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APPENDIX A

Student: B.Damonse (21231614)

PhD Study: Leadership through the through the lens of research productivity

Sample Selection-Research Leaders

Research leadership in this study is identified by the hallmarks of excellence in scholarly publication at the cutting edge of the discipline, extensive quality national and international research networks, personal scholarly recognition and prestige amongst peers, leadership of quality masters and doctoral programmes, early researcher mentorship and the ability to garner research funding.

Successful research faculty are generally those who publish in the leading journals, develop quality postgraduate students, garner large external grants, create intellectual property, garner publicity for their institutions and are selected for the nation's elite academies. It is also usually that same faculty who are able to command large teams of research associates, post-doctoral researchers and graduate students, and professorships and chairs (Pourciau, 2006 p3).

_____

Target Level: Dean/assistant dean/head of department/head of research unit/centre of excellence etc

Discipline: Any

Indicators used in this study to verify that participants indeed exhibit signs of excellent research leadership

INDICATOR	SUPPORTING DATA/COMMENT
NRF Rating (A,B,C) (compulsory)	
Excellence in scholarly publication at cutting edge of field	
Personal scholarly recognition and prestige amongst peers	
Leadership and/or teaching of quality post graduate research programmes	
Early researcher mentorship	
Extensive quality national and international networks	
Research/scholarly awards	
Ability to garner research funding	
Contribution to management and administration in support of research excellence	
Innovations in research performance or capacity	
Appointment to position of research chair or leader of centre of excellence	
Selection to academy of sciences	
Other relevant indicator(s)	

APPENDIX B

Faculty of Education

Prof
Deputy Vice Chancellor; Research, Innovation &Advancement
….

……

Dear Professor,

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH
UNIVERSITY OF JOHANNESBURG

I am registered for a PhD degree with the Department of Educational Management and Policy Studies, Faculty of Education at the University of Pretoria. The topic of my dissertation is *Leadership as viewed through the lens of research productivity.* This study seeks to explore the professional and personal nature of academic leadership that enables and stimulates high quality research performance within the context of the research enterprise.

The participants of the study will be selected research leaders and at least two of their direct mentees from South African research institutions. The research leaders should satisfy the following criteria viz a) NRF rated researchers b) at level of dean or deputy dean or equivalent c) and selected by the DVC as a recognised effective research leader. The mentees will be individuals who where developed under the research leadership of the participant selected as above and who now occupy academic or research positions or senior positions in other related sectors. They may or may not still reside within your institution.

The research activities will include semi- structured interviews and focus group discussions. Data collection will also include research records of individual research leaders.

I request your permission to undertake the aforementioned study with selected research leaders from your institution who may be included as part of the final sample.

Yours sincerely

Beverley Damonse

APPENDIX C
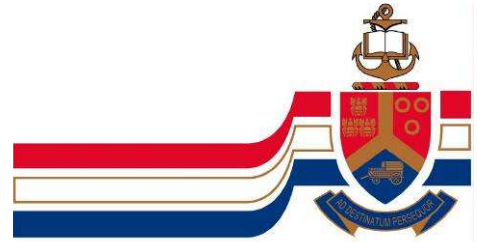
University of Pretoria

Pretoria 0002 Republic of South Africa
Tel (012) 420-5721   Fax (012) 420-4215
http://www.up.ac.za

Faculty of Education

Professor ………………

…………………………….

10 July 2009

Dear Professor ,

RE: Request for participation in research study

I am registered for a PhD degree with the Department of Education Management and Policy Studies, Faculty of Education at the University of Pretoria. The topic of my dissertation is **_Leadership as viewed through the lens of research productivity._** This study seeks to explore the professional and personal nature of academic leadership that enables and stimulates high quality research performance within the context of the research enterprise.

Through a process that included, amongst others, the criteria of NRF rating and recommendation by your institution, you have been selected as a suitable participant for my study. As a participant you will be required to take part in a face–face-interview (possibly a minimum of 1x 3hrs or 2x2 hrs each) where I would like to discuss your personal and professional research leadership and research productivity experiences within the academic context.

My data collection would also include your curriculum vitae and records of scholarly production, although as a rated researcher, much of this research information may already be available on the NRF database.   Your responses

will be held in confidence and I will be pleased to share the transcripts of interviews with you for comment.

Research studies show that there is a dearth of literature on leadership within higher education. Feedback received on the research proposal to date suggests that this study could contribute to an informed understanding of the nature of academic research leadership that promotes scholarly excellence.
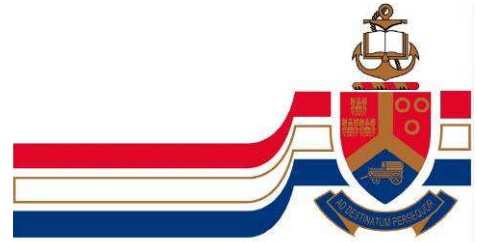
I do look forward to your positive response to my request.

Yours sincerely

_____
Beverley Damonse

APPENDIX D

University of Pretoria

Faculty of Education

Dr A Van Jaarsveld
Acting President and CEO,
National Research Foundation
PO Box 2600
Pretoria 0001
Tel;012 418 4109
Email: albert@nrf.ac.za

Dear Albert,

RE: Request for access to data records

As you know, I am an employee of the NRF and currently the Executive Director of SAASTA. I am also registered for a PhD degree with the Department of Educational Management and Policy Studies, Faculty of Education at the University of Pretoria. The topic of my dissertation is *Leadership through the lens of research productivity.* This study seeks to explore the professional and personal nature of academic leadership that enables and stimulates high quality research performance within the context of the research enterprise.

The participants of the study will be selected research leaders and at least two of their direct mentees from South African higher education institutions. One of the criteria for the selection of the participants is that they must be NRF rated researchers. I will also use their research records as part of my data collection.

Hence, since the participants are rated, much of their research data may be stored on the NRF base. Any NRF grant funding and student support records

will also be information that contributes towards an analysis of research productivity of the participants.

I hereby request your permission for access to the NRF research records of the selected participants who will be part of my research study. The participants are unknown at the stage.

Yours sincerely

Beverley Damonse
Student No: 21231614

APPENDIX E

PhD research study
Leadership through the lens of research productivity

LETTER OF CONSENT

I …………………………………………….have consented to participate as a research subject in the PhD research study of Beverley Damonse, a student of the University of Pretoria. I understand that the interview data will form part of the main body of the PhD dissertation and that her studies are to be used for educational purposes.

In addition, I have agreed that my professional curriculum vita, research records submitted for my NRF rating, and my grant funding history may be used as secondary data for the study.

I understand that responses will be held in confidence and transcripts of interviews will be shared for comment. Furthermore I have agreed that in the study the researcher will refer to me by: (tick the appropriate block)

A pseudonym ☐

My given name ☐

_____   _____

Signed   Date

APPENDIX F

1A. INTERVIEW SCHEDULE

Schedule for face-to face interview with research leaders

Respondents background details, especially related to research.

1. Describe the nature of your qualifications and the institutional affiliations that make up your academic pathway.

2. What do you consider as 'key events/ hinge moments' that shaped your development as a researcher and academic scholar?

3. Describe your current job title and primary employment function? Did you apply for this position or were you promoted into it?

4. What are the tasks/responsibilities that make up your current portfolio? Are there any role demands and/or tensions that you experience within this portfolio?

Respondents' thoughts about research and research leadership

1. What are your views of the nature of research and research excellence?

2. What is your understanding of the nature of research leadership?

3. What do you consider as the determinants of credibility for a research leader?

4. Research leader and individual researcher. How does one fulfil these roles effectively?

5. How would you describe your own approaches to research leadership?

6. Can you describe any examples of good and bad research leadership experiences in your academic career.

Experience of leadership upon others – respondents thoughts about mentoring, building capacity and research productivity

1. How do/did you build research capacity and drive scholarly production within your faculty/research team?

2. To what extent is scholarly productivity influenced by the context of research environment? How would you describe your current research context?

3. What factors have you found to most hinder effective research and research development?

4. How do you evaluate the research productivity of your faculty members?

5. What rewards and motivations do you/ your institution use to drive research productivity? What are the 'symbols' (conscious and unconscious) of research success in your unit?

ADDITIONAL QUESTIONS PER EMAIL

1. How has your personal research development/career been impacted by the higher education context of apartheid South Africa?

2. What roles have you personally played (had to play!) as an academic leaders in driving the research transformation required in post apartheid South Africa?

APPENDIX G

Questionnaire: Research mentees

Thank you for taking the time to complete this questionnaire

SECTION A

Please provide the required personal information in the spaces below.

Name:	
Current Employing Institution:	
Current Position in the Institution:	
Year in which PhD was completed:	
Supervisor and/or co-supervisor:	

SECTION B

1.   Why did you choose to follow research through PhD studies?

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_____

_____

_____

_____

2.   Where there any 'critical incidents' that motivated your research development and productivity?

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3. What do you consider as essential characteristics of a credible a research leader?

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_____

4. How did you come to study under/ work with Prof XXXX during your PhD studies?

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_____

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_____

5. How would you describe her/his research leadership techniques/style? Explain as fully as possible

_____

_____

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_____

6. What do you think creates effective mentoring relationships in the research context?

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_____

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_____

7. Describe the nature of the mentor- mentee relationship you experienced with your research leader?

_____

8.   Looking back, what do you consider was the impact of mentoring on your individual research capacity and professional growth

9.   What was the nature of the interpersonal relationships and communication that you experienced with your research leader?

10.   What rewards and motivations were used to drive research excellence and productivity in your PhD years?

11.   What kinds of training and preparation did you receive for any future leadership roles?

12. How did you, as a developing researcher, create your own research identity/niche i.e. separate from your mentor/research leader (cutting the umbilical cord).

In what ways was this facilitated by your leader?

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_____

13. How would you describe your current research and/or professional profile?

_____

_____

_____

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_____

APPENDIX H

All the interview and questionnaire data has been coded using Atlas Ti software. This information is available on CD.