and distribution of the survey to Lingnan Alumni;

5. The fifth project objective engages with the review and analysis of the three data sets and reporting on the outcomes and recommendations.

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[15] Further information on the *Classroom Teacher Leadership Questionnaire* can be found at the Appendices

[16] Further information on the *College Experience +10 Questionnaire* can be found at the Appendices.

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## Project Deliverables

The broad programme deliverables and timeframes, as listed in the original *Application for Project Funding* document, appear below.

| Dates[17] | Activity |
|---|---|
| 01/08/2015 – 01/10/2015 | Classroom Teacher Leadership Questionnaire (CTLQ) survey to Lingnan students. Modify if necessary in context of validity and reliability. |
| 02/10/2015 – 01/01/2016 | Administer CTLQ survey (or variation) with Lingnan alumni and develop/ administer/ validate Workplace Engagement instrument. Modify if necessary in context of validity and reliability, or purchase an existing instrument. |
| 02/01/2016 – 28/02/2016 | Analyse results and report the findings |

Subsequently, a detailed list of programme deliverables were subsequently developed by the principal project supervisor (PPS) and tabled at the initial project briefing:

**Project: Transformational Classroom Leadership and Engagement at Work: Exploring the Relationship**

**Deliverables:**

- Refine the present transformational classroom leadership instrument;
- Test for content, construct (convergent and discriminate) and criterion-related validity;
- Test for reliability: test-retest, alternative forms, split halves, internal consistency (coefficient Alpha);
- Administer the test to a sample of students to verify validity and reliability (structural equation modelling, LISREL);
- Reconfirm validity and reliability of Gallup engagement at work instrument using a suitable sample;
- Liaise with organisations employing alumni and gain acceptance for survey;
- Administer the survey;
- Collect and analyse results;
- Prepare a comprehensive report on the study;
- Draft a conference paper/journal article on the study (time permitting).

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[17] Noting the dates vary from the original application for project funding. Whilst retaining originally planned project sequencing and intervals, dates have been adjusted relative to the recruitment and commencement date of the senior project consultant.

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## Project Methodology

After consultation and planning the following project phases were developed and subsequently implemented:

### Project phases

**Phase 1 – The *Classroom Teacher Leadership Questionnaire* (CTLQ)**

1.6. Convene a focus group to assess the contextual relevance of the MLQ (5x Short) instrument adapted for use in the higher education environment (Pounder, 2005a; 2006);

1.7. Review and update the questionnaire consistent with focus group outcomes;

1.8. Develop both traditional and simplified Chinese translations for the revised instrument;

1.9. Assess the contextualised language validity by means of the back translation methodology (Brislin, 1993);

1.10. Develop a scoring key for the CTLQ;

1.11. Conduct pilot study with the revised simplified Chinese version of the CTLQ with Lingnan post-graduate students (n = 46);

1.12. Test for content, construct (convergent and discriminate) and criterion-related validity;

1.13. Test for reliability: test-retest, alternate forms, split halves, internal consistency (coefficient Alpha);

1.14. Adapt the testing outcomes to a revised (final) English version of the CTLQ;

1.15. Adapt the updates to a traditional Chinese translated version and re-validate by means of a back translation review process;

1.16. Develop the CTLQ for use in the *Qualtrics* online survey platform;

**Phase 2 – The *CTLQ* Lingnan Post-Grad and Under-Grad survey process**

2.1. This instrument is to be distributed to Lingnan University post-graduate students (n = 50) (paper based) and senior undergraduate students in Yrs. 3 and 4[18] (n = 100) (online)

2.2. Combined post graduate and undergraduate data for review, noting any minor redevelopments to questionnaire to be factored into analysis;

2.3. Test for reliability: test-retest, alternate forms, split halves, internal consistency (coefficient Alpha);

2.4. Apply structural equation modelling (LISREL)

**Phase 3 – The *College Experience +10 Questionnaire***

3.1. Adapt the 3 questions related to the 'caring professor' from Gallop questionnaire;[19]

3.2. Utilising the redeveloped version of the CTLQ, identify the 'top-loaders', (Cronbach alpha) in the MLQ transformational categories of [IS] Intellectual Stimulation, [IC] Individual Consideration, [IM] Inspirational Motivation, [IIA]

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[18] The choice of higher-level students is consistent with the literature that senior students are generally more discriminating in their evaluation of teaching (Langbein, 1994).

[19] Based on the "Big Six" undergraduate experiences discussed in the Gallup-Purdue Index (Gallup Inc. 2014).

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Idealised Influence (Attributed), [IIB] Idealised Influence (Behaviour), [E] Effectiveness, and [EE] Extra Effort;

3.3. Combine the 3 caring professor questions with the 7 CTLQ 'top-loaders' to form the *College Experience +10 Questionnaire*[20];

3.4. Review by a focus group, include and any updates as required;

3.5. Develop the +10 for use in the *Qualtrics* online survey platform, including links to the Gallup Q[12]® questionnaire log-in page and explanatory notes;

**Phase 4 – The *Gallup Q[12]®* workplace audit instrument**

4.1. Finalise the budget and purchasing arrangements for the Gallup Q[12]® instrument;

4.2. Establish the Q[12]® survey administration accountability and access the Q[12]® dashboard;

4.3. Define the Q[12]® survey setup process, including the investigation the Q[12]® Purchase and Use terms to maximise the design capacity of the survey, allocation of group reporting structures and survey timeframes;

4.4. Establish links to the Q[12]® survey log-in within the *Qualtrics* online survey platform, including detailed explanatory notes of the use of a workplace engagement instrument within an alumni survey across multiple workplaces – of priority emphasis herein was the range of checks and balances to protect both individual and company anonymity;

4.5. Liaise maintain a watching brief over the survey dashboard and response rates during the course of the survey;

**Phase 5 – The Lingnan Alumni Survey process**

5.1. Engage the Lingnan Universities Office of Alumni Affairs to establish a timetable and support requirements for them to administer and distribute the survey on our behalf;

5.2. Design and publish survey process graphics to support all stakeholders[21];

5.3. Continue liaison with representatives of the Office of Alumni Affairs during the course of the survey period to provide support/ advice on any issues/ opportunities arising;

**Phase 6 - Analysis and Reporting processes**

6.1. At the conclusion of the survey period, request the data/ reports from both survey instruments;

6.2. Review and analysis of the +10 survey data set, including Test for reliability: test-retest, alternate forms, split halves, internal consistency (coefficient Alpha), and apply structural equation modelling (LISREL);

6.3. Receive and analyse the Gallup Q[12]® report

6.4. Analyse and report on any statistical relationships between the CTLQ, the +10 and the Gallup Q[12]®

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[20] Refer to the *College Experience +10 Questionnaire - Question Mapping* graphic at the Appendices.

[21] Refer to the *Alumni Survey Registration Process* and the *+10 Questionnaire and Gallup Q[12]® Employee Engagement Survey* process flowcharts at the Appendices.

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## Project Timescale

| TIMESCALE 2015 | | AUG 2015 | | SEP 2015 | | OCT 2015 | | NOV 2015 | | DEC 2015 | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Phase 1: CTLQ | | | 1.1 Focus Group | 1.2 Review #1 | 1.3 Pilot Sample | 1.4-7 Review & Testing | | 1.8 CTLQ Survey distribution | | 3.1 CTLQ Collection & analysis | Holiday |
| Phase 2: Gallup Q¹²® & +10 | | | | 2.1 Focus Group | 2.2 Review | 2.3 Pilot Sample | 2.4 Review & Testing 2.5-6 Liaison | | | 2.7 Q¹²® +10 survey distribution | Holiday |
| Phase 3: Analysis & Report | | | | | | | | 3.2 Develop report on the study | | | Holiday |
| Phase 3a: Publication | | | | | | | | | | | Holiday |

| TIMESCALE 2016 | JAN 2016 | FEB 2016 | MAR 2016 | APR 2016 |
|---|---|---|---|---|
| Phase 1: CTLQ | 3.1 CTLQ Collection & analysis | | | |
| Phase 2: Gallup Q¹²® & +10 | 3.1 Q¹²® +10 Collection & analysis | | | |
| Phase 3: Analysis & Report | 3.2 Develop report on the study | | | |
| Phase 3a: Publication | | | 3.3 Publish Report | 3.4 Draft a conference paper/ journal article (TBC) |

## Project Milestones

**August 2015**

- Programme commencement date 01 AUG, 2015
- Project initial consultation, planning, budgets, instrument access, review and development processes for the following:
    - MLQ Student Rater & MLQ Teacher Self Rater forms (Pounder, 2006)
    - Gallup/ Healthways Well-Being Index®
    - Gallup +6®
    - Gallup Q¹²® Workplace Engagement
- Access and review of the Lingnan 2014 Alumni Survey report, assessment of application of results to the current project.

**September 2015**

- Initial engagement with stakeholder of Lingnan's Office of Institutional Advancement & Alumni Affairs -
- Draft versions of the redesigned survey instruments, CTLQ, letters of invitation distributed for critique
- Three questions related to learning pedagogies removed from draft alumni college experience questionnaire, plans for the identification of 5 statistical top-loaders from the CTLQ to be added to form the draft +8 instrument.
- Translation processes commence for the 'new' version of the CTLQ, both traditional and simplified chinese versions required, including back-translation validation processes

**October 2015**

- 8-week review meetings with stakeholders includes:
    - Review/ finalisation of instrument administrative processes
    - Feedback on instruments by focus group reviewed
    - Translation and back-translation processes reviewed, translations of the 5-point rating scale to be included

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- o Addition of a free-comments section included in CTLQ and +8 instruments
- o Invitations developed for both versions of the CTLQ
- o 'Lucky Prize Draw' prizes identified and budgeted for, prize drawing and distribution protocols established
- o Planning for the development and testing of the CTLQ into an online instrument via the TLC's 'Qualtrics' software system.
- o Development of an on-line CTLQ (Traditional Chinese) and invitations for Lingnan Year 3 & 4 undergraduate students (n=150)
- Distribution of a hard-copy CTLQ (Simplified Chinese) and invitations to the Lingnan post-graduate MScHRD group (n=43) as a pilot study
- College Experience +8 Questionnaire reviewed and statistical FETA analysis and internal consistency validation processes for CTLQ outcomes.
- Lucky Prize Draw presentations and congratulations to MScHRD group

November 2015
- Final versions of the CTLQ completed
- On-line CTLQ release to Lingnan undergraduate students, survey plan:
  - o CTLQ 1st Reminder (11 NOV, 2016)
  - o CTLQ Final Reminder (18 NOV, 2016)
  - o CTLQ Closing Date (20 NOV, 2016)
- Slower than anticipated response rate to the CTLQ, therefore the time period extended by 1 week:
  - o CTLQ Final Reminder (25 NOV, 2016)
  - o CTLQ Closing Date (27 NOV, 2016)
- Analysis of both the U/G and P/G CTLQ surveys to be included in the final revision of the +8 instrument.
- Key Alumni survey dates established and communicated to the Alumni Affairs Offices as follows:
  - o Release date (03 DEC, 2016)
  - o 1st Reminder (10 DEC, 2016)
  - o 2nd Reminder (17 DEC, 2016)
  - o Alumni Survey Closing Date (21 DEC, 2016)
- Analysis of P/G CTLQ with Chronbach's alpha revealed inconsistencies with the validity of some questions, investigation of language intent against the original MLQ with TLC focus group resulted in minor edits to the CTLQ and subsequently the items adopted for the +8
- +8 re-developed as *College Experience* +10 questionnaire to support the CTLQ updates and also the inclusion of Extra Effort (EE) and Effectiveness (E) questions from the MLQ.
- CTLQ survey closed 27 NOV, 2016 (P/G = 46, U/G = 92, TOTAL n = 138)
- CTLQ Lucky Draw conducted, results posted and prizes distributed.
- Potential issues with the wording of Gallup's consent section of the Gallup $Q^{12®}$ Workplace Engagement instrument addressed in the design of the *College Experience +10 Questionnaire & Gallup $Q^{12®}$ Employee Engagement Survey Link*.
- Successful testing of Qualtrics online versions of invitation, TLC response template, +10 and imbedded link Gallup $Q^{12®}$ Workplace Engagement – Links forwarded to Alumni Services for distribution to 2014, 2013, 2012 graduates :
  - o Alumni Survey Release Date (03 DEC, 2015)

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- o   Alumni Survey First Reminder (10 DEC, 2015)
- o   Alumni Survey 2nd/ Final Reminder (17 DEC, 2015)
- o   Alumni Survey Closes (21 DEC, 2015)

December 2015
- Alumni Survey released 03 DEC, 2015
- Early analysis of lower than anticipated response rates indicated the survey target of 100 responses may not be achieved, therefore the survey was arranged to be extended to the 2011 & 2010 alumni commencing 09 DEC, 2015.
- The *"Thankyou" or a "gentle reminder"* communications distributed to all responders' 11 DEC, 2015
- With the continued low response rates and the pending HK public holidays of Winter Solace, early office closures and the Christmas period approaching, the survey period was extended as follows:

  - o   Alumni Survey Release Date (03 DEC, 2015)
  - o   Alumni Survey $1^{st}$/ Alumni Office Reminder (10 DEC, 2015)
  - o   Alumni Survey $2^{nd}$/ TLC Gentle Reminder (15 DEC, 2015)
  - o   Alumni Survey $3^{rd}$/ TLC Gentle Reminder (17 DEC, 2015)
  - o   Alumni Survey $4^{th}$/ TLC Gentle Reminder (23 DEC, 2015)
  - o   Alumni Survey $5^{th}$/ TLC Gentle Reminder (29 DEC, 2015)
  - o   Alumni Survey $6^{th}$/ TLC Gentle Reminder (06 JAN, 2016)
  - o   Alumni Survey $7^{th}$/ TLC Personal Calls (11 JAN, 2016)
  - o   Alumni Survey $2^{nd}$/ Alumni Office Reminder (12 DEC, 2015)
  - o   Alumni Survey Closes (18 JAN, 2016)

January 2016

- Alumni Survey Closes Monday, $18^{th}$ JAN, 2016 with the following response rates:
  - o   Agreed to participate (n = 145)
  - o   +10 completions (n = 117)
  - o   Gallup $Q^{12}$® completions (n = 91)
- Data cleaning and analysis commenced 20 JAN, 2016
- Draft project report for submitted 16 FEB, 2016
- Final project report presented 29 FEB, 2016

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## Project Findings

This project was designed to find answers and/ or indicators to the following hypotheses, and the project findings and discussion will be concentrated under these clusters:

H1  Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University;

H2  Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment;

H3  Specific behaviours of the 'caring professor' can be understood in terms of the attributes comprising transformational classroom leadership;

H4  Causal links can be drawn between transformational classroom leadership experienced at college and the workplace engagement status of Lingnan alumni.

### H1 - Transformational classroom leadership behaviours can be identified and attributed to teaching faculty within Lingnan University

The CTLQ instrument developed for this project has the validity and reliability of the original Multifactor Leadership Questionnaire (MLQ), adapted for the assessment of transformational classroom leadership in the higher education environment. Consistent with the earlier study (Pounder, 2006) the project results generally confirmed the positive association between transformational leadership in the classroom and were consistent with a substantial body of findings on transformational leadership that suggests the student's view the style as having a constructive influence on the general level of motivation, commitment and extra effort.

> *She could talk about my career path with me helping me make future development clear. She care about my life and psychological condition* (Comment from U/G student describing an example of [IC] Individual Consideration)

This project reinforced the value of effective classroom leadership in a university setting.

> *She is able to be friendly, but affirmative. She is knowledgeable without being arrogant. She also observes everyone individually while also focusing on the class as a single entity.* (Comment from P/G student describing an examples of [IIB] Idealised Influence - Behaviour and [IC] Individual Consideration

The CTLQ survey outcomes confirm both the existence, and positive benefits of transformational classroom leadership across all Lingnan University faculties at both post-graduate and undergraduate tiers (n = 138). Further, it confirms that the full range leadership model offers a useful framework for assessing the quality of such leadership and the refined CTLQ instrument provides the means of assessing the extent to which a particular university teacher is displaying the transformational style. It also provides useful behavioral examples for academic staff development purposes.

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**H2 - Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment & H3 - Specific behaviours of the 'caring professor' can be understood in terms of the attributes comprising transformational classroom leadership;**

The *Gallup Q¹²* survey of Lingnan Alumni (n = 91) reported an average level of workplace engagement at 16%, exceeding both the Hong Kong (4%) and World (13%) averages, and displaying a significantly higher alumni/ regional average ratio than the Gallup-Purdue Index (34% alumni engagement/ US regional engagement 30%).



**Gallup Engagement Results**
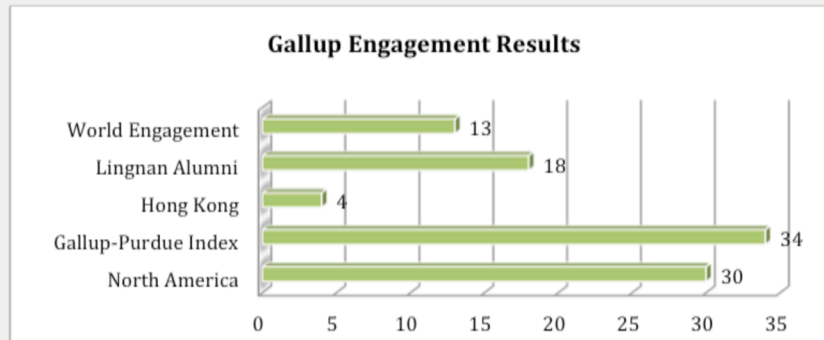
*Comparison of Gallup's Q¹² Engagement Scores*

The result of the Gallup Q¹²® Workplace Engagement survey conducted with the Lingnan University Alumni in December 2015, revealed a overall graduate workplace engagement result of 16%. The Gallup-Purdue Index (2014) reported an overall graduate workplace engagement score of 34%. At first glance this appears to not support the project hypotheses, however a deeper examination of employee engagement research across the APAC region and specifically within Hong Kong reveal some interesting data and help to put this project's results into a more regionalised construct.

The Gallup survey of employee opinions across global workplaces[22] (O'Boyle & Harter, 2013) revealed that the rates of workplace engagement in USA averaged 30%, (the global average is 13%), however the results from Hong Kong are not only among the lowest returns globally, but also the lowest in the APAC region. The report lists just 4% Hong Kong workers overall are engaged in their jobs, while 68% are biding their time in the "not engaged" category and 29% are actively disengaged, and likely to be disrupting the efforts of their co-workers.

**Discussion**

CULTURAL FACTORS - There are significant cultural differences in how employees respond to survey questions, as asserted by Sanborn & Oehler (2014), who argue it's important to take this into account when examining these data on workplace engagement from the various sources, e.g., 'Latin American employees tend to have higher survey scores across the board and Asian employees tend to not answer in the extreme.'

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[22] Refer to *Gallup 2013 World Engagement* graph to the Appendices

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Another significant discussion paper from Aon Hewitt[23] affirms that Asia Pacific has:

- has the lowest levels of highly engaged at (16%).
- the highest rate of 'moderately engaged' employees (42%);
- is on par with the global average of actively disengaged (17%), and
- exceeds the global average on passive engagement with (25%)

Of concern, the report also observes that when factoring in the cultural differences for survey responses across the APAC region, regardless of overall engagement levels, high or low, employers are at risk of between 10% and 20% of 'passive' employees somewhere being actively disengaged.

ENVIRONMENTAL FACTORS – The existence of other external factors, which underlie recurrent findings of low workplace engagement in Hong Kong (Domicelj & Vartak, 2013), and consistently rank as the lowest in APAC. These include the stress factors linked to, rising costs, the intense urban life and competition in Hong Kong, coupled with the fact that many Hongkongers consistently complain about a lack of work-life balance affecting their physical health and morale.

The *Hong Kong Quality of Life Index*, developed by the Chinese University, covers 23 key indicators of quality of life, six measured in surveys of about 1,000 Hongkongers, the others from official data. It takes 2002 as its base year, and any score over 100 indicates an improvement in quality of life since then.

Quality of life in Hong Kong declined last year compared to 2013, registered a drop of 0.17 points to reach 101.75 for last year, with indicators on freedom of speech and housing affordability sinking to their lowest levels since the index was launched.



Hong Kong Quality of Life Index
115
110
105
100
2002                                              2014
Source: The Centre for Quality of Life, CUHK                    SCMP

*Hong Kong Quality of Life Index*

The Kelly Group report[24], which identifies three key factors that drive Hong Kong workers lack of engagement and desire to leave their current workplace:

1. *Are my earnings/financial incentives competitive?*
Globally, 60% of the study's respondents said that having pay levels below their expectations was enough to prompt them to switch jobs. In APAC alone, Hong Kong topped the chart (68%). In 2014, the average on-job salary increment in Hong Kong was 4.7% while inflation was 3.6%. This means an employee without a promotion salary raise would find it more difficult to meet the city's rising cost of living, which goes up every year.

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[23] 2014 *Trends in Global Employee Engagement*, Aon Hewitt.

[24] The 2014 *Kelly Global Workforce Index* is an annual global survey with opinions gathered from 230,000 workers around the world

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And for the 50% Hong Kong population who live in private housing, the demand for a higher salary is further boosted by the unreasonably high property prices, the median cost of a flat in Hong Kong was almost 15 times the annual household income[25].

2. *Do I have work-life balance?*
Poor work-life balance triggers more job change in Hong Kong (48%) than in other parts of the world. Full-time employees in Hong Kong worked an average of 49 hours per week, the second highest figure in APAC after Singapore and the fifth highest among 72 countries surveyed[26].

3. *Does my job offer good advancement opportunities?*
Apart from a competitive salary and acceptable work-life balance, Hongkongers are more likely to look for job change if there are no advancement opportunities in their current positions (42%), compared to Singaporeans and Mainland Chinese (both 40%).

LEADERSHIP FACTORS - Hong Kong employees, more so than their global and APAC counterparts, are expecting their employers to address these concerns and attempt to satisfy their fundamental work motivations. According to the Kelly Report only 28% of Hong Kong employees believe their current employment provided them with a sense of "meaning", as opposed to 35% of Singaporeans and 55% of Mainland Chinese. As such, it is not surprising that only 9% of Hongkongers thought they were highly valued by their employers, making these results the worst in APAC.

The Towers Watson report [27] contends that Hong Kong corporations continue to underestimate the importance of leader and management effectiveness, only 23% rate senior leaders as effective, and just 49% rate managers as effective. Perhaps most worrying is the remarkable gap between local employer and employee perceptions of senior leadership and management effectiveness, where in Hong Kong, only 25% of employees surveyed feel their leaders are effective, which is significantly lower than the global average of 48%.

Furthermore, managerial effectiveness is also lower, with just 49% of the respondents reporting effective managers compared to the global average of 61%, suggesting that key drivers of manager effectiveness are 'authenticity' and 'trust'. Employees expect their managers to act on what they say, listen carefully to different viewpoints, and treat employees with respect. Managers that can establish trust often have more engaged and productive employees. This report's finding is consistent with the extremely low $Q^{12}$ ratings by the Lingnan Alumni to the following survey items:

- Q01 – *I know what's expected of me at work* (GDPR[28] 1)
- Q08 – *The mission or purpose of my organisation makes me feel my job is important* (GDPR – 1)

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[25] In 2014 Hong Kong received the dubious honour of being ranked first for city with the most unaffordable housing in the *10th Annual Demographia International Housing Affordability Survey*, released in January 2014. The survey covers 85 major metropolitan areas with a population of 1,000,000 or more around the world.

[26] *2012 Price and Earnings Report* by UBS

[27] The Towers Watson *2014 Global Talent Management and Rewards Study* provides an in-depth look at the attraction, retention and engagement issues, practices and concerns of over 1,600 organisations around the globe.

[28] GDPR – *Gallup Database Percentile Rank* – a benchmark value which shows how the individual $Q^{12}$ item results in your survey compare with Gallup's worldwide database of organisations that have administered the $Q^{12}$ survey.

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And, as a corollary of extremely low engagement in the workplace, the Hong Kong respondents demonstrated an extremely low GDPR of 1 to the question on their views on their colleague's general commitment to doing quality work. Globally, as reported by Kelly Services, managers and leaders can have a decisive impact on employee engagement, with 72% of employees with effective leaders and managers being highly engaged against only 8% of those with ineffective managers and leaders.

Kelly Services further reported that dissatisfaction with current management is the second major reason to defect for Hong Kong employees (40%). Established links between dissatisfaction with management and the concepts of non-discretionary effort are evident wherein only 16% of Hong Kong employees would definitely do more than what was expected or required from them. This is reported to be the lowest in APAC, compared to 32% of Mainland Chinese and 25% of Singaporeans. 'It seems that the diligent workforce that Hong Kong was known for in the 1960s and 1970s may now be less zealous, or more reasonably, have a greater expectation of their leaders and managers.'

It is not too much of an extension to feel genuine empathy for these Lingnan graduates leaving a college milieu reinforced by genuine transformational leadership behaviours to enter a workforce characterised by negativity, misunderstanding and limited engagement.

### H4 - Causal links can be drawn between transformational classroom leadership experienced at college and the workplace engagement status of Lingnan alumni.

The *+10 Questionnaire,* utilising the CTLQ 'top-loaders' from within the transformational leadership categories, displayed significant design statistical validity and reliability characteristics for assessing alumni's college experiences.

Results of the +10 college experience questionnaire confirm a positive correlation with the classroom transformational leadership findings from the current Lingnan U/G and P/G students. These outcomes also exhibit consistency with the findings of a similar question posed in the 2014 Alumni Survey, whist the +10 (2015) produced a slightly lower mean within a lower SD, there was useful evidence of a correlation between the transformational classroom leadership experiences of the 2014 Alumni Survey and the +10 responses.

| Alumni Survey 2014 result | | | | | |
|---|---|---|---|---|---|
| Question | Mean (SD) | Survey | Mean (SD) | p-value | |
| Q27 I had at least one professor at Lingnan who cared about me as a person, made me excited about my learning and encouraged me to pursue my dreams | 3.9 (1.12) | +10 (Q1-3) | 3.67 (0.97) | *0.011 | |
| Q28 I am highly engaged and motivated at work | 3.88 (0.86) | Q12 (Q0) | 3.59 | | |

*p<0.05. Data is analyzed by one-sample t test.

*2014 Alumni Survey & +10 survey comparison*

A comparison of similar transformational leadership categories [IM] Inspirational Motivation, [IC] Individual Consideration, and [IS] Intellectual Stimulation, within the +10 and $Q^{12}$® instruments revealed the consistent correlations in the data gained form the two instruments. The conclusion that can be drawn from these data is a consistency in the mean scores, with some variations for the spreads of graduate years represented.

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*[IM] Inspirational Motivation*

|         | 2010 | 2011 | 2012 | 2013 | 2014 |
|---------|------|------|------|------|------|
| Q12(4)  | 3.11 | 3.14 | 3.52 | 3.35 | 3.17 |
| Q12(11) | 3.56 | 3.56 | 3.93 | 3.87 | 3.23 |
| +10[IM] | 3.67 | 3.29 | 3.42 | 3    | 3.67 |



*[IC] Individual Consideration*

|         | 2010 | 2011 | 2012 | 2013 | 2014 |
|---------|------|------|------|------|------|
| Q12(5)  | 3.89 | 4.11 | 3.69 | 3.88 | 3.38 |
| +10[IC] | 3.83 | 3.41 | 3.38 | 3.25 | 3.45 |



*[IS] Intellectual Stimulation*

|         | 2010 | 2011 | 2012 | 2013 | 2014 |
|---------|------|------|------|------|------|
| Q12(6)  | 3.5  | 3.5  | 3.41 | 3.29 | 3.16 |
| Q12(12) | 3.78 | 4.11 | 3.9  | 3.71 | 3.79 |
| +10[IS] | 4.1  | 3.68 | 3.73 | 3.2  | 3.82 |

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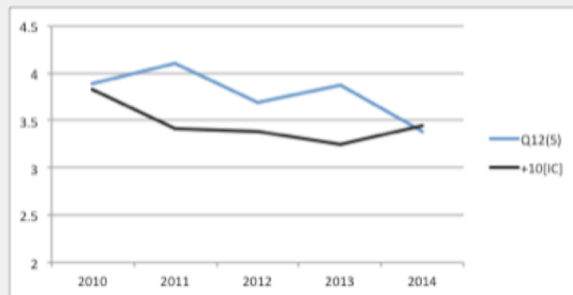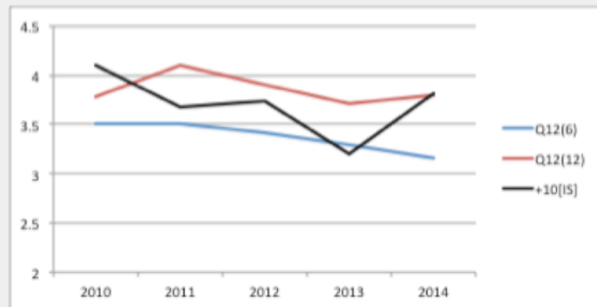
Alumni responses to the $Q^{12}$ confirm a positive association with the characteristics of transformational classroom leadership during their college years, supporting the findings within the accompanying +10 questionnaire.

By means of 'triangulating' the positive findings from the CTLQ and the +10 Alumni, an additional question was inserted into the 'Group' questions of the Gallup $Q^{12}$® in addition to the demographic questions. This was a question on the behaviours associated with transformational leadership in the classroom was added, resulting as follows:

- *'Year of Graduation'* [2014, 2013, 2012, 2011, 2010]
- *'Gender'* [F, M]
- *'I had at least one professor at Lingnan who cared about me as a person, made me excited about learning, and encouraged me to pursue my career'* [ Strongly Agree, Agree, Neutral, Disagree, Strongly Disagree]

 Subsequent responses to a question in the $Q^{12}$ confirms a correlated association with the characteristics of transformational classroom leadership, supporting the findings within the accompanying +10 questionnaire



*College experience scores in Gallup $Q^{12}$ survey*

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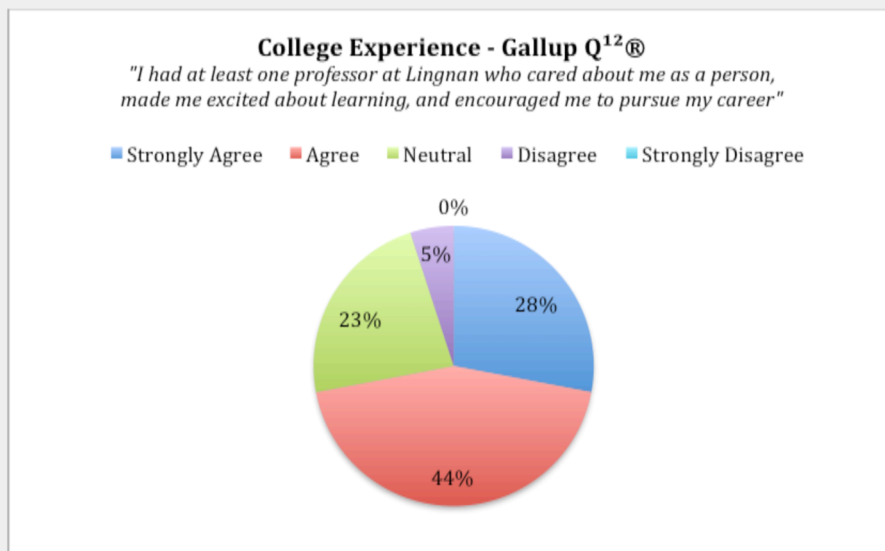
## Project Recommendations

**PROJECT RECOMMENDATION 1.**

Given the evidence that transformational leadership can be effectively taught (Bass, 1990; Barling et al., 1996; Kelloway et al., 2000; Roberts, 2012; Warrick, 2011), it is recommended to establish a professional development framework for teaching academics at Lingnan that incorporates all aspects of transformational leadership in the classroom.

**PROJECT RECOMMENDATION 2.**

The professional development framework design should occur within a broader context and include within its scope, and where applicable, policy review, assessment, contemporary developmental pedagogies[29] and performance feedback elements.

**PROJECT RECOMMENDATION 3.**

A review of the current Course, Teaching and Learning Evaluation (CTLE) format, processes and system to incorporate/ adapt the transformational leadership in the classroom principles and should be benchmarked against world's best practice[30].

**PROJECT RECOMMENDATION 4.**

The final project recommendation engages with an assertion by Luxbacher (2013) that sole reliance on university rankings alone for marketing and promotional purposes for all but the world's 'top' recognised institutions, can be enhanced. The broader engagement with these project findings may help define a unique category of positive teaching and learning benefits for Lingnan University and other institutions that pursue a liberal arts agenda.

**DISCUSSION**

There is an expanding emphasis on teaching and learning within higher education, driven by an environment of rising accountability for the provision of services, competition between education providers for the prospective students, and mounting challenges from employers to enhance the potential for their graduating students' successful transition to employment (Tuchman, 2009).

Given that this is the first study of its kind that has linked transformational classroom leadership to workplace engagement, there is scope for a broader investigation across all UGC institutions and for the establishment of a cross-university approach to a professional development framework for teaching faculty in Hong Kong.

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[29] Research and development of contemporary development pedagogies to include the Lingnan TLC's *Learning and Teaching Development Programme.*

[30] For example, Stanford University's student feedback system is part of a broader organisational performance system, providing information on teaching and learning experiences and is based in many of the key principles of transformational classroom leadership.

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## Acknowledgements

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## Table of Figures

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# Evidence of Achievement 2 – Classroom Teacher Leadership Questionnaire (CTLQ)

## Classroom Teacher Leadership Questionnaire Student Rater Form[1]

**Current year level of your studies** _____

This questionnaire is used to describe the classroom leadership style of **one of your most memorable teachers at the University**. With this teacher in mind, please attempt to complete all items on this answer sheet.

Forty-six descriptive statements are listed on the following pages. For ease of understanding, the statements are in English and Simplified Chinese. Judge how frequently each statement fits the person you are describing using the following rating scale:

| Not at all | Once in a while | Sometimes | Fairly often | Frequently, if not always |
|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 |
| 从没有 | 偶然一次 | 间中 | 时常 | 经常 |

| RATING (Please circle the relevant number based on the above scale) | English Statement | Chinese Version of English Statement |
|---|---|---|
| 0 1 2 3 4 | 1. If I study hard, he/she will offer help. | 如果我用功学习，他/她会给予我帮助。 |
| 0 1 2 3 4 | 2. He/She thinks critically and offers comments on a theory or school of thought. | 他/她批判地思考及评论学说或理论。 |
| 0 1 2 3 4 | 3. He/She will offer help only when I have encountered difficulties in my study. | 他/她待我在学习上面临困境，方才施以援手。 |
| 0 1 2 3 4 | 4. He/She is quick to point out where my performance moves away from what is required by the course outcomes. | 他/她迅速指出我的表现偏离课程要求之处。 |

1

| | | | |
|---|---|---|---|
| 0 1 2 3 4 | 5. He/she does not want to get involved when important learning problems occur in this course. | 当本课程出现重大学习问题时，他/她并不愿意介入。 |
| 0 1 2 3 4 | 6. He/She will talk about his/her personal beliefs and value systems while teaching. | 上课时他/她有论述他个人的信念及价值观。 |
| 0 1 2 3 4 | 7. He/She cannot be found whenever I need him/her. | 每当我需要他/她时，却找不到他/她。 |
| 0 1 2 3 4 | 8. He/She listens to different opinions for solving problems posed in the classroom. | 他/她听取多方面的意见去解决课堂上出现的问题。 |
| 0 1 2 3 4 | 9. He/She talks optimistically about the future. | 他/她乐观地谈及将来。 |
| 0 1 2 3 4 | 10. He/She makes me feel proud to be associated with him/her. | 与他/她交往，使我感到自豪。 |
| 0 1 2 3 4 | 11. He/She specifically discusses the respective roles of the teacher and student in contributing to the success of teaching and learning in this course. | 他/她具体地讨论教师与学生各自要担当的角色方可令到课程的授受成功。 |
| 0 1 2 3 4 | 12. He/She will not take action until something has gone wrong. | 他/她等到事情出错，才采取行动。 |
| 0 1 2 3 4 | 13. He/She enthusiastically talks about what to do to make the course a success. | 他/她热烈地讲述要做些什么才可令课程成功。 |
| 0 1 2 3 4 | 14. He/She explains that a commitment to learning is important for a student to succeed in this course. | 他/她解述了若一个学生要于本课程学习成功，对学习的投入是多么重要。 |
| 0 1 2 3 4 | 15. He/She is willing to provide help outside of class. | 他/她愿意在课余时提供辅导。 |
| 0 1 2 3 4 | 16. He/She makes it clear at the outset how students with good learning performance will be rewarded. | 他/她一早说明学习表现好的学生可得到甚么回报。 |

2

| | | |
|---|---|---|
| 0 1 2 3 4 | 17. He/She is teaching in a way that this course should be the same for every year, because there is no need to change something that seems to be working satisfactorily. | 他/她于这课程的教学法年年相同，因为他/她认为这教学法似乎已收到理想效果就无需更改。 |
| 0 1 2 3 4 | 18. He/She is not only concerned about his/her own interests, but is genuinely concerned about the progress made by students. | 他/她不是只顾及自己的利益，而确是关注学生的进步。 |
| 0 1 2 3 4 | 19. He/She treats me as a person — an individual entity, not just one among many students. | 他/她把我看作一个人 — 一个独立个体，而不单是芸芸众学生其中的一个。 |
| 0 1 2 3 4 | 20. He/She demonstrates a reluctance to take action to put things right unless there are constant problems with the course. | 除非问题于这课程持续出现，否则他/她不愿意采取行动，将错误纠正。 |
| 0 1 2 3 4 | 21. His/Her behaviour has earned my respect. | 他/她的言行赢得我的尊重。 |
| 0 1 2 3 4 | 22. He/She is aware of any inadequacies in the course, and takes complaints seriously. | 他/她很重视课程的不足之处，及认真接受投诉。 |
| 0 1 2 3 4 | 23. He/She discusses ethical implications involved in the subject matter he/she is teaching. | 他/她与学生讨论课题中所牵涉的道德议题。 |
| 0 1 2 3 4 | 24. He/She seems willing to make changes to the course to bring improvements. | 他/她似乎愿意为改善课程而作出修改。 |
| 0 1 2 3 4 | 25. He/She is filled with authority and confidence. | 他/她充满权威和信心。 |
| 0 1 2 3 4 | 26. He/She makes me look forward to the future after completing their course. | 他/她使我对完成这课程后的前途满怀憧憬到。 |
| 0 1 2 3 4 | 27. He/She points out to me when I have failed to meet the course objectives. | 当我未能达至课程目标时，他/她会向我提出指正。 |

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| 0 1 2 3 4 | 28. He/She avoids playing an active part in making decisions about the course. | 有关课程上的决定，他/她避免作主。 |
|---|---|---|
| 0 1 2 3 4 | 29. He/She cares about my personal needs, ability and aspirations in learning and understands that I may have needs that are different from my classmates. | 他/她顾及到我在学习上有自己个人的需要、能力和志向，亦明白我的需要或许与其他同学不同。 |
| 0 1 2 3 4 | 30. He/She helps me to see a problem from different angles. | 他/她助我从多个角度去看问题。 |
| 0 1 2 3 4 | 31. He/She assists me in applying my own strengths. | 他/她协助我发挥我所长。 |
| 0 1 2 3 4 | 32. He/She suggests various approaches to successfully completing assignments. | 他/她提出能成功完成习作的不同方法。 |
| 0 1 2 3 4 | 33. He/She is slow to answer pressing questions. | 他/她迟迟答复急切的问题。 |
| 0 1 2 3 4 | 34. He/She emphasises the importance for students to cultivate a sense of shared commitment to achieving success on this course. | 他/她强调要成功学习这个课程，学生们需培养出共同承担感的重要性。 |
| 0 1 2 3 4 | 35. He/She will let me know that he/she is happy when I have met the course requirements. | 当我达到课程的要求时，他/她会让我知道他/她为此而感到欣慰。 |
| 0 1 2 3 4 | 36. He/She displays confidence that course objectives can be accomplished. | 对达到课程的目标，他/她显露出信心。 |
| 0 1 2 3 4 | 37. He/She is very capable of meeting our course expectations and needs. | 他/她很有能力满足我们对课程的期望与需要。 |
| 0 1 2 3 4 | 38. I am satisfied with his/her leadership in the classroom. | 我对他/她在课室里的领导感到满意。 |
| 0 1 2 3 4 | 39. He/She motivates me to do more than what is required. | 他/她善于诱导，令我超额完成。 |
| 0 1 2 3 4 | 40. He/She is someone capable of communication students' needs to the University. | 他/她是一个有能力将学生的需要传达至校方的人。 |
| 0 1 2 3 4 | 41. We cooperate well with each other as teacher and student. | 我们于师生关系上，合作愉快。 |

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| 0 1 2 3 4 | 42. He/She has strengthened my commitment to success. | 他/她增强了我要争取成功的意志。 |
|---|---|---|
| 0 1 2 3 4 | 43. He/She teaches this course to the level required by the programme outcomes. | 他/她教授这科目的水平，达至课程所要求的整体学习果效。 |
| 0 1 2 3 4 | 44. He/She has strengthened my determination to work harder. | 他/她增强了我倍加努力的斗志。 |
| 0 1 2 3 4 | 45. He/She leads a successful class. | 他/她带领的班是成功的。 |
| 0 1 2 3 4 | 46. He/She has supported me to attain the learning outcomes for the course. | 他/她支持我取得课程的学习成果。 |

Please include any additional comments below:

**Thank you for taking the time to complete his survey.**

To participate in the **Lucky Draw** to win a **$50 Supermarket Coupon**, please fill in your personal information[2] below (optional):

Name: _____

Telephone number: _____

Email address: _____

*Good Luck!*
好运

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[2]

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## Evidence of Achievement 3 – Classroom Teacher Leadership Questionnaire Scoring Key

**Classroom Teacher Leadership Instrument**

**Scoring Key**

| Item Number | Leadership Dimension |
|---|---|
| 1 | Contingent Reward |
| 2 | Intellectual Stimulation |
| 3 | Management by Exception (P) |
| 4 | Management by Exception (A) |
| 5 | Laissez-faire Leadership |
| 6 | Idealized Influence (Behaviour) |
| 7 | Laissez-faire Leadership |
| 8 | Intellectual Stimulation |
| 9 | Inspirational Motivation |
| 10 | Idealized Influence (Attributed) |
| 11 | Contingent Reward |
| 12 | Management by Exception (P) |
| 13 | Inspirational Motivation |
| 14 | Idealized Influence (Behaviour) |
| 15 | Individual Consideration |
| 16 | Contingent Reward |
| 17 | Management by Exception (P) |
| 18 | Idealized Influence (Attributed) |
| 19 | Individual Consideration |
| 20 | Management by Exception (P) |
| 21 | Idealized Influence (Attributed) |
| 22 | Management by Exception (A) |
| 23 | Idealized Influence (Behaviour) |
| 24 | Management by Exception (A) |
| 25 | Idealized Influence (Attributed) |
| 26 | Inspirational Motivation |
| 27 | Management by Exception (A) |
| 28 | Laissez-faire Leadership |

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**Classroom Teacher Leadership Instrument**

**Scoring Key (Continued)**

| Item Number | Leadership Dimension |
|---|---|
| 29 | Individual Consideration |
| 30 | Intellectual Stimulation |
| 31 | Individual Consideration |
| 32 | Intellectual Stimulation |
| 33 | Laissez-faire Leadership |
| 34 | Idealized Influence (Behaviour) |
| 35 | Contingent Reward |
| 36 | Inspirational Motivation |
| 37 | Effectiveness |
| 38 | Satisfaction |
| 39 | Extra Effort |
| 40 | Effectiveness |
| 41 | Satisfaction |
| 42 | Extra Effort |
| 43 | Effectiveness |
| 44 | Extra Effort |
| 45 | Effectiveness |
| 46 | Effectiveness |

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## CTLQ Clusters

**Idealized Influence (Attributed) [IIA]**
#10
#18
#21
#25

**Idealized Influence (Behaviour) [IIB]**
#06
#14
#23
#34

**Inspirational Motivation [IM]**
#09
#13
#26
#36

**Intellectual Stimulation [IS]**
#02
#08
#30
#32

**Individual Consideration [IC]**
#15
#19
#29
#31

**Contingent Reward [CR]**
#01
#11
#16
#35

**Mgt. by Exception (Active) [MEA]**
#04
#22
#24
#27

**Mgt. by Exception (Passive) [MEP]**
#03
#12
#17
#20

**Laissez-faire Leadership [LFL]**
#05
#07
#28
#33

**Effectiveness [E]**
#37
#40
#43
#45
#46

**Extra Effort [EE]**
#39
#42
#44

**Satisfaction [S]**
#38
#41

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# Evidence of Achievement 4 – College Experience +10 Questionnaire

## College Experience +10 Questionnaire & Gallup Q¹²® Employee Engagement Survey Link

Please complete the following details:

1. **Major** from (Arts; Social Sciences; Business)     3. **Final Year of Study**

2. **Gender** (M) (F)                                  (2014; 2013; 2012, 2011, 2010)

**PART ONE**

The first part of this questionnaire is about your perceptions of how well your institution prepared you for life after graduation. The ten descriptive statements below examine elements of the support you experienced at college.

Please complete all questions using the following rating scale:

| Not at all | Once in a while | Sometimes | Fairly often | Frequently, if not always |
|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 |

| RATING (Please circle) | Statement[1] |
|---|---|
| 0  1  2  3  4 | 1. I had at least one professor who made me excited about learning. |
| 0  1  2  3  4 | 2. I had at least one professor who cared about me as a person. |
| 0  1  2  3  4 | 3. I had a professor who encouraged me to pursue my goals and dreams. |
| 0  1  2  3  4 | 4. The behaviour of at least one of my professors earned my respect. |
| 0  1  2  3  4 | 5. My professor(s) made me look forward to the future after completing their course. |
| 0  1  2  3  4 | 6. My professor(s) suggested various approaches to successfully completing coursework and assignments. . |
| 0  1  2  3  4 | 7. My professor(s) reinforced that a strong sense of purpose was important for course success. |
| 0  1  2  3  4 | 8. I had at least one professor who cared about my individual learning requirements, abilities and aspirations, and understood that I may have had needs that were different from my classmates. |
| 0  1  2  3  4 | 9. My professor(s) strengthened my determination to work harder. |
| 0  1  2  3  4 | 10. I had at least one professor who supported me to successfully achieve the learning outcomes for my course. |

Please include any additional comments on your college experience below:

_____

[1] Statements 1, 2 & 3 are aligned with the "Big Six" undergraduate experiences discussed in the Gallup-Purdue Index (Gallup Inc. 2014). .

1

**PART TWO**

The second part of this questionnaire asks about your current level of engagement in your workplace. The Gallup Q ® Employee Engagement Survey[2], one of the world's most widely-used and reliable instruments for measuring workplace engagement.

The link below takes you to the Q ®, as per the instructions therein, please respond to the questions on your Overall Satisfaction and the following 12 engagement conditions statements.

The *consent* section of the Q ® states:

> 'Gallup is conducting this survey on behalf of your company to obtain your opinion on various aspects of your working environment.'

**NOTE: Please disregard this statement**… conditions for the use the Gallup's workplace research tool restricts any editing of this statement to reflect our research intent.

This higher education research project is designed to ensure:

- The 'company' in this survey is listed with Gallup as the *Lingnan Alumni Transformational Teaching and Engagement at Work Survey*;
- ALL participant's companies remain completely unknown and anonymous;
- NO participant's company can be provided with any report on survey results;
- ALL information collected will be kept in the strictest confidence and no identity will be disclosed at any time[3]

Finally, given we are using this tool with the intent of research, we would greatly appreciate a response to ALL of the Q ® questions to strengthen our results!

… and don't forget to correctly exit the survey as instructed.

<p style="color:red; text-align:center;">**[LINK to Gallup Q$^{12}$® Employee Engagement Survey]**</p>

**Again… thank you for taking the time to complete this survey**

***Good Luck!***
好運

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[2] *Gallup Q$^{12}$® Employee Engagement Survey*. (Q$^{12}$® is a registered trademark of Gallup Inc. All rights reserved)

[3] **Privacy Policy Statement**

The University fully supports and where possible observes the internationally recognised standards of personal data privacy protection, in compliance with the requirement of Personal Data (Privacy) Ordinance. In doing so, we will ensure our staff will comply with the aforementioned Ordinance with strictest standards of security and confidentiality. On-line information collection at this web page will adhere to the Personal Data (Privacy) Ordinance that states the purpose and use of the information collected. For more information of Personal Data (Privacy) Ordinance, please refer to the following web site : http://www.pcpd.org.hk/

2

# Evidence of Achievement 5 – College Experience +10 Questionnaire Scoring Key

## College Experience +10 Questionnaire
## Alumni/ Graduate Instrument

### Scoring Key

| Item Number | Leadership Dimension |
|---|---|
| 1 | Intellectual Stimulation [IS] |
| 2 | Individual Consideration [IC] |
| 3 | Inspirational Motivation [IM] |
| 4 | Idealized Influence (Attributed) [IIA] |
| 5 | Inspirational Motivation [IM] |
| 6 | Intellectual Stimulation [IS] |
| 7 | Idealized Influence (Behaviour) [IIB] |
| 8 | Individual Consideration [IC] |
| 9 | Effectiveness [E] |
| 10 | Extra Effort [EE] |

### College Experience +10 Clusters

**Idealized Influence (Attributed) [IIA]**
#04

**Idealized Influence (Behaviour) [IIB]**
#07

**Inspirational Motivation [IM]**
#03
#05

**Intellectual Stimulation [IS]**
#01
#06

**Individual Consideration [IC]**
#02
#08

**Effectiveness [E]**
#09

**Extra Effort [EE]**
#10

Updated Version 151117

## Evidence of Achievement 6 – College Experience +10 Questionnaire Mapping Graphic

# Evidence of Achievement *7* – +10 Questionnaire and Q¹²® Gallup Workplace Audit Process Flowchart

## Evidence of Achievement 8 – DPS 4561 Programme Approval Panel 02 OCT 2015 – Presentation

**DProf Programme Approval Panel**
2nd October 2015

Peter Stoffell

Peter is an organisational development professional and the founder of Virtus OD (HK), an organisational development consulting practice that brings together research, theory and commercial acumen to bring about sustained and effective personal development which reinforces dynamic organisational performance.

With more than 20 years of experience as a manager and consultant, Peter has worked with internal and external business clients that span a broad range of industries across multiple functions and cultures. He has experience collaborating with clients from various locations, including Australia, Hong Kong and Southeast Asia. Peter holds an MA in Human Resource Development and supporting qualifications in Adult Learning and Project Management.

Good Afternoon,
Personal introduction, my philosophy, drivers and beliefs
Today's discussion overview:
1. Project background
2. Processes and instruments
3. Considerations, design issues, ethical issues and discussion

MAY 2014 - A headline of some interest, of particular interest is the reference to an 'inspiring professor' in the sub-text headline…
… so I read the report

> **GREAT JOBS**
> **GREAT LIVES**
> The 2014 Gallup-Purdue Index Report
> A STUDY OF MORE THAN 30,000 COLLEGE GRADUATES ACROSS THE U.S.
>
> • If an employed graduate had a professor who cared about them as a person, one who made them excited about learning, *and* had a mentor who encouraged them to pursue their dreams, the graduate's odds of being engaged at work more than doubled. Only 14% of graduates have had all three.

The reports equates workplace engagement to:
1. A caring professor
2. The generation/ creation of excitement with learning
3. A pattern of mentoring/ encouragement to pursue dreams
… but is workplace engagement an issue?
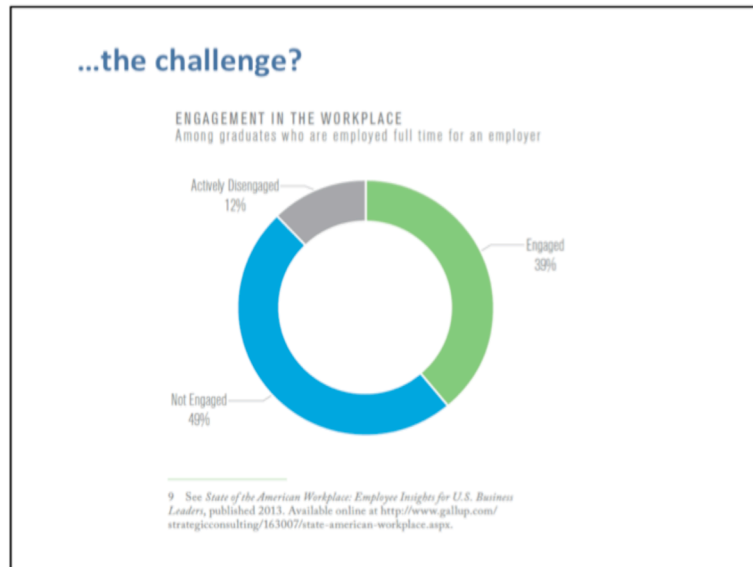
... in 2014 **61%** of college graduates in employment reported being 'actively disengaged' OR 'not engaged'

...the caring professor?

THE CHRONICLE OF HIGHER EDUCATION

Administration

May 6, 2014

A Caring Professor May Be Key in How a Graduate Thrives

The concept of the 'caring professor' is worthy of investigation... hence my research project

*...DPS 4561 Planning a Practitioner Research Programme*

**Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship**

**3 project hypotheses...**

H1  Transformational classroom leadership behaviours can be identified and attributed to teaching academics;

H2  Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment;

H3  Causal links can be drawn between transformational classroom leadership and the workplace engagement status of Lingnan alumni.

STOFFELL, Peter Gordon

## Project consideration ✋

*✋ Is there transformational leadership in the higher education classroom?*

Based on the leadership work of Bass & Avolio (*Multifactor Leadership Questionnaire MLQ 5-Short*)
T/L leadership sits atop the leadership continuum.
T/L supports higher levels of productivity, motivation, non-discretionary effort and engagement, with lower turnover levels.
Senge (1990) *The fifth discipline: The art and practice of the learning organisation* highlights the importance of leadership to learning in an organisation.
Research in the past 10 years indicates classrooms can be viewed as small organizational/ social structures.
T/L characterisitics can be associated with the highwer education learning environment.

## Characteristics of transformational leadership

Lead by example and set the expectations

Encourage learning and growth

Idealised Influence

Intellectual Stimulation

Individiualised Consideration

Inspirational Motivation

Coaching and empowering to success

Inspiring to go to new heights

Copyright 1995, 2000 by Bernard M Bass and Bruce J Avolio. All rights reserved.

Bass & Avolio's T/L characteristics at the circle, suggested HE classroom characteristics at the red squares.
The similarities are considerable and the project has been based on these considerations.

Project considerations ✋

✋ *ontology, epistemology & methodology?*

|  | **Positivism** | **Critical Realism** | **Relativism / Interpretivism / Post-modernism** |
|---|---|---|---|
| **Types of research questions** | "Does X work?" "Is 'X' cost effective?" | "In the reality of 'X', what components of 'X' work for whom under which conditions?" | "How may 'X' interpreted by the key stakeholders?" |
| **Key approaches and methods** | Deductive (Hypothesis driven) | Theory testing and building | Inductive (General conclusions & theories) |

... *critical realism – "ontological stratification"* (Bhaskar, 2014)

However, I needed to resolve issues within my ontology, epistemology and planned methodology!
On a continuum between positivism and post-modernism... **CRITICAL REALISM** provides an approach that allows for a strongly contextualised design.

2 aspects of the enquiry: **Classroom** leadership and **Workplace** engagement.
CTLQ is adopted from the MLQ 5-Short (Bass & Avolio), includes Chinese traditional and simplified translations for cultural context and clarity. Back translation important here.
Student Rater – targeting senior/ post-graduate students (n=200)
Teacher rater – targeting Lingnan teaching academics (n=50)

Gallup Q12 to be used in conjunction with an adaption of the Gallup 'Big Six that I've entitled *College Experience +6 Questionnaire*
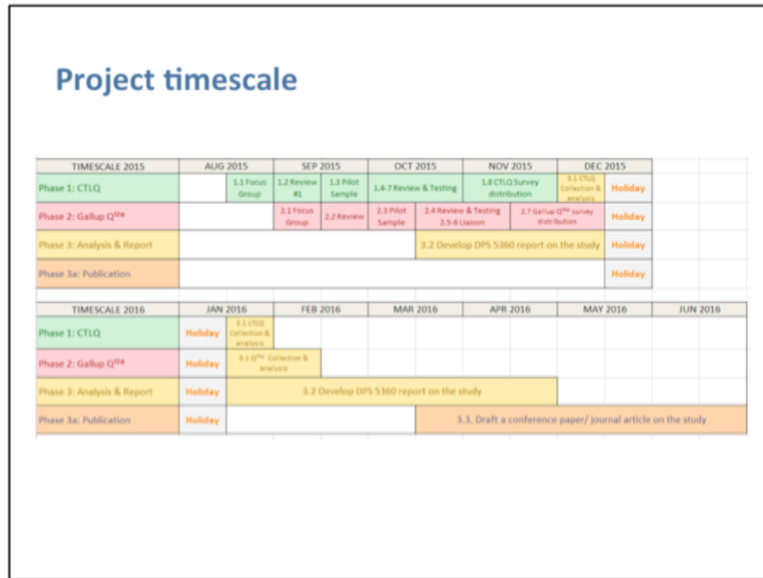
Project Gantt chart – critical planning and communications tool. Constantly revised to achieve those purposes.
NOTE: Analysis should also be expanded to examine the literature/ findings on the gender-related differences, if any, on the perceptions and responses to the concept of transformational classroom leadership.

## Project considerations ✋

✋ *behavioural competency OR general attributes?*

✋ *consulting services & ethics approval?*

✋ *performance management and academics?*

✋ *workplace engagement and employer issues?*

✋ *opportunities for Lingnan University?*

- *behavioural competency OR general attributes?* – Behavioural competencies are usually effective as descriptors but in assessment become reductionist and narrow, thereby limiting their potential application to this project. Using a musical analogy – competencies are like the individual notes on a song sheet, but general (L/S) attributes provide the overall 'arrangement' within the context of the subject.
- *consulting services & ethics approval?* – I am currently employed as a contract Snr Research Consultant with the Office of Outcomes Based Education, Lingnan University. This project design has been subject to, and gained approval for implementation under Lingnan University research ethics approval protocols. Equally, the research approval ethics for Middlesex University, London have also been addressed.
- *performance management and academics?* – Gert (2014) summarises his code of ethics simply as "do not cause harm" and "do not violate trust". Accordingly, when it came to my attention that some of the academics my view the CLTQ as a form of performance management by stealth, I addressed it in the following ways, (a) the inherent design of the CLTQ, it's distribution and analysis ensures for completely anonymous – essentially, no names, departments, classrooms or courses are recorded. The research invitation letter provides all details of the research and avenues for additional enquiry or feedback.

There is an expanding emphasis on teaching and learning within higher education driven by:
- an environment of rising accountability for the provision of services,
- competition between education providers for the prospective students,
- and mounting challenges from employers to enhance the potential for their graduating students' successful transition to employment (Tuchman, 2009).

Luxbacher (2013) argues that sole reliance on university rankings alone for marketing and promotional purposes for all but the world's 'top' recognised institutions, can (and should) be enhanced.

Consistent with the University president's comments, the broader engagement with these project findings may help define a unique category of positive teaching and learning benefits for Lingnan University and other institutions that pursue a liberal arts agenda.

Thankyou... Questions please

# Evidence of Achievement 9 – Poster Presentation, 10 November 2015

## Transformational Classroom Leadership and Workplace Engagement: Exploring the Relationship

Stoffell, P.G.

**Institute of Work Based Learning**
Middlesex University London

Lingnan 嶺南大學 University

### Abstract
In a Hong Kong setting, this project seeks to investigate the relationship between transformational classroom leadership and workplace engagement. The immediate projected outcome will be to confirm or otherwise, an association between the transformational classroom leadership qualities of University teachers and subsequent workplace engagement of alumni.

### Context
Higher education providers are facing challenges to enhance the potential for their graduating students. Employers complain that graduates are underprepared for the world of work and lacking in the basic skills needed to successfully engage with employment. Self-reporting by graduate alumni highlights a common lack of engagement with employability-related development. Increasingly, the quality of academic teaching is at the centre of discussions. Practical answers to the broad issues at hand haven't been conclusively achieved. The diversity of outcomes to these complex issues highlights the opportunity for consideration of the contributing factors within a different perspective.

### Project aim & hypotheses
The project is set within the Hong Kong environment and aims to establish the links, or otherwise, between transformational classroom leadership within the higher education environment and the subsequent level of workplace engagement for graduates developed within this milieu.
**H1** Transformational classroom leadership behaviours can be identified and attributed to teaching academics;
**H2** Levels of workplace engagement can be ascertained with a sample of Lingnan alumni at their places of employment;
**H3** Causal links can be drawn between transformational classroom leadership and the workplace engagement status of Lingnan alumni.

May 6, 2014

f t g+ in ✉ 🖨 Comments (88)

### A Caring Professor May Be Key in How a Graduate Thrives

### Project rationale
At the heart of my research hypotheses, the 2014 Gallup studies reveal that a **'caring professor'** plays a significant role in producing graduates who are characterised as highly engaged in the workplace. The term 'caring professor' is not expanded upon in the Gallup study, however, I believe there are potential links here to transformational classroom leadership and these are important to review and examine. I have adopted the critical realism paradigm (Bhaskar, 2014) as the basis for my research model because it transcends both positivism and the broader phenomena of realism – 'a scientific approach when conducting real world social research'.
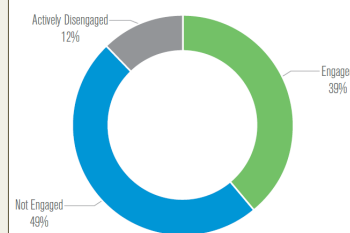
ENGAGEMENT IN THE WORKPLACE
Among graduates who are employed full time for an employer

Actively Disengaged 12%

Engaged 39%

Not Engaged 49%

9 See *State of the American Workplace: Employee Insights for U.S. Business Leaders*, published 2013. Available online at http://www.gallup.com/strategicconsulting/163007/state-american-workplace.aspx.

### Project objectives
**1.** The testing and review of the Classroom Teacher Leadership Questionnaire (CTLQ) and the Gallup Q12® Workplace Audit, as required, for adaptability and usability within the Hong Kong higher education environment.
**2.** The communication, engagement and distribution processes of the CTLQ instrument to Lingnan University senior students.
**3.** The communication, engagement and distribution processes of the Gallup Q12® to Lingnan alumni through the Lingnan University's Office of Institutional Advancement and Alumni Affairs (OIAAA).
**4.** The review and analysis of the two sets of completed instruments.
**5.** The communication of research findings to help (re) clarify the defining qualities of a University within an increasingly competitive environment and well-informed potential students.

### The challenge
Leadership research in both industry and higher education (HE) on the variants within a leadership continuum has described the concept of transformational leadership (T/L). Descriptors of T/L characteristics and instruments them have been developed and broadly validated within industry, and more recently modified for application in higher education. Recent surveys highlight continuing **low rates of workplace engagement**, a major issue for workplace productivity and individual satisfaction. Research is increasingly confirming the positive outcomes T/L classroom leadership can have within the HE environment... but are there also links between transformational classroom leadership and the subsequent success and workplace engagement of graduates?

### Method & timescale
**Phase 1.** Classroom Teacher Leadership Questionnaire (CTLQ). This instrument is to be distributed to Lingnan University senior (Yrs. 3-4) and post-graduate students (n = 250) (OCT–NOV 2015)
**Phase 2.** Gallup Q12® workplace audit instrument. This instrument will be distributed to 2014-12 alumni through the Office of Institutional Advancement and Alumni Affairs (OIAAA) to the Lingnan Alumni n=200) (NOV-DEC 2015)
**Phase 3 -** Analysis and Reporting
Collect and analyse results (NOV 2015 - JAN 2016)
Prepare a comprehensive report on the study (JAN-APR 2016)
Draft a conference paper/ journal article on the study (MAR-APR 2016)

### Acknowledgments
Transformational guidance, advice and support from Professor Jim Pounder, Dr Idir Bahamid, and the Lingnan University, Teaching & Learning Centre.