An investigation into academic staff perceptions of workload and performance management models in higher education

A thesis submitted to The University of Manchester for the degree of Doctor in Education (EdD) in the Faculty of Humanities

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List of Abbreviations

BBC	British Broadcasting Corporation
CNAA	Council for National Academic Awards
CVCP	Committee of Vice Chancellors and Principals
DEG	Digital-Era Governance
ERA	Education Reform Act 1988
EV	Eigenvalue
FE/HE	Further Education/Higher Education
HEFCE	Higher Education Funding Council for England
HESA	Higher Education Statistics Agency
IT	Information Technology
JNCHES	Joint Negotiating Committee for Higher Education Staff
KTP	Knowledge Transfer Partnership
L/SL	Lecturer/Senior Lecturer
NAO	National Audit Office
NPM	New Public Management
OECD	Organisation for Economic Cooperation and Development
OfCOM	Office of the Communications industry Regulator
OfSTED	Office for Standards in Education
OfWAT	Office of the Water Industry Regulator
PCEF	Polytechnics and Colleges Employers Forum
PCFC	Polytechnics and Colleges Funding Council
PR	Performance Review
QAA	Quality Assurance Agency
RAE/REF	Research Assessment Exercise/Research Excellence Framework
TEF	Teaching Excellence Framework
TRAC(T)	Transparent Approach to Costing (Teaching)
UCU	University and College Union
UK	United Kingdom
WLA	Work Load Allocation

Abstract

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An investigation into academic staff perceptions of workload and performance management models in higher education.

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The focus of the research reported in this thesis is on the illumination of the perceptions of workload and performance management systems held by academic teaching staff in post-92 higher education (referring to the ex-polytechnics and colleges of higher education that became universities following the Further and Higher Education Act 1992). Workload means the contractual number of hours that are allocated to academic staff for work on teaching, research and administrative duties and performance management refers to those processes that are used to set and review individual objectives to be achieved in a given academic year. Universities continue to undergo major changes to purposes and practices regarding the design of and relationships between such systems, where forms of New Public Management (NPM) have been adopted in order to secure efficient and effective workloads and role performance. The aim of the research reported in this thesis was to illuminate the perceptions of workload and performance management models held by academic teaching staff who are subject to a 550 hours per annum teaching load regulated through workload and performance management processes. This was achieved by undertaking a factor analysis of Q sorts conducted with 52 academic staff. The site for this project is the post-92 University of Eagleton (anonymised) located in the North of England. The study is structured using three research questions; 'What are the perceptions of academic staff of the models of workload and performance management in operation within the University of Eagleton?', 'What is the relationship, identified by academic staff, between workload and performance management of staff?' and 'What recommendations can be made about the future development and deployment of workload and performance management models?'. These questions are important because they address the gaps in knowledge about the operation of workload and performance management processes, linkages between these models and the effects they have on academic staff. A conceptual contribution is made through the development of a New Public Management (NPM) Framework to give a macro environment in which to locate this project. This framework was subsequently deployed in the analysis of the factors to establish the effect that NPM had on the implementation of the workload and performance management models. Recommendations are made for managers, based on the key findings from the factor analysis, as to how to refine the implementation of the workload and performance management models in order to achieve a more productive engagement of these models by the academic teaching staff. Recommendations are made for researchers, based on the need to develop longitudinal studies at post-92 universities and to develop this type of research within pre-1992 universities.

Declaration

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Dedication

Dad,

A promise fulfilled.

Frederick Graham (2 May 1934 – 2 January 2014)

I keep six honest serving-men:

(They taught me all I knew)

Their names are What and Where and When

And How and Why and Who.

The Elephant's Child from the 'Just so stories' (1902)

Rudyard Kipling

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Chapter 1

Introduction to the thesis

1.1 Introduction

The focus of the research reported in this thesis is on workload and performance management of academic staff in post-92 higher education[1]. By workload I mean the contractual number of hours that are allocated to academic staff for work on teaching, research and administrative duties and by performance management I mean those processes that are used to set and review individual objectives to be achieved in a given academic year. Universities continue to undergo major changes to purposes and practices regarding the design of and relationships between such systems, where forms of New Public Management (NPM) have been adopted in order to secure efficient and effective workloads and role performance.

The aim of the research is to illuminate the perceptions of workload and performance management models or processes held by academic teaching staff who are subject to a 550 hours per annum teaching load regulated through workload and performance management processes. The site for this project is the post-92 University of Eagleton (anonymised name) located in the North of England. The study is structured using the following research questions;

- What are the perceptions of academic staff of the models of workload and performance management in operation within the University of Eagleton?

[1] post-92 higher education refers to those institutions that became universities in title following the Further and Higher Education Act 1992; they were the ex-polytechnics and colleges of higher education

- What is the relationship, identified by academic staff, between workload and performance management of staff?
- What recommendations can be made about the future development and deployment of workload and performance management models?

These questions are important because they address the gaps in knowledge about the operation of workload and performance management processes and the effects they have on academic staff. Crucially, addressing these questions will show whether or not there are perceived linkages between the processes amongst academic staff since there is no evidence of this in the projects reported in the literatures. Educational research should have an impact on the profession and so the data will enable recommendations for future management practice to be made. The research questions are addressed through the adoption of a Q methodological study of 52 academic staff at the University of Eagleton. Q methodology was used because it is an efficient means of capturing raw data from the 52 academic staff and is ideally suited to the situation where "human subjectivity" is under consideration (McKeown and Thomas 1988, p12) in an exploratory situation. The associated Q sort method was used with the staff that allowed for a rich holistic factor analysis of the data. This project is located within a socially-critical framework (Tripp 1992) and is conceptualised through the use of New Public Management (NPM) to explain the development of workload and performance management systems in relation to current macro scale pressures on higher education. An NPM Framework is proposed with conceptual 'bins' (these 'bins' are; audit controls, managerialism, products, administrative values and performance measurement) defined in order to explain what NPM means in relation to post-92 universities.

1.1.1 Contributions to knowledge

This research project makes empirical, conceptual and methodological contributions to knowledge in the areas of workload and performance management of academic staff. The empirical contribution is a result of using Q sorts to understand the perceptions of academic staff. Such an attitudinal approach is unique in that there are no projects reported in the literatures addressing these matters in higher education in the United Kingdom (UK) and so the data analysis of the results will populate the gap in existing socially-critical literatures about the linkages between workload and performance management processes. This will provide an evidence base for recommendations for the future application of workload and performance management models to the post-92 higher education sector in the UK. The conceptual contribution arises from the confirmation of the usefulness of the proposed NPM Framework in explaining staff perceptions following analysis of the Q sort data.

The methodological contribution is in three parts. The first is the way in which the individual factors are combined in order to provide for comparisons to be drawn between the views of each sub-group of staff. The second part of the methodological contribution is concerned with the potential for generalising the findings from a sample group of staff used in the Q method p-set to the whole university staff at the University of Eagleton. Conventional approaches to Q sorts have meant that generalisation is difficult because of the self-referent nature of the Q sort however, a case will be made that conceptual generalisations are possible (Expositor 1987; Thomas and Baas 1992) between Q sorts in order to extrapolate

conclusions to the whole staff group at the University of Eagleton. The third contribution comes from the use of the 'boundary conditions' that participants were asked to set on their Q sort chart in order to give factors that were more clearly focused.

1.2 Rationale

My interest in academic staff performance and workload management began over fifteen years ago when I became a Head of Department in a post-92 institution and was given responsibility for the management of academic staff workload and performance. This research project was informed by my own professional experience and work undertaken in Research Paper 1 (Graham 2012; subsequently published Graham 2015a) presented to the Manchester Institute of Education, where the dichotomy in the literatures for workload and performance management was identified as well as from Research Paper 2 (Graham 2013b subsequently published Graham 2016) which reported on the findings of interviews with the Academic Managers responsible for implementing the workload and performance management systems. It was the dislocation between workload and performance management that ultimately drew me to this project.

The small-scale empirical study conducted for Research paper 2 (Graham 2013b) was used "to test whether my prejudice that the two should be linked … in some way was correct" (Graham 2013b, p3). Thus the study was used to examine the role of Academic Managers in implementing the workload and performance management processes mandated by the University of Eagleton along with their

attitudes to the models. This study used semi-structured interviews that were then analysed through a coding system that formed a "conceptual web" (Miles and Huberman 1994, p63) formed around the ideology of neoliberalism and its manifestation in New Public Management (NPM). This analysis showed that whilst the managers recognised that linkages should exist "the linkages between the two aspects [workload and performance] are poorly understood by the … academic managers" (Graham 2013b, p39) thus reinforcing the conceptual dichotomy between workload and performance management.

So far my research could be categorised as a 'top-down' approach to issue of the linkages between workload and performance management systems since it was focused on a literature review taken at the macro level and then examined the role of those in management positions when implementing workload and performance management processes. The missing link was that the views of the academic staff that are directly impacted by the processes needed to be explored; yielding valuable socially-critical insights through such a 'bottom-up' approach. Thus Research Paper 3 (Graham 2013a) was used as the vehicle to pilot the methodology and methods for this project and helped to refine the conceptual model that provides a framework for this project. During the data analysis stage of this project I was able to present my evolving findings at a seminar within the Manchester Institute of Education (Graham 2015b) and this was invaluable in helping to confirm that the analytical method was secure and in helping to shape my thinking about the factors produced.

The subject of this research project is particularly apposite at the moment where the higher education sector is going through significant policy changes and the need for evidence based decision making is becoming more acute (Gill 2013). This has reached a climax with the publication of the UK Government's HE White Paper in 2016 (Her Majesty's Government 2016) which will significantly alter the dynamics in the HE sector but probably more directly in the post-92 sector of which the University of Eagleton is a member. A central theme is that of "driving up the standards and status of teaching" (Her Majesty's Government 2016, p12) so the White Paper proposes a 'Teaching Excellence Framework' putting teaching at the heart of what universities provide, on a par with research, and this will have a direct bearing on student fees that universities are able to charge. This is clearly at the heart of the marketization agenda because as the White Paper makes clear "information particularly on price and quality, is critical if the higher education market is to perform properly..." (Her Majesty's Government 2016, p11) and reinforces the view of the student as a 'consumer'. Nobody really knows what impact this will have on the choices students make but smaller post-92 institutions will be vulnerable to shifts in student applications as applicants follow the market. This explains another aspect embedded in the White Paper, that of formal procedures for institutions "to exit the market completely" (Her Majesty's Government 2016, p10) and signals a much sharper edge to government policy in this regard. So, alongside making it easier for new entrants to become universities and gain degree awarding powers, for the first time we see a policy aimed at both ends of HE 'market'. The regulatory reforms outlined in the White Paper see the established order being broken up with the "ten arms'-length Government bodies" (Her Majesty's Government 2016, p15) regulating HE being reduced to just two.

Long established bodies such as the funding council, HEFCE, will be disbanded and their duties taken over by an Office for Students with the aim of "creating a competitive market" (Her Majesty's Government 2016, p8) and improving student choice. It is understandable that the HE sector is concerned about the detail of what this will mean for sector. Thus there has been a coherent, linear development of my area of research interest, from a review of the projects reported in the literatures to this thesis, allowing for comparisons of views to be made between those in management positions and those who are controlled by the workload and performance management processes.

1.3 Structure of the thesis

Following on from this opening chapter, Chapter 2 sets the context for the research within the University of Eagleton during a time of rapid change affecting HE within the UK, most notably with the Higher Education Bill 2016 (Her Majesty's Government 2016). It is important to be able to understand the workload and performance models that have been implemented at the University of Eagleton in order to make sense of the analysis of the results from the Q sorts and Chapter 2 fills this role. Chapter 3 then provides a review of projects reported in the literatures about workload and performance management across the higher education (HE) sector in the UK in order to highlight the gap in knowledge that the outcomes of this project will populate. A conceptual framework for the research is proposed in Chapter 4 by examining how neoliberal ideology, particularly the rise of managerialism, has influenced the development of New Public Management (NPM) applied to the post-92 HE sector and in particular, the University of

Eagleton. Chapter 5 provides the detailed explanation of the research design followed by the analysis of the results in relation to workload and performance in Chapter 6, whilst Chapter 7 uses factor analysis to test whether the NPM Framework is able to help explain how NPM is affecting the University of Eagleton. A comparison will also be made across factors in the sub-groups and comparisons with the findings from the project undertaken with the Academic Managers at the University of Eagleton (Graham 2016). Finally, Chapter 8 examines methods of conceptual generalisation for Q methodological studies that would allow the findings to be taken as 'representative' of the academic staff as a whole at the University of Eagleton and opening the possibility that the findings could be generalised across the post-92 sector more widely. This is followed by an examination of what it means to be a 'researching professional' through reflections on the positionality of the researcher during this project and the way that theory and practice were mobilized. The chapter ends with recommendations for future management practice in relation to workload and performance management and suggestions for further research.

Chapter 2

Context for the research project

2.1 Introduction

This chapter begins with an explanation of what workload and performance management mean in relation to post-92 higher education institutions. This is followed with a review of the external macro level factors, mostly political in genesis, that have impacted higher education in the UK since the publication of the Jarratt Report 1985 (Jarratt 1985) because this was an early, significant and influential report to raise the issues of resource management within universities. Three years after the Jarratt Report (Jarratt 1985) the Education Reform Act 1988 (Her Majesty's Government 1988) began the process of creating what is now referred to as the post-92 university sector to which the University of Eagleton belongs. The impact on HE of the various external factors is used to set the scene for the contextual description of the environment and manner in which the University of Eagleton is managed with reference to workload and performance of academic staff, forming the foci of this research project. The University of Eagleton's performance and workload management models are described together with the way in which information technology (IT) systems are used to underpin their operation.

2.2 Workload and performance management

The academic staff contract in post-92 universities usually specifies what the job role entails across three broad aspects of the role; teaching, research and

administrative duties to support teaching and research. There is also a commitment to participate in some form of review of performance in the role. This means that universities need to have in place policies that lay down the way in which the workload will be managed through a model that provides guidance to managers on allowances to use for various aspects of the role and, separately, a process to follow in applying the model. Similarly, there is a policy on performance review with an associated operational process for its implementation. By using the workload and performance management processes a university can maximise the outputs from their staff resource which is increasingly important at a time when there is continued downward pressure on the unit of resource due to falling income in real terms from student fees and central government funding. This is actually 'good' management and is considered to be best practice because it is facilitating the effective and efficient use of the key staff resource of the university.

The workload management model provides guidance on the contracted annual hours for the work of academic staff that usually falls within the three broad areas of teaching, research and administrative duties to support teaching and research. The workload process is controlled by the academic management and allows them to allocate duties to an individual member of staff that ensures that the delivery of learning, teaching and research meets the needs of students and the university. For each member of staff there is a workload allocation record for the academic year that details how that staff resource has been deployed. Similarly, there is a contractual requirement to engage with a performance management process. The purpose of performance management is to set objectives against which the staff member can be measured in order to provide a benchmark for the way they are

performing in their role. Processes include appraisal schemes, performance review schemes and professional development reviews to name only a few examples, but all have the same essential function of setting objectives for work and measuring the achievement of those objectives. The workload and performance management processes are summarised in Figure 1 below.

	Workload	Performance
Teaching	Allocate hours for each teaching event, marking/assessment activities and supervision of projects/dissertations Allocate hours for personal tutoring roles, staff mentoring etc	Setting agreed objectives for teaching activities for the academic year that are measurable in some way e.g. increasing retention on a module by a given amount, increasing number of 'good' degrees by a given figure, reducing number of retakes in assessments etc
Research and scholarly activity	Allocate hours for research student supervision Agree hours allocated to direct research activities such as writing articles and books or lab. based activities Allocate hours for research dissemination or public engagement	Agreeing specific numbers of research outputs during an academic year and at a specified REF level Setting targets for research student completions or recruitment Specifying research grant income levels to be achieved Agreeing targets for KTPs
Administrative duties	Agree an allocation of hours for undertaking course/programme leadership duties, QA process compliance, peer observations and other duties associated with the management of learning and teaching	Setting objectives for staff development Agreeing course management responsibilities with targets for student recruitment Agreeing targets for such items as open day attendance etc Agreeing objectives that may allow for promotion to be considered

Figure 1 Summarising the main components of workload and performance management processes

There is a documented output from the performance management system just as there is for workload and it is through workload and performance management processes that the staff resource is managed within tight financial constraints providing accountability for the use of the staff resource within the University.

2.3 The macro environment

Workload and performance management models and processes are vital in order to utilise the staff resource effectively and efficiently across the university. The processes for workload and performance management are inherently a part of the accountability systems required of HE institutions as a result of many macro level interventions. The most significant interventions are shown in Figure 2 with a brief description of their key impacts on HE.

External factor	Impact on HE
Jarratt Report 1985	Efficiency studies of current universities, recommendations for management for systems to monitor use of resources
ERA 1988	Established funding councils for polytechnics/colleges and universities, removed local authority control of polytechnics/colleges
F and HE Act 1992	Polytechnics and colleges of HE became universities, single funding council for HE established
TRAC(T) 2005	Robust data on staff workloads, harmonisation of staff workload hours
Browne Review 2010	Increase student fees to £9k pa, reduce funding council support to HE, required quality improvements especially in teaching
REF 2014	Reduced QR research funding, consolidated research funding in fewer universities based on REF 3/4* grades
Funding cap 2015	Removal of the cap on student numbers for institutions subject to them maintaining quality of provision
HE White Paper 2016	Teaching Excellence embedded as being a key thrust for quality, prospect of differential fees by institution, increasing competition from new entrants to the sector

Figure 2 Timeline of external factors impacting on higher education

The most recent macro interventions have come post-Browne (Browne 2010) where there is now more emphasis being placed on the effective and efficient use of the main resource of a university viz its academic staff. This is imperative because of the diminution of the unit of resource through the reduction in income from the removal of the Higher Education Funding Council for England (HEFCE) teaching grant, which has not been wholly compensated for by student tuition fee regime, and is coupled with a demographic downturn in student numbers for 18

year olds in the population of 12.5% by 2019 (Office for National Statistics 2011). Similarly, the reduction in 'quality related' (QR) funding for research following the Research Excellence Framework (REF) 2014 has compounded the pressures on university income streams. Another factor that is increasingly demanding is the *Transparent Approach to Costing for Teaching* (TRAC(T)) (HEFCE JCPSG 2005) methodology that demands robust data on staff workloads based on a definition of an overall annualised academic workload of 1650 hours. Interestingly, while it would have been logical to adopt this figure across the sector without variance, this has not happened. As part of harmonisation of staff hours between academic and non-academic staff in the national pay framework of 2004 individual institutions were able to agree their own norms for a working year and not all have adopted the TRAC(T) figures based on a 37.5 hour working week (1650 hours per year). Indeed, the University of Eagleton has adopted an annual workload of 1560 hours based on a 37 hour working week and this is shown in Workload Allocation Planning Framework Appendix 1; reflecting the fact that the sector is not homogenous. The TRAC(T) methodology audits actual staff time spent on key aspects of their role; broadly teaching, research and support for those areas and it has been recognised (Barrett and Barrett 2009) that appropriate workload systems are potentially capable of filling this data return need. Post-92 institutions in particular, which came from a more bureaucratic system under local authority control, have been trying to manage academic workloads for some time and this will be highlighted later in this section when the particular case of the University of Eagleton is explained. However, whilst this appears to offer a fair and equitable way of managing academic staff there may be impacts on the performance of staff when managed in this way. Experience of being a manager in the University of

Eagleton with responsibility for implementing workload systems with academic staff has shown positive benefits of using a robust, transparent workload system. Unfortunately, the performance management system for academic staff was not developed concurrently and so questions around the actual effect on performance when such systems are in place and how workload and performance are linked provide a focus for this research project.

The focus on workload management and academic performance in the role within the post-92 sector can be traced back to changes brought about by the Education Reform Act 1988 - ERA 1988 - (Her Majesty's Government 1988) which was enacted progressively from 29 July 1988 to 1 April 1990,which "altered the basic power structure of the education system" (Maclure 1992, p iv) and subsequently the Further and Higher Education Act 1992 (Her Majesty's Government 1992). Critically for those colleges of higher education (HE) and polytechnics the ERA 1988 established in section 132 of the Act, a national funding council to disburse funds directly to those institutions that were previously funded by local authorities; known as the Polytechnics and Colleges Funding Council (PCFC). Ultimately the two pieces of legislation removed the control and governance of polytechnics, colleges of HE and Further Education (FE) from local authorities. This was consonant with government policy at the time which was about introducing *laissez-faire* economic models of the free market into all areas of society in the belief that this would enhance effectiveness and efficiency; the seemingly inexorable march of neoliberalism if the paradox of local authorities (with the emphasis being on *local*) being replaced by centralised funding councils is ignored! Maclure (1992) says this was borne out of a belief that "more autonomous institutions would be

more efficient and achieve higher standards" (p ix). Maclure (1992) asserted that it was the intention of the government of the day to break the stranglehold on education by socialist political groups then in control of most local authorities. Effective competition has not entered the HE 'market', a contentious issue in itself, although there are now a few private 'universities' within the UK. The debate over whether to allow differential fees based on the proposed Teaching Excellence Framework (Her Majesty's Government 2016) and the removal in 2015 of the student number cap are clearly designed to deliver competition in the sector where a ministerial view prevails that "more competition will also be central to our efforts to drive up standards" (Johnson 2015, speech at Universities UK). These views have been enshrined in the latest Higher Education Bill (Her Majesty's Government 2016) laid before parliament and if this Bill passes through the legislative processes then the Teaching Excellence Framework will become a reality and lead to differential fees across institutions and mechanisms established to allow HE institutions to exit the market place. Whether this has, or will, lead to greater effectiveness or efficiency in the sector as a whole remains a matter of conjecture.

The concept of 'new public management' (NPM) arose in the early 1970s and heavily influenced political thinking at the time of the Conservative government in the UK which was formed in 1979; NPM became the concrete manifestation of neoliberal ideology. This NPM subjected jobs within the public sector, including universities, to new forms of management more usually associated with the private sector (Chandler *et al* 2002). It required a professional, systematic, and less collegial approach (Fredman and Doughney 2012) to controlling an organisation;

defined as managerialism. Managerialism was a form of governance or policy technology that provided the technical foundations for NPM, using output-based key performance indicators (Lynch 2015). This led to measurable performance standards being adopted for accountability and mechanisms designed to publicise these outputs in the hope that it would assure value for money. Such a move was not entirely new, having first surfaced in the Jarratt Report (1985) relating to efficiency in pre-1992 universities. A telling quote from that report is "The time of academic staff is the primary resource of a university and it needs to be managed and accounted for with appropriate care and skill." (Jarratt 1985, p28). This could be taken as the start of a consideration that ultimately leads to workload management of academic staff.

Associated with NPM was the proliferation of mechanisms to assure, or more correctly to convince, society that these approaches were working and improvements were happening. An 'audit explosion' (Power 1994) occurred during the 1990s with the term 'audit', once reserved exclusively for the financial sector, being used in all sectors of society. As Power (1994) says "audits do not passively monitor…performance but shape the standards of this performance" (p7) and this is key to what higher education has experienced in the last twenty years where 'performance' has come under increasing scrutiny particularly of the academic staff through such instruments as teaching quality assessments, professional reviews and appraisal. Audit processes mean that any system has to have identifiable and measurable outputs and consequently, professionals in higher education have experienced an ever increasing number of performance indicators that can ostensibly be measured. Within higher education it is difficult to measure

all of the attributes associated with the academic role and so proxies have been developed as a means to allow such measurement. This is precisely what Power (1994) is referring to; the 'performance' itself has had to alter to allow it to be measured in some arbitrary way thus obfuscating the real issues. Apart from these attributes for 'performance' there has been an increasing reliance since 1991 (when a new national 'model' employment contract was introduced for the polytechnics and colleges under PCFC funding) on quantifying workloads based on the figures given in employment contracts since that date. Ultimately this feeds through into the league tables of institutional performance published periodically in the press which have their data sets drawn from audits conducted on institutions through bodies such as the Higher Education Statistical Agency (HESA). Consideration is given to factors such as the student to staff ratio, the number of hours of class contact, the money spent on resources per student and so forth, showing the direct link between what happens at the local level in the institution and its impact on the wider world. Higher education operates in a global market place and whether or not one agrees with the league tables, they are used to inform choices for students who, as customers, bring with them the money to fund institutions. The word 'audit' as used in HE, now covers a diversity of accountability mechanisms used to try to quantify the 'worth' of higher education and indirectly helps to reinforce the need for close control of staff workloads and performance against objectives. The nature of accountability has changed as a result of the impact of NPM and whereas it was an internal process to measure the use of workload against a contractual obligation in a collegial environment, it is now more about externally-facing measures used to justify the role of HE. Technical systems are now in place, predominantly through the use of IT, to hold

universities answerable to their own executive managers for actions at an academic unit level but also to provide answerability to a wider audience outside the University. Brundrett (1998) observed that "the ideal balance of hierarchical and collegial management [had shifted] towards the hierarchical" (p307) as managerialism had displaced collegiality and this provides a useful analogue for the way that accountability has been shifted from an internal to an external process.

The eroding of the unit of resource (Deem 1998) with increasing demands to improve productivity of academic staff have meant that ways have to be found to more effectively manage the increasing workload and to be able to evidence this (Burgess 1996). Burgess (1996) reinforces the point about the "increasingly valuable" (p64) academic staff resource and the use of processes such as teaching quality assessments to change the nature of the performance; resonating well with the call for a Teaching Excellence Framework. Again, Burgess (1996) points out that there was a paucity of literature around workload planning in higher education but he also indicates that at this time there was no pressing requirement for efficient and effective workload planning although from a post-92 institutional perspective it is difficult to agree since measures were being implemented tentatively following ERA 1988. However, it is difficult to disagree with the view that academic staff workloads need to be managed effectively for the benefit of the institution whilst acknowledging this may have an effect on the academic staff performance.

The ability to perform in an academic role would seem to be intuitively and logically linked to workload in as much as the complexity and volume of work in the role will impact on the ability to function effectively across all components of the role. This presupposes that there is an agreed definition of 'performance' within the academic context in higher education. Certainly issues such as 'morale', 'stress' and 'dissatisfaction' seem to be linked with a deleterious effect on the performance in a job role (Burgess *et al* 2003) and although not directly related to 'performance' Burgess *et al* (2003) do link these issues to the need for workload planning systems. Of course, the issues identified are more complex than the simple descriptor alone implies and it remains unproven as to how these necessarily link to workloads; for example, workplace stress is a very complex area usually without a single trigger or simple cure.

2.4 The University of Eagleton

The University of Eagleton is a post-92 university in the North of England that had its roots in the local authority sector, and was originally under direct local authority control prior to the Education Reform Act 1988 (Her Majesty's Government, 1988). It is a 'recruiting' university (as opposed to a 'selecting' university) in which it "…operates in a buyers' market in which the competition is between institutions for eligible students" (Moodie 2009, p9). In terms of the management culture this can be categorised using McNay's (1995) model that shows the University of Eagleton as being dominated by the cultures of *bureaucracy* and *corporation*. Bureaucracy is characterised as having a focus on regulatory control with a management style that is formal-rational. An executive group of senior managers have considerable

power and use data to make decisions through the use of performance indicators to manage the student experience that often reduces students to mere statistics. *Corporation* implies tight control over policy and the implementation of that policy with an implied demand that staff are loyal to the senior management. The resulting management style is often commanding and operates in a competitive ethos whereby decisions taken are political and tactical. There is a strong emphasis on benchmarking and, again, performance indicators which render students a 'unit of resource' and customers. There is no mention in either approach of professional managers being at the core of the models but it is implied, along with a view that the culture of collegiality (characterised as *collegium* by McNay 1995) has been eradicated. This pedigree means that the University of Eagleton utilises workload and performance models in order to manage its academic staff (numbering just under 300 core academic staff as full-time equivalents) who undertake the full academic role in terms of teaching, research and administration.

Thus, the University of Eagleton is an important site for this research because its size means that it is sensitive to small changes in macro policy and has to respond quickly to those changes, and the staff are less likely to be shielded from these changes than they would be in a larger university. This means that for this project they will probably have direct experiences that allow them to respond authoritatively to issues raised in the Q sorts. It is useful at this stage to review the way in which the macro policies described earlier have actually impacted the University of Eagleton and Figure 3 on the following page provides such a summary:

External factor	Implications for the University of Eagleton
Jarratt Report 1985	Indirect, but influential as report was for the Committee of Vice Chancellors and Principals
ERA 1988	New national model form of employment contract, annual workload established, commitment to a staff appraisal scheme, local workload models established
F and HE Act 1992	Staff costs brought into focus, workloads used to reduce staffing costs as unit of resource was reduced
TRAC(T) 2005	Audits become embedded within the University, issues of efficiency to the fore
Browne Review 2010	Further focus on efficient use of staff resource, uncertainty over student recruitment, introduction of cross-University workload and performance models
REF 2014	Review of the role of research and a greater focus on research being linked to teaching as QR funding was significantly reduced
Funding cap 2015	Focus on performance review as part of an emphasis on improving teaching quality
HE White Paper 2016	Continued emphasis on teaching quality through performance review, impact on student numbers due to increased 'choice', uncertainty as to how the TEF will impact, uncertainty over abolition of HEFCE

Figure 3 Summary of external factors and their impact on the University of Eagleton

The road to the implementation of workload management models and performance management effectively begins with the ERA 1988 and the establishment of the PCFC that also saw the creation of a national employers' forum through which national negotiations could continue in relation to pay and conditions; the Polytechnics and Colleges Employers Forum (PCEF). Whilst the relevant institutions had become free-standing higher education corporations it was felt that there was still a need to have national bargaining frameworks for pay and contractual conditions (White 2014). This led to a new national contract of employment for the PCFC sector being implemented in 1991 that was specific about; the annual class contact hours, the normal number of hours worked per week, the length of the academic year and holiday entitlement, a commitment to 'scholarly activity' and a requirement to engage with staff appraisal systems (heralding the start of performance management).

At the University of Eagleton, the response to this was to require each Academic Group to use the figures contained within the new contract to ensure that each academic member of staff had an agreed workload at the start of the academic year. This was delivered through a mechanism of "collect[ing] background information, consult[ing] and then dividing the work informally, balancing school needs with staff preferences and expertise." (Barrett and Barrett 2011, p146); an 'informal' system approach. This did not require any reporting to the central management at the University of Eagleton and evolved over many years as a locally-based system that had to be used when requesting additional staff and by 2002 was requested on an *ad hoc* basis by the head of the institution. Staff appraisal processes were introduced based on a classical model of the appraiser (a manager) and employee exchanging preparatory documents prior to a formal meeting with recorded outputs agreed by both parties. The final agreed output was lodged with the personnel team. The academic groups were to use these discussions to develop an overarching staff development plan that was scrutinised during each quarterly planning review.

The University of Eagleton continued in this manner until 2012 when the student fee regime was changed to allow for £9000 per annum to be charged to each full-time undergraduate student with a concomitant reduction in central funding council (HEFCE) support. The University of Eagleton's size meant that it recognised the instability this may cause to its student recruitment and one response was to revisit the workload and performance management models in order to further optimise the models, recognising that the academic staff are the key resource of

the University. The models provide for greater accountability of academic staff effort in a way that may facilitate increases in productivity – delivering more teaching with fewer staff in order to reduce overall staff costs – in line with the characteristics of NPM. At this stage a detailed central workload model with increased granularity was introduced (shown in Appendix 1) that all Academic Groups were required to use, replacing local systems, that attempted to account for all aspects of the academic role by laying out detailed allowances for all aspects of an academic role. The Workload Allocation Planning Framework in Appendix 1 summarises these allowances which were further refined in 2015 and these are given in Appendix 2. Central to the effectiveness of the workload model is the use of information technology (IT) to track all staff workloads;

> "4.5 To meet the transparency requirements of the process in a way in which the information can be analysed and considered in a common, identifiable format a Web based application has been developed which line managers will be asked to use." (Appendix 1)

Thus, the workloads are available to all managers across the University of Eagleton and each member of staff is able to access the system to check their own workload allocation. Graham (2016) described this workload model as the "one size fits all" (p1052) approach to workload management that was "making the processes more onerous" (p1053). The detailed figures are input into a web-enabled system that allows any manager to view the workload of any academic colleague. Barrett and Barrett (2011) characterise this as a 'comprehensive' model for workload management;

> "…those approaches that include a comprehensive scope of activities into a model, including administration and research elements, albeit the latter is often capped and funded and unfunded work distinguished." (p146)

This model now accounts for the full 1560 hours of the academic workload and not simply the 550 hours of teaching as had been the case with local models up to this point. Thus accountability, a key feature of NPM, has now been extended to cover all aspects of the academic role. The allocation of workloads associated with teaching has always been a relatively straightforward process whereas the allocation of hours for the 'other duties' aspect of the contract was more problematical; this new model did not make it any easier for managers to deal with (Graham 2016). While 'broad brush' allocations of hours were indicated for activities with broad definitions, such as research, the model did not identify what form that research should take; the revised performance management model catered for this aspect.

The Performance Review (PR) process initiated concurrently with the workload model in 2012 was a departure from the appraisal system that had hitherto been in in force, albeit somewhat patchily across the University of Eagleton. The PR process requires a formal meeting with the Head of School rather than simply a line manager as was the case under the old appraisal system, and was designed to be a focused intervention aimed at setting specific objectives for the non-teaching time of the contract with a developmental aspect at its core. These objectives were reviewed at the mid-point of the year to which they related and again revisited at the next annual performance review. The potential for linkages between the workload and performance models is clear, but unused, because under 'Benefits to Heads of School' the 'Guide to Academic Performance Review' in Appendix 3 says that the model provides a "framework for evaluating workloads and how this might fit with the separate Workload Allocation Model" (Appendix 3) and

"…although there is an indirect link between the two processes Performance Review is a separate process" (Appendix 3). The document recognises the fact that the workload allocation model is separate from the PR model because the two models were developed by different groups of managers having different agendas; PR was developed by Human Resources whilst the workload model was developed by the academic management in isolation and was a missed opportunity for an holistic approach. Again, the PR process is facilitated by IT systems, albeit a simple one, based on 'smart' forms that help with completing the various sections in a uniform manner. These forms are then stored electronically by the Heads of School and HR thereby providing the now common audit trail.

The evidence from Graham's (2016) research conducted with Academic Mangers suggested that Heads of academic units were concerned about the fact that the two models and processes operated at different stages in the academic year and that objectives agreed as essential in the performance review very often did not have a category in the workload model that allowed this contribution to be recognised through the allocation of hours; a problem also recognised by the academic staff. Thus, the workload and PR processes are the interfaces between the academic staff and NPM within the University of Eagleton.

2.5 Summary

Within the context of the University of Eagleton there are models for performance and workload management of staff that were derived by two separate 'management' groups with the university; performance review by those involved with the HR functions and workload allocation by the 'academic' senior management, with no involvement from the academic staff directly affected. There is an interesting paradox within the performance review (PR) documents (Appendix 3) since the linkages that should exist are acknowledged whilst at the same time emphasising that the two processes are separate. This provides the crux for this research project that is to establish the perceptions of the workload and performance models held by the academic staff directly affected in order to illuminate the pertinent issues for the evolution of the models. Chapter 3 offers a review of the projects reported in the literatures associated with workload and performance management models followed by detailed discussion of NPM in Chapter 4 leading to the development of the conceptual framework for this project.

Chapter 3

Workload and performance management

3.1 Introduction

This literature review examines primary research projects that are available for workload and performance management of academic staff within HE in the United Kingdom. The emphasis is on those HE institutions that became universities post-1992 since this is the sector that encompasses the University of Eagleton. The most striking feature of this body of work is that there is a noticeable difference in style and content; the projects and texts relating to workload management tending to be very focused on process and procedures while the academic performance literatures contain more empirical data albeit very limited in scope. Broadly, those on workload management offer guidance to managers whilst the ones relating to performance are much more focused on scholarly primary research. There is very little empirical research into workload planning and this is acknowledged by many authors. This in turn means trying to establish the basis for categorising the literatures so that the potential link between performance and academic staff workload could be explored.

3.2 Categorisation of research projects

Although the literatures coalesced around the two distinct areas described, the epistemological basis for the projects reported in the literatures needed to be identified in order to provide an appropriate academic analysis. Two broad positions exist within the literatures; functionalist applying to the workload

management and socially-critical applying to the academic performance
literatures. However, it can be problematic to ascribe research literature to any
particular category because of the way that those researchers may operate at any
given time depending on their engagement with the issue under consideration
(Raffo *et al* 2009) nevertheless, in this case such a categorisation seems
warranted. Indeed, by reading the literatures through these two main epistemic
categories the model of literature review described by Gunter *et al* (2013) can be
employed to illuminate the epistemological positions in the field by examining
"illustrative examples" (Gunter *et al* 2013, p556) of literature in each category
thereby facilitating a depth of understanding that would not be possible from
simply using an exhaustive list of texts. Here I intend examining the two main
readings.

3.2.1 Functional

Within sociology the functionalist perspective views society as a system of
structures that operate to the benefit of that society together with dysfunctions that
can operate against the 'best' interests of that society. Embedded within this
concept are the notions of manifest functions (those that are expected) and latent
functions that could be described as the unintended consequence, usually
positive, of any action. Functionalists also argue that most members of a society
share a consensus concerning common values (Hughes *et al* 2002). If 'society' is
taken to be higher education, then the members of that society are the academic
staff themselves for the purposes of this review. By using this approach to
academic workload planning the literatures can be sub-categorised into three

broad areas. The links between workload planning and 'collegiality' (Hull 2006), are discussed in a way that shows the models of planning are likely to be beneficial (Burgess 1996) whilst discussing the latent functions associated with such things as work-related stress (Burgess *et al* 2003). This latter agenda is followed through by Chandler *et al* (2002) who make indirect links between stress and the management regimes in place. The papers by Barrett and Barrett (2009; 2007) and Finlay and Gregory (1994) by way of example, are structural in their approach to workload planning models and in one case provide an extensive list of benefits to all parties of workload planning models; very clearly in the structural-functional camp.

3.2.2 Socially-critical

Socially-critical research is informed by the notion of social justice in the way the research is conducted and also in the way in which the outcomes are used to challenge existing practice (Tripp 1992). Such an approach aims at understanding the values that are held by participants in the research (academic staff in HE) whilst acknowledging that knowledge itself is socially constructed rather than absolute. Indeed Seiler (n.d.) sums this up succinctly when he says that "…it is necessary to understand the lived experience of real people in context." (Seiler n.d., para 1). The outcomes of such research are designed to develop new knowledge and to challenge current practice in order that new ideas are taken forward. A key principle of this type of research is that the audience are meant to be the participants in the research. The papers that are reviewed in the academic staff performance section do align with these descriptions. Once again, the papers

can be sub-categorised in four ways. The most notable are those authors

illuminating the effects of neoliberal policies on higher education, linked closely to

the advent of the audit culture leading to the focus on performance within the role

(Ball 2003; Ranson 2003; Shore and Wright 1999; Wood 1990). Empirical work

features here (Bryson 2004) and demonstrates how academic workload has been

intensified with the concomitant effects on the quality of the work undertaken. A

global perspective on the same theme is explored by Marginson (2000) when he

refers to the "deconstruction" (p24) of the academic profession. Finally Deem

(1998) takes a case study approach and covers the aspect of performance in

depth within a university and helps to give useful definitions of performance related

to a concept of 'performativity' whilst also speculating that a gender imbalance

exists within the allocation of workload to academic staff that may result in female

staff having higher workloads than male equivalents. Using a model provided by

Gunter *et al* (2013) for mapping the epistemological positions in relation to

distributed leadership, Figure 4 illuminates the two epistemological positions for

workload and performance management.

	Structurally-functional	Socially-critical
What is known?	Links between workload planning and collegiality are likely to be beneficial to both academics and managers. Workplace stress is an increasing problem potentially mitigated by workload planning. Categorisation of workload types, proposed sector models and benefits are described.	The impact of neoliberal policies on HE that have led to various types of audit used to quantify performance in the academic role, to affect the way in which academics are managed. The intensification of work is leading to a deconstruction of academic work, affecting the perceived quality of academic work.
How is this known?	Models used in several universities are explained and developed to stress benefits to the HE sector. Descriptions of management effectiveness using such models are described.	Empirical work is described from a small number of universities to illuminate the damage done to academic work through intensification of work. Academic explorations of perceptions are offered.
Who knows?	HE management through Leadership Foundation for HE in the UK.	HE staff generally through academic papers focused on academic management.
Why is it known?	Professional development papers from cross-sectoral bodies. Limited publications from adopters of such systems within the UK HE sector.	Publication of academic papers positing effects on the academy from the adoption of neoliberal policies.

Figure 4 Summary of the epistemological basis associated with workload and performance literatures

There is little overt cross-referencing between those examining workload management and academic staff performance, and where it does exist it remains inferred. In the next section socially-critical knowledge claims with respect to academic performance will be examined.

3.3 Socially-critical knowledge: Academic performance

The literatures on academic performance are in the socially-critical genre, providing a very full review of a wide range of factors affecting performance based on sectoral observations and a limited analysis of questionnaires used with academic staff. The focus in this section was confined to the issues of performance within an academic role and, wherever possible, within post-92 institutions because cultures are different between these and pre-92 universities.

A discussion of performance in any role presupposes that the functions of a particular role can be defined against which measures to show how well those functions are being performed can be attached. An academic working in HE at the time of writing is increasingly expected to work across four broad domains (referred to by Boyer (1990) as "scholarships" (p16)) that actually overlap rather than being distinct functions; teaching, research, scholarly activity (activities of an academic nature other than research) and administration in support of academic duties. The expectation is that such an academic will produce outputs in all four domains that can be measured, or at least their contribution quantified, with an "obligation to perform better in all aspects" (Ramsden 1998, p351) of the role. Thus there appears to be a link to workload management at least in the more

easily measurable areas of teaching and administration, and yet writers on the subject of performance largely avoid this linkage. There is a widespread agreement that from 1989 to today, there has been a significant change in what it means to hold an academic role within higher education (Bryson 2004; Ball 2003; Ranson 2003; Marginson 2000; Smyth 1995). There is broad agreement amongst authors when reviewing the political situation and the effects that this had on the culture of higher education institutions; rapidly evolving from autonomous seats of academe into business-oriented enterprises more in line with the political doctrines of the time. The characteristics of the key changes in HE within the UK over this period are: a move from a selective system to one of mass education (with targets for participation of 18 year olds to be at 50%); the ending of the binary system with polytechnics becoming universities (Further and Higher Education Act 1992); an increasing emphasis on doing more with less as the overall unit of resource has declined and the burden of funding has been passed to the students through tuition fees; increasing demands for accountability through various audit mechanisms (such as QAA Institutional Review, Research Excellence Framework [REF]) that may have skewed the actual performances that are being measured (Power 1994); increasing casualization of the work force through the use of part time staff who predominantly teach rather than being required to undertake the full academic role. As Ramsden (1998) says academics are "caught in a cross-fire of expectations" (p351) whilst acknowledging that performance management of academic staff is crucial to the effective management of a modern university.

Bryson (2004) and Smyth (1995) writing almost ten years apart both agree that the work or labour process needs to be examined in context in order to try to make

sense of the impact that these changes have had on the role of the academic within modern HE. For Smyth (1995) this means examining the controllers of work, what skills are used in that work and how payment is made in recognition of that work since there is very little conceptual writing on the nature of academic work in a rapidly changing environment. However, one element of this is what Bryson (2004) calls the "intensification" (p38) of work which links with later ideas concerning workload allocation models that allow for a maximum amount of work to be allocated to an academic aligned with their contractual terms. Socially-critical knowledge of the issues was advanced empirically by Bryson (2004) who addressed the perceptions of academic work through a large-scale survey of attitudes, relating this to the labour process. For the purposes of examining performance in an academic role, the issue of payment is not considered germane although there is a body of literature available examining incentives for work, of which payment plays a part. Certainly Smyth (1995) typifies the argument that there is a separation between those who control academic work and those who actually undertake the work that can probably be linked to the rise of 'managerialism' (used pejoratively by most authors) within the higher education sector (Bryson 2004; Deem 1998; Yeatman 1993).

An outcome of the ERA 1988 was the introduction of contractual staff appraisal systems which were required by the Secretary of State for all local authority controlled education provision. This was extended to those higher education institutions previously controlled by local authorities through negotiations over the PCFC model contract of employment, previously discussed in Chapter 2. Fidler and Cooper (1992) locate staff appraisal firmly in the industrial arena whilst

emphasising that appraisal can offer models which are "positive and developmental" (Fidler and Cooper 1992, p xi). Fidler and Cooper (1992) take a stance that is opposite that of Bryson (2004) and Smyth (1995) when they argue that a managerial approach is essential because it relates to the objectives set for an individual and the performance against those objectives by the individual. Fidler and Cooper (1992) are also adamant that such a system is needed because of what they see as its "*vital* [*sic*] concern" (p xi) to the management of an organisation. Such systems encompass all aspects of an academic's work and provide a definitive means for trying to quantify performance. Relating education to industrial work sectors highlights how reminiscent this is of Taylorism with its tenets of planning ahead, counting things, allocating tasks and reviewing results (Handy 1993). It would, however, be a tenuous argument to make that it is this type of management philosophy that provides the linkage between workload and performance management. Staff appraisal is a managerial means of reviewing all of the four areas of academic work defined earlier, on a regular, documented, basis. Thus there is a potential mechanism for 'performance' being measured in these four discrete areas and in some cases these are quantified in order to align with grading systems and league tables. So a truly holistic role is reduced to components that may be more easily measured. Indeed Shore and Wright (1999) when describing the effects of neoliberal agendas on the HE subject area of anthropology, suggest that academics actually 'perform' in response to which of these four areas is under scrutiny and that there is not a single definition for academic role performance.

The performance culture in the wider society outside HE started around 1983 when the Audit Commission was established with a mission to drive the improvement of public services through the use of audits. This culture was progressively translated into higher education from the enactment of the ERA 1988. Such audits were to measure 'performance' against indicators that the Audit Commission would help to establish as a means of demonstrating value for money. From this point onwards measuring performance outputs became an industry in its own right. As Shore and Wright (1999) from an anthropological stance point out, quite pointedly, by 1992 the audit methodologies used by financial institutions and bodies like the Office for Standards in Education (OfSTED) had "become *the* [*sic*] model for auditing all areas of performance by public bodies, including higher education" (p563). This can be viewed as a natural extension of the neoliberal forms of government that were all pervasive around this time; characterised in large part as the Governments from 1979 to 1997 in the United Kingdom where there was a gradual diminution of the role that government took in society. This is where the old socialist ideologies regarding the role of the welfare state, nationalised industries and central control were replaced by 'free-market' concepts and business practices that, it was claimed, allowed 'audit' to provide transparency to replace the opacity of central intervention. Shore and Wright (1999) provide a review of the stages in the development of mechanisms to audit aspects of academic work and they suggest that the Teaching Quality Assessments (TQA) introduced by HEFCE were experienced by academics as a "threat to collegiality and a fragmentation of professional life" (Shore and Wright 1999, p565). So this aspect of an academic's life (teaching) came under scrutiny in a manner not previously experienced. Peer observation existed but this had been

very different and some have argued ineffectual in raising the standards of teaching in higher education. The idea then of the collegiate institution with professional autonomy was eroded by the introduction of these types of audits that introduced the compartmentalised view of the academic role by virtue of examining discrete aspects of activity; teaching or research. Higher education has moved from a system where there was considerable professional autonomy and trust to one where academics are less trusting of their management because of the accountability mechanisms that by their very nature tend to lay blame. A perverse outcome from such 'audits' is that academics learn how to 'play the game' and consequently the audit skews the very performance it is trying to measure! In response to this those trying to measure performance change their performance indicators (PI) on a not infrequent basis. Productivity is another industrial term that is used in conjunction with performance and yet it seems even more difficult to define this term in academic life; does it mean quantity of publications or the volume of teaching undertaken? Given the "ever-increasing array of expectations and … complexity of [academic] work" (Coaldrake and Stedman 1999, p14) if the notion of productivity is accepted in relation to academic work, then a way has to be found to recognise the different strengths that each person holds in relation to the different aspects of academic work. Shore and Wright (1999) say that to have an effective dialogue about 'performance' in academic roles, we need to define what this means in terms of the culture within which academics operate.

Contemporaneously, Australian higher education was being subjected to the same neoliberal pressures that were occurring in the United Kingdom causing the same

concerns about academic role performance and what this meant as the same audit mechanisms were implemented, leading to what Marginson (2000) termed the "crisis in academic work" (p23) that is leading to a "deconstruction of academic professionalism" (p24). Marginson (2000) argued in his paper whilst at the Monash research centre focusing on international education, that a unique facet of higher education at that time in Australia was 'globalisation' and this was causing greater problems because of the way academics had to rethink their roles and relationships outside an exclusively national context; universities in the UK, 16 years on, are still grappling with the concept of 'globalisation' at the strategic level. Given that Marginson (2000) bases his assertions on a research study into management in higher education, it is interesting to note the common ground he shares with Shore and Wright (1999) in relation to academic staff engaging more fully with this changing context in order to better understand their disciplines within the shifting notion of 'university'.

There is now a separate group of professional managers dealing with review (audit), teaching and research (Marginson 2000; Smyth 1995) leading to the intensification of the work undertaken by academics (Bryson 2004; Marginson 2000) that are deemed to have an adverse effect on research and scholarly work. The consensus is that academic work has changed, and not all for the better, from a professional-autonomous activity to a more managerially focused activity based on neoliberal ideas but there is still no definition of what academic role performance actually means. Whilst there is no clarity on what 'performance' means in the academic context, there is a consensus view that the managerialist focus on audits and reviews is skewing performance as academic staff try to

achieve the best personal outcomes from such processes. However, it is important to try to standardise the definition of 'performance' in some way so that agreement can be reached on what common measures are used to try to quantify, what is after all, a subjective undertaking in terms of academic work. It is easy to agree with Ranson's (2003) views expressed in his critique of neoliberal governance in education when he says that in order to secure confidence in what is happening in publicly funded higher education we have to specify performance and their measures in order to be able to check on compliance with agreed performance indicators. Indeed Hull (2006), writing about the implementation of workload models at a UK university from his own business school perspective, suggests that acceptance of the latter is necessary for the academy otherwise it risks being undermined further as it tries to continue to protest against the now embedded policy technology of managerialism. It could be argued that such attempts at standardisation lead the way for workload planning which, in turn, is about trying to standardise the multi-faceted academic life and provides a tenuous linkage between performance and workload management although this is not raised overtly. Ranson (2003) makes a further point about employment contracts that are now framed in terms of guaranteed engagement with the various performance assessment processes which have effectively replaced the professional judgement used in the past; removing more trust from the employee-employer equation. He also suggests that those within organisations are now 'actors' (Ranson 2003); linking to 'performance' in a very direct literal sense. Of course the assumption is that the continued dominance of the current system of audits, traceable back to neoliberal ideology, will remain a feature of higher education.

Performativity (Ball 2003) is viewed as a cultural issue that can potentially provide

a useful way of understanding performance; performance *per se* is a subset of the

overarching concept of performativity. Ball (2003) provides a very helpful definition

of performativity through his paper examining the effects of this form of regulation

of the public sector that he argues applies equally whether it be to a teacher in a

school or academic in higher education. Managers choose to inculcate this culture

because the old order based on collegiality and trust was risky to control due to

the many vagaries that were embedded and so, it is argued by managers, this new

culture offers a "mode of regulation" (Ball 2003, p216) that uses the mechanisms

of audit as a means of incentivisation and control that can lead to change for the

better. It is a policy technology that is contributing to the displacement of the older

policy technology of collegiality (*cf.* Shore and Wright 1999) deemed to have been

dominant prior to the early 1990s and supports the view that neoliberal ideas are

becoming all pervasive throughout all education sectors. Ball (2003) then goes on

to make a very helpful link with performance by arguing that performance acts as a

measure of productivity or output in a very industrial sense and it can be argued

that this sets performance as an attribute of performativity. The recurring argument

is made that performativity undermines the professional autonomy, or collegiality,

that used to be the hallmark of academic life. A key factor then becomes one of

the validity of the measures chosen as performance indicators which harks back to

the issue of audits skewing the actual performance being measured. Ball (2003)

links this to appraisal since this is used to judge performance of academics across

several aspects of their role; teaching, research and scholarly activity. The focus

on the indicators being measured means that individuals within the system are no

longer at the heart of what is happening; students become merely part of the

statistical set used in process control and similarly relationships between colleagues are devalued. "Performance has no room for caring" (Ball 2003, p224) is a bold statement that is difficult to agree with completely; whilst the underlying tenet is understandable most academics would not wholeheartedly agree with the sentiment. The critical element is the way that the 'new' managers apply performance measures to illuminate current practices of academic staff and then argue for investment that is necessary to improve these practices whilst making further cost savings; after all, this is exactly what audit does when branded as a quality improvement system. There is a gender dimension to this aspect of performance that inevitably becomes linked with 'caring' and three distinct types of organisational structures can be identified (Deem 1998); competitive public sector organisations where a business ethos is imported and women have to be as tough as men; traditional public sector organisations with clear gender bias with men taking high status roles and women the caring roles; transformative organisations with the flattened structures where women supposedly have a more equal role. However, in the latter case, women end up taking a greater share of responsibility because of their alleged emphasis on people skills. Transformative organisations are rare but what these typologies show is that there is a need for workload planning systems in order to try to restore equity across the genders; potentially this provides another tenuous link with workload planning. If managers and academics continue to treat this now embedded culture with constant cynicism, then it is argued that the academy plays further into the hands of those who seek an on-going reduction of academic endeavour to the easily measurable. As in the case of Power (1994), Ball (2003) reinforces the point that the processes used to measure performance sometimes make the underlying processes opaque rather

than transparent as the very performances are changed to meet the needs of what is being measured. Ball (2003) takes this one step further in suggesting that those in a weak position, based on published indicators of performance, may actually seek to become whatever is necessary to survive; playing to the lowest common denominator. It is further argued that performance improvements then become the only basis for decision making thereby stifling strategic shifts in an organisation. Within UK higher education at the macro-strategic level we have witnessed this in cases where the funding council has had to intervene to protect strategically important and vulnerable subjects that would otherwise have disappeared from the HE landscape within the United Kingdom.

Deem (1998) identifies that pressures on academic staff to increase their numbers of publications, improving their contributions to the research excellence framework and increasing numbers of students that they supervise do not cause favourable reactions amongst academic staff more accustomed to autonomy and yet these are now key measures of performance at an individual and institutional level. It is argued that these types of prestige indicators are necessary in order to retain public credibility. Deem (1998) identifies some core activities that academics undertake that can be measured - research (artefacts or publications), student learning outcomes (teaching assessments), student assessments (such as module reviews and national student surveys), quality assessments (institutional review) - thereby reinforcing Yeatman's (1993) view that as a result of the reduction in the welfare state consensus, performance reviews help to de-professionalise the academic role by rendering it down to a set of competencies, rather than being an holistic activity. Thus performance is a subset of performativity. Gender is raised

as an issue because there is a suspicion that female academics may do more of the hidden work (such as personal tutoring) than their male colleagues. It is therefore possible to argue that this strengthens the view of the positive aspects for workload management in addressing this gender workload imbalance. In a case study of a UK university, Deem (1998) points out that whilst managers are now expected to deal with poor performance more vigorously, there is a resurgence of collegiality through the new managerialist committee structures that undermine some of the processes that are being put in place; using the 'new' to safeguard the 'old'. The discussion is moved on in the next section that examines the structural-functional knowledge in relation to academic workload planning.

3.4 Structural-functional knowledge: Academic workload planning

The central argument in this section is that the literatures relating to workload planning are structurally-functional in nature where the "strong feature…. is description" (Gunter *et al* 2013, p560) and as such seek to directly influence the introduction and continued use of workload allocation and management systems. This is because the majority of authors have examined this from the perspective of institutions previously in local authority control where there was already a bureaucratic (functionalist) culture (Deem 1998). Certainly the literatures covering workload planning provide concrete descriptions of models to be used with a critical analysis of the strengths and weaknesses of the model being suggested for adoption; a sharp contrast with the socially-critical literatures on academic performance. It is certainly true that the issue of workload planning is more to the fore in post-92 institutions stretching back to the Education Reform Act in 1988

(Her Majesty's Government 1988). This has led to the view that academic work is being managed in a way that is similar to the Taylorist movement in manufacturing in as much as the focus is very much on goal setting (management by objectives) and monitoring the work done to achieve those goals (Campion and Renner 1995). Governmental pressures to increase efficiency are reminiscent of that same industrial language. The argument is made that as the commodification, and some would argue 'massification', of higher education gained momentum then so the language of industry, focused on products, came to the fore and with this the associated methods of scientific management. The impact on academic staff workload that was immediately apparent was in the requirement to teach larger class sizes and yet the changes to workload go far beyond the obvious (Ramsden 1998) and many academic staff feel burdened by the increasing workloads demanded of them (Coaldrake and Stedman 1999). They perceive that their work has been "stretched rather than adapted" (Paewai *et al* 2007, p386) to meet the changing role of higher education.

Workload management tools are a product of Taylorist theory on management at a time when industry is moving away from such regimes in favour of individual empowerment through management approaches that have evolved from total quality management. Yet such systems seem to offer a rational, logical, way of ensuring equity of workloads. This could explain why there is a dearth of research literature in this area since it is seen as purely managerial and hence its unpopularity with academic staff. At the same time, it could be argued that such systems appeal (to managers but perhaps not academics) in post-92 organisations because of their lineage based in the residual legacy bureaucratic

systems from local authority control. Thus it is difficult to define an exact moment when academic workload planning or management first appeared as a national agenda item for post-92 higher education institutions. In undertaking this review, it has become clear that whilst there was noise surrounding the concepts of workloads prior to 1988 under local authority control, there was nothing really definite about academic workload planning.

Finlay and Gregory (1994) outline the workload allocation model in use at a UK university and describe the operation of the model within one school and in the introduction they discuss several influential reports from 1985 and 1987 that related to the management of higher education regarding the drive to improve efficiency. However, there was a clear change in emphasis that can be traced to the Education Reform Act of 1988 (Her Majesty's Government 1988) which established the Polytechnics and Colleges Funding Council (PCFC) to take over the distribution of funds directly to those designated institutions rather than the funds being channelled through local authorities. An aim of the Act was to bring these institutions "close to the world of business" (Maclure 1992, p92). This is a telling phrase in the context of the political rhetoric of the time that focused on inefficient publicly owned bodies and poor management of state-owned industries. It is clear that from the enactment of this legislation a much more business-like focus was expected by government of the higher education sector especially those previously controlled by local authorities.

Finlay and Gregory (1994) make interesting observations about the first Research Assessment Exercise (RAE) conducted in 1989 concerning their view that this

exercise effectively allowed the government, through its funding mechanism with HEFCE, to direct the activities carried on at universities with the assertion that this led to the concept of some becoming 'teaching only' institutions. They support a view, common in the literature, that this was the onset of 'managerialism' within the sector. Managerialism is used pejoratively across the literatures as summarising the loss of academic autonomy and collegiality that had hitherto guided universities. As far as post-92 institutions are concerned there was a different managerial culture emanating from a more specific contract of employment and local authority control which may mean that the issue of 'managerialism' may not be so critical. It is interesting to read (Finlay and Gregory 1994) that the pressures on universities after the RAE meant that they had to "…demonstrate that it [faculty/school/department] could not only carry out its teaching duties effectively, but also it could produce quality research" (p641). It can be argued that this is a nudge to the sector for some form of management of academics' time in order to fulfil these agendas. Indeed Finlay and Gregory (1994) support this view and they confirm from their literature search that it appeared that no previous work had been done on such workload management. Although research performance is being managed *de facto* through the strictures of the now Research Excellence Framework (REF), these activities are heavily dependent on intellectual investigation and autonomy. Coupled with a reduction in the resource available for this work then it maybe that the close management of such activities may be counterproductive to the enhancements sought in research endeavours (Deem 1998). Certainly this would support the argument that the start of the workload management agenda can be traced back to the early 1990s.

There is a body of literature (Barrett and Barrett 2010; Barrett and Barrett 2007; Burgess *et al* 2003; Burgess 1996) focusing on the operation of workload models that identifies the pressures being placed on post-92 institutions mostly as a result of financial constraints that have led to the introduction of workload management systems in order to account for the time spent on the separate activities of research and teaching since their funding is now more clearly separated (Coaldrake and Stedman 1999). These literatures use case studies to present approaches to workload planning that have been adopted and explore how they have helped mitigate the effects of these pressures. In one case (Barrett and Barrett 2007) the situation in an Australian university is referred to because it is argued, workload management is potentially being used to enhance the student experience which is a theme used in the design of this project. The declining unit of resource is frequently mentioned along with the pressures on this through the drive for widening participation (Barrett and Barrett 2007; Burgess *et al* 2003); assuring the quality of teaching and research (Burgess 1996) and the increasing levels of public scrutiny (Deem 1998) through Quality Assurance Agency (QAA) audits and other inspection bodies. Significantly, whilst it is true that these pressures exist and have altered academic workload, the actual volume of work does not seem to have changed as evidenced through a systematic review that Tight (2010) produced from surveys of academic workload from 1958 to 2004. Tight (2010) concluded that;

> "… much of the pressure on academic workloads has come not from demands to do more teaching or research as such but from the impact of administration." (p211)

The implication for the sector being that this administrative burden needs to be removed from academic staff; a finding supported by Paewai *et al* (2007) who

described this administrative burden as "administrivia" (p383) in the context of a workload system in New Zealand. What becomes clear is that the specific pressures on the HE system globally have changed over time and that is to be expected as the sector responds to different government agendas all designed to hold universities more accountable for the output from higher education (Coaldrake and Stedman 1999); whether that be in widening participation targets, retention improvements or teaching excellence by way of examples. What is very clear is that this audit culture has made higher education institutions more visible and more easily criticised, at the same time as academic work has become more regulated as the labour process itself changes. A common factor throughout is the recognition that the critical resource of the university is its academic staff (Burgess 1996) and that this is costly and must be effectively managed. The problem is then identifying the components of the academic role and managing this finite resource effectively. This is a problem that was recognised in the new pay framework agreement for the HE sector from 2003 (JNCHES 2003) which set about harmonising academic conditions and pay across the sector (both pre and post-92 institutions) following protracted national negotiations, by including clauses that would seek to establish an agreed norm for the number of hours in a working year. This in itself belies the managerial philosophy that was to the fore although inevitably a national norm was never reached and instead local pay framework agreements had to agree harmonisation by 2004. Each institution then had to implement harmonisation of conditions that spanned academic and other staff leading some to assert that this led to a "deconstruction" (Marginson 2000, p24) of the academic role. This does not mean treating everyone homogenously but recognising the strengths of individuals in a way that is equitable and transparent;

issues repeatedly discussed by Burgess (1996) in his case studies of two UK university departments. Indeed Burgess (1996) is emphatic when he says that departments need to "allocate workloads to individual staff members" (p65). The common thread throughout this body of work is one of being instrumental in nature by proposing practical solutions to the problem of allocating workloads to members of staff; the projects reported in the literatures tend to focus less on the more generic political issues. An argument can easily be made that these authors are representing a pragmatic view based on the acceptance that the pressures on the higher education system will continue and not allow a return to a more professionally autonomous approach. Yet in a survey of stress on academic staff by Kinman and Jones (2003) 53% of all respondents found their workloads to be unmanageable, implying that some form of management intervention is necessary to redress the situation. It is the increase in administrative workload that seems to cause the greatest dissatisfaction for academic staff and in particular demands placed on them in terms of accountability and quality assurance at a time when the workload has more constancy over the academic year (Coaldrake and Stedman 1999). Indeed Barrett and Barrett (2009) in their final report to the UK Leadership Foundation (a national sectoral body setup to improve the management and leadership of HE) on improving the workload management of universities, claim that one of myriad advantages of workload management is that it maintains the work-life balance and helps to avoid undue workload stress. This paper is very functionalist in outlining the process needed to design workload management models and is clearly part of the 'managerial' approach so often berated in other literatures.

I have experienced the positive effects that workload allocation models can bring to an academic department where staff work under the same contract but undertake a different mix of roles and so the rather negative overtones presented by even the instrumentalist papers seems incongruous. Certainly within the projects reported in the literatures there are very few reviews of the implementation or effectiveness of the variety of workload models available probably due to the diversity of models used across higher education which makes comparisons difficult. The notion that these models challenge the professional autonomy of staff is a recurrent theme but equally it could be the case that these models can bring positive benefits; Hull (2006) cautions against using a defence of damage to collegiality by the introduction of workload management models. It is interesting to note that the word managerialism is not used pejoratively by Hull (2006), potentially because of his background in a management department in a university, but he does make a tentative link with performance saying that workload management models are "…initially flexible actors within the local circumstances of their applications" (Hull 2006, p39). A case is made for workload models helping to manage stress in the workplace that in turn may foster greater collegiality thereby challenging the received wisdom up to this point.

There is also an argument made that women, who are relative newcomers to the academy, may not have the same affiliation with the pre-existing notions of collegiality and autonomy that exist in pre-1992 universities especially since this may have given them heavier workloads (Deem 1998). Deem (1998) argues that this is increasingly the case where the notions surrounding collegiality are perceived to allocate higher workloads to female academic staff leading to their

marginalisation; potentially as a result of the "masculine values" (Barrett and Barrett 2011, p143) embedded within organisational culture. However, women are more likely to be allocated more work that is administrative, committee based, student related such as mentoring or welfare (from a survey conducted by Barrett and Barrett 2008) in addition to teaching and research than their male colleagues (Deem 1998). This is consonant with the views of Barrett and Barrett (2011) who say that workload models can actually place a "skewed emphasis [on]…. pastoral care/advising/mentoring type roles" (p143) that are stereotypically associated with female staff and Lafferty and Fleming (2000) go one step further in arguing that the introduction of such workload models within a managerialist culture undermines gender equity measures. It is difficult to know if the views posited are simply perceptions or are quantifiably true and demonstrable. An argument can be made that this is precisely where workload models can help but only if they have the necessary transparency to allow imbalances to be challenged in an open manner. The question is whether the new managerialist culture will be so open.

Certainly Barrett and Barrett (2007) make the point that informal management arrangements that accompanied ideas of professional autonomy were becoming increasingly problematic due to the complexities of managing in the political climate prevailing in higher education at the time of writing. They also note that managers have not made the link between workload management and other activities such as appraisal, which is borne out through this literature review. Thus we have a tentative link to what may be termed performance management although this is not explored. Measurable standards of performance have been linked to practices adopted in the private sector (Hull 2006) and it is argued that

workload management models reinforce these practices. This, it is argued, provides a rational way for academic staff to build a case for more resources; the 'hard approach' as opposed to a 'soft approach' that deals with equity, fairness and transparency (Hull 2006). Chandler *et al* (2002) described the "intensification of labour" (p1060) as an outcome from their study on stress in academia as a result of the reshaping of the nature of higher education predominantly by academic managers. What they found stressful was the manner of implementation of aspects of this new management agenda; clearly agreeing with Hull's (2006) view in terms of the benefits that workload management can bring thereby providing a useful balance to those authors suggesting purely negative connotations.

Houston *et al* (2006) used a case study approach based in a university in New Zealand to try to understand the issues of increasing accountability and work intensification and their impact on academic staff. They argue that these staff have traditionally had their discipline and core academic values at the centre of their professional lives, reminiscent of the issues of collegiality and autonomy referred to by other authors (for example: Bryson 2004; Burgess *et al* 2003; Marginson 2000 ; Shore and Wright 1999). As with institutions in the United Kingdom, universities in New Zealand have the twin stands of teaching and research linked in such a way that there is tension between the two. It is argued by Houston *et al* (2006) that these two strands can compete or be synergistic in the way they work, oscillating from competition to synergy and back again over time and depending on the external pressures exerted on universities at a given point in time. It is incumbent on managers to balance this tension as part of the workload planning mechanisms used. It is easy to agree with the assertion made by Houston *et al*

(2006) that the tensions between these two can affect performance in a negative way if not managed carefully although this is not evidence based and it could be argued equally that such management techniques can enhance performance by controlling the intensification of the work undertaken. Again, the authors acknowledge that academic work has changed (*cf.* Bryson 2004; Ball 2003; Ranson 2003; Marginson 2000; Coaldrake and Stedman 1999; Smyth 1995) especially as the concept of the 'knowledge society' has raised expectations of what it is to undertake academic work. Within the context of their case study Houston *et al* (2006) make the point that one approach has been to introduce a workload planning system as a positive measure to reduce the stresses associated with the increasing demands and changing roles. These are the tentative steps in linking performance within a role to the management of workloads associated with that role although again this is not explored in any depth. Houston *et al* (2006) relate the results from surveys that they conducted of staff at a university examining the academic work environment, one was done in 2002 and a follow-up conducted in 2003. The results from both surveys highlighted the issues of excessive workload, under-valuing of the role and fairness (transparency) of the workload allocation process itself. These findings echo the assertions made by others when examining performance in an academic context and discussed fully in an earlier section of this review. Interestingly, Houston *et al* (2006) reported that there were benefits to workload models particularly in acknowledging areas where the workload itself was difficult to quantify or where there had not been an effective distribution. Clearly this last item is a perceptual one and, in my experience, the area where most management time is expended in trying to explain the allocations. The staff surveyed also felt that the models

allowed them as individuals to better manage their own workloads suggesting an element of empowerment as a benefit; another aspect explored in this project. In the conclusion to their paper Houston *et al* (2006) say that the literature surrounding workload allocation models is limited and "…does not provide a comprehensive research-base for clear guidelines with known consequences." (p27). This situation is compounded by the fact that there is no consensus across the HE sector in the UK for a definition of what actually constitutes 'academic workload' and that where models exist for the management of this ill-defined workload it is usually at a faculty level rather than across the whole university (Barrett and Barrett 2011) giving rise to a truism that "workload allocation is characterised by great diversity of practice" (Barrett and Barrett 2011, p15). This supports the evidence gathered for this review in as much as functional models that could be used to reduce the level of diversity have been proposed but they do not address the issue of the consequences from implementation of these models on both workloads and performance. Houston *et al* (2006) conclude by acknowledging that both managers and academic staff must be active in managing individual workloads because it is not a passive managerial function.

3.5 Discussion

There is a "conceptual dichotomy" (Graham 2015a, p665) - summarised in the model (based on Raffo and Gunter 2008) shown in Figure 5 - apparent in the literatures both in terms of discrete nature of the work and in the positions taken by the authors in relation to workload and performance management; there is a clear distinction between those relating to workload management and those that refer to

academic performance, with no overt linkages between workload and performance management.

Issue / Criteria	Workload Management (*Structural-functional*)	Academic Performance (*Socially-critical*)
Purposes	Focus on the management control of the academic workforce; Efficiency and effectiveness of professional practice	Focus on revealing the power relations in NPM and the damage to collegiality; Illuminating the effects of neo-liberal policies on HE
Rationales	Meeting policy exhortations; Compliance with processes or structures based on a perception of national/local policy; Managerialism as a positive philosophy in the 'new' HE	Changing nature of the academic role; Detrimental changes to the labour process for staff within HE; Damaging interrelationships between performativity and collegiality
Narratives	Instrumental; Aligned with policy bodies; Promulgating models of workload planning	Critically reflective; Challenging policy imperatives; The complex multi-faceted academic role and the pressures exerted on staff

Figure 5 The conceptual dichotomy

Factors that were common in both groups of literature were those of the effects of rising managerialism which may provide a link, albeit tenuous, between the two discrete areas. The advent of an audit culture pervades all aspects of academic life potentially providing a further link between workload and performance, although, again, this is not made clear in the literatures. In order to begin to test whether this was a phenomenon confined to the literatures or actually existed in practice, Graham (2016) conducted a small-scale study of the issues by interviewing academic managers in the University of Eagleton about their roles in relation to implementing workload and performance management models; a "top-down" approach (Graham 2016, p1061). The conclusion from the study was that "…in actuality this lack of a linkage - between workload and performance management - exists at the operational level" (Graham 2016, p1061). Workload management has developed as both a concept and structural mechanism of management since 1989, with the literatures being focused on functionalist ideas which is in line with the rise in managerialist cultures.

This has resulted in the demise of what was once a collegially autonomous culture and to a deconstruction of academic work. There is a differentiation between what was the perceived culture in pre- and post-92 institutions because of the lineage of the dual system prior to 1992 and it is argued that workload planning is more in evidence in post-92 institutions because of their local authority heritage. It was interesting to note that in the literatures that reported case studies, there was no homogeneity within institutions for the type of workload model that applied and neither was there across institutions. Whilst it is possible to understand that factors such as allowances for teaching or research within any model will differ across departments within one institution, it is difficult to see why the overall structural model cannot be applied universally. The potential imbalance in workloads across genders was discussed in the literatures (*cf.* Barrett and Barrett 2011; Barrett and Barrett 2008; Lafferty and Fleming 2000; Deem 1998) almost as a side issue related to a rise in managerialist culture, but nevertheless it is an important area for investigation in itself, and in a limited manner, has been incorporated into this research project.

The literatures reporting projects concerned with performance were more socially-critical with some limited evidence of empirical research being undertaken to identify factors that could affect performance of academics. Performance was identified as falling within the four spheres of academic work; teaching, research, scholarly activity and support (administration) for these other three activities with relevant attributes identified for them but there was no evidence of an attempt to define 'performance' in an academic role other than to describe expectations.

3.6 Summary

Examining the literatures in terms of their epistemic genre – structurally-functional and socially-critical - has helped to give a useful perspective on what are clearly separate issues both in terms of literatures and in conceptualisation. The conceptual dichotomy between workload and performance management literatures is difficult to reconcile when there is an intuitive link between workload and performance management and indeed the Jarratt Report (1985) actually suggested that academic workloads could be useable performance indicators for institutions (Jarratt 1985); suggestive of a potentially real, rather than intuitive, link. The gaps in the research have been foregrounded since there is a lack of convergence between academic performance in the work role and the effects that workload planning may have on this performance or vice versa. Workload planning can help to mitigate the effects of New Public Management but this is by no means clear or overt in the literatures, equally, it could be that workload planning has an adverse effect on performance although this seems counter-intuitive. However, limited evidence from a small-scale case study with academic managers seems to confirm that the conceptual dichotomy also exists operationally (Graham 2016). None of the literatures reviewed make reference to the effects on performance from adopting a workload planning model nor do they explore the potential diversity issues (such as the intersectionality of gender, class and race) through utilising such models.

This research project populates the gap in knowledge viz the linkages between workload and performance management from a socially-critical perspective in

relation to the perceptions of the models by those directly affected - the academic

staff - such that conclusions may be drawn about the efficacy of the models being

used. Chapter 4 provides a conceptual framework for the research project based

on the role of New Public Management (NPM) in influencing the management

practices of universities, of which workload and performance management are a

part, and proposing a conceptual model to underpin the research design that is

described in Chapter 5.

Chapter 4

Conceptual framework

4.1 Introduction

The processes of workload and performance management are a direct consequence of the rise of a managerialist approach to controlling the academic endeavour, where evidence from previous doctoral papers showed that Academic Managers at the University of Eagleton support the view that "the concepts of NPM have permeated the organisation" (Graham 2016, p1061). This raises the possibility of NPM providing a conceptual framework for this project which is explored in this chapter with a view to providing the conceptualisation for this research project described in Chapter 5. It draws on the work undertaken and reported in previous doctoral papers (Graham 2016; Graham 2015a; Graham 2013a; Graham 2013b) in order to show the developmental process in arriving at the final conceptual framework. This chapter examines how the neoliberal macro-economic model influenced governmental thinking that led to the adoption of New Public Management (NPM) for the reform of the public sector that led to "changes to the composition and professional practices" (Gunter *et al* 2016, p3) that are at the core of this research project. In order to do this the chapter draws on literatures concerning neoliberal economic ideas and NPM in order to explain how NPM came to be all-pervasive in the UK following the Thatcher government taking office in 1979; used as a defining point in this study. Management literatures are also referenced to show how the components of NPM affected UK higher education progressively, and ultimately focusing at the micro-level of the University of Eagleton.

4.2 Developing a conceptual framework

Firstly, it is helpful to establish what is meant by a conceptual framework. According to Miles and Huberman (1994) a conceptual framework "explains the main things to be studied…. and the presumed relationships" (p18) and provides the paradigm that locates this research project examining the perceptions of academic staff. NPM is able to provide the conceptualisation in which to locate this research project and the attributes of NPM provide a useful structure to guide the design of the project and the subsequent factor analysis of the data. Hood (1991) identified seven 'doctrines', the guiding principles in reality, that had influenced public policy formulation in a range of countries and he suggested that these 'doctrines' could usefully form a description of NPM and these are shown in Figure 6 below;

	Doctrine	Description
i)	Professional management in the public sector	Active managers with a clear responsibility for action having the discretion to make decisions and then be accountable for those decisions.
ii)	Overt standards of performance and explicit performance measure	Clear definition of objectives that are framed with a view to efficiency. Performance indicators framed in quantitative terms.
iii)	Output controls	Results are stressed rather than processes such that rewards become linked to meeting identified targets.
iv)	Break-up of large public sector units	Smaller operational units using 'one line' budgets and having an arm's length relationship with the overall organisation through service level agreements etc.
v)	Competition in the public sector	A belief that 'rivalry' between units is a key to lower costs and will drive-up standards.
vi)	Business sector styles of management	A move away from the traditional 'public service ethic' to proven management tools from the private sector.
vii)	Better discipline for resource utilisation	Reducing direct costs so that resources allocated are used effectively and efficiently.

Figure 6 Seven doctrines of NPM (after Hood 1991, p4)

The original conceptual framework proposed by Graham (2013b) when considering the role that academic managers play in workload and performance management suffered from unnecessary granularity of the defining features of

NPM. This was subsequently refined in Research Paper 3 (Graham 2013a) within the reporting of the pilot of this project. This resulted in the separate 'bin' for 'automation (IT): technical solutions' being absorbed into that for 'audit controls' based on the realisation from the pilot study that information technology (IT) systems were facilitating the audit mechanisms viz workload and performance management models. The ultimate iteration of the conceptual framework is shown in Figure 7 below - the 'NPM Framework' - where the conceptual 'bins' are shown with Hood's (1991) seven doctrines of NPM (shown in Figure 6) mapped onto each of the 'bins'.

New Public Management (NPM)

Audit controls: Resource allocation & labour-cost discipline
Doctrines: i, iii, vii

Products: Programmes of study
Doctrines: ii, iii, vii

Managerialism in lieu of collegiality: 'Professional' management
Doctrines: i, iii, vi

Accountability

Administrative values & decentralisation
Doctrines: iv, v, vi

Performance measurement: engendering 'trust'
Doctrines: i, ii, vii

Figure 7 NPM Framework

Neoliberalism, originally a macro-economic idea, provides the ideological umbrella for the NPM Framework because it laid the foundations of the managerialist ideas that underpin New Public Management. Neoliberalism has its roots in the inaugural meeting of the Mont Pelerin Society in April 1947 led by the economist Friedrich A. von Hayek. The society and its founder were reacting against the

spread of communist ideologies in the immediate post-war era which they saw as

a challenge to freedom;

> "Over large stretches of the Earth's surface the essential conditions of
> human dignity and freedom have already disappeared. In others they
> are under constant menace from the development of current tendencies
> of policy." (Hayek 1947, para 1)

Hayek (1947) argued that the result of the policy trends at the time were to reduce

the influence of the competitive, free, market and through this diminish 'private

property' which he asserted was essential for freedom. Hayek (1947) argued that

"freedom of thought and expression, is threatened" (Hayek 1947, para 1) by all

forms of state intervention. Freedom itself links to earlier classical liberal concepts

characterised by the *laissez-faire* approach to economics favoured by Adam Smith

(1723-1790) in which the state refrains from all interference in economics and

where "all men [*sic*] were free and equal with inalienable rights independent of the

laws of any government…" (Steger and Roy 2010, p5); the self-interest of

individuals helps to drive an economy such that the wealth generated by the

economic activity can benefit people generally (Anon 2015). Interestingly, two of

the six stated aims in Hayek's 1947 'Statement of Aims' were;

> "The redefinition of the functions of the state so as to distinguish more
> clearly between the totalitarian and the liberal order." and;

> "The possibility of establishing minimum standards by means not
> inimical to initiative and functioning of the market." (Hayek 1947, para 3)

It was during the 1970s and 1980s that von Hayek's aims were more vigorously

promulgated through such bodies as the World Bank and the Organisation for

Economic Cooperation and Development (OECD) with their injunction to "stabilize,

liberalize and privatize" (Boston 2013, p18). Up until this period neoliberalism had

been dormant but through these international bodies and others, neoliberalism

was re-invigorated in political spheres of influence (Lynch 2015) and the prevailing

political climate led to governments on both sides of the North Atlantic whose

leaders were heavily influenced by the concept of Hayek's 'neoliberalism'; notably

in the UK with 'Thatcherism' being coined after Prime Minister Margaret Thatcher's

brand of neoliberalism, following her government taking office in 1979.

Thatcherism was borne out of a firm belief in free-market economics and a 'small

state' such that the role of government was restricted to the essentials; viewed as

defence and monetary regulation. Individuals should have responsibility for their

own lives, making their own choices, unguided by the state. Thus the concept of

the 'small state' was made popular and it gave rise to a very public "pillorying of

public services on the grounds of [lack of] efficiency" (Lynch 2015, p192).

Education at all levels was not immune from this criticism and gradually the

rhetoric for higher education turned to "marketised provision" (Gunter and

Fitzgerald 2013, p215) including global markets such as recruiting international

students because of larger fee contributions, and free choice as opposed to the

traditional mantra of education being a 'right' for every individual. This withdrawal

from what was seen as welfare based state led to a large scale withdrawal from

government ownership of industry and even led to local authority owned social

housing being sold to the tenants (BBC 2013). Harvey (2005) makes the point that

it was during this period that neoliberalism was "transformed… into the central

guiding principle of economic thought and management" (p2) that offered "a

simple panacea: governments must do less, while markets must do more" (Boston

2013, p19). Thus the 1970s and 1980s witnessed political interventions consonant

with the aims of neoliberalism; privatisation of state industries, sales of

government assets and withdrawal from state welfare systems. Neoliberalism

during this period did not actually forsake all state intervention but rather modified

any intervention so that it helped to promote, rather than regulate, such things as

private ownership (wealth, self-interest), free markets and competition (Fredman

and Doughney 2012) almost as if to protect Hayek's guiding principles but leading

to a reduction in the welfare based state that had featured prominently since the

end of World War 2 and succinctly summarised by Yeatman (1993) as;

> "reorient[ing] the business of the public sector so that it no longer
> services a welfare state, but, instead, services a state which defines its
> primary objective as one of fostering a competitive economy" (p3)

The neoliberalism of this period, in turn, spawned the concept of New Public

Management (NPM) as an "offspring" (de Vries 2010, p88) – NPM as a phrase

was first used by Christopher Hood (1991, p3) – where it translated the macro-

economic ideology into a novel form of management for the public sector (Steger

and Roy 2010) focused on "institutional reform" (Clarke *et al* 2001, p47) and

"managerial control"(Hall *et al* 2015, p488). NPM was borne out of a "complexity of

reforms" (Gunter *et al* 2016a, p8) that together provided a collection of "sets of

ideas" (de Vries 2010, p89) in which public organisations were likened to private

businesses so that an "entrepreneurial spirit" (de Vries 2010, p89) could be

instilled; thus NPM was not intended to be a unified system or structure. In fact,

Dunleavy *et al* (2005) suggested that NPM had "three chief integrating themes"

(p470) of; disaggregation (of public sector institutions), competition and

incentivisation (through specific incentives for performance).

Hood (1991) outlined the associated macro-economic pressures that existed at the

time NPM was being defined as; governmental attempts to reduce overt public

spending and staffing, a shift toward privatisation of services, an associated move

away from having central government services and the development of information technology (IT) to deliver public services. The latter pressure for the development of IT systems eventually led Dunleavy *et al* (2005) to suggest that IT had become a policy technology in its own right, supplanting NPM as a new form of governance, referred to as "Digital-Era Governance" (DEG) (p467). This is a contentious position within the literatures (*cf.* Painter 2011; Hood and Peters 2004) with de Vries (2010) even stating that IT is an "integral part of the NPM movement" (p89). There is even a contradiction within the paper by Dunleavy *et al* (2005) where they state that their three "integrating themes" (p470) include management information systems which are essentially IT based!

Hood (1991) went on to say that NPM was an inevitable response to the "set of special social conditions developing in the long peace… since World War II" (p7). During the war central planning of industry and society had helped win the war and the view prevailed afterwards that "the only way to 'win the peace'…was to plan and control industry" (BBC 2013) which was a view shared across political parties. This resulted in a consensus amongst political parties on such things as state ownership of essential services and industries together with an increased welfare state (Harvey 2005). However through the 1950s and into the 1970s increasing income levels in the population coupled with the development of new technologies led to a more white-collar society who gradually became less accepting of the status quo in public policy, particularly that relating to welfare (Hood 1991, p7) and this led to a "decline of the Keynesian welfare consensus" (Lafferty and Fleming 2000, p257) that had been prevalent throughout post war politics. It was against this backdrop that NPM gained ground and is now a linguistic shorthand for the effects that these notions have had, and are having, on public services.

In the United Kingdom NPM was embraced by the new Conservative government from 1979 who set about subjecting jobs in the public sector, including universities, to forms of management that were then more common in the private sector (Chandler *et al* 2002) or as Anderson (2006) explains, it is the "incorporation of approaches, systems, and techniques commonly found in the private sector, to the management and conduct of the public sector" (p579). Dunleavy *et al* (2005) went a step further in suggesting that a flawed public sector was deliberately "broken up… by piecemeal implementation" (p473) of a range of processes focused on performance. Thus NPM has manifested itself through managerialism that has led to closer "scrutiny and regulation" (Egginton 2010, p119) of higher education in the hope that this would raise standards as perceived by the students, or in the new jargon, 'customers'. The inexorable process of the commodification of higher education began whereby higher education became a product to be purchased "rather than a transformative process" (Brown 2011, p43) leading to students viewed as 'customers' and universities as purveyors of education. Against this backdrop the Dearing Review Committee in 1997 still clung to the view that the role of higher education was to "play a major role in shaping a democratic, civilized and inclusive society" (Dearing 1997, p72) as if trying to caution the Government about the effects of NPM.

However, NPM themes are still being promoted stealthily by governments to the extent that universities are having to adopt a central management structure and ethos that mirror the principles of NPM being espoused by government reforms since 1979 in the UK. Hall and Gunter (2016), whilst acknowledging that we are now living in a "post NPM" (p22) period, say that "NPM retains potency" (p22)

when examining educational policy in the UK. By way of example, in May 2016 the UK government published a White Paper (a parliamentary bill) entitled 'Success as a Knowledge Economy' (Her Majesty's Government 2016) that aims to introduce teaching quality measures, increase diversity and student choice and to alter the way in which the higher education sector is regulated through an Office for Students; all reminiscent of the goals of neoliberalism and NPM. Of course the real aims of this bill are to continue the inexorable drive to 'marketise' the UK higher education system and continue to reposition the state as a "commissioner… [and] regulator" (Gunter *et al* 2016a, p8) of HE rather than an active provider of HE. This is made transparent by Jo Johnson MP, Minister of State for Universities and Science in his foreword when he says that;

> "we will make it quicker and easier for new high quality challenger institutions to enter the market …. A new Office for Students will put competition and choice at the heart of sector regulation…" (Her Majesty's Government 2016, p6).

This is very much akin to changes in other parts of the UK where former public sector bodies that have been privatised have had independent bodies imposed on them to look after consumer interests (such as OfCOM for communications and OfWAT for water to name but two) as the state withdraws from its controlling role. This has led to institutions that are "aligned with and dictated by the logic of the market" (Fitzgerald 2012a, p169); it looks as though NPM will remain the dominant force in educational policy related to HE for many years to come (Hall and Gunter 2016). Government policy is now separated from service delivery, accountability and performance and this is being replicated across university management structures where there is now a corporate managerial executive at the heart of the organisation directing the academic departments to meet the goals dictated by the centre (Fitzgerald 2012a) facilitated by implementing increased measures for

accountability and scrutiny for the academic departments so that the executive can be sure of compliance with its goals (Paewai *et al* 2007; Clarke *et al* 2001; Coaldrake and Stedman 1999). This shifts the authority and control previously enjoyed by academics away from individuals and onto teams that are directed by professional managers such that their efforts are explicitly linked to the strategic objectives of the institution.

The seven 'doctrines' identified by Hood (1991) are implicitly incorporated into this research project because the central theme is that of accountability; "intensive specification of outputs, encapsulated in performance…indicators" (Hood and Peters 2004, p270) into which workload and performance management fit. However, critics of NPM have suggested that the processes that have been developed to support accountability have led to a "middle-level bureaucratisation" (Hood 1991, p9), exemplified by the growth in performance indicators, and questions about who is actually accountable to whom, for as Yeatman (1993) observes, the executive level tends to become more opaque and less accountable with a concomitant "peripheralisation at the bottom" (Lafferty and Fleming 2000, p261) layers of management at the departmental level; reflecting Brundrett's (1998) concern that NPM has caused a shift from a collegial to hierarchical form of management.

4.3 Conceptual 'bins'

The NPM Framework could only be helpful in the design of this project, and the subsequent factor analysis of the Q sorts, if there were specific areas identified

within the NPM Framework that enabled it to be taken from the abstract to the concrete and this is where Miles and Huberman's (1994) notion of "intellectual bins" (p18) proved useful to define the components of the NPM Framework coherently. I have opted to use the term conceptual 'bins' in this study since this description offers a better match with the proposed conceptual framework. The following sections give more detailed consideration to each of the 'bins' outlined in the NPM Framework that together help to define the central theme of accountability. NPM has affected the way that universities deal with accountability. Traditionally, the collegial, almost collaborative, style of management meant that accountability was about ensuring that all staff could be assured that their work had parity with other colleagues in an academic unit, providing a transparency of purpose across a team of staff. There were management reports to senior managers and there were also external reports to bodies such as HEFCE about the way the university was using its public funds. However, as part of NPM a more hierarchical management structure has gripped universities, characterised as managerialism, which has led to line management structures and the like being imposed leading to a perceived demise in collegial structures. Accountability now uses more technical systems to both gather and analyse data that are immediately available to senior managers and external agencies, in greater detail than previously. Notably for universities the external accountability has grown significantly with a range of agencies now using data not just for financial purposes; for example, the new Teaching Excellence Framework (Her Majesty's Government, 2016) will use a broad range of data to establish a grade for the quality of teaching based on existing but using the new accountability mechanism for that data. So, in the NPM Framework, the central theme of accountability

provides the anchor into NPM for the conceptual 'bins' but in response to changes in the demands placed on those 'bins', as NPM evolves, those same 'bins' help to influence the development of the accountability mechanisms.

4.3.1 Performance measurement: Engendering trust

The overarching accountability at the heart of NPM requires quantitative measures (whether real or proxy) to be made of various aspects relating to performance. In business terms it is, after all, the performance of staff that acts as the key driver for productivity and "competitive advantage" (Egginton 2010, p120) which are now equally applicable to higher education in the context of NPM. This is reflected by Gunter (2012) when she says "the person is always the problem" (p76) in relation to some of the negative connotations of performance reviews and audits that have been introduced under the managerialist agenda that can work to damage trust in the management. Thus we have a situation where performance indicators are established, against which academic staff can be gauged during performance review meetings that are then supposed to facilitate effective staff management. This is made all the more difficult because of the diversity of backgrounds of academic staff and requires what Egginton (2010) calls "contingent management" (p129) that is capable of working in a flexible manner with staff to achieve common goals. The challenge for the management of an institution is to develop a framework that is transparent and measures performance in a robust yet fair manner in order that staff morale does not suffer (Egginton 2010; Paewai *et al* 2007); hence the notion of engendering trust in the management which features in this project. The objective should be to structure an open discussion with individual

staff about their contribution to the strategic agenda of the university and, if necessary, to reorient the individual so that their performance against the objectives is better matched. Bleikle *et al* (2013) sound a note of caution with performance management if it is not handled correctly because the visibility of individual academic performance through published performance indicators may inadvertently "intensify the tensions between the teaching-research nexus in academic work" (p174) as academics try to work out where their performance should directed for best personal gain (cf Ball 2003 and Power 1994). Interestingly Lafferty and Fleming (2000) raise the inequity that may exist for female staff in these processes echoing the speculation of gender inequality that was raised in connection with workloads by Deem (1998). From their analysis they found that performance management was implemented most rigorously at the "junior levels" (p262) where there is the highest concentration of female staff, and less rigorously at senior management levels, highlighting the potential for a male versus female imbalance in workloads. There is a tension between the collegial autonomy that is desired by academic staff and the need for performance against common objectives for the benefit of the organisation as measured by the performance management process.

4.3.2 Administrative values and decentralisation

A key principle of NPM is the devolution of control to the delivery units of an organisation so that centralised units are dismantled, even within monolithic bodies, to create an internal market or as Steger and Roy (2010) prefer "from hierarchy to participation" (p13) backed up by a rhetoric of devolution and

consumer choice. Fitzgerald (2012) offers a note of caution here when she says that these changes can be characterised as a "centralised power and devolved blame" (p9) culture because ultimately the power rests with an executive, not the Academic Groups who still remain accountable for their actions to this upper management tier. Gunter and Fitzgerald (2013b) characterise this as local responsibility for implementing strategic imperatives being devolved rather than any degree of local autonomy for the academic groups. A corollary of this is that there must be a level of administration to ensure that the necessary conditions are effectively managed in order to facilitate this decentralisation, consonant with the neoliberal ideology at the macro level. Recognising that "administration" (Hood 1991, p10) is not a pejorative term, although it is a narrow term, raises a question as to what makes for 'good' administration at the micro-level. Coaldrake and Stedman (1999) in their report to the Australian federal government on the future policies that should apply to universities, provide some guidance in that they say administration means time spent on systems for accountability and quality assurance, which cover a very broad range of issues but certainly encompass the workload management processes. In terms of the impacts on academic staff a systematic review conducted by Tight (2010) strongly suggested that "the pressure on academic workloads has come not from demands to do more teaching or more research… but from the increasing impact of administration" (p211) also helping to highlight the links between this conceptual 'bin' and the audit control 'bin', impacting on the autonomy that staff or academic units may have.

4.3.3 Products: Programmes of study

The withdrawal of the broad consensus on 'welfare' as a result of neoliberal ideology has meant that the emphasis for higher education has become one focused on efficiency and accountability whereas previously it had been about the social value of the process (Yeatman 1993) meaning that modern higher education is now about a 'product' or what Fitzgerald (2012b) referred to as a "culture of deliverables" (p5). Thus there is a renewed pressure on such things as cost minimisation (teaching larger classes to reduce staffing) and productivity (increased research outputs) applied to academic work itself. *Inter alia* this includes the constant calls for the curriculum to be refreshed to meet the needs of emerging markets, accreditation of programmes to give a competitive advantage and an emphasis on the outputs of programmes of study aligned with the needs of business and professional bodies (Fitzgerald 2012b). This has meant that the products of higher education are now more important than ever leading to a focus on measures found in such items as league tables of performance based, for example, on numbers gaining a 'good' degree. This focus on the product is linked to resource-allocation methods (establishment of cost centres for example) and is therefore primarily aimed at the programmes of study themselves, although it is designed to encompass all the things that higher education undertakes that impact on society in a way that can be quantified. This is what Boston (2013) refers to as "accountability for results" (p20) rather than focusing on process accountability and links closely with the role of management in an organisation.

4.3.4 Audit Controls: Workload, resource allocation and labour cost

Once firmly of the financial sector, 'audit' is now used in all aspects of higher education essentially to drive compliance with mandated systems, whether external or internal (Paewai *et al* 2007) in order to meet targets; often facilitated by IT systems (Dunleavy *et al* 2005). At the University of Eagleton for example the workload and performance management systems rely on IT to both capture data on academic staff and share this data across managers.

The "explosion of audits" referred to by Power (1994, p1) was a reaction, certainly in the UK context, from the governments of the 1970s and 1980s that wanted to persuade the populace that the existing public services could not be trusted and that by subjecting them to greater scrutiny through audit type activities trust could be restored (Clarke *et al* 2001). Gunter *et al* (2016a) make the point that an industry has grown up to help existing academic professionals to adopt the practices and identities associated with NPM such as "performance in regard to audit through data" (Gunter *et al* 2016a, p13) engagement with external review processes (inspections) and performance review mechanisms (Gunter *et al* 2016a). In the context of this research project, it refers to the cross-checking of workload allocations or that performance targets for staff are met; analogous with internal audit processes in business (Shore and Wright 1999) and laid down in frameworks (models) such as those for workload and performance management. These processes may, in turn, damage collegiality because of the perception of them being divisive since they are viewed as being based on justifying an individual's position within an institution (justifying their 'worth') and therefore

collaborative work may be a casualty (Hornibrook 2012) as the individual seeks to gain the best 'score' in the audit system concerned at the expense of the team in which they operate. One of the claimed outcomes from NPM is that productivity should increase and that this requires careful management of all resources; referenced in Figure 7 as the labour-cost discipline. It is necessary therefore to have a commercial discipline within the organisation in order to manage costs, especially where the costliest resource to higher education are the academic staff, reinforcing the link with workload management models and processes. What often goes unsaid, while being covertly acknowledged, is that this aspect of NPM is about 'doing more for or with less' as witnessed by the increase in managerial control in order to drive productivity improvements (Fredman and Doughney 2012) characterised by Gunter (2012) as a move from "intellectual autonomy towards organisational control" (p67) of academic work. Writing about Australian higher education in a report for the Australian federal government, Coaldrake and Stedman (1999) noted that the government expected all universities that were in receipt of public funds to "enhance accountability… and professional management" (p3) thereby ensuring that university leaders understood the unequivocal position that the university operates as a business within a global market. Ultimately this can mean that there is less resilience within an organisation (Hood 1991) to cope with rapid changes in circumstance such as that found in universities that have to cope with annual changes in the macro-political landscape witnessed in higher education in the UK over recent years; for example, the Browne Review of higher education in 2010, the changes to student fees, reduction in teaching grants and changes to research assessment frameworks.

4.3.5 Managerialism in lieu of collegiality: 'Professional' management

> "Managerialism provides a powerful justification for the assumed right
> of one group to monitor and control the activity of others."
> (Fitzgerald 2012b, p3)

The foundation of managerialism lies with a belief that the way public and private institutions should be managed does not differ and therefore they should be managed in the same way (Boston 2013) with an emphasis on "generic management skills" (p20). Those who now occupy management positions have had to develop new identities as managers, aligned with managerialism, with a mindset focused on business management rather than public administration (Gunter *et al* 2016a);

> "Managers have credentials, expertise and attitudes that represent a
> break with the past… and take on new identities…in order to run public
> services as a business" (Gunter *et al* 2016a, p7)

Clarke *et al* (2001) further expand this to say "managerialism is a discourse" (p58) that create the conditions for problem-solving to occur that enable the organisation to deliver in line with the new notions of "public purpose" (Clarke *et al* 2001, p58) using processes that will enhance performance. Effectively it is a form of governance that is well matched to the aims of neoliberalism since it provides the technical underpinning to the ideology that refocuses service providers, such as higher education, on outputs based on performance indicators (Lynch 2015) – with the associated challenges this poses to education professionals. However, there is a debate within higher education internationally regarding the displacement of traditional collegial approaches by those management practices found in the private sector (Bryson 2004; Deem 1998) and whether the changes in higher education attributed to neoliberal ideology actually require a more professional and systematic management in order to survive (Fredman and Doughney 2012).

Recently Gill (2016) when discussing the role of management in relation to a workplace survey of HE in the UK observed that;

> "ill-fitting managerialism, imported from outside academia, is stifling the collegiality that actually makes universities tick" (p5)

This shows that the debate around managerialism and collegiality is still current in 2016. Gill's view echoes those of writers such as Deem (1998) and Shore and Wright (1999) who had similar concerns about the effects on collegiality as well as workload; apposite given that Gill is writing in the context of a workplace survey.

The results of a survey of Australian academics in 2010 found that those academics who showed dissatisfaction with their roles, mainly as a result of workloads, contrasted the current marketised approach to higher education unfavourably with the collegial past (Fredman and Doughney 2012) since they believe that this has led to a cadre of people (not always from an academic background) who want to 'manage' rather than happening upon this in the course of an academic career; active managers, highly visible, with clearly defined roles and the authority to carry out their designated function (Gunter *et al* 2016b). This new form of business-type managerialism within higher education (Bryson 2004; Deem 1998; Ramsden 1998) meant that the sector moved to a position whereby there was a "more 'professional' approach to the management of academic staff" (Egginton 2010, p120) as opposed to management by those promoted 'through the ranks' into positions of management responsibility that had hitherto been the traditional route in many universities; characterised by Fredman and Doughney (2012) as "amateurish, ad hoc" (p56) approaches to management.

NPM contains many different strands of activity but the common feature is one of the introduction of many "management-strengthening" (Dunleavy *et al* 2005, p475) components, leading to the view that public service is replaced by management since the impact of NPM has changed the dynamic from being one of the public values to that of the husbanding of scarce resources (Yeatman 1993); the proverbial 'doing more with less' approach. Within the university context this has meant that academic managers have had to become "economic managers" (Yeatman 1993, p4) and are expected to demonstrate that they are doing more with fewer resources and actually able to make further savings whereas traditionally these managers had acted as an advocate for an academic area in order to secure increased resources for doing, more or less, the same work. This is consonant with the central theme in the NPM Framework (shown in Figure 7) of accountability, because of the implicit duty on the academic managers to justify their use of resources manifested in such processes as workload management systems and performance reviews. As a counterpoint to the negatives associated with managerialism there is a view that whilst it can be taken as a shorthand for removing academic freedom – academics becoming the "new managed periphery" (Fitzgerald 2012b, p14) – it is unreasonable to assume that individual academic staff will seek to work together for a strategic goal without some form of control provided by managers (Coaldrake and Stedman 1999).

"The collegial culture has gone. In its place has come the line management authority of an employer/employee relationship" (Yeatman 1993, p4) creating tensions between the traditional nature of a university based on individual autonomy and that of a corporate, managerialist, institution (Coaldrake and

Stedman 1999). Ramsden (1998) was more forthright in saying that "collegiality as a way of managing…is obsolete" (p362) and then going further to say that managerialism was now the reality within higher education whilst also commenting that treating academic staff with more 'stick' was not the way forward to improve performance; better leadership was his recommendation and yet Handy (1993) was of the view that leadership is a component of management. Managers tend to focus on getting things done - the 'here and now' of an organisation - and so can be viewed as 'super' administrators, whereas leaders tend to focus on the more strategic, long term, goals of an organisation; "Perhaps the most important distinction between leaders and managers is this: Leaders are people who do the right thing; managers are people who do things right" (Bennis 1989, p18). Yielder and Codling (2004) expressed a similar distinction between management and leadership in that "…management refers to an orientation towards results and goals… while leadership alludes to an orientation towards human relations" (p6) reinforcing the nurturing, supportive role that leaders may take.

This evident separation of 'management' from 'leadership', which was also reflected in the views of Academic Managers at the University of Eagleton in an earlier study I conducted (Graham 2016), was one factor that influenced some the choices made when selecting Q statements for inclusion in the Q sort in this project. Decision making has been transformed from that of the collegial culture (where managers were academic colleagues) to one of a central executive making decisions, often *in camera*, and then communicating those decisions downwards through the line management structure leading to a centralisation of the control, where middle managers (heads of department) are appointed to execute

administrative tasks rather than academic ones and there are "rigid borders" (Lafferty and Fleming 2000, p261) surrounding the core management function of the institution where "executive leadership has been strengthened at the expense of collegial power" (Bleikle *et al* 2013, p162). According to Lafferty and Fleming (2000) this confines any decision making to a small central core of managers and allows the institution to remain in a state of constant change. There is a relevance to the academic staff who are the focus of this project because at the University of Eagleton the academic managers have to monitor performance, whether that is workload or actual job performance, using standardised systems mandated by the University's executive and through these processes clear goals for the output of academic work are established and then measured. Individual empowerment may be a casualty of such approaches since it can cause a feeling of 'loss of control' amongst the cadre of academic managers.

4.4 Discussion: Academic work

Workload and performance management processes and systems are linked to the NPM Framework through the accountability that they bring to academic work. Indeed, even the dichotomy between workload and performance management systems can be viewed as a natural process of their development within NPM since they are two discrete processes capable of generating data that can be used as performance indicators which is a key aspect of NPM. However, workload and performance management processes are also effects of NPM which is itself an effect of neoliberal ideology being implemented at the macro scale. This leads to academic work being undertaken in an increasingly privatised, market-led

environment where universities have become "powerful consumer-oriented corporate networks" (Lynch 2015, p190) and the individual academic becomes a "provider of a service" (Lafferty and Fleming 2000, p260) to the students redefined as customers. This means that "the academic community has been transformed into staff and submitted to human resource management" (Bleikle *et al* 2013, p162). NPM thus shapes the *conduct* (by virtue of management tools focused on accountability) of the academic work, whilst neoliberal ideology shapes the *nature* of that work or the essence of what is meant by the "triumvirate" (Coaldrake and Stedman 1999, p13) of academic work; teaching, research and administration. It is the way in which academic work has changed over the last 36 years in the UK (using the Thatcher government of 1979 as the baseline) that provides a unifying schema for understanding the application of NPM, workload management and performance management to post-92 higher education institutions.

The nature of academic work has changed from one that extolled academic autonomy underpinned by local, departmental, control over academic issues with an associated disdain for administrative and managerial duties, to one that now places emphasis on performance to meet targets and accountability in order to operate more collectively for the 'good' of the institution (Coaldrake and Stedman 1999). Clarke *et al* (2001) posited that work that was under academics' control is now mechanised and made routine, almost a return to Taylorist models of management where standardisation governs the work rather than professional judgement – succinctly put as the "deprofessionalisation" (Clarke *et al* 2001, p270) of work. Traditionally the academic work could be characterised as being focused on preserving knowledge, disseminating that knowledge to a new

audience and then to create new knowledge through scholarship. The modern university has been transformed because of external pressures and has had to adapt to a constantly changing macro environment that has impacted academic work such that academics must now use their skills in new ways to generate income for the university; working to help the university change rather than debating and constraining the increasing pace of that change (Martin 1999).

In addition to the changes brought about by greater use of accountability processes, academic staff have had to contend with changes in the curriculum as the higher education system has adapted to the new market driven approach. Thus the traditional disciplines and subjects have been replaced with a more vocationally relevant curriculum to ensure that employability indicators are met because universities are now perceived as preparing a workforce. This has brought with it not only an increasing number of students, but also students who have more complex needs that require a flexible approach to teaching and who are "aware of their right to satisfactory service" (Martin 1999, p11); echoing the commodification concerns and, in the UK, reflecting the concerns of the £9000 fee regime that gives clear contractual rights as a consumer of a service. As Martin (1999) says these challenges for academic staff are significant and few "can cope unsupported with the complex challenges" (p12) that this brings.

Writing about the Australian context Lafferty and Fleming (2000) viewed academic work as being transformed from a "pre-industrial collegial character to a corporate-managerial" (p257) one and this resonates with the notions of NPM that helps to provide and explanation for the situation found in the UK. Even research has been

affected by these changes since the pressure is brought to bear on academics to undertake research that is "directly tied to business needs" (Lafferty and Fleming 2000, p259), often quoted as applied research, rather than what Lynch (2015) refers to as "public intellectual work" (p201). The changes have created a tension between what academics view as their traditional role and the role now demanded of them with possible negative consequences for academic job satisfaction (Hornibrook 2012). This has led to growing pressures on academic time as evidenced through tighter control of workloads and one consequence is that academic staff have little incentive to spend their personal time, outside of formal periods of contact, interacting with students because this is not factored into their workload with the result that the student experience may suffer. In particular Bleikle *et al* (2013) found from their study of four European universities that the changes that seem to affect academic roles the most are those to do with changes in "funding, quality assurance and evaluation practices… [since academic staff] are expected to spend more time on funding acquisition" (p173) which is consonant with the rise in administrative burdens. Also the perceptions of the way in which workloads have changed is probably driven by the way in which the academic role itself has changed with "administration and service tasks" (Hornibrook 2012, p29) taking more time away from the usual domains of teaching and research which is a recurring theme. For example, Martin (1999) reports on a study conducted with academic staff in the UK during 1996 and states that these staff were "angry about the time taken up with accountability devices" (p4) because these activities had a greater prominence than their teaching or research and yet whilst they accepted some of these measures were necessary the "bureaucracy that accompanied it" (p74) was not welcome. Hornibrook goes on to

suggest that perceived fairness in such things as workload allocations can actually improve the individual's commitment to their work and the institution which, in turn, helps to improve the institution's overall performance. Within the analysis undertaken by Coaldrake and Stedman (1999) they found that the scope of academic work had been enlarged so that more work was being done instead of a process of rationalisation being used to adapt that work to the changing macro environment for the higher education sector;

> "academic work has stretched rather than adapted to meet the challenges posed by transformations of the higher education sector." (p386)

Universities and academics seem to have allowed a process of accumulation of work objectives rather than undertaking the more difficult process of making strategic changes and reformulating what the new academic role would be in the current climate. Interestingly, Paewai *et al* (2007) found from their case study that while academic staff recognised this accumulation as opposed to rationalisation, they were not averse to this happening if it was done in a "negotiated and transparent" (p386) manner; recognising clearly the willingness to accept the evolution of their roles in line with the changing macro environment.

Ramsden (1998) summarised the effects on academic work generally as being the requirement to perform academic work to a better standard and with fewer resources available such as having to teach more students, whether more classes or larger groups whilst simultaneously increasing the number of research outputs (also a concern of Deem 1998) and documenting the activities through administrative systems (Fitzgerald 2012; Tight 2010; Paewai *et al* 2007; Coaldrake and Stedman 1999). Hornibrook (2012) concurred when noting that

administrative duties had significantly increased along with "escalating demands associated with research and teaching" (p29) which is a point reinforced by Bleikle *et al* (2013) when they observe that academic staff "spend more time reporting on their activities … where the productivity of every individual academic now affects the funding for their own research group [or] department" (p173). The actual work being undertaken has become more demanding not least because of the pressures to ensure that teaching is focused on learning and done in a more professional manner. Teaching students within higher education is still a significant source of income for a university and is recognised in the White Paper (Her Majesty's Government 2016) that will introduce a Teaching Excellence Framework (TEF) aimed at raising the profile and standards of university teaching to balance the focus that has existed on research. The implications for academic staff go beyond the obvious in terms of becoming professional teachers in that there will be a new system of metrics involving yet more data gathering to try to establish "objective measures of good teaching" (Coaldrake and Stedman 1999, p24) that have been so elusive previously. In what seems to be a prescient warning, recognising that teaching is a key component of academic work, Ramsden (1998) suggested that performance management of academic staff for their teaching role is critical in order to enhance student learning but the interesting link is with "reward and recognition" (Ramsden 1998, p355) that should follow from any performance measures with clear overtones of staff appraisal and a reference to one of the 'bins' in the NPM Framework concerned with 'performance measurement'.

Tight (2010) conducted a systematic review of surveys of staff workloads conducted between 1961 and 2004 and the findings are, in part, surprising. Tight found that academic workloads had risen up to 1994 but since then they have plateaued or even decreased slightly. The review does however support the view that the nature of academic work has changed in that research has been given greater prominence in terms of the share of workload allocated and the expectation that researchers will raise funds through bidding for research grants (Bleikle *et al* 2013) thereby linking research with the administrative aspect of the role. However, Tight does point out that this skewing of activity can be partly attributed to the inclusion of former polytechnics and colleges of higher education following the Further and Higher Education Act of 1992 (Her Majesty's Government 1992) where research was, arguably, weaker in these 'new' universities than those that were pre-existing. All of the pressures described above have clearly distorted the traditional academic role of teacher-researcher with its associated freedoms into one where they have become "subordinate workers under constant pressure to produce" (Bleikle *et al* 2013, p173).

4.5 Summary

What is very clear is that the macro environmental forces being applied to higher education in the UK through the march of neoliberal ideologies and embodied in NPM, have "fundamentally changed the nature and purposes of academic work" (Fitzgerald 2012a, p169). Academic work has become more fragmented, driven by the values placed on certain types of work that tend to compartmentalise the endeavours in some way rather than the work being viewed holistically.

Universities have become "deprofessionalised" Fitzgerald (2012a, p172) aided by the use of workload management systems to control academic work, performance reviews of staff and audits of compliance with processes where everything is driven from a central executive of professional managers. Thus, in summary, what it means to undertake academic work within a world dominated by NPM could be characterised by;

- Increased pressure on workloads caused by tighter resource management
- Operating in a corporate, competitive, environment
- Increased burdens of accountability and administration
- Increasing specification as to what 'counts' as academic work
- Reductions in personal autonomy
- Operating in a climate of increasing vocationalisation of programmes

Academic staff have evolved their roles alongside these developments in order to position themselves within the new strictures placed on them such that they are able to maintain a degree of autonomy that allows them to avoid the "anesthetising [*sic*] effects of … managerialism" (Fitzgerald 2012a, p174) in an attempt to preserve the best of the 'old' collegial traditions for the benefit of society and the students. Thus, the NPM Framework offers a sound base from which to design the research project described in Chapter 5.

Chapter 5

Research Design

5.1 Introduction

The project reported in this thesis addresses the gap in knowledge surrounding the linkages between workload and performance management processes applied to academic staff by seeking to understand the perceptions held by the academic staff of those same processes. The research questions focused on establishing the perceptions of academic staff to the models used to manage workload and performance at the University of Eagleton as well as the linkages between the two models so that the impact of these models on staff can be understood and recommendations made about their future deployment.

This chapter takes the reader through the stages of the research design beginning with the considerations around the ontological and epistemological underpinning for this project. This research project uses Q methodology and this is discussed together with the associated research methods in such a way that the link with workload and performance management literatures (discussed in Chapter 3) and the NPM Framework (in Chapter 4) are established. This is followed by a discussion of the processes used to select the participant staff and ensuring the research integrity of the project. Finally, the Q factor analytical process is described in detail to facilitate engagement with the analysis presented across Chapters 6 and 7.

5.2 Ontology and epistemology

This project is situated within a conception of social reality whereby the subjective experience of the participants in the study in relation to workload and performance can be interpreted within the environmental reality that is the University of Eagleton, the site of this study. This is characterised as being a subjectivist dimension to research within social science since it is concerned with "understanding…the way in which the individual …interprets the world" (Burrell and Morgan 1979, p3) because different people will construe the same situation in different ways; the very essence of this project. Cohen *et al* (2000) elaborate on this philosophical position by asserting that organisations are "invented social reality" (p9) and that in order to understand the individual perceptions we need methods that allow for interpretation of these individual perceptions; "analysis of language and meaning"(p9) is asserted by Cohen *et al* (2000) which fits well with the Q methodology. This subjectivist conception of the social world leads to assumptions that can be made about the nature of the social issue being investigated; the ontological perspective (Cohen *et al* 2000, p5). The ontological debate has two extremes on a continuum with realism at one end and nominalism at the other. According to Burrell and Morgan (1979) realism asserts that the social world is made up of hard, tangible and immutable structures whilst the nominalist perspective centres on the social world external to an individual's cognition being composed of labels and concepts that are used to structure the reality; the nominalist does not accept that there is a 'real' structure to the world that these concepts help to describe (Burrell and Morgan 1979, p4). These labels and concepts offer a way for the individual to make sense of the social world that they

inhabit – in this case the University of Eagleton. In keeping with a subjectivist view of the social world this project is aligned with 'nominalist' ontology.

The epistemological debate has at one extreme the positivism and at the other anti-positivism, or interpretivism. Positivists take the view that the social world can be explained by looking for causal relationships or regularities in much the same manner as would a natural scientist. At the other end of the spectrum are interpretivists, the anti-positivists, that suggest that seeking these causal relationships is fruitless because the social world is relativistic in nature and has to be understood from within the context of those who are experiencing that world (Burrell and Morgan 1979). In this particular project the epistemological positon taken is that of social constructionism which is very much towards an anti-positivist view of the social world. In essence, social constructionism asserts that enquiry should be based on interactions, processes and social practices (Young and Collin 2004). It acknowledges that social processes and relational practices help to shape the social world of the University of Eagleton for those experiencing that world. Social constructionism therefore aligns very well with Q methodology because people in organisations seldom experience what is happening passively but are instead constantly adjusting their views based on experiences. In relation to social constructionism Watts and Stenner (2012) suggest that the "perceptions, experiences and viewpoints of particular individuals should be understood" (p41) and it is exactly these attributes that Q methodology is well placed to capture qualitatively and robustly (Stainton-Rogers 1995). I assert that this is in part due to the abductive nature of the enquiry because the project is seeking the perceptions of academic staff in relation to the workload and management processes in an

attempt to explain why these perceptions are being held with a view to giving new insights into the linkages between them. According to Watts and Stenner (2012) the process of abduction begins with the establishment of a "surprising empirical fact" (p40) which is the factor correlation matrix from the Q sorts, that lead into the generation of holistic factor statements that explain the correlations; consistent with the aims of this Q methodological study situated at the University of Eagleton.

Previously, I conducted a small-scale study of Academic Managers at the University of Eagleton (Graham 2016) that highlighted the perceptions of the managers in relation to workload and performance management. The study showed that the linkages between workload and performance were unclear to the Academic Managers. Therefore, the University of Eagleton is an appropriate site for this project because it is seeking to establish the perceptions of the academic staff on the same issues (workload and performance management) that will then allow comparisons to be made across this study's findings and those from the Academic Managers in the same institution. This is in line with the abductive nature of this project as it ultimately seeks to offer recommendations for future management practice.

5.3 Q Methodology

Q methodology is, according to Stainton-Rogers (1995), an "alternative methodology for… dealing with discourse and text…that suits the research needs of…the critical social disciplines" (p178) which in itself provides a clear

endorsement of the use of Q within this project; the discourse in this case being the one surrounding the perceptions of academic staff to workload and performance management models. There is a good methodological match with the social constructionist epistemology in that Q methodology is an ideographic methodology seeking to explain the social world through first-hand knowledge of the subject matter under investigation (Burrell and Morgan 1979). Through Q methodology Stainton-Rogers (1995) asserts that it is possible to 'hear' a range of voices, both dominant and muted, that are contributing to the discourse under examination. Again underlining the reason for the selection of Q methodology in this project.

Additionally, according to McKeown and Thomas (1988) Q methodology "is biased toward small person samples and single case studies" (p36) which exactly fits with this project and further it is ideally suited to the situation where "human subjectivity" (McKeown and Thomas 1988, p12) involving responses of the kind; 'It seems to me…', 'In my opinion…' is under consideration. The methodology is also one which references the self rather than external points of reference (Watts and Stenner 2012; McKeown and Thomas 1988) again reinforcing the match to the attitudinal nature of the project. This is amplified by Brown (1980) who discusses the notion of 'operant subjectivity' as a means of defining why Q methodology is suited to studies of individuals in a context;

> "Behavior [*sic*] … is both subjective and operant. It is subjective since each 'person's viewpoint … is simply that - his viewpoint. It is operant because it exists naturally within a particular setting." (Brown 1980, p4)

The setting in this case is the University of Eagleton and it is the perceptions of the academic staff that will be captured through the Q sorts.

5.4 Q Sort

The overarching Q methodology has its own associated method (McKeown and Thomas 1988) that is the Q sort. The Q sort permits a group of participants (known as the p-set) to holistically configure a set of statements that form the Q set, on a prearranged grid in a way that is free of any preconditioning from the researcher (Stainton-Rogers 1995); the grid when populated with the statements by the participant is referred to as a Q sort. The method does not use a traditional statistical sampling process to gather the participants (p-set) or the statements (Q set). The Q sort that is produced by each participant is unique and is anchored in a "self-reference" (McKeown and Thomas 1988, p12) framework rather than one that is norm-referenced, illustrating that the method aligns well with the project aims. It is clearly a qualitative research method, being from a social constructionist epistemology and yet has the attraction of using statistical methods in the factor analysis of the Q sorts in order to ensure valid judgements are made when constructing the factor statements. Each of the components that have been briefly introduced will be discussed fully in the rest of this chapter.

The key to designing an effective study using a Q sort lies with the selection of the statements that are used to form the Q set, often referred to as 'Q tiles', that the participants in the study arrange to form their unique Q sort. These statements are recorded on a grid for later analysis alongside the patterns gathered from the other participants in the p-set. In this way the data set for analysis is formed by the unique layout of statements from each participant. This project was designed as a multi-participant Q-sort study in order that factors representing perceptions of the

sub-groups of academic staff could be extracted and compared with those factors that were extracted for the whole group of staff. This was also a balanced Q-sort study using statements identified heuristically from Research Paper 2 (published as Graham 2016) of the perceptions of Academic Managers and complemented by statements extracted from a literature review that I produced (Graham 2015a) that identified the dichotomy between workload and performance management, as well as from literatures that were used to define the conceptual 'bins' within the NPM Framework. Appendix 4 shows the detail of how the Q statements were developed from the various sources. In this way the statements were grounded in the reality of workload and performance management, together with the impact of NPM, at the University of Eagleton, and very much in line with the guidance offered by Stainton-Rogers (1995). Appendix 5 shows the 68 statements that were derived in this way and used as the Q tiles and Figure 8 shows the mapping of these statements onto the conceptual 'bins' in the NPM Framework:

Conceptual 'bin'	Q Tiles
Performance measurement: Engendering trust	22, 25, 27, 29, 30, 31, 32, 38, 40, 42, 65, 67
Administrative values and decentralisation	2, 14, 20, 23, 24, 26, 37, 46, 47, 48, 49, 52, 54, 55, 56, 59, 64
Products: Programmes of Study	33, 35, 41, 60, 61, 62
Audit Controls: Workloads, resource allocation and labour cost	1, 13, 15, 16, 17, 18, 19, 21, 36, 39, 45, 50, 51, 66
Managerialism in lieu of collegiality: 'Professional' management	3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 28, 34, 43, 44, 53, 57, 58, 63, 68

Figure 8 Mapping of Q tiles to conceptual 'bins' in the NPM Framework

From the considerations discussed above this project was conceptualised with NPM at its core, where workload and performance management are an integral part of that conceptualisation as evidenced through the NPM Framework in terms of the conceptual 'bins'. The resulting Q statements were intimately bound to the

NPM Framework (see Figure 8) and formed a "naturalistic sample of statements" (McKeown and Thomas 1988, p25) usually referred to as a "structured Q set" (Watts and Stenner 2012, p59). An attraction of the Q sort as a data gathering mechanism is the tactile nature of the engagement with the statements in the Q set by the participants. A customary approach was adopted in that the statements were printed onto individual cards and the participants were asked to physically place each card on a predefined grid according to their strength of feeling about the statement on each card. The number of the statement in each grid position is then recorded on a facsimile chart replicating the actual large-scale Q sort layout. This has led to the statements being likened to "carpet tiles" (Watts and Stenner 2012, p58) and hence why the cards containing the statements are referred to as Q tiles. In the absence of any fixed guidance about the ideal number of Q tiles in a study design the researcher was guided by the review of this aspect by Watts and Stenner (2012) who suggest that a reasonable study would include between 40 and 80 tiles (Stainton-Rogers (1995) suggested a range of 10 to 100 tiles) with no more participants in the p-set than there are statements; this project design had 68 statements (Q tiles) that derived naturally from the sources described earlier giving the study design validity. The Q set was piloted during Research Paper 3 (Graham 2013a) with a view to ensuring that the statements were balanced, appropriate, intelligible and provided comprehensive coverage as suggested by Stainton-Rogers (1995). The outcome of the pilot study demonstrated that the above criteria were met through the statements chosen for inclusion in the Q set and that they were not simply the personal constructs of the researcher thereby validating the design of the Q sort.

A forced Q sort layout as shown in Figure 9 was used having a face-valid scale ranging from 'Extremely like my point of view' (+5) to 'Extremely unlike my point of view' (-5) as this gave a realistic chance of the 68 items being sorted by the participants in a manner that offered a level of granularity allowing for the Q tiles to be sorted within a reasonable time. This type of prearranged sorting layout has become a standard feature of the Q method since it mimics a normal distribution which is felt to be appropriate for studies that focus on aspects of human behaviour. There is no theoretical or scientific reason for using such a structure but it does provide "a very convenient and pragmatic means of facilitating the subjective evaluations and item rankings" (Watts and Stenner 2012, p17) on which the method depends. McKeown and Thomas (1988) observe that "the shape of a Q-sort distribution is methodologically and statistically inconsequential" (p34) thereby further supporting the design validity of the project. The ranking of the items in the Q set, that are all interdependent in some way because of their lineage, is thus a "gestalt activity" (Stainton-Rogers 1995, p180) rather than a sequential one as may be found, for example, in a questionnaire.

-5	-4	-3	-2	-1	0	+1	+2	+3	+4	+5
Extremely unlike my point of view	Very much unlike my point of view	More than disagrees with my point of view	Disagrees with my point of view	Does not fit comfortably with my point of view	Neither agree nor disagree with my point of view	Fits comfortably with my point of view	Agrees with my point of view	More than agrees with my point of view	Very much like my point of view	Extremely like my point of view

Figure 9 Forced Q Sort Layout

In order to undertake a Q sort, it is vital that the participant is given a briefing as to what is expected of them and that this is done consistently with all participants. Such a briefing is usually done with the aid of a document called the 'conditions of instruction' (Appendix 6) which is a step-by-step guide to the Q sort activity and helps to avoid subjective views of the researcher being drawn into the briefing; an aid to objectivity in the process. Following the Q sort, the only post-sort question that was asked was that of length of service with the University of Eagleton since this was difficult to ascertain with certainty from the Human Resources database due to a variety of contractual teaching arrangements that may have existed. This information would be used to help provide an explanation of the factors in the subsequent analysis. During the construction of the factors the difficulty for the researcher is in interpreting what to do with those statements that lie within the 'neutral' area of the factor; the statements towards the middle of the distribution. Whilst it is easy to make sense of the statements at the extremities, the

statements in the middle may also add to the richness of the factor statement but deciding which ones to include is difficult primarily because of the volume of the statements. Thus I implemented a methodological idea from Watts and Stenner (2012) who suggested that it may be useful to ask participants to show where their boundary between agree, indifferent and disagree tiles lay after they have finished their Q sort and this is shown in Figure 10 by way of an example. This requirement was codified in the 'conditions of instruction' (Appendix 6) such that it became a standard requirement for each participant at the end of their Q sort. The use of this boundary information is detailed later in this chapter during the description of the analysis of the Q sorts.

Extremely unlike my point of view	Very much unlike my point of view	More than disagrees with my point of view	Disagrees with my point of view	Does not fit comfortably with my point of view	Neither agree nor disagree with my point of view	Fits comfortably with my point of view	Agrees with my point of view	More than agrees with my point of view	Very much like my point of view	Extremely like my point of view
2	13	64	17	47	9	56	38	52	53	68
8	60	61	57	66	20	42	26	44	48	35
37	18	59	51	4	21	34	23	41	63	43
	6	33	32	58	10	30	3	45	40	
		19	31	49	28	62	7	1		
			50	46	27	47	25			
			5	36	16	29	12			
				39	11	54				
				14	65	55				
					24					
					22					
					15					

Figure 10 Example of boundaries drawn on a completed Q sort

5.4.1 Academic staff participant group

Due to the self-referent nature of the Q sort method (McKeown and Thomas 1988) it does not require a statistically representative sample of staff in the same way

that other methods may require. There is still a requirement to have an extensive person sample – the p-set - (McKeown and Thomas 1988) in order to produce factors from the Q sorts that would be representative of the views of those in the group with regard to workload and performance management. A pre-requisite for an effective p-set is that the people within the p-set have perceptions that are important to the study; some researchers consider that they should be 'experts' in their field (*cf.* Shinebourne and Adams 2007) because their views may be more objective in relation to the study. Academics that are directly impacted by the workload and performance management processes clearly meet the pre-requisite in terms of having knowledge and direct experience of those processes.

Generalization, whether this be in the sense of "conceptual generalization" (Watts and Stenner 2012 p73) or "substantive inference" (Thomas and Baas 1992, p22), could then be used to relate the generated factors to the whole group from which the p-set was drawn viz the academic teaching staff at the University of Eagleton. An essential precursor to selecting the p-set was definition of 'academic teaching staff' as this is a vague term. The University of Eagleton is a post-92 institution where academic staff are employed on a contract that defines their role very clearly as those with 550 hours (*pro rata* for fractional roles) of teaching commitment over a 38 week cycle. Due to the inconsistencies in applying the workload and performance models to fractional staff I decided to use only full-time staff since they would have the best understanding of both processes; there were 166 full-time equivalent staff that met this criterion and this list was straightforward to extract from the Human Resource database.

A key focus of the project was to examine the differences that may exist between those on a Lecturer grade compared with those holding a Senior Lecturer role as well as identifying any differences in perceptions between female and male staff. The latter point stems from a speculation in the literatures (notably Deem 1998) that female staff have higher workloads than their male equivalents, possibly as a result of them being viewed as more caring and so likely to have higher pastoral allocations. Thus it was decided to conduct the Q sorts using the following groups of staff;

- Female Lecturers;
- Female Senior Lecturers;
- Male Lecturers and;
- Male Senior Lecturers.

Thirteen staff were selected in each category yielding a total group size of 52 staff. Factors would also be extracted for the complete p-set (all 52 staff Q sorts in this case) in order to see what the dominant perceptions were of the whole group compared with the sub-groups; this is a valid as well as a pragmatic use of the source data. Watts and Stenner (2012) suggest that in any Q sort it is sensible to have no more participants than there are items in the Q sort. Watts and Stenner (2012) also suggest that as a 'rule of thumb' a factor may be extracted for every 6 Q sorts and that between 13 and 18 Q sorts is likely to provide up to 3 factors. Currently there are only 27 female lecturers within the University of Eagleton's establishment and this provides a limiting number since the four sub-groups need to be the same size. Coupled to the fact that statistical sampling is not a concern of Q sort as a method because "all that is required are enough subjects to establish the existence of a factor for purposes of comparing one factor with another" (Brown 1980, p192) and it is the "discursive diversity" (Stainton-Rogers 1995, p182) that is of interest rather than the participants themselves, then a

decision was taken that the p-set will be based on 13 participants for each of the four sub-categories; 52 participants in total. Appendix 7 shows the p-set for this project and it gives a brief biography for each one in terms of their academic group, subject specialism, length of service (established post-sort) and the code that was allocated to the individual's sort to facilitate anonymous analysis. The effects of a major staffing restructure at the University of Eagleton in 2013 removed large numbers of staff at the Senior Lecturer grade who were replaced by junior, Lecturer grade staff and the effect on the University is clear when the average length of service for the staff is considered; for Female Lecturers it is 1 year and 7 months whilst for Male Lecturers it is 1 year and 6 months. The newness of these groups is further amplified by the fact that for both groups the mode and median length of service is only 1 year.

After the Q sorts have been gathered a software package called PQMethod (Schmolck 2014) is used to undertake factor analysis that establishes the views, beliefs or attitudes prevalent within each of the groups of staff. It is these factors that allow the many 'voices' to be expressed in a "person-structured but culturally informed" (Stainton-Rogers 1995, p 184) manner allowing issues to emerge from what was 'heard' during the Q sort sampling process itself.

The researcher's job then is to make sense of what these factors are saying for the p-set and also for the whole of the staff within the group from which the p-set was drawn. Expositor (1987) says the goal is not for the researcher to establish "normative facts….. but to reach understandings" (p82), resonating well with the Q study aims. A greater challenge exists in trying to generalize to the whole staff

body at the University of Eagleton and the wider post-92 higher education sector

because of the self-referent nature of the Q sort and its overtly non-statistical

derivation of the p-set and Q statements.

5.5 Factor analysis of the Q sorts

The Q sorts were undertaken by the following groups of staff and subsequently a

factor analysis carried out on each group;

- Female Lecturers (13 Q sorts)
- Female Senior Lecturers (13 Q sorts)
- Male Lecturers (13 Q sorts)
- Male Senior Lecturers (13 Q sorts)

Additionally, a factor analysis was carried out on the whole p-set (52 Q sorts in

total) in order to establish the views of the staff in the p-set overall at the University

of Eagleton and to see if any of the sub-groups exerted a dominant influence on

those views.

The factor analysis used in the Q method enables a comparison of individual Q

sorts to identify patterns of similarity between different respondents in the way in

which they sorted their Q tiles. The analysis yields a limited number of factors that

are representative of the perceptions held in common by the group of

respondents. In order to undertake the analysis the data from the Q sorts was

correlated and factor-analysed using the dedicated PQMethod software (Schmolck

2014). This facilitated the use of the centroid method with Varimax (orthogonal)

rotation (Watts and Stenner 2012; Brown 1980) of the factors to arrive at the

definitive factor loadings. Centroid analysis is the *de facto* standard method for Q

methodologists since it does not provide a single 'correct' solution thereby leaving the researcher "free to pursue his [*sic*] own inclinations" (Brown 1980, p33) in relation to the data; Watts and Stenner (2012) refer to the "permissiveness it allows in relation to data exploration" (p100) while McKeown and Thomas (1988) say that it "frees one to follow hunches" (p53). This is in keeping with the abductive nature of Q methodology where observed phenomena (the Q sorts) are used to generate "new insights" (McKeown and Thomas 1988, p39) into what has been observed. Abduction itself is a logic that allows for discovery and generation of possible explanations for what was observed during the Q study rather than the verification of a pre-existing idea which is ideally suited to this particular project where perceptions of workload and performance management are being explored. Varimax rotation is an objective process provided in PQMethod (Schmolck 2014) that offers the 'best fit' solution for rotated vectors and thus offers a statistical solution that stands up well to scrutiny; it produces a rotational solution with the optimum loadings of individual Q sorts on the factors, reducing the number of non-significant or confounded Q sorts. It is often described as giving the best "simple structure" (McKeown and Thomas 1988, p52) and of being excellent in establishing or perceptions "that almost everybody might recognize and consider to be of importance" (Watts and Stenner 2012, p126) without having specialist knowledge of the focus of the project. It is particularly effective for the larger data sets of this project where it yields objective (Brown 1980) and reliable solutions pertaining to the perceptions of the group leading "automatically to a very workable factor solution" (Watts and Stenner 2012, p125). Therefore, this method offered an efficiency that was necessitated because of the number of analyses undertaken across the groups with the aim of being able to compare and generalise factors.

This means that the Varimax rotations would offer a rigorous consistency of approach that would facilitate meaningful comparisons across the final factors.

In keeping with the nature of Q methodological studies the raw Q sort data was examined through an iterative process, something encouraged by Watts and Stenner (2012) particularly, such that a range of potential factor solutions were extracted in order to understand the data. Many of these solutions proved not to be amenable to interpretation because they did not satisfy various tests for validity and reliability and so they were dismissed. Ultimately the analysis yielded 2 factors that were valid and reliable for all the groups with the exception of the SL Male group that yielded only a single factor, the significance of which is explained in Chapter 6.

5.5.1 The analytic process

This section will give a description of the overarching process of data analysis together with assumptions made during that analysis and a description of how the boundary conditions (illustrated in Figure 10) set by participants were used in deriving the factor statements. This analytic process and the assumptions underpinning the analysis were presented at a seminar in The Manchester Institute Education on 30 April 2015 in order to test the validity of the outputs with peers (Graham 2015b). The analytic process begins with the entry of the individual participant Q sorts into PQMethod (Schmolck 2014) so that different algorithms can be executed within the software to provide outputs that guide the researcher to the derivation of factor statements. In order for this to happen each statement in

the participant's Q sort is allocated a value of -5 to +5 according to its column position on the Q sort grid as illustrated in Figure 9. It is these position values for each statement that are entered into PQMethod for each Q sort in the group; PQMethod having previously been programmed with the layout of the grid.

5.5.2 The factor matrix

The first table of data produced when centroid analysis with Varimax rotation is run in PQMethod is the factor matrix. The confirmation of a factor solution rests on several statistical tests against data shown in the factor matrix; the relevant formulae are given in Appendix 8. The first consideration is that of the eigenvalues (EV) for each factor since these are an effective measure of the explanatory power (Watts and Stenner 2012) of the factor. The EVs are calculated according to the formula in Appendix 8 and the threshold that determines whether this is a valid factor is if the EV > 1.0 (Brown 1980); this is known as the Kaiser-Guttman criterion. A further test can be used to confirm that these factors are indeed significant and that is by using Humphrey's rule which says that "a factor is significant if the cross-product [*of the absolute value*] of its two highest loadings exceeds twice the standard error" (Brown 1980, p223). The variance figure for each factor is important because it is a measure of what is common across the Q sorts that make up that factor and, for validity, the factor solution should account for as much of this variance as possible (Watts and Stenner 2012). As a general rule the factors should account for 35% or more of the variance (Watts and Stenner 2012). It follows that high variance figures coupled with EV > 1.0 are good indicators of an acceptable solution. As a final confirmation that a factor solution is

valid, the factor loadings are compared with the significant factor loading calculated from the formula in Appendix 8 and if the absolute value of two or more of the loadings exceed the calculated significant factor loading then that is further confirmation that the solution is valid (Brown 1980).

The next phase of the analysis is to establish which of the Q sorts should be identified for PQMethod to use in extracting the factor arrays and this is done as follows. Firstly, the significant factor loading is calculated at the significance level of $p < 0.01$ as shown in the formula in Appendix 8 and then this is compared with each of the factor loadings generated by PQMethod. Where the factor load exceeds this value then it is marked with an 'x' against the factor load unless the figures for that particular Q sort are higher on both factors in which case they are deemed to be 'confounded' and so are omitted or where they are below the significant loading and deemed to be 'non-significant' and so are also omitted; the iterative process described earlier seeks to reduce the numbers in both of these categories since the factors are more reliable in defining the perceptions of the group if as many as possible load on the factors. It is permissible at this stage in the analysis to use the calculated significant factor loading as a baseline figure and to adjust upwards from that figure to reduce the number of confounded or non-significant Q sorts (Watts and Stenner 2012); the optimum being the inclusion (indicated by 'x') of as many Q sorts as possible. The figures in the 'h^2' column of the factor matrix indicate the communality for each of the Q sorts and is a measure of how much that Q sort holds in common with the other Q sorts in the study (Watts and Stenner 2012). Higher values for h^2 mean that the Q sort is typical of the study group as a whole and usually those with low values do not associate (do

not significantly load on any factor) with the factors. This is not guaranteed

because if h^2 is a low value the Q sort can still significantly load if the factor

loadings indicate an almost exclusive link with a single factor. The identified

significant Q sorts are then input to a software routine within PQMethod to produce

the factor array.

5.5.3 The factor array

Once the number of factors in the solution has been established through the tests

described above and the significantly loading Q sorts have been identified for each

factor (indicated by 'x') then this information can be fed back into another algorithm

in PQMethod that generates the factor array. A score ranging from -5 to +5 is

allocated by PQMethod to each statement to produce, in effect, an 'ideal' Q sort

representing the views of the group. This factor array shows the positions that

each statement in the Q set would occupy on a Q layout of the type shown in

Figure 9 for that particular ideal factor. This array is used as the starting point to

write a narrative description of the factor that captures the significant perceptions

defined by that factor from all of the individual Q sorts. Clearly, one approach

would be to simply weave a narrative around all of the statements in the factor

array but this would not be sufficiently critically evaluative of the statements to

permit the underlying key perceptions to shine through; a case of not being able to

see the 'wood for the trees'. It would not then allow for comparisons of critical

perceptions across factors which is a key to understanding the different

perceptions from a Q study. Thus a way needs to be found to rationalise the

number of Q statements that influence the narrative whilst ensuring that key

statements are not omitted and balancing the need to ensure the holistic nature of

the methodology is maintained in this process. At a simplistic level it is possible to

say that statements ranked at +5, +4, -4 and -5 are the dominant statements that

need to be considered and indeed Baker's (2006) analysis does just this and

ignores any other statements. However Watts and Stenner (2012) argued that

such a scheme ignored the value of the statements in the middle rankings that

may have something to add to those ranked at the extremities and encouraged the

Q researcher to examine this middle ground for significant clues as to the

perceptions being expressed through the dominant rankings. At this stage there

would be a danger of introducing a highly subjective process in selecting the

middle ground statements to include in the factor narrative which while being

holistic, may skew the factor statements in an erratic manner. Therefore, I decided

that the systematic way to do this was to initially use the list of consensus

statements (those for which there is little statistical difference between the

statements at p>0.01 as produced by PQMethod) to remove those statements that

did not highlight any difference in perceptions between the factors subject to two

modifications. Within this list there are statements whose factor scores differ by

more than 1 and because Brown (1980) observed that scores differing by 2 or 3

between factors maybe significant it was decided to retain such statements.

Additionally, any statement that scored an absolute value of 5 was retained, even

if it was indicated in the consensus list, in order to retain the strength of feeling

given by participants in the Q sorts and preserve information at the extremities of

the Q sorts as these represent very strong views held by participants.

A novel feature of this analysis was the use of the boundary information illustrated in Figure 10. These boundaries were drawn on the layout used to record the Q sort by participants to indicate the statements that they did not hold strong feelings about or were neutral in their view of the statement. In order to make sense of these boundaries a simple count was made for the Q sorts in each group to establish the number of times a statement was included in an indicated boundary by the participants and this was then tabulated in the factor array as the 'boundary count' column. A boundary 'count' greater than half the number of participants in the group meant that the group were neutral overall about that statement; these are italicised within the factor array tables.

In this way statements within the middle rankings could be systematically and consistently included or excluded from the final factor statements, in line with the recommendations of Watts and Stenner (2012) and in keeping with the holistic nature of the methodology. This creates a dilemma for the researcher in deciding how to handle statements that are retained from the consensus group but whose boundary count was greater than 6.5. I decided that the logical precedence should be that the boundary count figure has priority since this is derived from the actual views of the participants and so was directly relevant to the final perceptions expressed through the factors rather than being a statistical construct. Thus where a boundary count indicated removal from the final list of statements it was removed irrespective of the indication that it should be included as a result of the statement meeting the criteria for retention described earlier. It is worth reiterating that this process is about rationalising the middle ranking statements in order to

write a narrative for the factor that does not omit statements which may contribute to a richer factor narrative (Watts and Stenner 2012).

5.5.4 Factor 'crib sheets' and factor statements

Once the above considerations have been taken into account then the result is a list of salient statements that should feature in the narrative for the factors and these are shown in the salient statements table. It is from this table that the first step in constructing the narrative for each factor is taken by constructing the "crib sheet" (Watts and Stenner 2012, p150) for each factor. These processes had facilitated a systematic review of the data produced through PQMethod to ensure that valid and reliable conclusions were used in the factor statements derived from a detailed scrutiny of the data in an objective manner. This was deemed to be crucial because one of the aims of the research was to be able to look across the factor statements in order to draw conclusions about the views of the different groups and the staff group (52 staff) overall in addition to attempts to offer generalisations.

The next stage was to make a transition from a table of salient statements to a narrative factor statement in a manner that ensured that researcher subjectivity was minimised. The caution of Stainton-Rogers (1995) was foremost during this process since care must be taken to ensure that factor statements result from the "sorting activity of participants themselves" (Stainton-Rogers 1995, p191) and not from an artificial construct of the researcher; thus ensuring that "no assumption about the way understandings are structured" (Stainton-Rogers 1995, p191) is part

of the analytic method. Again Watts and Stenner (2012) provided an alternative approach to that used by others (*cf.* Baker 2006; McKeown and Thomas 1988; Brown 1980) in that they suggested the use of a "crib sheet" (Watts and Stenner 2012, p150) give a first-pass list of the Q statements to be included in the factor statement that would provide an ordered approach to writing the factor statements.

This 'crib sheet' is an intermediate step in producing the full factor statement as it takes the salient Q statements and puts them in an order that allows the statements to be woven into a narrative. The Q statements at the extremities (+5 and -5) are clearly shown together with the middle ranking statements that have been retained and from this a detailed, narrative, factor statement could be produced. Each statement is referenced in the text by convention in Q methodology, for example '3: +4' indicating that Q statement 3 forms this part of the narrative and has a weighting of +4 in the factor array although it is not necessary for the wording to be simply a copy of the Q statement since this is now interpretive of that raw data in order to ensure that the narrative is clear (Watts and Stenner 2012). Again by convention it is usual to give each factor a name that is indicative of the main thrust of the factor, and this is done throughout Chapter 6 when discussing the factors. Also included in the header information of the factor statement are the key statistical details that were established in the factor matrix together with some brief biographical information; in this case the average length of service of those whose Q sorts loaded onto the factor. The number of Q sorts that load onto a factor are also indicated as this is a measure of where the strength of feeling lies in the group.

In order to facilitate the comparing of the key aspects of what is conveyed in the full factor statement, it is again a convention in Q methodology that a summary factor is produced in which the statement identifiers and their weights are omitted and the narrative is edited heuristically to reflect the key aspects of the factor. The process followed up to this point ensures that subjectivity is minimised leading to valid and reliable summary factors that are customarily used in Q methodology (*cf.* Watts and Stenner 2012; Stainton-Rogers 1995) to critically evaluate the 'story' being told by the factors. The process is summarised in Figure 11 below and it provides the structure for the data analysis in Chapter 6:

PQMethod provides a factor matrix that identifies factor loadings of each Q sort.

Defining Q sorts are identified in relation to the significant factor loading.

PQMethod uses the defining Q sorts to produce the factor array.

The factor array is examined alongside the consensus statements. Ordinarily the consensus statements are removed except where the difference is >1 in which case it is retained in the factor array.

Examine the 'boundary count': lose the statement if more than half the participants locate the statement within the 'boundary'. This yields the salient statements for each factor.

Produce a 'crib sheet' as the first stage to producing the factor statement and then write a narrative statement in detail from this sheet.

Produce a summary factor statement by inspection (heuristically) of the key messages that emerge from the detailed narrative in the stage above.

Figure 11 Data analysis process to produce the factor statements (except the SL Male group)

The difference with the SL Male group is due to a single factor solution which is discussed fully in Chapter 6.

5.6 Research Integrity

Central to Q methodology, and the Q method, is the importance of the individual because it is the views and beliefs of these individuals in relation to the subject matter in the Q sorts that form the basis of data gathering. Thus there was a clear need to ensure that the integrity of the project was considered carefully in order to protect those forming the person sample (the p-set).

Ethical clearance was sought, and granted, from both the Universities of Manchester and Eagleton in order to carry out the proposed study and this was undoubtedly eased as a result of having worked through these processes in earlier studies for Research Papers 2 and 3 (Graham 2013a; Graham 2013b) and by virtue of my role as a senior manager at the University of Eagleton. Critical to the success of establishing the p-set was access to the human resource (HR) database at the University of Eagleton in order to identify the staff within the grade and gender sub-categories outlined earlier. This could have been a sensitive issue because in my professional role in the University of Eagleton I have the authority to access this data as a manager but I followed research integrity procedures by making a formal request for access to this data as a researcher rather than as a manager. The Registrar at the University of Eagleton was supportive of the research and when approached formally, gave the necessary permissions for access to the staff data in the HR system.

Issues of researching one's own colleagues and reporting findings necessitated appropriate consideration. Hitchcock and Hughes (1995) suggested that there may be an issue of reciprocity with participants who are peers but the Q sort avoids this because the focus of the data gathering is the Q sort itself and it is impossible for a participant to sort the statements in a way that gives the 'right answer'. The question asked post-sort regarding length of service could not influence that participant's sort of the tiles and so this aspect would not influence the Q sort. Returning to reciprocity, Platt (1981) makes the point that whilst this can be helpful there are social obligations on the researcher to ensure anonymity in reporting the findings and that this must be handled carefully. Platt (1981) usefully identifies the fact that using colleagues within the same community can take advantage of "rapport to elicit information which might not be provided under purely impersonal conditions" (Platt 1981, p84) and also argues that ethical considerations in such a case cannot be absolute but must be considered on a risk-benefit basis (where the risk is mainly to the interviewee against the benefit to the researcher as a result of an unfettered dialogue) due to the inherent trust that exists between peers. As a result of holding a senior management role in the University of Eagleton, although not a direct line management responsibility for any of those colleagues included in the p-set, there could have been suspicions of coercion on colleagues to participate. This was addressed through the use of agents to contact the staff on my behalf. It was clear that the total number of staff in the p-set would have created an excessive workload for one agent but because the p-set itself comprised four sub-groups it lent itself to the use of an agent for each sub-group, making the workload manageable for each agent. Each agent was given a full list of the staff in the sub-group for which they had responsibility and they were asked

to make a random selection from that list in order to supply 13 colleagues willing to undertake the Q sort. The associated agent email, participant information sheet and consent form are given in Appendix 9.

When reporting the outcomes of this project I needed to be mindful of the fact that the University of Eagleton is a small university and it may be possible to identify from where the p-set has been drawn. The use of a coding structure to identify the individual members of the p-set (shown in Appendix 7) meant that the anonymity was preserved. Another advantage of the Q method is that individual Q sorts are meaningless as a standalone item other than to a researcher engaged with the process and this provided another safeguard in terms of ensuring confidentiality; certainly all of the participants were satisfied with the process confidentiality when the consent form was discussed.

The foregrounding of these issues at an early stage in the research design gave me confidence that I would be able to avoid breaching confidentiality (and could give a guarantee of anonymity to participants) or transgressing ethical norms. Such approaches had proven to be effective when used in an earlier semi-structured interview project with Academic Managers (Graham 2016) at the University of Eagleton.

5.7 Summary

In Chapter 6 the results of the factor analysis of the Q sorts for this project are presented, following the processes outlined in this chapter. The individual

summary factor statements are discussed in in order to establish the key

perceptions of the staff in relation to workload and performance management. The

same summary factors are then used in Chapter 7 to examine the NPM

Framework so that the impact of NPM on the University of Eagleton can be

gauged.

Chapter 6

Factor analysis of the Q sorts

6.1 Introduction

This chapter presents the outputs of the factor analysis of the Q sorts in order to use summary factor statements so that the perceptions of the staff sub-groups, and the whole group of 52 staff, can be compared. The detailed data analysis for each group of staff (including the full factor statements) has been placed in an appendix referenced in each section that follows, leaving the summary factor statements to be presented in the main text alongside the evaluation of the factors with regard to workload and performance management at the University of Eagleton, addressing two of the research questions posed for this study viz; 'What are the perceptions of academic staff of the models of workload and performance management in operation within the University of Eagleton?' and 'What is the relationship, identified by academic staff, between workload and performance management of staff?'

This model of reporting is very much in line with that suggested by Watts and Stenner (2012) in relation to publishing the results of Q studies especially where the factors developed form a narrative. In a journal article reporting on a Q study examining lifestyle choices for people with diabetes, Baker (2006) used this approach to present her findings very effectively in a rigorous yet readable format and a similar approach is used here to report the analysis of this more complex project whilst enjoying the same rigour and clarity. In each group, with the exception the male SL group, there were two factors produced that offer the key

perceptions of that group in relation to workload and performance management; for the male SL group only a single factor solution emerged. The summary factors are now presented in the following order; Female Lecturers (2 factors), Female Senior Lecturers (2 factors), Male Lecturers (2 factors), Male Senior Lecturers (1 factor) and All 52 staff (2 factors). Finally, a discussion of the results overall is provided in order to try to make sense holistically of what the factors are saying about the University of Eagleton.

6.2 Female Lecturers

The detailed analysis is shown in Appendix 10 and this leads to the summary factor statements for the Female Lecturer (L) group which are shown in Figure 12 and 13. Factor 1 represents the view that it is the management who are the source of the problems driving out collegiality and leaving unempowered staff due to a lack of leadership. The focus on outdated workload models being ineffectively managed is leading to unacceptable levels of workload for staff causing poor performance and low morale. Furthermore, a lack of consistency in applying the workload and performance models is felt to compound the issues. In terms of the student experience, the workloads of staff are not likely to improve their experience. Factor 2 is more concerned with the performance management model which was perceived as being used well. Overall, while absolute workloads were unacceptable, echoing the feeling expressed in Factor1, they did provide equitable distributions through positive management. Both workload and performance management models were being applied in a good way leading to no detriment in morale or collegiality probably due to good leadership. Within both factors there is

an agreement on the workloads being at unacceptable levels with Factor 1

focused on the workload model in a negative sense and Factor 2 on performance

in a positive sense.

Factor 1: Management failings

Factor 1 has an eigenvalue of 3.38 and explains 26% of the study variance. Eight of the participants are significantly associated with this factor. For the eight participants that load significantly the average length of service is 2 years.

The University is being run by managers operating via diktat to the extent that collegiality is not valued whilst executive fiat is to the fore. Managers do not understand what it means to lead effectively and consequently fail to act in ways that empower their staff.

The workload management model is outdated and is clearly having a demotivating impact on the academic role because the model does not value the full range of activities undertaken by staff and the linkages between the current funding regime and workload model is unclear. There is no clear rationale for the current workload management model as workloads are not being effectively managed in order to 'get the best' out of staff. The workloads are clearly unacceptable and will do little to help improve the student experience; in fact, the staff workload allocations will negatively affect student retention on their programmes of study. Peer pressure between colleagues is being used in place of positive management of workloads.

Modern management of staff in HE requires effective performance management processes but there is a lack of support for all aspects of the academic role resulting from a lack of clearly articulated standards for performance. Increasing academic staff workloads will have a negative impact on performance in the role.

There is definitely low morale amongst staff that is directly attributable to the workload and performance management models that have been adopted resulting in goodwill playing a major role in ensuring effective academic performance compounded by a clear belief that there is a lack of consistency in application of the workload and performance models across the University.

Figure 12 Summary factor statement 1 for the L Female group

The perceptions discerned from these factors are troubling not just because of the

negative perceptions of the absolute workloads but because of the fact that these

are, with one exception, new staff recruited since 2013. Thus it would be expected

that having had no previous conditioning to the systems used at the University of

Eagleton they would bring a more positive view about workloads of staff; clearly it

is an issue for these members of staff.

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Factor 2: Positive about performance

Factor 2 has an eigenvalue of 2.08 and explains 16% of the study variance. Four of the participants are significantly associated with this factor. For the four participants that load significantly the average length of service is 1 year.

Managers act in order to empower their staff through leading effectively resulting in a feeling that collegiality is valued with clear local objectives set for the academic group. Overall, the workload and performance management models are being applied in a manner that is not having a negative effect on morale.

Modern management of HE does require effective performance management processes to be used with processes such as the Professional Development Plan (PDP) and peer observation used very effectively alongside to support staff development. A clearly understood staff appraisal system is in use without any feeling that performance is equated with disciplinary issues. Student satisfaction is accepted as being a valid proxy for academic staff performance.

Workloads of academic staff are at unacceptable levels. There are some positive attributes from the workload model such as a clear sense that the model is providing for equity in workload across academic staff, is not demotivating staff and is helping to improve the student experience. It is clear that increasing workloads will have a measurable negative effect on staff performance and that staff workloads will affect student retention on their programmes of study.

Whilst the links between the current funding regime for HE and the workload model are unclear the rationale for having such a model is understood. Workloads are viewed as being positively managed rather than allowing peer pressure between colleagues to drive the workloads.

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Figure 13 Summary factor statement 2 for the L Female group

There is also a possible explanation for the difference in emphasis between the two factors and the more upbeat perceptions expressed in Factor 2. The 4 Q sorts that load onto Factor 2 are from staff whose average service is 1 year compared with 2 years for those in Factor 1 and, crucially, half of those Q sorts are from staff who have been recruited from the health service. Within Factor 1 the Q sorts do not include any staff who are from a health background. Given the newness of the staff to the University of Eagleton it may be the case that in Factor 2 the reference point when completing the Q sorts was still influenced by health service processes where a focus on performance and team working is to the fore, although further work would be needed to confirm this hypothesis.

6.3 Female Senior Lecturers

An analysis of the Q sorts was undertaken and the results are shown in Appendix 11. This leads to the summary factor statements for the Female Senior Lecturer (SL) group which are shown in Figure 14 and 15. For the group overall the average length of service is 10 years with the modal length of service being 6 years and a median of 7 years, with the longest service being 24 years; this is a well-established group of staff within the university. It does mean that this group collectively have reference points for workload and performance management that pre-date the restructuring of the University of Eagleton in 2013.

Factor 1 expresses the view that management is failing to empower staff due to a lack of understanding of what leadership means resulting in there being no collegiality. Workloads are ineffectually managed meaning that there is inequity across staff leading to unacceptable absolute workloads for staff although there is equity at the academic group level between workloads attributed to male and female staff. Performance management is ineffective with a model that is poorly understood which, coupled with inconsistency in the application of workload and performance models, is leading to low morale. This resonates well with Factor 1 for the Female Lecturer group leading to a potential conclusion that the female staff at the University of Eagleton overall, regardless of grade, have negative perceptions of the workload and performance management processes at the University of Eagleton. Factor 2 echoes some of the perceptions in Factor 1 in that there is perceived to be equitable workload distribution between male and female

staff at the local level and that whilst there is positive management of workloads

they are not effectively managed to 'get the best' from the staff.

SL Female

Factor 1: Workload woes

Factor 1 has an eigenvalue of 3.51 and explains 27% of the study variance. Eight of the participants are significantly associated with this factor. For the eight participants that load significantly the average length of service is 9.5 years.

The University is being run by a group of managers operating by diktat to the extent that collegiality does neither exists nor is it valued. These managers fail to understand what it means to lead staff effectively and therefore are failing to empower their staff. This means there is not support being given to all aspects of the academic role by the managers and that academic staff have little autonomy in their role.

The workloads are not being effectively managed and the model used does not value all of the aspects of an academic role. Not only will the increasing staff workloads damage the performance of staff in their roles, it is already having a clear demotivating effect on those staff. Academic workloads are far from being at correct levels. The current workload model is not helping to provide an equitable distribution of workload across all staff and yet at the local level there is an equitable workload allocated to male and female staff. Within modern HE environments there needs to be an effective workload model.

Effective performance management is recognised as being an important part of the academic contract necessary for the modern management of HE. However, staff performance is not managed through effective policies and processes since the performance management system is not well understood probably because it did not result from consultation with the staff.

Whilst there is a clear feeling that student satisfaction measures can be a valid proxy for staff performance the current model does not focus on high quality teaching. There was a firm view that student retention rates on their programmes would not be an effective performance indicator. There is a definite lack of consistency in the application of the workload and performance management models resulting in a very strong sense of low morale amongst staff.

Figure 14 Summary factor statement 1 for the SL Female group

Similarly, there is a lack of consistency in applying the workload and performance

models and, again, staff performance is ineffectually managed. The significant

perceptions in Factor 2 are surrounding the empowerment agenda where this

factor confirms a view that managers are empowering their staff and giving them

individual autonomy. This contrasts with the perception that academic groups do

not have autonomy which could be a manifestation of a 'one size fits all' executive

management approach that does not account for differing needs of cognate

subject areas. Team working is perceived as being supported by managers at the

local level.

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SL Female

Factor 2: The workload and performance seesaw

Factor 2 has an eigenvalue of 1.43 and explains 11% of the study variance. Three of the participants are significantly associated with this factor. For the three participants that load significantly the average length of service is 16.7 years.

There is an equitable workload distribution between male and female staff at the local level and modern HE requires an effective workload model to be in place. Resource allocation will certainly be improved by using the workload model which will reduce the overall staffing costs to the University. The current workload model will also help to improve the student experience. Overall there is positive management of academic workloads. On the negative side the workloads of staff are not being managed in order to 'get the best' out of the staff. The workload model certainly does not value all aspects encompassed by an academic role and increasing staff workloads will have a demonstrable negative effect on performance.

There is a strong recognition that modern HE does require effective performance management processes. However, staff performance is not being managed through effective policies and processes and the contractual basis for performance management is unclear. This is exemplified by the fact that there is a lack of an effective peer observation system to support development and a poorly understood staff appraisal system. There is an even stronger belief that the peer observation system does not form part of the PDP process. Student retention rates would not be an effective performance indicator. On the positive side, performance management is not viewed as being about disciplinary matters.

There is a lack of support for all aspects of the academic role and a lack of consistency in the application of the workload and performance management models. There are positives though in that managers are acting to empower their staff through active support for team working. This leads to a strong sense that academic staff have autonomy within their roles that is not reflected at the Academic Group level.

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Figure 15 Summary factor statement 2 for the SL Female group

A possible explanation for the correlations between the three Q sorts loading on

Factor 2 and the subsequent perceptions it gives voice to may be found in that two

of the Q sorts are from staff who have service in excess of 20 years in different

academic groups and a third with service of 6 years in a hybrid academic role that

is based in a clinical setting. Given that these three work in academic groups that

have enjoyed management stability there could be local conditions regarding the

conduct of managers that have impacted on perceptions and experiences of autonomy, empowerment and team work but this would need to be confirmed through further research.
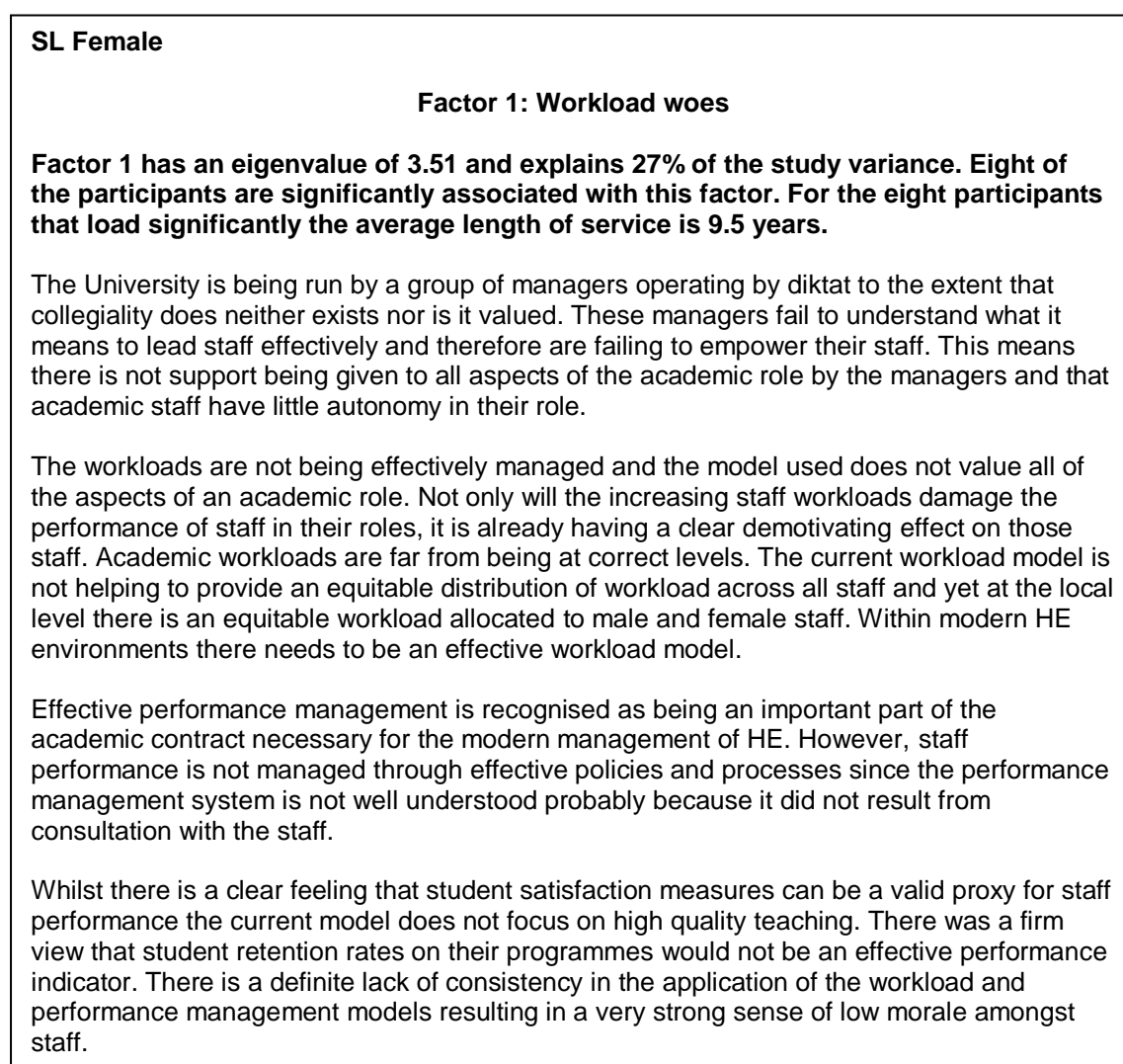
6.4 Male Lecturers

An analysis of the Q sorts was completed and the results are shown in Appendix 12 and leads to the summary factor statements for the Male Lecturer group which are shown in Figure 16 and 17. Just as with the Female Lecturer group this group of staff was recruited, with one exception, post-restructuring at the University of Eagleton in 2013 leading to an average length of service of just 1 year 6 months, with a mean and median length of service of 1 year. The two factors each have five Q sorts loading onto them, indicative of the separate concerns that emerge with one group focused on workload whereas the other is more concerned with performance management. There is nothing within the biographies of those loading onto each factor to help explain this division of concerns. Factor 1 makes the point that workload and performance are not managed effectively leading to absolute workloads that are both unacceptable and demotivating. This is echoed by the perception that the workload and performance management models are not linked, thereby contributing to low staff morale. Clear standards of performance are not set and neither is the workload matched to local plan objectives. Overall, there is a feeling of a lack of empowerment and autonomy borne out of a view that collegiality is not valued. There is resonance with the perceptions expressed in Factor 1 with those in Factor 1 of Female Lecturer group.

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L Male

Factor 1: Workload gripes

Factor 1 has an eigenvalue of 3.25 and explains 25% of the study variance. Five of the participants are significantly associated with this factor. For the five participants that load significantly the average length of service is 1.4 years.

Staff workload is not managed effectively and thus the University is not getting the best out of its staff. Performance of staff is not managed through effective policies and processes meaning that support is not being given to enable staff to fulfil all aspects of their role. Goodwill from staff is playing a greater role in the effective discharge of their duties. Expected standards of role performance are not clearly articulated. Student satisfaction is a valid proxy measure of academic staff performance but using retention rates as a measure of performance would not be effective.

The modernisation agenda for HE requires an effective workload model to manage the staff resource. However, the workload allocation model has led to unacceptable workloads with the result that the model itself is having a demotivating impact on staff. Peer pressure between colleagues is felt to be a more significant driver in managing workloads but there is an equitable distribution of workload between male and female staff. Each academic group has a local plan but staff workloads are not clearly linked to achieving the objectives in the plan. Furthermore, as staff workloads are increased, there is a strong feeling that this will have a measurable negative impact on their role performance.

There is a clear feeling that the management is operating through diktat and executive fiat rather than collegiality meaning that the academic groups and the staff within them have little autonomy. Managers did not understand what it meant to 'lead' their staff and were unclear over the terms 'leadership' and management'. Staff are not empowered as a result of this confusion.

There was a lack of clarity about how workload and performance management processes were linked. The models being used for workload and performance management are the cause of low morale amongst the academic staff.

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Figure 16 Summary factor statement 1 for the L Male group

There is a paradox in Factor 2 because while the perception is that performance is effectively managed it is being undertaken without clear standards of performance being set and given that this group perceive that performance is not about disciplinary matters it leads to speculation that this could simply be a reflection on what they see as 'good' management. Absolute workloads are unacceptable whilst there is an equitable distribution of workload between male and female staff possibly resulting from the positive management of the workloads. However, the link between the performance and workload models is unclear. Autonomy for the

Academic Group and the individual is lacking with the consequence that there is a feeling of no empowerment.

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L Male

Factor 2: Performance is the key

Factor 2 has an eigenvalue of 2.08 and explains 16% of the study variance. Five of the participants are significantly associated with this factor. For the five participants that load significantly the average length of service is 1.4 years.

Goodwill is playing a very significant role in ensuring the effective performance in an academic role with student satisfaction firmly viewed as a valid proxy for the measure of academic performance which is certainly not about disciplinary matters. While staff performance is being managed through effective policies and processes the actual standards of performance required are not fully articulated. Using student retention rates as an indicator of individual academic staff performance is unacceptable. Peer observation is however an effective way to support staff development.

In terms of workload there is a strong feeling that this is equitable across male and female staff but overall academic workloads are not at correct levels. The workloads are not being managed in a way that allows academic staff to do their 'best' job. As staff workloads increase there is fairly strong feeling that that this will negatively impact on job performance to the extent that the current model is having a significant demotivating effect on staff.

Positive management practices are being used to manage workloads. However, managers do not understand what it means to 'lead' their staff effectively and yet they use the terms 'leadership' and 'management' interchangeably resulting in a confusion that does not empower their staff. Neither the academic groups nor individual staff have any autonomy. Additionally, staff cannot see a link between the workloads allocated to staff and the achievement of local plan objectives.

At the macro level there is a good understanding of the modernisation agenda within HE and that this requires an effective workload model to manage the staff resource. However, the linkages between performance and workload management processes are unclear and this is contributing to the low morale amongst academic staff.

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Figure 17 Summary factor statement 2 for the L Male group

The key message from Factor 2 is that it is perceived that performance management is actually occurring even in the absence of articulated standards, with goodwill playing a part in the process.

6.5 Male Senior Lecturers

The analysis of the Q sorts for this group was undertaken but after several iterations it became clear that there was only a single factor solution for this group. A discussion of the slightly modified analytical process and results are provided in Appendix 13. The outcome is the usual full factor statement that leads to the summary factor statement shown in Figure 18. That this group yielded a single factor is significant because it means that there was a high correlation between the individual Q sorts meaning that they all loaded onto the factor with unified perceptions of the matter under investigation; thus the group has a very strong 'voice'. Of all the staff groups this group has the longest average length of service at 11 years 4 months with the median, and modal, length of service being 12 years; for the SL Female group - average service 10 years, median was 7 years and the mode was 6 years. This highlights that it is the SL Male group that are the dominant force within the University of Eagleton especially considering that there are almost equal numbers of them; 48 SL Female staff and 53 SL Male staff. The length of service for this group means that they have experienced several structural and managerial changes including for 8 of the staff, two vice chancellors. This gives them a broader set of reference points for when they were undertaking the Q sorts. In terms of dominance within the University of Eagleton, compared with only 4 Female Senior Lecturers in the staff group who were Programme Leaders there are 8 in this group, as well as a Reader (subject to the 550 hours contract) and the University and College Union (UCU) Branch Secretary. By virtue

of these roles they tend to serve on some of the senior committees of the university, reinforcing their strong 'voice'.

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SL Male

Factor: Always a glass half full.

This factor has an eigenvalue of 5.04 and explains 39% of the study variance. All 13 members of staff in this group were significantly loaded on this factor. The average length of service for this group of staff is 11.31 years.

Increasing staff workloads will have a negative effect on role performance especially given that workloads are unacceptable. There is a clear feeling that the workload model will not help to improve the student experience and that it will negatively affect the retention of students on their programmes. The workload model does not provide a universally acceptable framework for the management of workloads.

The modernisation agenda for HE requires an effective workload model but workloads of staff are not effectively managed to 'get the best' out of them especially as the model does not value all aspects of the academic role. There is a strong view that the workload model is not providing for equity in workloads across the staff within the University yet there is equitable workload distribution between male and female staff locally. The feeling is that the workload model is having a demotivating impact on the academic role.

Modern management of HE requires effective performance management processes to be in place and yet the University has not adopted best current practices for performance management and is using ineffective processes. Student retention rates for each staff member would not be an effective performance indicator. The performance management model being used is poorly understood because it did not result from effective consultation with staff. Goodwill is playing an ever more important role in effective performance of the academic role and reducing the student:staff ratio would have a positive impact on staff performance.

There is a lack of consistency in the application of the workload and performance systems leading to low morale. There is a lack of focus on the performance management model being used to develop high quality teaching. The linkages between the workload and performance management models are unclear in practice.

Management fiat is the predominant way in which the University is being controlled resulting in managers operating through diktat rather than collegiality. However, the University has become more student-focused in its management approaches.

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Figure 18 Summary factor statement for the SL Male group

The key perceptions of this group begin with the workload model since they feel that it is causing ineffective management of workloads leading to unacceptable absolute workloads for staff. They also feel that there is no equity of workloads across the university and yet at the local level there is an equitable split between male and female staff. Similarly, they feel that performance is ineffectively

managed as a result of a model adopted that is poorly understood. There is a lack of consistency in the application of workload and performance management models with the linkages between them being unclear, leading to low morale amongst staff. Finally, they perceive that management fiat (where fiat is applied to the Executive level) is the predominant way of operating to the detriment of collegiality.

6.6 All 52 staff

An analysis of the Q sorts was completed and the results are shown in Appendix 14. This leads to the summary factor statements for the 'all 52 staff' group which are shown in Figure 19 and 20. For the 52 staff the average length of service is 6 years 1 month with the median being 3 years and the modal length of service 1 year. So as a staff group overall they appear to be relatively new to the University of Eagleton but in fact this is skewed by the actuality that it is the newly appointed Lecturer grades compensating for the relatively long-serving Senior Lecturer grades. The Lecturers (male and female) have a mean length of service of 1 year 6 months with the Senior Lecturers (male and female) having a mean service of 10 years 8 months. This is significant because the SL grades have a collective memory that pre-dates the 2013 restructuring at the University and even as far as a previous vice chancellor, giving them a broader set of reference points against which to undertake the Q sorts. It is also interesting to note that all groups of staff had Q sorts loading onto Factor 1 whereas in Factor 2 no Q sorts from the SL Male group loaded onto the factor. It has been the case throughout that each factor illuminates a particular viewpoint that is significant and while it would be

wrong to assign a weighting to the factors, in the case of the 52 staff it does look as though Factor 1 may be more representative of the group overall with Factor 2 representing the perceptions of the staff without the dominance of the SL Male group. Factor 1 focuses on the perception that workloads are being ineffectually managed through a model that is not universally accepted. There is a perception that there is no inequity in workloads between male and female staff at a local level but workloads are perceived to be inequitable between the different academic groups.

All 52 Staff

Factor 1: A poor performance

Factor 1 has an eigenvalue of 15.08 and explains 29% of the study variance. 34 of the participants are significantly associated with this factor. For the 34 participants that load significantly the average length of service is 7.68 years. There are Q sorts that significantly load on this factor from all 4 sub-groups of staff.

The workloads of staff are not being effectively managed through a model that does not value all aspects of the academic role. Consultation over the workload model has resulted in one that is not universally acceptable to staff and consequently it is having a demotivating impact. Whilst there is equitable workload distribution between male and female academic staff, the same is not true for staff across the University. There is a strong belief that staff workload allocations negatively affect student retention on their programme of study.

Modern management of HE requires effective performance management processes and this is an important feature in the academic contract. However, the current performance management model was not the result of effective consultation with staff. Staff performance is not being managed through effective processes and policies and performance indicators for individual staff are not clearly identified. A very strong view was expressed that increasing academic staff workloads will also have a negative effect on role performance. Performance management is about disciplinary issues when support is not given for all aspects of the academic role.

Expected standards of performance are not articulated and neither is the PDP used effectively to support setting performance standards. The focus for performance management is not on high quality teaching. Overall, there is a strong sense that goodwill is playing an ever more important role in effective performance of the academic role.

The University is run by a group of managers operating by diktat rather than through collegiality with management fiat being dominant. Low morale is attributable to the workload and performance management models. There is clearly a lack of consistency in the application of the workload and performance systems across the University. The linkages between performance and workload processes are unclear.

Figure 19 Summary factor statement 1 for all 52 staff

Similarly, performance is not being managed effectively as a result of there not being standards of performance made explicit, with the feeling that this is really about disciplinary issues. There is low morale attributable to the inconsistent application of both models. Management by diktat (referring to local academic managers) has driven out collegiality.

All 52 Staff

Factor 2: Feeling positive

Factor 2 has an eigenvalue of 5.72 and explains 11% of the study variance. Twelve of the participants are significantly associated with this factor. For the twelve participants that load significantly the average length of service is 3.25 years. No Q sorts from the group male Senior Lecturers load on this factor.

The links between the current funding regime and the workload model are clear but there is a strong perception that increasing academic workloads will have a measurable negative effect on role performance. Consultation over the workload model has not resulted in a universally acceptable framework since the workload model is ill-defined and does not value all aspects of the academic role. There is a view that workloads of staff are not effectively managed to 'get the best' out of the staff with peer pressure being relied on in place of positive management of workloads. The workload model is providing equity in workloads across the staff within the University and between male and female academic staff. The workload model itself is not having a demotivating impact on the academic role.

Modern management of HE requires effective performance management processes to be in place and yet the current model did not result from effective consultation with staff. The performance management system is not understood. Performance management is an important feature in the academic contract and performance management processes will improve the student experience, to the extent that student satisfaction is believed to be a valid proxy for staff performance.

The focus for performance management is on high quality teaching and reducing the student:staff ratio would have a positive impact on staff performance. Performance management is not about disciplinary issues but goodwill is playing an ever more important role in effective performance of the academic role. The linkages between performance and workload management processes are unclear.

Managers do act in order to empower their staff and they do understand what it means to lead staff effectively. Collegiality is valued within the University. Team working is actively supported by line managers and academic staff have autonomy in their roles.

Figure 20 Summary factor statement 2 for all 52 staff

Factor 2 offers perceptions that are slightly more positive, possibly as a result of the lack of the any SL Male Q sorts loading onto the factor. Whilst the workload model is ill-defined and not universally acceptable, this is not demotivating to the

staff. This is potentially explained by the fact that peer pressure is being relied on by managers in lieu of effective management, and this peer pressure could explain why it is felt that there is equity in workloads across all staff as well as between the male and female staff. In terms of performance management, it is acknowledged that this is necessary but the model adopted is not understood and neither are the linkages between the workload and performance models. However, collegiality is still valued so that staff feel empowered and have autonomy in their roles.

6.7 Discussion

Having presented the individual factors and possible explanations for the perceptions contained within them from the biographical information of the staff, it is time to examine how these perceptions are informed by the workload and performance management literatures as well as the NPM Framework; moving from the micro level, focusing on workload and performance at the University of Eagleton, through to a macro view facilitated by the NPM Framework. The considerations of the factors are complex because of the individual staff groups and the factors detailing the perceptions of the 52 staff overall and it is important that the Q methodological approach is not compromised by an oversimplification of the findings when each factor represents a valid perception. At this stage it is useful to recap the two research questions relevant to this chapter so that they can be addressed in this discussion with reference to the NPM Framework and published projects on workload and performance management; 'What are the perceptions of academic staff of the models of workload and performance management in operation within the University of Eagleton?' and 'What is the

relationship, identified by academic staff, between workload and performance management of staff?'

The factors that have been produced establish the perceptions of the staff, which was the aim of the first research question, and the subsequent analysis in the preceding part of this chapter has helped to expand on what those perceptions mean in relation to the biography of the staff and professional knowledge that the researcher has by virtue of being a senior manager at the University of Eagleton. The issue of the relationship between workload and performance management is part of the factor analysis and this is will be addressed in the following part of this chapter. However, in order to facilitate these discussions a way had to be found to provide an 'at a glance' view of the key perceptual information from the factors so that it was possible to look across the information contained within the factors to be able make sense holistically of what they were illuminating. This has been done in Figure 21 where care has been taken to use the phrases from within in the factors ensuring that no new nuances were introduced by the researcher.

Figure 21 Comparing factors 'at a glance'

F1/F2 = Factor 1/2, PI = performance indicator, HQ = high quality, SS = student satisfaction, SR = student retention

		PM model	PM process	W model	W process	Linkages	M v F	Management	Leadership	Collegiality	Autonomy	Empowerment
L Male	F1	Ineffectually used	Lack of articulated standards; SS valid proxy for performance; SR not effective PI; goodwill plays major role	Demotivating	Ineffective; unacceptable loads; peer pressure	Low morale; lack of clarity	M and F workloads equitable	Operating via diktat	Negative	Not valued	None	None
	F2	Effectively managed; not disciplinary	Lack of articulated standards; SR not effective PI; goodwill plays major role; SS valid proxy for performance	Demotivating	Unacceptable loads; positively managed	Lack of clarity; low morale	M and F workloads equitable	Positive management practices	Negative		None	None
L Female	F1		Lack of articulated standards; goodwill plays major role	Outdated; no clear rationale	Ineffective; unacceptable loads; damaging student experience; affects SR; peer pressure	Lack of consistency; low morale		Operating via diktat	Negative	None		None
	F2	Used effectively	Understood; effective; SS valid proxy for performance	Equity across staff; rationale understood	Unacceptable loads; positively managed; affects SR	Applied well; not demotivating			Positive	Valued		Effective

Figure 21 Comparing factors 'at a glance' (continued)

F1/F2 = Factor 1/2, PI = performance indicator, HQ = high quality, SS = student satisfaction, SR = student retention

		PM model	PM process	W model	W process	Linkages	M v F	Management	Leadership	Collegiality	Autonomy	Empowerment
SL Male	F1	Poorly understood; lack of focus on HQ teaching	Ineffective; SR not effective PI; reducing SSR positive; goodwill plays major role	Unacceptable framework; inequity; not getting best from staff; demotivating	Unacceptable loads; ineffectually managed; damaging student experience	Lack of consistency; low morale; linkages unclear	M and F workloads equitable	Operating via diktat; more student focused	Neutral	None		
SL Female	F1	Ineffectually used; not focused on HQ teaching	SS valid proxy for performance	Inequity	Unacceptable loads; ineffectually managed	Lack of consistency; low morale	M and F workloads equitable	Operating via diktat	Negative	None		None
	F2	Not disciplinary	Not effective; not understood; SR not effective PI	Not getting best from staff	Positively managed; improve student experience	Lack of consistency	M and F workloads equitable	Positive	Neutral		Exists for staff	Positive
52 Staff	F1	Ineffectually used; concerned with disciplinary issues; focus on HQ teaching	Lack of articulated standards; goodwill plays major role	Not universally acceptable; inequity; demotivating	Ineffectually managed; affects SR	Unclear; inconsistent application; low morale	M and F workloads equitable	Operating via diktat	Neutral	None		
	F2	Not understood; focused on HQ teaching	Goodwill plays major role; improve student experience; SS valid proxy for performance	Poorly defined; not universally acceptable; not demotivating; equitable loads	Ineffectually managed; relying on peer pressure	Unclear	M and F workloads equitable		Positive	Valued	Exists for staff and academic group	Effective

The first consideration in constructing Figure 21 was with identifying what the 'key' perceptions were from the staff groups and presenting this in a coherent manner for all staff groups. In keeping with the holistic philosophy of Q methodology, a heuristic approach was taken by reading across all of the factors to identify the recurring themes within the factor descriptions so that what is presented in Figure 21 is referenced directly to the factor descriptions. For example, within F1 for All 52 Staff the description of the factor contains 'performance management is about disciplinary issues' and this is reflected in F2 for the L Female group 'performance is equated with disciplinary issues'; repeating this scrutiny across all factors allowed for the 'key' themes to be identified. The eleven column headings in Figure 21 are the result of this approach and are the key themes that emerge from the factor descriptions. The performance management (PM) or workload (W) model is concerned with the framework that establishes the systems whilst the PM and W process is the way these frameworks are executed with the staff. The 'linkages' theme relates to the ways in which the staff perceive that the workload and performance systems interact in practice, following up on the conceptual dichotomy discussed in Chapter 3. The 'M v F' theme resulted from Q tiles that sought to test whether the speculation by Deem (1998) that there was an imbalance in workloads between male and female staff could be confirmed in actuality. The 'management', 'leadership' and 'collegiality' themes were drawn out because of their value as part of a wider managerialism that underpins NPM that would help when the factors were used to establish the impact of the NPM Framework on the staff. 'Autonomy' at the individual and Academic Group level was important because along with 'empowerment' it helps in understanding the ways in which staff perceive that they are valued (or devalued) by the workload

and performance management processes. Within Figure 21 some of the cells are not populated because the factor is silent on the matter and in keeping with the Q methodology it would be inappropriate to infer a response; within this analysis therefore, the empty cells have not weighted the discussion. Notwithstanding, the factors have given a broad coverage of the issues represented by the column headings. One immediate observation can be made in relation to the workload distribution between male and female staff since, with the exception of the L Female group, the sub-groups and staff overall felt that this was equitable. This is significant because the literature on workloads includes a degree of speculation about whether female staff have disproportionate loads compared with male colleagues (Deem 1998) comprising stereotypical pastoral duties in addition to the teaching and research work (Barrett and Barrett 2011). Lafferty and Fleming (2000) argued that workload models could actually undermine any measures being used to try to establish male/female equity when employed as part of a managerialist culture. However, Graham (2015a) posited that workload models can help with this male/female imbalance if the model for workloads is transparent and "allows imbalances to be challenged in an open manner" (p12); given what the factors have said about the perceptions of the staff it is reasonable to draw the conclusion that this openness exists, such that the imbalance between male and female staff suggested in the literature is not found in practice at the University of Eagleton. This is a very positive outcome from the study. Possible reasons for the F2 factor perceptions were discussed earlier in this chapter in relation to the professional biographies of those staff operating in a female dominated subject area such that opportunities for comparisons with male colleagues in the same

subject area may be limited. Whether this also offers an explanation for the absence of a view in F1 would require further research.

Another aspect that is apparent from the overview presented by Figure 21 is the overall negativity of the perceptions of the Lecturer grades of staff, both male and female. Whilst it is true that the perceptions in F2 for the Female Lecturers are more positive than others, there are possible reasons for this described earlier in the chapter and while these perceptions cannot be ignored it is fair to say that F2 for L Female staff represents a minority view. F2 for the L Female group should be noted for its negative view of absolute staff workloads and the deleterious effects on student retention. What makes this situation so significant (for Male and Female Lecturer grades) is that they are new to the University of Eagleton having a modal length of service of just 1 year and, by definition of the Lecturer grade, have come to the University of Eagleton for their first academic role usually from outside academia. This means that they have not experienced previous systems of workload and performance management at the University of Eagleton and it is a reasonable conjecture that nor have they from anywhere else. Coupled with clear negative perceptions of leadership the overall picture is troubling at such an early stage in their careers at the University of Eagleton. Even if the argument could be sustained that they have been influenced by the longer-serving SL staff, this is a very quick transition to such negativity. The University of Eagleton's management should be concerned about this situation with a view to examining how to turn these perceptions around into something more balanced, if not positive. The concerns of L Male and Female staff centre on the performance management processes rather than the model itself, which they view as effective overall,

whereas they are concerned about lack of articulated standards and that goodwill

as opposed to positive management is playing a key role. This is reminiscent of

Ramsden's (1998) view that while performance management is crucial, academic

staff maybe confused because of a "cross-fire of expectations" (p351) made worse

when those expectations of performance are opaque (Ball 2003). Overwhelmingly,

the Female and Male Lecturers perceive the workload model and processes to be

flawed leading to unacceptable workloads and demotivation which are

symptomatic of academic work being "stretched rather than adapted" (Paewai *et al*

2007, p386). The workload model and the processes used are clearly the focus of

the ire of these two groups of staff possibly inflamed by their perceptions of a lack

of leadership. The perceptions of management are not as well defined although

the indications probably support the overall view that managers are not acting in a

traditional collegial sense but rather in what could be described as a more

business-oriented, directive manner which would certainly explain the feelings of a

lack of empowerment, redolent of the separation between those undertaking

academic work versus those controlling that work (Smyth 1995). Of course, this is

not entirely surprising when one considers Ball's (2003) notion of performativity

that uses audit mechanisms to control academic work, as much as regulate that

work, thereby displacing traditional collegiality (Shore and Wright 1999).

Collegiality in relation to managerialism, will be revisited during the discussion of

the intersection of the staff perceptions with the NPM Framework in the next

chapter.

Another cross-cutting theme for this research has been that of linkages between

workload and performance management. The projects reported in the literatures

exhibit a "conceptual dichotomy" (Graham 2015a, p665) between the two aspects of performance and workload and Figure 21 highlights the fact that the lack of linkages at the literature level is reflected at an operational level. The only element of positivity occurs in F2 for the L Female group who suggest that the two models are used well and not causing demotivation; this is probably again a reflection of the relative newness of the staff whose Q sorts load onto this factor. For the other staff groups and the staff overall the linkages are unclear or there is inconsistent application of the performance and workload models leaving perceptions of low morale and demotivation. Thus it is fair to summarise that the two processes that potentially should be linked (*cf.* Jarratt 1985) are discrete in the view of the staff in sub-groups and of all 52 staff at the University of Eagleton. The issues of low morale and demotivation may stem from the perception of unacceptable workloads (prevalent in all sub-groups) and ineffectual management of workloads (perceived by all sub-groups and the staff overall). It can be posited that these perceptions may be compounded by the separate reporting lines for workload and performance management; workload management is dealt with through the academic structures and the performance management process is handled by Human Resources at the University. This may make linkages difficult to operationalise and result in mixed messages to the academic staff.

The strength of feeling about workload and performance management from the SL Male group has already been discussed in relation to the dominance of this group within the University of Eagleton. Whilst echoing the perceptions of the other staff sub-groups in terms of ineffectual management of both workloads and performance, they perceive that the workloads are not equitable generally but

there is no male versus female imbalance at the local level; given their collective experience and dominance this is helpful in rebutting the arguments made about the possibility of a male versus female imbalance (*cf.* Deem 1998). What is interesting though about the SL Male sub-group is their perception of the ways in which they view the workload and performance management processes impacting on the students. They view the workload and performance mechanisms as having a 'lack of focus on high quality teaching' and of 'damaging the student experience' whilst paradoxically feeling that the management is 'more student focused' in its outlook. The apparent paradox may be as a result of the management processes being viewed as failing the staff and students whilst acknowledging that the University of Eagleton's intention is to be more student focused; this would require further research in order to unpack the issues in a more concrete manner. This is reminiscent of the damage to collegiality that assessments of teaching quality had caused according to Shore and Wright (1999). Whilst it is a truism to say that students are the key to the future of any university, it is a timely reminder to the management at the University of Eagleton that the perceptions of the way the university is managed could be damaging its reputation especially when emanating from this dominant staff sub-group. The SL Female sub-group perceptions are broadly in line with those of the SL Male group with the SL Female F1 being very closely aligned with the male counterparts although somewhat less emphatic. The SL Female F2 diverges slightly in terms of a perception of positive management especially in relation to the workload process which they feel is actually helping to improve the student experience, mirroring the findings of Barrett and Barrett (2007). While these perceptions are of course valid, they are held by only 3 staff and a possible explanation for their perceptions was given earlier. With

the latter in mind it is fair to say that the SL Female sub-group's perceptions are very similar to their SL Male colleagues whilst giving a feeling of being slightly more reserved and less focused on the students.

In terms of the 52 staff the earlier discussion does help to throw light on the two factors especially with regard to F1 being more representative because it includes Q sorts form all the sub-groups whereas F2 does not include any from the SL Male group. However, the differences in perceptions between the two factors and between the sub-groups are subtle ones. Certainly the overwhelming view of the staff is that performance management is hinging on the goodwill between colleagues whilst the workload process is ineffectually managed. Crucially the staff overall perceive that the dichotomy between the two processes (Graham 2015a) exists in practice. Factor 1 expresses the key perception that performance means dealing with disciplinary issues within a management framework where collegiality is not valued. Factor 2 probably exhibits a slightly more positive view because of the absence of SL Male influence such that the positive impact of the performance management process on student experience is to the fore, within a climate of what is perceived as positive leadership that values collegiality. These perceptions are not simply polar opposites but represent a possible confusion of messages caused by the manner in which the University of Eagleton is managed as it reacts to myriad expectations from multiple external agendas impacting on HE.

6.8 Summary

In terms of perceptions of workload and performance management the two most striking findings are;

1. The sub-groups of staff and the staff overall felt that there was an equitable distribution of workload at the local, academic group level, between male and female colleagues; of particular note is that this is a view expressed by the dominant, long-serving, SL Male group. This is significant because it challenges the notion expressed in some of the published projects surrounding a possible imbalance caused by a managerialist culture (*cf.* Deem 1998) and supports a positive view expressed by Graham (2015a) that workload management systems can have positive impacts for academic staff.

2. The overall negativity expressed by the Male and Female Lecturer grades of staff in relation to the workload and performance models and processes. The reason for the significance of this is because of the relative 'newness' of these staff to the University of Eagleton entering, what is likely to be for them, their first academic role and not having the reference to a collective memory of previous systems to cause such disparagement. This should be of paramount concern to the institutional management.

A distinct lack of leading and leadership from those in leadership roles in the University in relation to workload and performance is clear from the factors. This may influence the perceptions of the staff when referencing the systems (workload and performance) whose operation is vested in the management of the university,

where this management is viewed as failing to act in a traditional collegial sense in favour of a more business-oriented model. This may be contributing to the feelings of a lack of empowerment by the staff where goodwill is viewed as acting as in place of collegial leadership. Worryingly for the future of the University of Eagleton is the lack of focus on high quality teaching and damage to the student experience that is felt to be happening because of the workload and performance management models and whilst this is most keenly felt by the SL Male group some of these feelings are evident in the staff overall. These perceptions of a negative effect on the overall student experience were not overt in the literatures on workload generally, although Barrett and Barrett (2007) make mention of two cases of workload allocation models in Australian universities making explicit reference to helping to improve the student experience. Clearly, an unexpected area for further research. In terms of the perceptions of the linkages between the workload and performance management models, the staff clearly felt that these linkages were, at best, unclear and led to inconsistencies between the two models thereby confirming that the conceptual dichotomy identified by Graham (2015a) existed at the operational level.

The discussion will be moved forward in Chapter 7 where the results of the factor analysis will be used to illuminate the conceptual framework so that NPM is brought into focus in such a way that the impact of NPM on the University of Eagleton can be ascertained and the appropriateness of the NPM Framework itself can be gauged. In this way the discussion moves from the micro (workload and performance in this chapter) to the macro (focused on NPM) in Chapter 7.

Chapter 7

New Public Management in the University of Eagleton

7.1 Introduction

The research data and analysis are reported in this chapter by taking a focus on the broader NPM Framework. Once the analysis has been presented, comparisons with a study of management attitudes to workload and performance at the University of Eagleton that were established through a study by Graham (2016) are then discussed to see what can be learned from the perceptions of managers compared with the perceptions of the academic staff impacted by the workload and performance management processes. This will allow the impact of NPM on the University of Eagleton and the appropriateness of the NPM Framework in bringing meaning to the data, to be judged.

7.2 Staff perceptions and the conceptual 'bins'

This project used the NPM Framework developed in Chapter 4 based on five conceptual 'bins' where I demonstrated their development within political studies and how they have been derived from the ideas and strategies within public administration (*cf.* Hood 1991). A reminder of these conceptual 'bins' is shown in the left hand column of Figure 22. The design of the Q sort was intimately bound to the NPM Framework and so it seems logical to ensure that the analysis of the results in this chapter is also tied to the same conceptual framework. Furthermore, it was important to continue with the holistic nature of the analysis that was used in

Chapter 6 and therefore, I have mapped the themes derived from the factor

analysis against the conceptual bins from the NPM Framework in Figure 22.

Conceptual 'bin'	Themes from the data analysis
Performance measurement: Engendering trust	Performance Management process, Male v Female
Administrative values and decentralisation	Workload process, Autonomy
Products: Programmes of Study	Management, Linkages
Audit Controls: Workloads, resource allocation and labour cost	Performance Management model, Workload model
Managerialism in lieu of collegiality: 'Professional' management	Leadership, Collegiality, Empowerment

Figure 22 Conceptual 'bins' mapped against the themes from the data analysis

The next stage in the analysis is to examine the findings from the factor analysis

within a discussion of each of the conceptual 'bins'.

7.2.1 Performance measurement: engendering trust

Accountability which is at the heart of NPM necessitates quantitative measures to

be made of performance within a job role and the manner in which this is done can

affect the trust that staff have with the processes involved, particularly as the focus

in NPM is on cost-effectiveness and efficiency rather than public service (Walle

2013). Figure 23 maps the factors from the Q sort analysis against the themes

associated with this conceptual 'bin'. In terms of the performance management

processes, a striking feature of the factors across each staff sub-group and the

staff overall is the high level of agreement about the shortcomings of the

performance management processes. The issue of male and female workloads is

included in this 'bin' because the definition of the 'bin' includes 'trust' which, from

the description of this 'bin' in the NPM Framework, is about trust in the

management in terms of the way it works with a diverse group of staff.

		Themes	
		Performance Management process	**Male v Female**
L Male	F1	Lack of articulated standards; student satisfaction valid proxy for performance; student retention not effective PI; goodwill plays major role	Male and Female workloads equitable
	F2	Lack of articulated standards; student retention not effective PI; goodwill plays major role; student satisfaction valid proxy for performance	Male and Female workloads equitable
L Female	F1	Lack of articulated standards; goodwill plays major role	
	F2	Understood; effective; student satisfaction valid proxy for performance	
SL Male	F1	Ineffective; student retention not effective PI; reducing SSR positive; goodwill plays major role	Male and Female workloads equitable
SL Female	F1	student satisfaction valid proxy for performance	Male and Female workloads equitable
	F2	Not effective; not understood; student retention not effective PI	Male and Female workloads equitable
52 Staff	F1	Lack of articulated standards; goodwill plays major role	Male and Female workloads equitable
	F2	Goodwill plays major role; improve student experience; student satisfaction valid proxy for performance	Male and Female workloads equitable

Figure 23 Performance measurement related to the Q factors

Research (for example, Hall *et al* 2015; Bleikle *et al* 2013) indicates that 'trust' can be a casualty of performance management when the data being collected to set objectives, by way of example, is not perceived as being fair. The data in relation to the workloads of male and female staff shows a majority view that it is equitable and so challenges Deem's (1998) speculation that such an imbalance may exist due to the relative 'newness' of female staff to the academy. However, this was not the focus of this research project and in order to fully understand this apparent contradiction between Deem (1998) and the reality at the University of Eagleton, further research focused on this aspect would be required.

The data show that explicit standards by way of appropriate performance indicators are missing, making it difficult to facilitate any meaningful assay of individual performance (Power 1994) during performance reviews. This is evident from the number of factors that report a lack of articulated standards or that the performance management process is ineffective; overwhelmingly displaying a

negativity about the process. By inference, this must make it very difficult for managers to quantify progress against objectives at both the individual and academic group level. Coupled with a recurring feeling of goodwill playing a key role in the performance management of staff, means the framework for performance management is not transparent and potentially damaging to the morale and trust between managers and the staff (Egginton 2010; Paewai *et al* 2007). Hall *et al* (2015) elaborate on this when they say that audit processes, such as those for workload and performance, are "an indication of the absence of trust" (p503) and the factor analysis provides support for this viewpoint. Lafferty and Fleming (2000) posited that there was a tendency for female staff to occupy lower grades than male staff and it was at the lower staff grades that performance management tended to be used most rigorously. However, the data in Figure 23 do not support this imbalance because both male and female staff perceive the same lack of articulated standards and ineffective performance management processes indicative, perhaps, of a more fundamental problem with the performance management processes that would be worthy of further research.

Overall, apart from the perceptions of equitable workload between male and female staff, there is a clear view from the outcomes reported in Figure 23 that the performance management processes are ineffective and are likely not to be directing the work of academic staff in line with the strategic objectives of the organisation. This lack of a clear focus for the academic work aligns well with one of the reasons cited by academics in a study by Ramsden (1998) of alienation from an organisation due to "an apparent lack of vision and direction" (p363). This is troubling because part of the rationale for such processes is to ensure that

individual effort is matched to organisational strategic objectives so that there are planned developments and efficiencies. The tension between the collegial autonomy desired by the staff and the focused work required by the managers is real.

7.2.2 Administrative values and decentralisation

NPM requires the devolution of control to local operating units but systems must be in place to ensure that local units remain accountable to the central executive; this requires administrative processes. Figure 24 maps the factors from the Q sort analysis against the themes associated with this conceptual 'bin'.

| | | Themes | |
		Workload process	Autonomy
L Male	F1	Ineffective; unacceptable loads; peer pressure	None
	F2	Unacceptable loads; positively managed	None
L Female	F1	Ineffective; unacceptable loads; damaging student experience; affects student retention; peer pressure	
	F2	Unacceptable loads; positively managed; affects student retention	
SL Male	F1	Unacceptable loads; ineffectually managed; damaging student experience	
SL Female	F1	Unacceptable loads; ineffectually managed	
	F2	Positively managed; improve student experience	Exists for staff
52 Staff	F1	Ineffectually managed; affects student retention	
	F2	Ineffectually managed; relying on peer pressure	Exists for staff and academic group

Figure 24 Administrative values and decentralisation related to the Q factors

This 'bin' is essentially concerned with the devolution of control from central units to the periphery in an attempt to create greater "participation" (Steger and Roy 2010, p13) in the operation of the Academic Groups, through the use of administrative systems for accountability. Coaldrake and Stedman (1999) characterised administrative systems in such a way as to encompass the workload process which, at the University of Eagleton, is the devolved responsibility of the

Academic Groups for implementation. The Executive retain control of the workload

model that is used. Autonomy, at the level of the individual and the Group, is an

attribute of participation as defined for this 'bin' and hence the reason it features

here.

The data in Figure 24 show that the factors indicate that staff unanimously

perceive that the workload process itself is ineffectual, leading to unacceptable

workloads. An explanation for these perceptions could come from the way in which

the workload model and process have evolved. To advocates of NPM a 'one-size-

fits-all' approach to workloads was anathema since it is reminiscent of a monolithic

organisation and yet this is exactly what has prevailed at the University of

Eagleton (Graham 2016). Originally, each Academic Group within the University of

Eagleton had its own workload model guided by a broad set of workload

principles, established centrally, that were applied locally (see Chapter 2) to

recognise the differences in delivery practices within cognate subject areas similar

to that suggested by Burgess (1996). Paewai *et al* (2007) pointed out from their

survey of academic staff in Australia, "…factors associated with reported

successful implementation [of workload models] included: unit-specific procedures

for workload allocation rather than generic checklists or principles" (p382) whereas

the model now in use applies to all Academic Groups equally and has displaced

the 'unit-specific' (the Academic Group) practice for allocating workload. This

supports the view that there is a move towards greater organisational control of

academic work (Gunter 2012) through professional management, with the

concomitant erosion of autonomy. Three of the factors shown in Figure 24 show a

perception that the workload process is 'positively managed' and indicates that

there is a view that managers are actively controlling the workload of their staff; a positive amongst the overall negativity. Whilst the staff perceive the workload processes in a negative light and working ineffectually, there is certainly an administrative system (Coaldrake and Stedman 1999) for workload management that supports the view that NPM exists within the University of Eagleton.

Returning to the notion of greater participation discussed previously in relation to definition of this conceptual 'bin', leads on to a consideration of the autonomy afforded to individual staff. The factors give no clear view on this matter either at sub-group level or the staff overall other than the responses indicate an acknowledgement of the issue and this provides another area of potential further research in order to examine this aspect in depth. The responses of the L Male sub-group both in negativity about the workload process and their view that there is no autonomy give cause for concern, since they are relatively new staff to the university and do not have a memory of previous management systems. Perceptions of a lack of autonomy resonate with the notion of the "deprofessionalisation" (Clarke *et al* 2001, p270) of academic work as professional autonomy is "eroded" (Hall *et al* 2015, p502). Those who teach are now "implementers of externally determined changes with concomitant implications for their autonomy" (Hall *et al* 2015, p494) as a result of policies associated with NPM.

7.2.3 Products: programmes of study

Through NPM the emphasis for higher education has moved from a social value of the process to one based on the outputs, or products, of higher education.

Classically this would be the actual programmes of study but it encompasses such things as league table positions and resource-allocation models. Figure 25 maps the factors from the Q sort analysis against the themes associated with this conceptual 'bin' focusing on the 'products' of higher education (Yeatman 1993) displacing the more traditional view of higher education as a process. This most directly relates to the outputs from individual programmes of study at the simplest level but, in more general terms related to NPM, it is the overarching philosophy of deliverables (Fitzgerald 2012b) in the broadest sense.

| | | Themes | |
		Linkages	Management
L Male	F1	Low morale; lack of clarity	Operating via diktat
	F2	Lack of clarity; low morale	Positive management practices
L Female	F1	Lack of consistency; low morale	Operating via diktat
	F2	Applied well; not demotivating	
SL Male	F1	Lack of consistency; low morale; linkages unclear	Operating via diktat; more student focused
SL Female	F1	Lack of consistency; low morale	Operating via diktat
	F2	Lack of consistency	Positive
52 Staff	F1	Unclear; inconsistent application; low morale	Operating via diktat
	F2	Unclear	

Figure 25 Products: programmes of study related to the Q factors

The foci of the conceptual 'bin' are productivity and resource allocation which provides the rationale for including linkages, between workload and performance management models, because these two models are designed to facilitate the management of productivity and resources. The perceptions about 'management' are included here because the systems to which the linkages refer form part of the control mechanisms (Coaldrake and Stedman 1999) used by those holding management positions to maximise the benefit from the scarce staff resources (Yeatman 1993).

The overwhelming view of each staff sub-group and the staff overall, is one of a lack of clarity, and inconsistency, in the application of the workload and

performance management systems. The two systems are not perceived as interacting properly with a worryingly prevalent view that it is causing 'low morale' amongst all 52 staff. This latter point resonates well with the reduction of the 'welfare' consensus as neoliberal ideology permeated society which meant that, through NPM, the focus of higher education shifted from valuing the social process to one based on measurable outputs. The resulting tension between process and product leads to internal conflict for academics that could manifest itself as low morale, which is what the findings suggest and brings meaning to this conceptual 'bin' at the University of Eagleton.

In terms of the perceptions about management, again there is an almost unanimous view that managers are operating through diktat (summary instructions without consultation at the local Academic Group level) reflecting the low morale and the absence of autonomy. Given the views about the linkages between workload and performance management processes this negative view of management is unsurprising since NPM has required more business-like management and a more professional approach to managing staff (Egginton 2010) especially where products are at the heart of the issue; 'products' being a business term that has been imported to summarise programmes of study. Ramsden (1998) found that a reason for alienation from an organisation, cited by academic staff, was that the "…focus is too much on managing resources and budgets well, and not enough on managing people well; the management don't seem to care" (p363) and this seems to be supported by the analysis of the findings from this Q study at the University of Eagleton albeit being expressed via

negativity towards management and the systems that they are using to manage the staff.

7.2.4 Audit Controls: Workloads, resource allocation and labour cost

This 'bin' is about demonstrating compliance with mandated systems and processes in all areas of higher education work and not just financial systems to achieve 'value for money'. Figure 26 maps the factors from the Q sort analysis against the themes associated with this conceptual 'bin' concerned directly with the processes associated with the audit culture (*cf.* Power 1994) prevalent in UK higher education. Within the context of the University of Eagleton this 'bin' refers to the actual workload and performance management models since both are concerned with the deployment of a key resource – staff – and recording the manner in which that resource was deployed; whether that be accounting for workload hours or of performance against targets. These 'models' are owned by the Executive of the University whilst the operationalising of them through the associated processes is the remit of the Academic Groups. In terms of all groups of staff there seems to be broad consensus that both the performance management model and the workload model are not fit for purpose, with words such as 'ineffective', 'demotivating', 'unacceptable' and 'ineffectual' in evidence. These internal audit processes (Shore and Wright 1999) are acknowledged by the staff but the views expressed in the factors support Hornibrook's (2012) view that the models themselves can be divisive and damage collegiality as staff seek to position themselves to best effect in order to get a good 'audit' outcome at the expense of collaborative working.

		Themes	
		Performance Management model	**Workload model**
L Male	F1	Ineffectually used	Demotivating
	F2	Effectively managed; not disciplinary	Demotivating
L Female	F1		Outdated; no clear rationale
	F2	Used effectively	Equity across staff; rationale understood
SL Male	F1	Poorly understood; lack of focus on high quality teaching	Unacceptable framework; inequity; not getting best from staff; demotivating
SL Female	F1	Ineffectually used; not focused on high quality teaching	Inequity
	F2	Not disciplinary	Not getting best from staff
52 Staff	F1	Ineffectually used; concerned with disciplinary issues; focus on high quality teaching	Not universally acceptable; inequity; demotivating
	F2	Not understood; focused on high quality teaching	Poorly defined; not universally acceptable; not demotivating; equitable loads

Figure 26 Audit controls related to the Q factors

The audit function within NPM certainly has an undercurrent associated with 'doing more' with the same level of resource and if the data in Figure 26 is linked to the 'bin' concerned with 'administrative values', then the evident level of dissatisfaction does resonate with the move towards more organisational control of academic work (Gunter 2012) as autonomy is eroded. Whilst the perceptions of the staff captured in Figure 26 show this 'bin' as being in evidence, further research would be useful to establish whether the general dissatisfaction expressed with both models is as a result of the productivity drive (Fredman and Doughney 2012) generally in HE or "performance regime[s]" (Gunter and Fitzgerald 2013, p214) *per se.*

7.2.5 Managerialism in lieu of collegiality: 'Professional' management

The basis for this 'bin' is that public organisations, such as universities, can be managed in the same way as a private business. The notion of public service is then replaced by professional management where the traditional public values are replaced with those focusing on the husbanding of limited resources. Figure 27 maps the factors from the Q sort analysis against the themes associated with this

conceptual 'bin'. Leadership, collegiality and empowerment are intimately bound together in this 'bin' since all three aspects are impacted, usually adversely, by managerialism exemplified by (Gill 2016) when he said "ill-fitting managerialism…. is stifling the collegiality…" (p5) and echoing the concerns of others (for example, Shore and Wright 1999; Deem 1998) with regard to the effects on collegiality and workloads.

		Themes		
		Leadership	Collegiality	Empowerment
L Male	F1	Negative	Not valued	None
	F2	Negative		None
L Female	F1	Negative	None	None
	F2	Positive	Valued	Effective
SL Male	F1	Neutral	None	
SL Female	F1	Negative	None	None
	F2	Neutral		Positive
52 Staff	F1	Neutral	None	
	F2	Positive	Valued	Effective

Figure 27 Managerialism related to the Q factors

The components of the factors show that the general perception of leadership is very poor regardless of staff group and is replicated for collegiality where the clear view is that this aspect is not in evidence. An argument was made in Chapter 4 that Taylorist management ideas, that predate NPM, were brought to the fore again through NPM's concern with efficiency, productivity and standardisation of processes and supplanted collegial forms of management with a renewed focus on generating income throughout academic work; maximising student numbers, research and knowledge transfer activities to name just a few. The impact this has on the staff can be profound as they struggle with the numerous accountability mechanisms placed on them to supply a central executive with information ensuring "a situation of virtually constant change … unmanageable workloads and the confinement of knowledge and substantive decision-making to the centre" (Lafferty and Fleming 2000, p261). This situation is supported by the data from

Figure 27 where the negative views of leadership, empowerment and collegiality resonate with the perceptions in Figure 25 of management being conducted through diktat. Little wonder that Martin (1999) found that academic staff were "angry" (p4) about the time that is consumed by the mechanisms of accountability!

In terms of empowerment the data in Figure 27 is less clear but erring on the side of negativity and yet the 52 staff overall are silent or say it is 'effective'; again, caution is required in that F2 for the 52 staff may not be truly representative for reasons discussed in Chapter 6. Overall, the view that this gives of the three themes that contribute to this conceptual 'bin' is one borne out of a recognition that they exist at the University of Eagleton but that they are not conducive to a positive view of managerialism. This is not entirely surprising given that NPM is secured by a discourse of managerialism as a form of governance that moves higher education from a public service to a goal-oriented business in which collegiality is supplanted by "line management" (Yeatman 1993, p4). Thus, there is a deliberate separation of 'leadership' from 'management' where managers tend to focus on getting things done and leaders focus on the longer term goals; succinctly captured by the hackneyed phrase "Leaders … do the right thing; managers … do things right" (Bennis 1989, p18). Thus, what is evident from the perceptions expressed in the factors is that leadership and collegiality are damaged which, in turn, supports the conclusion that there is managerialism to the fore at the University of Eagleton that is displacing the traditional, collegial, *modus operandii* of a university.

Empowerment follows when staff feel they are working in a collegial environment and it is no surprise that the data in Figure 27 shows that they feel a lack of empowerment in their roles, especially as it leadership and collegiality, creating resentment at being directed to do things without explanations being given; management by diktat (see Figure 25). Ramsden (1998) was clear that effective academic leadership is intimately linked with the empowerment perceived by staff which, in turn, affects the performance of those staff;

> "Good leadership is … the most practical and cost-effective strategy known to organizations that are struggling to survive and to make progress … less effective academics are more likely to be members of academic departments in which their colleagues rate the department's level of [empowerment] low." (p363)

Hence one of Ramsden's (1998) recommendations for improving academic performance was to establish better leadership, as opposed to better management, of staff. The perceptions of staff across the three domains in Figure 27 confirm that managerialism is in evidence and it is detrimental to the collegial structures (Bleikle *et al* 2013).

7.3 Patterns from the data analysis related to the NPM Framework

The data used in the preceding analysis show that the factors from the Q sorts have a contribution to make to each of the conceptual 'bins' and so at a surface level, the NPM Framework provides an explanation and meaning for those perceptions. The data show that workload and performance models with associated processes exist at the University of Eagleton and are being implemented, albeit in a manner that is perceived negatively by the staff. Figure 28 summarises the data analysis from the preceding sections and highlights the

trends that have emerged from the data together with issues from the data that

form gaps in knowledge to which the analysis of the Q sorts did not provide

answers, thus forming the basis for suggestions for further research.

Conceptual 'bin' (NPM Framework)	Key patterns from the data	Links to NPM Framework	Issues from the data
Performance measurement: Engendering trust	Lack of articulated standards and ineffective performance management; Male and female staff share same perceptions; Lack of transparency is damaging trust; Low morale; Equitable workloads for male and female staff;	Tension between collegiality and focused working is real; Performance management exists but is ineffective; Absence of trust in management	Challenge to Deem's (1998) speculation about workload gender imbalance; Lafferty and Fleming (2000) male-female imbalance in performance management not substantiated; Alienation of staff from the University (Ramsden 1998);
Administrative values and decentralisation	Workload process is ineffectual; Unacceptable workloads for staff; Lack of autonomy for staff;	Workload process exists but is ineffective; Workload process is an administrative system and it exists; Administrative systems exist at University of Eagleton; Erosion of professional autonomy is confirmed	University of Eagleton contradicts suggested good practice in workload (Paewai *et al* 2007); Lack of clarity on extent of loss of autonomy (Hall *et al* 2015)
Products: Programmes of Study	Lack of clarity in the workload and performance management systems; Inconsistent application; Workload and performance systems are not interacting correctly leading to low morale; Management via diktat at local level reinforcing perception of lack of autonomy;	Resonance with the removal of the welfare consensus in NPM; Confirmation of the 'bin' through evidence of tension between process and product; NPM has required business-like management of staff	Need to manage people rather than people as resources (Ramsden 1998);
Audit Controls: Workloads, resource allocation and labour cost	Performance and workload models are not fit for purpose; Models are ineffective and demotivating; Workloads are unacceptable;	Workload and performance models are owned by the Executive and not devolved; Collegiality is damaged	Supports Hornibrook's (2102) assertion that the models are divisive; Greater organisational control of academic work (Gunter 2012); Dissatisfaction with productivity drive or performance regimes themselves? (Fredman and Doughney 2012; Gunter and Fitzgerald 2013);
Managerialism in lieu of collegiality: 'Professional' management	Leadership is poor; Collegiality is not in evidence; Lack of empowerment; Supports the perception that management is via diktat;	Leadership, collegiality and empowerment have suffered which supports the view that NPM exists; Managerialism is to the fore but the perceptions are not positive	Collegial structures have been damaged (Bleikle *et al* 2013);

Figure 28 Summarising the data analysis with respect to NPM

Measures of accountability for Academic Groups are clearly in evidence and

provide a means of ensuring compliance with goals set by the Executive (Paewai

et al 2007; Clarke *et al* 2001; Coaldrake and Stedman 1999) but they are

perceived as being ineffective. The damage to morale that is clear from the data is

something that others have cautioned against; for example Egginton (2010)

warned that performance management systems need to be perceived as robust

yet fair if morale was not to suffer due to their implementation and yet this is what

the data suggest is happening at the University of Eagleton. In terms of workload

the data confirm that these are unacceptable and inconsistent, reflecting Tight's

(2010) concerns about the increasing demands being placed on academic time

that may not be 'academic' but rather administrative, creating a tension between

the two aspects amongst the staff.

The models for workload and performance management at the University of

Eagleton are centrally devised and operationalised locally, but this could be one of

the reasons for such negativity amongst the staff; an "unanticipated side effect"

(Hood and Peters 2004, p277) of NPM. Tight (2010) argues that "the

contemporary academic perception that workloads … are … at untenable levels,

may be directly linked to the increased amount of time spent on administration"

(p214) while Bleikle *et al* (2013) argue that the academic role has been distorted

as academics seek good audit outcomes leading to them feeling to be

"subordinate workers" (p173) compounding the feelings of dissatisfaction. Whilst

this confirms that the NPM Framework provides a useful way to explain the data, it

also offers fertile ground for a further research study to identify the root causes of

such 'negativity' amongst academic staff operating within environments where NPM is dominant.

Crucially, the data show that collegiality, leadership and empowerment are perceived as either non-existent or seriously compromised by the continued evolution of managerialism at the University of Eagleton. Dunleavy *et al* (2005) noted that one of the features of NPM activity within an organisation is that of strengthening the features of management and the data support this observation in terms of the negativity around the perceptions of collegiality, leadership and empowerment. Certainly Gill's (2016) assertion about the damage to collegiality being done by managerialism is borne out in the data and reflects the concerns that Deem (1998) along with Shore and Wright (1999) had in relation to the effects that workload could have on collegiality. The data confirm that these concerns were well founded, again supporting the view that NPM exists within the University of Eagleton.

Critically for this study, the data support the fact that the "conceptual dichotomy" (Graham 2015a, p665) that was found to exist in the literature about workload and performance management, actually exists in the perceptions of the academic staff at the University of Eagleton with the data highlighting the fact that the two systems are not interacting. The data also triangulate well with the findings from a study conducted with Academic Managers at the University of Eagleton (Graham 2016) that showed that these managers did not perceive any linkages between the workload and performance management models.

The data suggest some areas of potential for further research with the most immediate being that to address Deem's (1998) speculation about the imbalance in workloads between male and female staff. Whilst the data suggest that there is no imbalance this was not the focus of the research and further work on this would be valuable. This research could also serve to amplify views on a potential gender imbalance in performance management that was posited by Lafferty and Fleming (2000) since that is not substantiated in the data. Such a research study could also serve to ascertain the drivers for alienation from the University (Ramsden 1998); staff perceptions of a lack of autonomy came through clearly in the data. A further research study to clarify the underlying reasons for perceptions of a lack of autonomy would be useful to illuminate this aspect. The overwhelmingly negative perceptions of the workload and performance models leads to a further possible area of research to follow-up on Fredman and Doughney's (2012) survey of academic dissatisfaction where they raised the issue of dissatisfaction stemming from either the productivity push generally and an aversion to this in universities, or simply because staff did not agree with performance regimes. The data from this study cannot address Fredman and Doughney's (2012) concern directly but it would be interesting to establish the perceptions of staff in these areas.

7.4 Discussion

New Public Management came to prominence in the UK under the Thatcher-led governments from 1979 and, after thirty-seven years, it can now be considered as a mature "administrative doctrine" (Hood 1991, p3) well into its "middle age" (Hood and Peters 2004, p3) or, as Gunter and Fitzgerald (2013b) would prefer, simply

"old" (p305) based on its longevity. During this period there has been a constant drive within HE to ensure that outputs are specified from any process and that performance indicators are used to confirm that the process is working efficiently in a manner that is supposed to reflect the entrepreneurial spirit of the business world. This is evident at the University of Eagleton through the use of workload and performance management systems that rely heavily on quantifying academic work and subsequently confirmed in the data analysis. An unintended consequence is that rather than increasing diversity in organisations and their approaches to higher education, there has been greater conformity (Hood and Peters 2004) as institutions seek to 'play safe' in an era of central government higher education policy turbulence. The recent UK Government White Paper 'Success as a Knowledge Economy' (Her Majesty's Government 2016) has recognised this failure to create diversity in HE by including provisions specifically aimed at increasing competition, for example, by relaxing the rules on the thresholds for degree awarding powers and granting of university title to private providers (businesses) as well as clauses for those institutions that wish to leave the HE sector. These proposals resonate clearly with the NPM ideals concerning the free market and continuing the commodification of HE.

According to Hood and Peters (2004) the "middle aging of NPM" (p274) produces unexpected surprises in terms of the expectations of NPM, leading to suggestions that NPM may actually have been replaced and, *in extremis*, it is actually a defunct concept. Dunleavy *et al* (2005) conducted a research project on the implementation of computer systems across seven countries where NPM was "extensively institutionalized" (Dunleavy *et al* 2005, p468) and they came to the

conclusion that NPM as a policy technology had "essentially died in the water" (p468). Information technology systems, one of the "administrative megatrends" (Hood 1991, p3), were posited as the vehicle that had supplanted managerial aspects of NPM due to the central role in all managerial functions. Dunleavy *et al* (2005) referred to this new, successor, policy technology as "digital era governance (DEG for short)" (p468) whose key components are; reintegration, needs-based holism and digitisation. It is claimed that information technology (IT) systems are able to reduce operating costs of an organisation at the same time as improving the quality of services on offer to the customer. This contrasts with well-publicised, high profile, governmental-level failures of IT systems in the UK such as that at the UK Passport Office in 1999 (NAO 1999) and hardly bodes well for DEG as a policy technology. There is an interesting contradiction in what Dunleavy *et al* (2005) express because on the one hand they suggest that information technology systems have a unique place in DEG in succession to NPM and yet they also claim that one of the "integrating themes in NPM" (p470) is "management information systems [IT]… to sustain different practices" (p470). The workload and performance systems used at the University of Eagleton rely on IT systems to manage and record the information on each member of staff (see Chapter 2) and the data confirm that these systems are not perceived as working effectively. This would seem to offer support to Dunleavy *et al's* (2005) assertion that a "fundamental transition from paper-based to electronic record-keeping" (p479) was at the heart of DEG and that the all-pervasive nature of information technologies was providing a "regime change" (p478) in public management centred on these technologies. However, the argument that the high level of dependency on IT systems offers a new form of management to displace NPM is

difficult to agree with when faced with the evidence from the data in this project. In fact, the data show that IT systems actually facilitate some of the processes that are crucial to NPM, for example audit systems, resulting in a strengthening rather than diminishing of NPM across HE.

Managerialism is also reinforced through the ability not only to collect data but also because of the ease in which this data can be shared between managers. Interestingly Painter (2011) points out that IT "enabled the adoption of standardised on-line procedures and forms to facilitate … workload measurement" (p247) which is what happened at the University of Eagleton again adding weight to the argument that NPM is still thriving and has not been replaced by DEG. Gunter *et al* (2016b) use the term "technical accountability systems" (p175) to encompass IT systems whilst also making the point that these systems reinforce managerialism, a key element of NPM, leading to the view that NPM has evolved rather than being defunct with the data from this project supporting this position. One of the claimed advantages of IT systems within DEG is the "agility" (Dunleavy *et al* 2005, p489) to respond to external influences that marks it as different from a more rigid NPM but this is not supported by the data from this study where staff perceive that the workload model is already out of date; reminiscent of a caution from Hood and Peters (2004) that if IT is used badly it can lead to inflexibility. If agility existed within workload and performance models at the University of Eagleton, then those models would be constantly evolving to meet changing needs and the 'out of date' criticism would not be evident.

The analysis of the data within this chapter in relation to the deployment of the NPM Framework, adds empirical weight to the view that "NPM is not as dead as some policy researchers have declared it to be" (Gunter and Fitzgerald 2013b, p305) but NPM is being operationalised in a way that is potentially detrimental to the *esprit de corps* within the university and the data confirms that morale is suffering as a result. The conclusions reached by Hall *et al* (2015) in relation to their three country study are echoed in the data that confirm the key attributes of NPM are in evidence at the University of Eagleton and actively influencing the development of management processes. The implication for HE is that the tools of NPM, such as workload and performance management systems, audit processes and so forth, will continue to evolve so that they can ostensibly support the development of HE over time (de Vries and Nemec 2013). For example, in the UK, the recent HE White Paper (Her Majesty's Government 2016) will deliver a Teaching Excellence Framework (TEF) which, for the first time will focus on metrics to establish the quality of teaching in HE; an audit process for teaching similar to that for research with the REF. This is a significant development for many reasons but not least because of the link with 'price' since success in this measure would permit universities to raise the tuition fees charged to students. Thus the link between NPM and the marketization of HE becomes ever closer. Against this backdrop it is easy to agree with de Vries (2010) when he says that NPM "is in trouble, but it is not really dead" (p91) and the evidence from this study is that it is very much alive at the University of Eagleton!

7.5 Summary

The analysis of the data in this chapter has shown that the NPM Framework can be used to explain, and bring meaning to, the perceptions of the staff because the trends in the data confirm that the attributes of the conceptual 'bins' exist at the University of Eagleton. The general level of negativity from the staff perceptions has confirmed the concerns expressed in the literatures (for example, Fitzgerald 2012; Hornibrook 2012; Egginton 2010; Paewai *et al* 2007) about many aspects of NPM applied to higher education and supports the conclusion that "the concepts of NPM have permeated the organization" (Graham 2016, p1061). Gunter and Fitzgerald (2013b) suggested that the key attributes of professional management such as, explicit standards of performance, private sector style of management and resource cost discipline were indicative of the existence of NPM in education and these are in evidence at the University of Eagleton offering further evidence for the utility of the NPM Framework in bringing meaning to staff perceptions of management processes. Further research into aspects that were not central to this study have been identified from the data analysis, providing new lines of enquiry that may further illuminate the role of NPM in contemporary HE. In the same way that Academic Managers at the University of Eagleton struggled with operating workload and performance management processes (Graham 2016) so the academic staff perceive the same difficulties. Thus we see that academic managers and academic staff – the manager and the managed – are intimately engaged with NPM through their work and struggling to operate the management models and processes imposed on them.

Chapter 8

Conclusion

8.1 Introduction

This study has given voice to, and critical analysis of, academic teaching staff perceptions of the way in which workload and performance management affects them as well as the way in which NPM impacts their work. The data and analysis speak to the site of the study but also has wider implications for the workforce in higher education, with contributions to the research field about and for higher education. In this final chapter I present conclusions from this research project identifying the contributions to knowledge that have arisen from those findings, and from the development of methodological and conceptual tools, followed by my reflections on the research project regarding my own position as an 'insider' researcher. This project is especially important because it locates and seeks to confront, and populate, a gap in knowledge about the linkages between workload and performance management models, and their impact on academic staff. It also addresses a criticism that HE does not undertake enough reflective research about its own role in the way that is common for other sectors of education (Gill 2013).

The chapter begins with a summary of the findings from the factor analysis of the Q sorts in order to examine perceptions related directly to workload and performance. This is followed by a summary of findings in relation to the design and deployment of the NPM Framework, thereby addressing the research questions and outlining the broader conceptual and methodological contribution to

knowledge from the study. Recommendations for organisational leaders and managers in HE are made, based on the findings from the data analysis, as to how to refine the implementation of the workload and performance management models to achieve a better engagement with these models by the academic staff. Recommendations are also made for researchers in the HE research field, based on the need to develop longitudinal studies at post-92 universities and to initiate this type of research within the UK pre-92 universities.

8.2 Summary and claims to knowledge

In this section I will summarise, and reflect on, the findings from the project that relate to the research questions posed at the start of this thesis; 'What are the perceptions of academic staff of the models of workload and performance management in operation within the University of Eagleton?', 'What is the relationship, identified by academic staff, between workload and performance management of staff?' and 'What recommendations can be made about the future development and deployment of workload and performance management models?'. In this way, the contribution to knowledge about academic staff perceptions of the workload and performance management models and the NPM Framework, grounded in the findings of the data analysis, will be summarised. The reflections undertaken will then allow for recommendations for future leadership and management practice at the University of Eagleton and the wider HE sector. Suggestions for further research that were identified during the data analysis are also summarised.

8.2.1 Workload and performance management

The key finding from this project in relation to workload and performance management, addresses the concerns and frustrations of staff who espoused views that indicated they felt distant from the technologies (workload and performance management) that should be beneficial to them. This manifests itself as an overwhelming negativity towards the University's management as it implements management practices in line with NPM. The factor analysis provided detailed perceptions from the sub-groups of staff and the 52 staff overall, where three significant issues were brought in to sharp focus. Firstly, all groups of academic staff felt that there was an equitable distribution of workload at the local, Academic Group, level between male and female colleagues. This is significant because it challenges the speculation expressed in some of the literatures (for example Deem 1998) surrounding a possible inequity of workloads caused by a managerialist culture and supports Graham's (2015a) assertion that workload management processes can have a positive impact on workloads of academic staff.

The second issue was the overall negativity expressed by the Male and Female Lecturer grades of staff in relation to the workload and performance models and processes was surprising. This is significant because of the relative 'newness' of these staff to the University of Eagleton entering, what is likely to be for them, their first academic role and not having reference to a collective memory of previous systems to cause such disparagement. This should be of paramount concern to the institutional management since it would be hoped that these staff would not be

offering these perceptions at such an early stage in their career, with the obvious potential for damage to the morale of these groups of staff.

Thirdly, a distinct lack of leading and leadership with respect to workload and performance is evident in the factors. This may influence the perceptions of staff when referring to workload and performance models since these processes are being operated by a management group that is perceived as failing to act in a collegial manner in favour of a business-like model. Worryingly for the University of Eagleton is the perception of a lack of focus on high quality teaching and a student experience that is suffering because of the workload and performance management models. These perceptions of a negative effect on the overall student experience were not overt in the literatures on workload and so the findings from the factor analysis simultaneously contribute to the knowledge in this area while identifying an area where further research would be useful. The data from the factor analysis shows that there are wider conceptual and practical issues of the relationship between how and why people develop their portfolio of academic work within the workload model, and how the performance within that workload is thought about and actioned. The next section presents a summary of the specific issues surrounding the linkages between the two technologies.

8.2.2 Linkages between workload and performance management

Literatures reporting on issues surrounding work on efficient and effective universities (*cf*. Coaldrake and Stedman 1999, Ramsden 1998, Fidler and Cooper 1992, Her Majesty's Government 1988, Jarratt 1985) links workload with

performance as a logical connection. However, within the published research

findings this logic is not embraced but instead there are different purposes, foci,

methodologies and outcomes by different teams of researchers, and where

investigation into workload management is not based on primary research but on

codifying notions, ideas and experiences into 'good practice' models and

recommendations. So, the project at the University of Eagleton was focused on

the design of the workload and performance management models with a view to

examining the underlying conceptualisation and the experiences of

operationalizing those models, through Q methodology. The data show that

academic staff at the University of Eagleton are unclear about the relationship

between workload and performance management in ways that deeply trouble

them and, in their view, lead to inconsistent and ineffective application of the

models.

This is an important matter and embeds this project in a longer trajectory of

research within the Doctorate in Education. Previously, I conducted a small-scale

study (Graham 2016) with Academic Managers at the University of Eagleton who

implemented workload and performance management with their staff in a project

characterised as a 'top-down' approach; examining the managers' perceptions of

the linkages between these two aspects. In terms of workload management, the

academic managers were not clear on the models nor were they clear on the

linkages that exist between workload and performance. Equally for performance

the academic managers had no "common understanding" (Graham 2016, p1061)

of the model.

The larger project reported in the thesis moved beyond the logic of a link between performance management and workload management where the literatures show a clear 'dichotomy' (see Chapter 3). It was clear from the data analysis in this project, characterised as a 'bottom-up' approach focusing on the academic staff perceptions of workload and performance that, for the academic staff, the linkages between workload and performance management are not evident, thereby confirming the "conceptual dichotomy" (Graham 2015a, p665) in design and practice. Specifically, the Q sort factor analysis shows that the performance and workload management systems at the University of Eagleton do not mesh together even though the staff identify that they should be linked in some way and would welcome such linkages. Part of this problem lies within organisational structures and the remits of particular groups and staff roles where the two models were designed by different stakeholder groups in the University with the performance management model 'owned' by the HR function and the workload management model 'owned' by the academic management. There was very little cross-fertilisation between the models when these groups designed them. Conceptually, the Q sort factor analysis allows an argument to be made that it is the actual staff who are affected by workload and performance management systems that provide the linkages in the absence of anything that is 'designed in', since they recognise the deficits and work around them for the benefit of their students. Ultimately, this means that neither model is being used to its full effect for the benefit of the University of Eagleton and the staff. Nevertheless, both workload and performance management at the University of Eagleton are structured in values, purposes and design through the rationality of NPM, and therefore the project set out to provide meaning to staff experiences of the disconnect between the models through

reading the data within, and against, a bespoke conceptual NPM Framework. It is to this that I now turn my attention.

8.2.3 NPM Framework and the conceptual contribution

The conceptual framework used to design the fieldwork and provide meaning to and for the data is based on research and codification processes known as New Public Management (NPM). Such an approach is appropriate because preliminary reporting of my Doctorate in Education programme of research at the University of Eagleton shows that "the concepts of NPM have permeated the organisation" (Graham 2016, p1061). Furthermore, NPM in the public sector, including HE, is also illustrative of wider and international trends where researchers have shown "changes to … professional practices" (Gunter *et al* 2016, p3). This resonated well with the focus on management of workloads and performance that had been changed significantly through the associated managerialist culture that strengthened management (Dunleavy *et al* 2005) through increased line management (Yeatman 1993), arguably giving much greater power to direct the work of academic staff (Coaldrake and Stedman 1999). Consequently, and in summary, I used and justified Hood's (1991) seven doctrines of NPM as the foundation for the development of a conceptual framework, where I used a range of empirical and conceptual reading to think and then explain how the macro-economic model of NPM could be synthesised into a framework that showed NPM's impact on university management.

The specific details are in Chapter 4 where the NPM Framework was developed and then deployed methodologically within the design and delivery of the project. Importantly, NPM's provenance in macro-economic policy studies and the social implications of the seven doctrines puts this aspect of the research project within the socially critical domain of research thereby helping to "locat[e] meaning in broader social … and political spheres" (Smyth and Shacklock and 1998, p4). Therefore, the Q methodological study based on the NPM Framework is firmly in the camp of socially critical research. The NPM Framework allowed the ideas embedded within NPM to become "integral to [the] data" (Gunter 2013, p4) in terms of the research design and the subsequent analysis of the data gathered, allowing for an "engagement with the theory and theorists" (Gunter 2013, p4) and providing valuable thinking tools.

Theory is needed in any research project where conceptual tools can be used to design the fieldwork and to read the data with a view to making an original and significant contribution. In this way, the study both uses theory but also engages in theorising, where the data are not simply shoe-horned to fit pre-existing theories but instead researchers "knead theory, research, and action" (Fine 2009, p191) in order to engage with the strands that emerge from the research. In Chapter 4 the design of the NPM Framework was described as a productive theoretical stance integral to robust research design (Fine 2009). Following deployment, data gathering and analysis, I engaged in a reflexive process on what the data from the Q sorts had to say about the NPM Framework in Chapter 7. In this way, the theory "connect[ed] the messy local to larger political, economic … formations" (Fine 2009, p181) through the conceptual 'bins' that contain the 'messiness' of ideas in

the NPM Framework. It was clear in Chapter 4 that although the 'bins' were defined to provide focus to the descriptions, in reality, the 'bins' had permeable borders that allowed for spillage of ideas between 'bins' for example between the 'audit control' and 'performance management' bins.

Academic work is predominantly managed through the workload management model and the associated, but separate, performance management model at the University of Eagleton. These two 'technologies' have the largest impact on the life of academic staff and hence their importance to this project, particularly through interplaying the rationality of NPM ideas and design with the realities of enactment and engagement in real life organisational systems and practices. Hence the workload and performance management models at the University of Eagleton can be best read and thought about through operationalizing NPM research and theorisations. This is very much part of Fine's (2009) 'kneading' process in allowing theory to be "mobilized to inform research design and methods" (Fine 2009, p192) and importantly it is through these two models that staff largely 'feel' the effects of NPM within the University. The NPM Framework was the third iteration of the conceptual model having been refined through earlier research with Academic Managers (Graham 2013b, 2016) and further reading about NPM during this project. The design of the Q sorts involved elements of the conceptual 'bins', along with other sources (see Appendix 5) to formulate Q statements in order to gather data that would allow for the specific issue of perceptions of workload and performance management to be addressed and establishing whether the NPM Framework was useful in explaining the findings. The data would also allow a view to be taken on the ways in which workload and performance can be understood as

evidence of NPM ideas and practices in the management of the University of Eagleton. The conceptual NPM Framework provided a valuable means to frame the research and, also, to allow me as an insider 'researching professional' to think with in relation to the research design, data gathering and the analysis of that data. The 'kneading' metaphor helps to explain how "theory has shaped, and been refashioned by [this] empirical project" (Fine 2009, p181) because of the way in which the original NPM Framework (the original 'theory') aided the project design and then has been reviewed, and justified by the empirical work.

The analysis of the data was dominated by the negativity of the staff perceptions, confirming the potential damage that NPM could inflict on higher education. By way of a summary to guide this section, the original NPM Framework (see Chapter 4) is reproduced in Figure 29 with a summary of the findings from the data analysis shown inside each conceptual 'bin', although this neat summary belies the complexity underpinning the "messy" (Fine 2009, p181) nature of theories and data that relate to the 'bins'.

New Public Management (NPM)

Audit controls: Resource allocation & labour-cost discipline

Workload and performance models are owned by the Executive and not devolved; collegiality is damaged

Products: Programmes of study

Resonance with the removal of the welfare consensus in NPM; validation of the 'bin' through evidence of tension between process and product

Managerialism in lieu of collegiality: 'Professional' management

Leadership, collegiality and empowerment have suffered which supports the view that NPM exists; Managerialism is to the fore but the perceptions are not positive

Accountability

NPM has required business-like management of staff; management via diktat and executive fiat; workload process is an administrative system and it exists; improved resource allocation locally; modernisation at the macro level

Administrative values & decentralisation

Workload process exists but is ineffective; administrative systems exist at the University of Eagleton; erosion of professional autonomy is confirmed

Performance measurement: engendering 'trust'

Tension between collegiality and focused working is real; performance management exists but it is ineffective; absence of trust in management

Figure 29 Summary of findings from the data in relation to conceptual 'bins'

By way of an example, the concerns that collegiality would be driven out under a managerialist approach stemming from NPM is a valid concern based on the data captured in the staff perceptions and summarised in the 'Managerialism' conceptual 'bin' in Figure 29. Accountability, is recognised in the staff perceptions through such matters as business-like management, executive control and being part of a modernisation agenda at the macro level. The staff recognise that workload and performance management systems provide a means for the University to fulfil an external dimension in terms of accountability whilst at the same time enabling the management of academic work.

The data analysis in this study suggests that NPM is an appropriate framework for identifying the policy technology underpinning and structuring workload and performance management at the University of Eagleton. While both are dichotomous in system design and location (what I earlier called 'ownership'), with clear implications for staff involved, it seems that 'linkage' is located in the ideas and practices of NPM. It seems that in spite of claims otherwise, NPM is not actually dead (de Vries 2010), and provides a problematic but rationalising technology where "the concepts of NPM have permeated the organization" (Graham 2016, p1061). The attributes of professional management, overt performance standards, business style of management and resource cost discipline are indicators for the existence of NPM in education generally (Gunter and Fitzgerald 2013b) and they are evident in the staff perceptions of workload and performance management at the University of Eagleton. Therefore, the NPM Framework can explain and give meaning to the staff perceptions elicited through this research project which is a significant finding and contribution to knowledge.

The academic staff at the University of Eagleton are variously puzzled, angry and felt alienated through the divisions between workload and performance management models. If there is any linkage between these two technologies then it is through the way NPM shows common ideas and practices around accountability and these two technologies of control. Such technologies may not be working well but importantly it is how staff espouse how they experience the dislocations and what it means for their identities as academics that matters. The outcomes from this project are more than generating options for a local evaluation

and improvement agenda, but also how these outcomes speak to the HE sector as a whole.

8.3 Methodological contributions

The first contribution relates to the way in which the findings from this project at the University of Eagleton can be related to other post-92 universities and the HE sector more widely. This is important in order to be able to inform decisions about improving the two management technologies of workload and performance management. The second contribution focuses on the methodological contribution to Q sorts through the use of 'boundaries' in the final Q sort by each participant as a means of helping to focus the statements that appear in each subsequent factor.

8.3.1 Thinking about the findings

A concern for any researcher working with a non-statistical sample of staff from an organisation, is how to relate the findings from the study to the larger staff body to draw conclusions at the organisational level. This is all the more important when part of the rationale for this study is to identify ways in which the practice of management can be informed by the data in order to identify and consider improvements the processes used in managing workload and performance of academic staff (Bassey 1981). The challenge presented for this process is twofold: first, it is technical in the deployment of the Q sort method; and second, it is conceptual regarding the use of NPM to provide meanings and explanations of the data. With regard to the first issue, the self-referent nature of the Q sort usually

means that the outcomes would not normally be generalized *to* a population in a statistical sense (Watts and Stenner 2012). However, those outcomes may have wider implications that make some form of generalization *about* (Thomas and Baas 1992) those outcomes desirable; Stenhouse (1978) termed this a "retrospective generalisation [*sic*]" (p22). Watts and Stenner (2012) suggest a form of "conceptual generalization" (p73) rather than one based on statistical extrapolation as a way forward, whereby the generalization focuses on the concepts and models of practice (Watts and Stenner 2012). The argument is made that establishing the perceptions within a p-set can be insightful for the larger group from which the p-set is drawn "if [they] contradict[s], or somehow undermine[s] established preconceptions about… our current treatment or professional practice" (Watts and Stenner 2012, p73).

Therefore, the semantics of the factor statements are the drivers for generalization rather than statistical inferences. Thomas and Baas (1992) refer to this as making "substantive inferences" (p22) from the p-set (the 52 staff) to the larger group from which the p-set was drawn (all academic teaching staff); generalization of the outcomes from the Q study is therefore possible if handled cautiously. This study has established the perceptions of academic staff to workload and performance management as well as confirming that the conceptual NPM Framework brings meaning to these staff perceptions that are helpful in developing options for change. Consequently, and with the methodological caveats outlined, the findings in relation to workload and performance management can be generalized beyond the staff 'sample' to the whole academic staff body at the University of Eagleton with a good degree of reliability and validity.

For reasons discussed earlier in this chapter and from the explanation of the research study design in Chapter 5, it would stretch the validity of the findings of this study to simply extrapolate them to other universities. Whilst the University of Eagleton is a post-92 university and so there may be similar workload and performance management regimes in place (particularly linked to previous governance systems through Local Education Authorities and through validation processes used, historically, by the Council for National Academic Awards), they would be different simply because there are no nationally agreed systems. Therefore, the findings cannot be generalized to the whole post-92 sector although the results are certainly 'relatable' to the wider post-92 sector because of the common historical lineage. However, the replicability of this study means that it could be reliably used in other post-92 universities to gather the data on which to undertake the factor analysis. A possibility exists for a study to be designed that inter-relates the bottom up features of this study with the top-down features of my earlier study with Academic Managers (Graham 2016). In terms of the universities that existed before 1992 (pre-92 universities) then it may well be the case that workload and performance management is undertaken very differently and so the direct applicability of this Q study would need to be assessed in context; for example, while there are studies that demonstrate the impact of NPM in research intensive universities in the UK and internationally (for example Collini 2017, Fitzgerald *et al* 2012) the impacts of NPM on system design and professional practices may be different which affects the conceptual basis for the research. This has implications for the design of the Q sort where, in particular, the Q statements may need review and development for pre-92 universities.

8.3.2 Boundary conditions

A second methodological contribution from this study is around the of the boundaries that each participant was asked to draw on their completed Q sort to try to identify the statements that they held no strong views about. Within the description of the research project design (see Chapter 5), I described the implementation of an idea discussed by Watts and Stenner (2012) regarding the identification of the boundaries between the views strongly held by the participant after they have completed a Q sort. There was no guidance in any literature for dealing with this boundary information once it had been collected and yet it had the potential to help with the focus of the factor statements.

This is because the difficulty when constructing factor statements is what to do with statements that are not at the extremities of the Q sort grid; Q statements often said to be in the 'neutral' area where the participant had no strong view. The wealth of statements in the neutral area adds to the richness of the factor statement but the number of Q statements in the neutral area could swamp the other Q statements in the factor statement. I implemented a novel approach when constructing the factor statements whereby statements within the boundaries identified by each participant were counted to identify which were truly neutral to that group of participants and so could be omitted from the final factor 'crib sheet' without detracting from the focus of the factor statement. This boundary analysis of the neutral Q statements can be replicated in a reliable manner in other Q studies and offers an important methodological enhancement for the analysis of Q sorts.

8.4 Organisational contributions

In this section I will draw together recommendations for future leadership and management practice in relation to workload and performance management at the University of Eagleton based on the outcomes of the data analysis. In so doing, this section will further expand on issues that help to address the research question; 'What recommendations can be made about the future development and deployment of workload and performance management models?'.

There is a crisis at the University of Eagleton evident from the data analysis of the Q study, at both the macro-level (NPM) and the micro-level (workload and performance). It is one of extreme staff negativity caused by a perceived lack of leadership from academic managers in relation to workload and performance management processes causing low staff morale that is detrimental to the student experience. I have shown throughout this study that NPM, the workload model and performance model are intimately connected since NPM provides the macro-environment in which the models operate; while the two models are separate in design and ownership, the underlying rationale and linkage is around notions of technological accountability that are informed and structured by NPM ideas and practices. The data analysis and subsequent reflections, confirms the utility of the NPM Framework to explain and give meaning to the staff perceptions, supporting the view that NPM is a dominating set of ideas informing and shaping organisational design and identities at the University of Eagleton. This dominance of NPM could be used as a justification for the negativity of the staff; after all, one of the casualties of NPM is the impact of data driven line management on the

opportunities and realities of collegiality between academic staff who do, and do not, hold management roles. This is a summary that would be too simplistic to accept.

I have shown in this study that it is through the workload and performance management models or processes that academic staff experience the audit mechanisms in NPM. The most effective way for the managers to build relationships with staff to rebalance some of the problems caused by NPM, is through the use of the workload and performance systems. This will be difficult in an environment where managers and staff do not perceive the way that NPM currently works to enable linkages between the two models, and the opportunities for a different approach. Such an approach might address the 'linkages' issue by focusing on the educational services provided by the University, the role and identity of staff alongside the design and integration of the management of workload and performance. In this way, while the University continues to operate in a climate of NPM informed good practice, the opportunity exists for the University of Eagleton to read and engage with external demands and requirements in ways that challenge and draw on a range of ideas about organisational design and systems (*cf*. Gunter 2016).

Such an approach meets the demands of good management in HE (for example Fredman and Doughney 2012, Egginton 2010, Coaldrake and Stedman 1999, Jarratt 1985) where the starting point for the managers is to begin building the trust with academic staff with a view to improving the communication, because this is at the heart of the problems. The project has shown that there are no systemic

linkages between the two management technologies (workload and performance models) with the staff perceptions reinforcing this point whilst acknowledging that they should be linked. It is the staff themselves who are the linkages by finding ways to work with and between the two models. This needs to be addressed at a management level to bring about processes that work together by design, rather than separately 'by design' as is the case now; such a move may also improve the perception of 'leadership' amongst the staff. Barrett and Barrett (2007) showed that workload processes implemented correctly can lead to an improvement in the student experience and the opposite of this is what appears to be the case at the University of Eagleton; it must be addressed by the managers and to this end I will be feeding back the key findings from this project to inform debate and decision-making.

I would recommend that in order to secure a more productive engagement with workload and performance management by the staff, those in management roles need to consider a system whereby workload models are established locally at academic group level such that account could be taken of the way in which different academic subject areas need to operate; those involved in teaching nursing operate differently from those teaching engineering and this would follow good practice outlined in the literatures (*cf*. Barrett and Barrett 2011, Houston *et al* 2006 and Burgess 1996). By way of an example, within the factor analysis it was evident that the Female Lecturers' Factor 2 espoused a different view from factor 1 and indeed other factors across the participant group and I explored reasons for this (see Chapter 6), potentially due to the way their work was managed in line with the health service from which most in that group were drawn. Such models

would still be governed by overarching parameters laid down in the contract of employment and could still provide transparency of workloads to the University executive tier. The data shows that the University of Eagleton has a workload system controlled by the academic management strand of the university whereas the performance management model is managed through HR, contributing to the conceptual dichotomy at an operational level. I would further recommend that the performance management model is co-located with the academic management of the university so that the two models can be better linked. HR could still advise on the model used, but the fact that it was 'owned' in the academic management sphere would signal to the staff that the intuitive links between workload and performance would become real links in due course. This would mean developing a process that could be used efficiently and effectively by both staff and managers in such a manner that "…the systems that support the process need to offer an intuitive experience to users, deliver benefit to both the business and the individual and lastly, need to have social interaction and collaboration at their core" (Campbell 2016, para 10). This may mean a return to a more discursive performance management model rather than one that is perceived as being based on simply gathering data about what an individual has done and then setting individual objectives based on meeting an identified data goal.

8.5 Reflections on the contributions

These significant contributions and findings have implications for my positionality as a researcher, with the most immediate one being that I consider myself to be a 'researching professional' because I hold a professional role at the University of

Eagleton while completing my Doctorate in Education, rather than a 'professional researcher' whose primary role is to undertake research (*cf.* Gunter *et al* 2014b, Gunter 2013). However, during my journey through the project my positionality was not static, changing sometimes subtly, depending on the stage in the project. This 'fluidity' (*cf.* Thomson and Gunter 2011) of positionality is explored further through a reflexive process. The reflections are located at the intersection of my professional role at the University of Eagleton and as a researcher simultaneously undertaking an in-depth case analysis on issues that are crucial to the University's operation; that of workload and performance management. This raises concerns about the positionality of the researcher in relation to the design of the project, data analysis and subsequent findings.

It was a natural reaction when considering my position to think that this was fixed at the outset of the research project and would remain stable throughout the project (Thomson and Gunter 2011). The binary view of a researcher being an 'insider' or 'outsider' (Thomson and Gunter 2011) is worthy of exploration in the context of my role as a manager within the University of Eagleton whilst undertaking a Doctorate in Education. An 'insider' is usually taken to be someone who is part of a group being researched (Davies 2014) with an understanding of the "local micro-politics" (Thomson and Gunter 2011, p18) and having "privileged information" (Thomson and Gunter 2011, p19) fitting most easily with ethnography and action research. However, this project was not a longitudinal ethnography (characterised, largely, by participant observation) and neither was it 'action research' (after Lewin 1946) with its focus on a spiral of diagnosis followed by implementation to enhance an organisation. Rather, the 'insiderness' of this

project was about gathering data empirically and while the data and findings will be offered to the organisation in ways that could influence system design, the project is not actually about making interventions that generate data to impact directly on change. The opposite pole is that of the 'outsider' who is apart from the phenomenon or group being studied and offers "criticality by virtue of being 'fresh eyes'" (Thomson and Gunter 2011, p20) because of this detachment. Throughout this thesis, I have sought to script myself into the narrative at appropriate junctures and in doing so, have concluded that I was neither purely and 'insider' nor an 'outsider', adopting elements of each depending on the phase of the project. Further on in this section I will show how methodologically I positioned myself as an 'outsider-insider' (*cf.* Thomson and Gunter 2011) through using my 'insider' knowledge to develop the Q sort that facilitated an 'outsider' degree of detachment.

In reality though, my positionality was borne out of a dialogic process (after Bakhtin 1895-1975) in which my roles as researcher and manager "coexist[ed] in a flexible state" (Bradbury and Gunter 2006, p498) and a brief description of my personal journey through this research project will amplify this situation. At the outset of this project my management role was such that I did not have a direct influence or control of the management technologies being investigated (*viz.* workload and performance management) which meant that I could take on a clearer 'outsider' position to the design of the project, leading to the selection of Q methodology to support an objective stance. However, during the fieldwork phase my role changed such that I then had a direct control at a strategic level of the workload model and a significant influence on the performance management

model. Being aware of this 'insider' privileged knowledge, along with robust fieldwork design and the use of agents to secure participants, meant that I was able to avoid being drawn into discussions of the models when conducting the individual Q sorts. My final role was again one that moved me away from a direct role in the two technologies and I could be more of an 'outsider' during the data analysis phase. Of course, the simple duality of positions outlined above was never as clear during the processes described and were moderated through a process of reflection.

The reality was that my position was "highly fluid" (Thomson and Gunter 2011, p25) in nature throughout the project both in terms of my relationship with the University as my role changed and in the manner I was perceived by the staff participants in my different roles. This ebb and flow of positionality has been characterised by Thomson and Gunter (2011) as "messy" (p18) whilst also "enabl[ing] critical research" (Gunter *et al* 2014a, p162) which resonates very well with the research aims of this project. I am conscious, however, that my project was not one that used participant observation as may be found in an ethnography where the researcher may feel that they are being asked to fulfil many different roles depending on the stakeholder perspectives in the research project, and so this limited the 'messiness' to considerations of 'insiderness' and 'outsiderness'; I was not a 'consultant' nor 'action researcher' providing direct feedback to the University Executive, rather my influence would come, indirectly, through the findings and recommendations laid out in the thesis.

The manner in which my positionality shifted at different phases of the project was through the engagement with processes of reflection related to professional work. Broadbank and McGill (1998) suggested that by engaging in reflective practice a "researcher can uncover, unravel and articulate… practice with a view to learning from that reflection" (p72). Through the process of reflection Smyth and Shacklock (1998) argue that the researcher is reintroduced "as a person into the account" (p1) of the research and this is reinforced by Gipps (1999) when she says that;

> "we are social beings who construe the world according to our values and perceptions; thus, our biographies are central to what we see and how we interpret it" (p370).

Throughout the design and development of this study from Chapter 1 and the subsequent reporting of the data from Chapter 6 onwards, I positioned myself as an 'insider researcher' with implications and reflections on what was happening or under consideration at each stage. I have adopted two stages to these reflections and the first that usually occurs is that of "reflection in action" (Schön 1987, p26), when, during the processes involved in writing papers or designing research methods, a conscious process is used to continually evaluate the decisions being made in such a manner as to not interrupt the natural flow of the work in hand. These processes were honed during the submissions of Research Papers 1, 2 and 3 for the Doctorate in Education (Graham 2013a, Graham 2013b, Graham 2012) that have been validated through the role of independent external examiners for the Doctorate in Education programme, and through peer review in the publication process (Graham 2016, Graham 2015a), which preceded this thesis and contributed to the development of the study reported in this thesis.

However, there is also an accompanying, detached, process of reflecting after the event that usually occurs in a more tranquil environment than that pertaining during the work itself and this was referred to by Schön (1987) as the ability to "reflect on action" (p26) and viewed as the key to defining a professional. In my case, I have a professional role within the University of Eagleton "embedded in [my] work context" (Gunter 2014, p25) leading to my role being characterised as a 'researching professional' (*cf.* Gunter *et al* 2014b, Gunter 2013). Jarvis (1992) argued that such an approach leads to transformational learning on behalf of the practitioner because "it is the process of turning thoughtful practice into a potential learning situation" (p178). However, Lynch (2000) cautioned that the use of the techniques of reflection offer no advantage to the researcher unless something "interesting or revealing" (p42) comes from that reflective practice and of course in this research study the case was made in Chapter 5 that this is what the Q sorts would generate through the factor analysis where reflection is naturally embedded in the analytical process. In this section I will therefore elucidate the learning points from my journey through this research project.

The project reported in this thesis, originated from my professional engagement and involvement with the two technologies at the heart of the study; workload and performance management of academic staff. I initially came to these technologies in 2001 when, as a Head of Department, I had to design and implement a system for attributing workload to academic staff at the local level (*cf.* Burgess 1996) and operationalise a system of centrally mandated staff appraisal (a form of performance management). I have already discussed the way in which my professional role changed throughout this project, but my aim was to undertake

research that would have a bearing on future practice within the post-92 HE sector, and more widely if possible, particularly in the arena of workload management and building on my previous work (*cf.* Graham 2016, Graham 2015a, Graham 2013a, Graham 2013b, Graham 2012). During the empirical phase of the research when I was undertaking the Q sorts with staff at Eagleton I was conscious of almost being an active participant in the very subjects under investigation and I was acutely aware of the fact that qualitative research is affected by positionality of the researcher because their "position as an insider in the research, will naturally influence the way the research is undertaken and influence results" Gazdula (2017, p2). Therefore, the positionality of the researcher and the influences associated with that positon, cannot be completely eradicated from the research study; but the positionality and influences can be acknowledged and managed through robust design and the peer review of that design (for example, my thesis project was subjected to a School of Education review panel that included a progression paper, presentation and questioning). Honesty and integrity derive from the acknowledgement of the researcher's positionality which is important in yielding a research design that is both transparent and stands up to peer review.

Gazdula (2017) asserted that all social research is naturally "entwined with the researchers own … values" (p1) and, while this was in relation to case studies and ethnographic studies, some of the concerns do have resonance with this project; particularly the issues of "fluid researcher" (Thomson and Gunter 2011, p25) positionality. The effects of positionality of the researcher could be magnified in projects where the research is within the influence of the 'researching

professional', as in this project, and this was foremost in my mind when I was designing the research project and influenced my choices in relation to Q methodology so that I could have more of an 'outsider' perspective. Q methodology is ideal for an "dealing with discourse and text… [in] …the critical social disciplines" (Stainton-Rogers 1995, p178) and Watts and Stenner (2012) suggest that the "perceptions, experiences and viewpoints of particular individuals should be understood" (p41) in socially critical research; Q methodology is therefore well placed to capture these perceptions.

Smyth and Shacklock (1998) suggested three aspects that socially critical research can address, each of which has a match with the aims of this research project; studying groups who do not have the authority to speak out on an issue (certainly the case with academic staff at the University of Eagleton in relation to workload and performance management), "locating meaning in broader social … and political spheres" (p4) (the discussion around NPM in Chapters 4 and 7) and "developing themes … from data" (p4) (which is the essence of the factor analysis in Chapter 6). Therefore, socially critical research agendas such as those underpinning the aims and research questions of this project, make demands where the Q methodology and methods are appropriate, particularly by seeking to explain aspects of the social environment in which academic staff operate within the University of Eagleton (Burrell and Morgan 1979).

It was clear to me from the outset of this project that my position as both researcher and professional manager was problematic in terms of both my position as a researcher seeking to be objective and a professional manager

within the University of Eagleton, and I have problematised this matter of positionality throughout the thesis as well as in this chapter. Notwithstanding the concerns of positionality when working with peers, Platt (1981) usefully identified that working with peers can take advantage of "rapport" (p84) that may yield information that would not otherwise come to light under more impersonal situations for example with a purely 'outsider' researcher. The inherent trust between researcher and peers in such a situation means that ethical considerations cannot be absolute but should be examined on a risk-benefit basis to both parties (Platt 1981) as discussed in Chapter 5.

One of the attractions of using a Q sort is that it is impossible to predict the outcomes of the factor analysis that ensues and so this gives an element of objectivization at the data gathering stage. This supported my position as an 'outsider-insider' researcher which gave me the necessary 'distance' between my role as a senior manager in the University and those participating because, as discussed in Chapter 5, it gave participants assurances about the anonymity of their 'voice' in the data analysis and made it virtually impossible for me to influence the participant's own Q sort. However, I was aware that the selection of the statements to use on the Q 'tiles' was where personal impartiality could be questioned and a robust process was followed (see section 5.4 in Chapter 5 and Appendix 5) to ensure that they were not simply personal constructs of my own but instead were based on items from the literature review and prior small-scale research with Academic Managers (Graham 2016).

Of course, the factor analysis provided another potential opportunity for personal values to influence the construction of the factor statements, especially when deciding on the statements to include in the 'middle ground' (as explained in section 5.5.3). To reduce the subjectivity at this stage, I used the consensus statement list generated by PQMethod and a protocol established via "crib sheets" (Watts and Stenner 2012, p150) for examining these statements (see Chapter 5, section 5.5.3). The summary factor statements were drawn up in a similarly robust manner to ensure that the meaning was not distorted. It was through this process that the factor statements resulted from the "sorting activity of participants" (Stainton-Roger 1995, p191) and not from personal constructs of the researcher. Similarly, the 'at a glance' comparisons in Figure 21 (see Chapter 6) of the key perceptual information from the factor analysis related to the NPM Framework, was constructed such that no new nuances were introduced by the researcher.

Research that is socially critical in nature is characterised by the way in which the outcomes of the research are used to challenge existing practice (Tripp 1992) through explicit analysis of a problem or situation (Anyon 2009), unlike structural-functional research that tends to account for processes that maintain the *status quo* rather than identifying transformations (Cox 1980). Cox (1981) went on to argue that one of the advantages of socially critical research was that it did not take institutions or power and social relationships at face value but instead, questioned the nature of these relationships and examined the processes of change that may be affecting them. Through this approach socially critical research takes a particular element of human activity as its starting point which, in this research project, is that concerned with the ways that academic staff are

managed with regard to their workload and performance in their role. Therefore, a socially critical approach may lead to "the construction of a larger picture … and seeks to understand the processes of change" (Cox 1981, p129) thereby "extend[ing] the analytical, critical … power of our data gathering" (Anyon 2009, p2). In this research project the socially critical approach was aimed at understanding the values that are held by participants in the research, in this case the academic staff at the University of Eagleton, whilst acknowledging that knowledge itself is socially constructed, existing in context rather than being absolute (see Figure 4).

The epistemological position for this research project (discussed in Chapter 5 and underpinning Chapters 6 and 7) was founded on social constructionism where research enquiry is focused on processes and the social interactions that ensue (Young and Collin 2004) which directly links to a socially critical approach to research. The dichotomy identified in the projects reported in the literature as discussed in Chapter 3 (*cf*. Graham 2015a) highlights the lack of knowledge around the interface between workload and performance management systems in use within HE. Reflecting on this knowledge gap, I decided that there was potential to undertake a research project that would illuminate the academic staff perceptions of the two management technologies involved to address the paucity of knowledge around the interface between workload and performance management. Given the nature of a professional doctorate and the requirements of the Doctor in Education programme at the University of Manchester, this research set out to contribute data and meaning that could impact productively on the development of management practices in these areas by providing

recommendations for change, thereby providing a direct link with socially critical research as the vehicle for achieving this outcome. After all, the outcomes of socially critical research are designed to develop new knowledge and to challenge current practice in order that new ideas are taken forward or recommendations can be made to "guide the strategic action for bringing about an alternative order" (Cox 1981, p130).

8.6 Research contributions

Following on from the summary of the contributions and findings, the reflections about those contributions and reflecting on my role, the final stage of this chapter will examine areas that have emerged that would benefit from further research to provide an ongoing trajectory for this project. From the factor analysis, there were further areas of research identified into aspects that were not central to this study, providing new lines of enquiry that may further illuminate the role of NPM in contemporary HE.

The immediate concern should be with a study to examine in more detail why staff feel that performance and workload management processes are ineffective and are not having a positive impact on the student experience or quality of teaching. The findings from this study contrast with the findings of Barrett and Barrett (2007) who found that the student experience was improved when workload management models were implemented, and so clearly, identification of the causes of these perceptions would provide an evidence base for the evolution of the workload and performance systems. Allied to this should be further work on establishing greater

detail in the perceptions surrounding lack of linkages between the two management technologies such that there is a stronger evidence base for refining the technologies, particularly with a focus on ensuring systemic linkages that are 'designed in' from the outset.

The overwhelming level of negativity from the staff that is leading to low morale needs to be explored in order to establish why there is such dissatisfaction (Fredman and Doughney 2012) with the managerialist approaches that are evident through the confirmation of the NPM Framework as being useful to bring meaning to the perceptions of staff at the University of Eagleton. This study should also aim to give a full insight into staff empowerment, autonomy and teamwork since the perceptions of academic staff show that they have been impacted negatively and they were not the central focus of this study. It would be useful to ascertain the roles played by academic managers in affecting the perceptions of these issues which is important to understanding the way in which service delivery by the academic staff is being affected.

A universal study across the whole of higher education in the UK has been identified in relation to the workloads of male and female staff. The literature review raised the speculation from Deem (1998) that there may be an inequitable distribution of work across male and female staff for a variety of reasons; *inter alia*, the relative newness of female staff to the academy, female staff perceived as being better at pastoral work and increased committee work for female staff. The findings from the factor analysis at the University of Eagleton do not however support this speculation and so it would be interesting to conduct such a larger

scale study across the sector to establish the actual situation for male and female academic staff.

Finally, the repetition of this study longitudinally across post and pre-92 universities, as discussed above, would provide a richness of data over time from the factors that would be extracted. This is especially true of an 'insider' undertaking the research within those institutions since it would allow for "privileged information" (Thomson and Gunter 2011, p9) to be used to guide the construction of Q sort statements that would be relevant in the context being researched. The 'outsider' detachment would be maintained through the Q methodology itself as described earlier in this chapter. The positioning of the researcher as an 'outsider-insider' is both crucial and valuable when the issue of workload and performance management is the focus because of their strategic concern to universities in the current financially constrained operating climate, as well as to the staff involved. Conclusions could then be drawn about workload and performance management across higher education because of the "schematically reliable character of Q study results produced from different probes of the same subjective phenomenon" (Thomas and Baas 1992, p19). Such is the power of the Q method in eliciting data in an efficient manner that allows for reflections to be made on the management practices in UK higher education in relation to the critical aspects of workload and performance management.

Appendices

Appendix 1

The University of Eagleton's Workload Allocation Guidance and Framework 2012

Guidance - Workload Allocation Planning

Note – This document should be read in conjunction with the Framework Workload Allocation Planning, the clauses relating to workload, annual leave and research and scholarly activity in ▮▮▮▮▮▮▮▮▮▮▮▮▮ Academic Handbook and the Terms and Conditions of Employment for Academic Staff

1 Objectives

1.1 The Academic Workload planning process is intended to provide a structure and a set of clear guidelines which will enable an equitable, transparent and consistent approach to the allocation and management of academic staff workloads within Academic Groups and across the University. In developing the process sector norms have been used to inform this guidance document and the parameters herein.

1.2 The key objectives of the Process are:

To assist Divisions and Academic Groups to plan and monitor workloads in a way that is sufficiently dynamic to cope with the changing needs of academic programmes and business development initiatives;
To enable the distribution of workload to be carried out locally in a way which takes account of differing circumstances and values activities in an appropriate way;
To ensure academic staff are allocated a reasonable individual workload, by ensuring the equitable and transparent distribution of work in line with the academic staff contract and handbook; To recognise the professional contribution academic staff make to the University by ensuring that the workload planning mechanism supports the full range of academic duties, continuing professional development and professional practice.

2 Workload Principles

2.1 The context within which academic staff workload planning is carried out includes the University's Strategic Plan and supporting strategies, the Academic Group and Divisional Plans, agreed Professional Development Plan, the Academic Staff Contract and the ▮▮▮▮▮▮▮▮▮▮ Academic Handbook.

2.2 The workload planning process covers the totality of what is expected of each member of academic staff. These are, principally: teaching (on and off campus); research, reach-out, student support; curriculum development;

leadership, management and administrative duties (including University-level and agreed external activity); external academic commitments, agreed staff development activity (including studying for appropriate awards such as a research degree or teaching qualification); and agreed strategic development activities.

2.3 The proportion of time a member of academic staff should devote to any of these activities is a matter for professional judgment bearing in mind the needs of both the individual and the institution.

2.4 There should be a transparent, fair and equitable allocation of workloads which takes into account the totality of the workload across the profile of activities expected of every member of academic staff.

2.5 The University is committed to achieving high standards in academic work and to continuous improvement in academic quality. This includes:
> Improving student retention, progression and completion rates;
- High student satisfaction and good customer service
- The quality and timeliness of academic programmes at all levels (FD through to
- PhD) including external examiner opinions;
- High quality research outputs that are REF eligible and good levels of external funding from various sources for research.

2.6 In line with academic governance principles it is important that all activities within the workload are in line with University, Division and Academic Group plans and policies and that the workload is within the context of the professional and ethical standards expected of staff.

2.7 Division and Academic Group Plans should be drafted and provided to staff and, where possible, individual workloads should be drafted at the start of the PDP round. This will allow a review of the workload and any staff development needs, within the PDP.

2.8 It is important to recognise the need to balance the needs of individual members of staff and the changing requirements of the University and the Divisions. It is essential to maintain an ongoing review of the situation so as to adjust to changing circumstances and to deal with any difficulties which may occur. This commitment to flexibility by staff, the Division and the University is a key component of the workload planning process as it ensures that the needs

of students, staff and external clients can be met appropriately as circumstances change, as they inevitably will, during the year. Any changes to workloads will be made following discussion and consultation with the individual.

2.9 In line with the University's commitment to work life balance, and in recognising that some staff have responsibilities as carers, consideration should be given to these factors, where possible, when assembling academic staff timetables.

2.10 In assessing a reasonable workload for an individual, the number and distribution of consecutive formal scheduled teaching hours being undertaken

in any one day should be taken into account, ensuring staff can take necessary breaks within normal meal time patterns.

2.11 If any member of staff wishes to object to the workload allocated to them they should pursue this under the University's Grievance Procedure.

3   Workload Allocation Guidelines

3.1 The workload allocation guidelines provide a structure for the range of activities into six areas whilst recognising the relevant provisions contained within the academic staff contract (as set out in the Contract of Employment for Academic Staff and the Academic Handbook).

3.2 The following aspects of the contract are important to consider in understanding the parameters of any individual workload:

3.2.1 **The Working Year**. Full Time academic staff are contracted for the whole year and the Academic Handbook sets out that the working year as made up of the Teaching Year, Holidays, Research and Scholarly Activity. Academic staff are expected to work such hours as are reasonably necessary in order to fulfill the duties and responsibilities of their role. The full time equivalent of 37 hours per week is used for nominal purposes only.

3.2.2 The individual's **teaching year** (which may be different weeks of the year for different areas of the University's work) should not normally total more than 38 weeks (including 2 weeks of teaching-related administration).

3.2.3 **Total Available Working Time**. The allocation of activity to an individual member of staff is based on the total available working time. The individual's duties are a balance of activities, including research and reach-out, which should be integrated into the overall pattern of activity.

The following table shows the total number of hours available for work per year (based on a full time equivalent contract) from which the contractual entitlement for annual leave and statutory and public holidays has been deducted.

Teaching Year	38 weeks x 37 hours = 1406 hours
Scholarly Activity	154 hours

3.2.4 The total number of available working hours for staff on fractional contracts is calculated on a pro- rata basis.

3.3 The following is an indicative list of the kinds of activities that academic staff are involved:

3.3.1 <u>Formal Scheduled Teaching</u>. Formal Scheduled Teaching is specifically identified within the Academic Handbook. It is considered to be the direct delivery of teaching (i.e. lectures, seminars, academic tutorials) and supervision of students. The allocation of work within this element should take into account the following:

- an individual lecturer may normally expect to have formal scheduled teaching responsibilities for students within a band of 14 to 18 hours a week on average over the anticipated teaching year of the lecturer;
- formal scheduled teaching responsibilities should not exceed 18 hours in any week or a total of 550 hours in the teaching year; and
- the above provisions need not necessarily apply in practice based and professional disciplines.

3.3.2 <u>Teaching Delivery Related Activity</u>. This covers unscheduled work that is directly related to the delivery of formal scheduled teaching, such as preparation, assessment, and marking and is determined in accordance with the requirements of the teaching to which it relates and Faculty specific requirements.

3.3.3 <u>Academic Leadership, Management and Administration</u>. This element covers work associated with the leadership, management and administration of academic activity. Examples include programme leadership, Division/Academic Group-wide responsibilities and recognised trade union duties.

3.3.4 <u>Widening Participation, Reach out, Consultancy and Business Development.</u> This covers activity associated with reach out, consultancy and business development.

3.3.5 <u>Research Activity</u>. This includes Research which is publicly or non-publicly funded and that which is externally funded or internally supported. The

University defines research as "original investigative or creative work, or critical study of existing work or data, and its communication through publication or presentation or public exhibition". Such work would normally be expected to be eligible for submission to the REF.

3.3.6 <u>Scholarly Activity.</u> The University's definition of scholarly activity is production of books, contribution to books, articles, conference papers, creative and original work in all media, professional updating and personal academic development.

As the contract specifies this element as being the balance of the working year this is calculated as 1560 (total hours available) less 1406 (38 weeks@37 hours) = 154 hours.

Scholarly Activity is expected to be in line with the individual's agreed personal plan. The time is to be taken in weeks rather than days (but not necessarily as a block). Whilst the individual is accountable for the use of, and the impact of the outputs from, this time, the activity is principally self- managed.

3.3.7<u>Academic Group Specific Responsibilities</u>. This covers the allocation of responsibilities that are likely to be exclusive to the Academic Group for example field trips or design shows.

3.4 Flexibility to accommodate changes and developments during the year is expected in order to manage commitments in response to for example illness, resignations, new appointments, new agreed strategic developments, research and other contracts awarded, changes in student numbers and other relevant circumstances. Changes in workload will always be discussed with the individual.

# 4	Using the Framework (see Workload Allocation Planning Framework document)

4.1 The development of a Framework is intended to allow the Academic Group Leaders and line managers an appropriate degree of flexibility in managing the deployment of staff, taking local circumstances into account. It is necessary, however, to ensure that the activity within certain workload elements is derived using a clear and specific formula.

4.2 The calculation and allocation of Formal Scheduled Teaching and Teaching Delivery Related Activity must be carried out in accordance with the guidance set out in the **Workload Allocation Planning Framework document.**

4.3 Duties which fall into academic leadership, management and administration, reach out, consultancy, business development and Divisional/Academic Group specific elements demonstrate the range of factors likely to be considered when determining individual workloads. It will be important to consider the impact of the particular mix of activities for each individual.

4.4 A degree of commonality in the allocations is expected however it is important to recognise the differences in Division and Academic Group structures and needs which exist across the University in relation to what appear to be similar roles and activities. Each Division/Academic Group will be required to be in a position where it can provide a sound rationale for such variations and report on the tariff of allocations used.

4.5 To meet the transparency requirements of the process in a way in which the information can be analysed and considered in a common, identifiable format a Web based application has been developed which line managers will be asked to use.

4.6 It is anticipated that the process and application will be received by the Corporate Management Group on an annual basis. A summary of the review will be provided to UCU.

5   Implementation
5.1 The guidance and framework will be introduced formally from September 2012 although it will be used to capture the workload allocation during the academic session 2011/12 to capture the workload.

Framework – Workload Allocation Planning

Note – This document should be read in conjunction with the Guidance - Workload Allocation Planning, the clauses relating to workload, annual leave and research and scholarly activity in The ▉▉▉▉▉▉▉▉ Academic Handbook and the Terms and Conditions of Employment for Academic Staff.

A	Total hours in working year	1560 hours per year
B	Formal Scheduled Teaching	Maximum of 550 hours per year
C	Teaching Delivery Related Activity	Maximum of 330 hours per year
D	Scholarly Activity	Maximum of 154 hours per year
E	Academic leadership, Management, Administration, Research, Reach Out, Other Academic Groups Specific Activity	Minimum of 526 hours per year $E = A - (B+C+D)$

Indicative List of Activities for Academic Workload Planning to be considered during PDP

Annual available working time is 1660						
Formal Scheduled Teaching As specified in contract as follows: (all included within KIS)	**Teaching Delivery Related Activity**	**Academic Leadership, Management and Administration**	**Widening Participation, Reach Out, Consultancy and Business Development**	**Research**	**Other Faculty Specific**	**Scholarly Activity**
• Lectures • Seminars • Tutorials including placement tutorials • Scheduled teaching on residential courses, including field trips • Teaching in labs, studios, workshops and other specialist rooms • Scheduled Supervision and scheduled contact with research students • Scheduled supervision and scheduled contact with students on project work • Scheduled work based learning activities • Other timetabled student contact (e.g. web-based)	• Preparation for teaching duties including allowances for first time delivery of a module, large groups on module (based on assessment demand) and staff new to HE. • Assessment	• Programme leadership QA Activities including completion of PQEPs, DARs, SASERs • Membership of Boards of Studies and Examiners • Invigilation • Personal guidance duties • Gradual ongoing development of teaching and learning methods • Personal subject updating related to the teaching duties • General administration relating to the teaching duties Faculty wide responsibilities • University wide responsibilities; • Recognised Trade Union duties • Admissions related activities including admissions interviews • Approved external responsibilities • Project Co-ordination • Work Placement Co-ordination • Specialist Careers advice • Specialist lab resource consultancy • Mentoring of PgCTLHE course member • New to HE staff member support • Link Tutor	Developing new income streams • Subject and curriculum development • Consultancy • Recruitment activity • Placements development • Funded reach out projects • Attending non-teaching events overseas eg graduation ceremony • KTPs • Widening participation activity	• Publicly and non-publicly funded research with outputs that are eligible for REF • Studying for a PhD	At discretion of Faculty but must be clearly quantifiable eg overseas teaching including ▬	Scholarly activity includes: Upgrading qualifications, fulfilling CPD requirements; Working towards HEA membership; External examining; Membership of subject networks/ committee; Internal/external validation/ review panel membership; External reviewer/auditor; The production of books; Contributions to books articles and conference papers; Creative and original work in all media; Professional updating; Personal academic development New to HE staff member undertaking PgCTLHE

Allocations in relation to particular activities

For every hour of direct teaching an allocation of 0.6 of an hour will be given for preparation, assessment and pastoral guidance. The ▮▮▮▮ will have scope to vary this allocation up to a maximum of 1.2 hours for every hour of direct teaching taking into account factors such as:
- Unusually high numbers of students registered on a module
- The relative experience and/or expertise of the member of staff delivering the module
- Additional workload demands on module tutors pertaining to the "bedding in" of new modules during the first year of delivery

The following allocations are to be used for guidance purposes. However, reasons for allocations being outside of these tolerances may need to be justified to achieve a reasonable level of transparency across faculties and the University.

	Activity	Allocated Hours	Comment
Included within 550 hours	Personal Tutor	Max 48	Per group of tutees – determined by year of study and number of tutees. These should be scheduled sessions so that they are included within the KIS
	Module Teaching Large Group Allocation	+30% for each multiple of 30	This applies to specific operational areas and is dependent on the demands placed on staff by particular assessment methods.
	UG/MSc Dissertation Supervision	10	Per student. Scheduled time slot is required so that they are included within the KIS
	Work Placement Assessor	1 – 2	per student determined by type of visit, distance and number of students visited at one location
	New to HE staff member	100	In first semester of employment
Not included within 550 hours	Programme Leader	50 per programme to a maximum of 200 for 4 programmes	The allocation encompasses all programmes for which the individual is responsible. One individual would provide programme leadership for four programmes in exceptional circumstances only.
	Undertaking PgCTLHE	42 [1]	Per semester of study
	MPhil/PhD Supervision/Thesis	78 [1]	Per student allocated for distribution across the supervisory team
	Research Tariff A 0.4 fte (Allocations will be based on TAS categories)	620	Substantial research activity and on track for REF submission, likely to have associated research management responsibilities and external research-related responsibilities, significant writing commitments and successful funding applications
	Research Tariff B 0.3 fte (Allocations will be based on TAS categories)	464	On track for REF submission, significant writing commitments and successful funding applications but unlikely to have management responsibilities
	Research Tariff C 0.2 fte (Allocations will be based on TAS categories)	310	On track for REF submission and some funding applications
	Research Tariff D (Allocations will be based on TAS categories)	141	The basic level of allocation for teaching related research activity with an expectation that outcomes will be eligible for REF submission

[1] See "PROPOSALS FOR UNIVERSITY MINIMUM WORKLOAD ALLOCATIONS FOR THE SUPERVISION OF POSTGRADUATE RESEARCH STUDENTS"

Note: Exceptional or emergency situations which informed greater teaching remission will be dealt with on an exceptional basis outside the provisions of the standard framework.

July 2012

Schedule for ██████████ **Teaching and/or Teaching Support Activities using Flying Faculty ('Allowance')**

The Schedule is valid from 1st August 2012.

Principle:

- The Schedule will apply to staff undertaking ██████████ teaching and/or teaching support activities.

Schedule:

- Expenses:
  Expenses will only normally be paid against receipts. Line managers will be responsible for monitoring and approving expense forms.

- Teaching Hours:
  Teaching Hours, as agreed with the relevant line manager, will be set against the agreed contracted 550 hrs of teaching duties for the relevant full time permanent member of staff as outlined in Table A in line with the main University Agreement. It should be noted that 550 hours is the maximum and all endeavours will be taken to ensure equity across the University.

- Workload:
  In assessing and agreeing a reasonable workload for an individual, the number and distribution of consecutive formal scheduled teaching hours being undertaken in any one day should be taken into account, ensuring staff can take necessary breaks within normal meal time patterns. Workload planning also needs to consider ██████████ delivery where travel and recovery time after long journeys has to be factored into the total workload of 1560 hours. The full workload scale of 1560 hours will be used in line with the academic contract for allocation of other duties such as Link Tutor, Programme Leader, Examinations Coordinator etc.

Table A: ████████ **Teaching Activities: Allowance against 550 hours**

S.No	Activity Description	Load 1: UoB UK Allowance (B)	Overseas ████████ Teaching Allowances (Rounded up)		
			Load 2: With NO Local Tutor Support (N) N =B (100%)	Load 3: With Minimum Level Local Tutor Support (M) M = 0.75 x B (75%)	Load 4: With Substantial Level Local Tutor Support (S) S = 0.60 x B (60%)
A1	Undergraduate Module - 20 Credits - Per Cohort[*1]	40	40	30	24
A2	Postgraduate Module - 20 Credits - Per Cohort[*1]	40	40	30	24
A3	Undergraduate Dissertation (e.g. BA BM) Supervision - 40 Credits - per student	10	10	8	6
A4	MBA - Dissertation supervision - 40 credits - per student	10	10	8	6
A5	Postgraduate Dissertation (e.g. MSc SCM) supervision - 60 credits - per student	10	10	8	6

* Notes	
N1	Cohort size – please refer to main document

Specification for ▇▇▇▇▇ Delivery

The Module Leader is to ensure that the following are completed for the activities A1 – A5 (detailed in Table A above):

1. Full marking and feedback of all formative and summative assessments for the whole of the cohort. For Load 3 and Load 4 allowances, it is expected that Local Tutors at partner institutions will undertake the majority of first marking work but under the guidance and monitoring of the Module Leader.

2. Generation of all formative and summative assessments including examination papers. Again for Load 3 and Load 4 allowances it is expected that the Local Tutor at partner institutions will assist in delivering and contextualising the majority of assessments.

3. Full internal moderation of all summative assessments using the procedures and processes as defined by UoB.

4. External moderation of all summative assessments via Link Tutor or Programme Leader.

5. Assisting the Local Tutor in obtaining Module Feedback.

6. Completing and submitting the Module Evaluation Report.

7. Supplying the relevant summative assessment marks for consideration at the examination boards.

8. Attending the relevant examination boards to present the module marks.

9. Generating, administering and marking refer, defer and retake work.

10. Complying with internal and external moderation process of refer, defer and retake assessments.

11. Attending relevant course team and course committee meetings.

12. Attending relevant refer or re-sit examination boards.

Appendix 2
Updated WLA Guidance for 2015

<u>**Work Load Allocation (WLA) model**</u>
<u>**Proposed changes: 03 September 2015**</u>

The Work Load Allocation (WLA) model is enhanced to simplify its communication and implementation across the University. Based on an in-depth analysis and discussions with all Heads of Schools, a number of refinements are included to support the ▮▮ agenda, clarify the arrangements, and enable the complete implementation of WLA model across the University.

1. Module Teaching (Proposed hours – within 550 contact hours i.e. above the line):
- a)   Foundation years (Level-3)   : 90 Hours Per Module (67.5 Teaching and 22.5 Hrs. Intensive Support)
- b)   UG Year 1 modules (Level-4)   : 67.5 Hours per Module
- c)   UG Years 2 and 3 (Level 5 and 6): 45 or 67.5 per modules (based on practical elements and module specs)
- d)   PG   : 45 or 67.5 per modules (based on module specifications)

6   2. Module Teaching - additional hours allocation for large groups
- a)   Additional hours to be allocated or used in exceptional circumstances by the Heads of Schools. Each school to produce a list of such exceptions at the start of the academic year for prior and formal approval by the ▮▮▮▮.
- b)   In case of large classes, the above additional time allocation can be considered for marking rather than for teaching.

7   3. Undergraduate Dissertation Supervision
- a)   8 to 10 hours for 20 credits; and 16 to 20 hours for 40 credits
      (Based on the programme specifications and module descriptors)

- b)   The above time allocation is for the actual students contact time and **not** for staff time
      (For example, if a 40 credit project involves 10 hours of class contact and 10 hours of individual contact time, then the academic staff member will be allocated 10 hours for the whole group of students plus 10 hours for each student supervised)

- c)   Areas where course/module descriptors have 20 hours per student dissertation supervision will be reviewed by the Heads of Schools. Module descriptors may need amending through minor mods where necessary.

8 4. Postgraduate Dissertation Supervision

a)   10-20 hours per student based on the number of credits

b)   Time allocated as per module descriptor (as above).

9 5. Work placements

a) 1 or 2 hours of staff time for courses where work placement involves an assessed observation (Subject to module specifications)

10 6. PhD Supervision

a)   Director of Studies: Total 40 hours per full time PhD student per year. 24 hours allocated above the line (i.e. in 550 hours) and 16 hours to be allocated below the line.

b)   2nd supervisor: 6 Hours above the line and 4 Hours below the line, per full time PhD student per year. c) Allocations are per full Academic year

d)   Pro-rata (based on the above) for part-time PhD students. For example, Director of Studies will be allocated 12 Hours per part-time PhD student per year above the line plus 8 Hours below the line.

e)   The allocations apply for 3 years for a full time student and 6 years for part-time students. (any exceptions should be formally approved by Head of School)

7. New Academic staff members (without HE experience): Induction Allowance

a)   100 hours for the 1st full academic year only.

11 8. Programme Leadership

a)   Heads of Schools will allocate time below the line for the programme leaders

b)   Heads of Schools to reduce the relative teaching load of the Programme Leaders (from the 550 hours) to enable successful course delivery and management (teaching, retention, student engagement etc.). The reduction of teaching load and allocation of time below the line should be based on the following key criteria;

       a.   Number of UG and PG courses led by an academic staff member

       b.   Student numbers on each programme

       c.   Nature of the courses such as complexity, similarity and pathways

c)   Head of School to adjust the teaching loads of the Programme Leaders accordingly based on the above guidelines.

d)   Teaching load adjustment of the programme leaders should take into account efficiencies in leading similar programmes. For example, where a programme runs with a Foundation Degree, HND and Degree or where pathways run within a programme example SfL life Literacy, Numeracy and TLAN programmes.

12 9. Link tutors

a)   22 hours maximum per programme including multiple centres. This to be allocated above the line. b)   20 hours to be allocated below the line.

c)   ▮▮▮▮▮▮▮ to allocate hours for Academic Partnership Managers based on the strategic nature, size and complexity of the partnerships.

d)   Additional hours to be allocated or used in exceptional circumstances by the ▮▮▮▮▮▮▮ (e.g. a partnership programme with large number of students). A list of any such exceptions should be produced by the ▮▮▮▮▮▮ at the start of the academic year for prior and formal approval by the ▮▮▮▮

13 10. Research Projects

a)   Delete the current four categories.

b)   Introduce 3 new categories (Allocations below the line)

    a)   Research Degree – Max 5 years   = 80 hours per year

    b)   Research active - non-funded   =   150-300   hours maximum

    c)   Research active - externally funded*   =   300-550   hours Maximum

c)   * Academic staff delivering externally funded research contracts can be allocated some hours above the line, in line with funding allocation and bid proposals. To be agreed with HoS.

A GUIDE TO

ACADEMIC PERFORMANCE REVIEW

2015/16

Introduction

The University's strategic plan 2015 – 2020 sets out our ███████████████ ███████████ agenda. The fundamental principle of this approach is to provide high quality intensive teaching and individualised support to our Undergraduate (UG) and Postgraduate (PG) students across the academic disciplines of the University. The ████████ teaching will be sustained by rigorous research that informs both the content and delivery of the curriculum. The ███ strategy places the students at the centre of "everything we do" in the institution, and aims to develop distinctive academic strengths and competitive advantage in the sector. The core purpose of the strategy is to provide excellent teaching and unparalleled learning experience to our students. This involves developing ██████████████████ in a focussed set of academic disciplines in which the University will be a leading provider of Undergraduate and Postgraduate courses. These courses will be market relevant attracting critical mass of high quality students from across the UK and internationally, and produce highly employable graduates.

Enabling academic colleagues to achieve high standards of performance is fundamental to deliver the ████ agenda and enhance overall student learning experience. Therefore, it is crucial to have a system that links performance to agreed objectives within the ████ agenda supported through appropriate staff development. This will also include introduction of progression routes for academic staff in the form of Teaching Professorships and Associate Teaching Professorships.

The academic performance review process has been updated to reflect this and is designed to provide academic colleagues an opportunity to be clear about their contribution to ████ agenda in their School, how effectively they are performing but also consider relevant career plans. In essence the Academic Performance Review is a crucial component of the University HR strategy – to develop a culture of individual and collective performance - and provides a University wide framework for effective and positive performance management.

It is envisaged that the update process will facilitate the following; enhance organisational performance and the student experience, ensure a consistent approach across the Schools, provide for a framework to supplement regularly meetings between academic colleagues and their academic line manager's and focus on objectives / targets aligned to achieving the ████ agenda.

The updated Performance Review process can only succeed if academic colleagues understand the process and participate annually. This guide is designed to assist both the Reviewer (usually the Head of School / ██████████████) and the Reviewee to understand and get the best out of the process.

Principles and Key Features

- Process is owned by both the Reviewer and Reviewee and will be based on a two-way constructive and positive discussion.
- It will be fairly and consistently applied to all academic colleagues.
- The process will link to the University's strategic priorities and other academic planning processes such as School annual plans and Workload Allocation Model.
- All academic employees are entitled to a Performance Review meeting.
- The Head of School ███████ will store an electronic copy of the completed Performance Review form as a record of the meeting.
- The process is based on an annual, structured but informal meeting with a six month mid year progress meeting.
- The process covers a review and feedback on last years performance against key measurables, the setting of 'SMART' objectives/targets and personal and career development plans.
- The Performance Review discussion will be evidence-based and there will be a significant element of self assessment.
- Performance is assessed on the achievement of objectives.
- A summary of training and development needs will be reviewed by the Head of School / ██████ and ████████████████.
- University-wide timetable for Performance Review is November to December (although it is noted that in 2015/16 the timetable is February to April).
- The process will supplement other one-to-one meetings.
- Although Academic Performance Review is not directly linked to processes which determine promotion/progression evidence collected as part of Academic Performance Review may help in preparing other submissions.
- ██████ annual report to Executive Board on completion of Performance Review in Schools.

Benefits to Academic Employees and Heads of Schools

Positive engagement in the Academic Performance Review process should bring benefits not just to the Reviewer and the Reviewee but also the School team as a whole – to include students. However the benefits to academic employees and Heads of School are summarised below;

Academic Employee (Reviewee)

- Understand how your contribution fits in with the School plans and the ████ agenda
- Understand what is expected of you
- Feedback on your performance and setting clear objectives / targets Recognition for success and good performance
- Opportunity to discuss development needs and discuss career plans
- An evidence based, honest two way discussion

Heads of School / ▮▮▮ *(Reviewer)*

- Comprehensive, robust process for examining all areas of academic contribution linked to the ▮ agenda
- Two way discussion
- Helps to build relationships with academic colleagues
- Clear process for determining objectives / targets and ensuring commitment and accountability for meeting agreed objectives / targets
- An opportunity to recognise high performers and identification of talent (as part of an on-going process) and those who require further support
- An opportunity to determine overall departmental gaps and development needs.
- A framework for evaluating workloads and how this might fit with the separate Workload Allocation Model

Roles and Responsibilities

Academic Employee (Reviewee)

- To cooperate fully and engage with the Academic Performance Review process
- Prepare for the Performance Review and ensure relevant evidence obtained
- Reflect on successes last period and those areas where things could have been better
- Give thought to future objectives / targets
- Actively engage with the Head of School / ▮▮▮ during the process – in their discussion regarding to performance, objectives / targets, career pans and development needs
- Accept constructive feedback on performance where it is justified and objective
- Take ownership for ensuring form completed in a timely manner

Head of School / OFCD (Reviewer)

- Arrange and communicate date, time and location of review and any mid year follow-up review – allow for sufficient time and appropriate venue to be used
- Communicate clearly what they expect academic employees to achieve and how assessed
- Provide clear and regular feedback and make Academic Performance Review an on-going process
- Support colleagues in their development
- Prepare for the review
- Provide honest and objective feedback to academic employees based on evidence
- Support employees in achievement of their objectives
- Ask for feedback on their own performance
- Refocus objectives / targets inline with School plans and Workload Allocation Model
- Ensure reviews are completed and form stored electronically

Process – Conducting the Academic Performance Review

Preparation

Reviewer

To get make the most of the Performance Review process the Head of School / ▮▮▮ should agree a suitable date, time (between 1 and 1.5 hours) and location well in advance (suggest at least two weeks).

Heads of School / ▮▮▮ should also consider how well the Reviewee has performed and any achievements since the last Performance Review (reflecting on any factors that may have affected performance both within and outside the Reviewee's control), potential objectives for the current year and also potential aspirations.

Reviewee

The Reviewee should ensure that they have downloaded the Performance Review form.

Part One

The Reviewee should obtain all relevant evidence / data/information for each of the criteria listed in the Performance Review form (Teaching & Learning, Student Attendance, Retention and Achievement, Employability and Industry engagement, Research, CPD and Enterprise and School goals and targets and attach / embed this to the evidence section for each criterion.

Reviewees should conduct a self-evaluation exercise and provide comments on progress made in the previous reporting period in the progress box for each criterion.

Part Two

Reviewees should also consider, in light of the above, any University / School level plans what the objectives / areas of focus should be for the current reporting period and any key development needs to achieve these objectives / areas of focus.

It should be noted that Part One and Part Two of the form is designed to capture evidence of performance but also of enhancement / development (i.e. to reflect continuous improvement).

Part Three

Reviewees should also consider what, if any, future careers plans they may have over the next one to three years. This might cover academic qualifications, membership of and involvement in appropriate professional bodies and other appropriate external engagements.

The Reviewee should send a copy of the part completed Performance Review form to their Head of School no later than one week prior to the schedules meeting.

The Meeting

This is the heart of the Performance Review process and should be a positive and constructive experience. Therefore it is important that the meeting is held in an environment that is private and free from interruptions.

The Reviewee should do most of the talking and there should be scope for refection and analysis by the Reviewer. Performance for the full period under review should be discussed – not just recent or specific events.

Documentation and administration

Both the Reviewer and Reviewee should take ownership that the form is completed as a record of the meeting.

The Reviewee should ensure that he / she has provides comments in the Reviewee comments section

For each objective the Reviewer should complete each Reviewer comments section on the form and taking account of progress made, the level of the post-holder and select the most appropriate final outcome from the drop-down menu for each objective as outlined in the table below;

OUTCOME	DESCRIPTION
Excellent	Exceeds expectations in the majority of key areas
Good	Meets and / or exceeds expectations in key areas
Acceptable	Meets expectations in some but requires improvement in others to achieve an outcome of good
Unsatisfactory	Requires significant and urgent improvement

Both the Reviewer and Reviewee should retain copies of the final Performance Review form.

Mid Point Review

The Performance Review should not just be an annual meeting. It should be part of ongoing discussions between the Reviewer and Reviewee - recognising that situations may arise that affect priorities in the School and for the Reviewee.

The Mid Point Review provides for a more informal opportunity to take stock, review progress being made, identify any issues that might be affecting progress and any adjustments / contingency plans put in place that are required.

Appendix 1 of the Performance Review form provides for space for the parties to note progress and any other relevant comments during any Mid Point Review undertaken.

Setting Objectives

As part of the Academic Performance Review process objectives / targets are set for the academic year. These relate to the individual effort needed to create tangible results and should be readily measurable, relate to the School plans and be relevant for the individual being reviewed. Objectives should be defined to focus on the activities that represent the most important aspects of long-term, on-going performance.

The SMART acronym is a useful and effective way of getting objectives right:

Specific - objectives should state a desired outcome. What does the employee need to achieve? Is the objective / target clearly defined ?

Measurable - how will the Head of School and academic employee know when an objective has been achieved? It is clear what success is ?

Achievable - is the objective something the academic employee is capable of achieving but also challenging?

Relevant - do objectives relate to those of the programme, School / University? Are they important and add value ?

Timebound - when does the objective need to be achieved?

Career Planning

A vital component of the Academic Performance Review is the opportunity to have an annual consideration of your career plans. Academic employees are expected to be pro-active in managing their own careers and the career planning element of the process is an opportunity to have a tailored discussion according to the individual's career stage. Some may have a long-term career plan others may be satisfied with their current position

There are two career pathways at the University for academic employees:

i)   Academic (progression through Associate Lecturer, Lecturer, Senior Lecturer, Reader to Professor)

ii)   Academic Management (progression through Associate Lecturer, Lecturer, Senior Lecturer, Academic Group Co-ordinator to Head of School)

Following the strategic workshops and the ███████████ a new pathway is currently in development and the information obtained during the Performance Review process will help inform separate cases from Heads of School ████ for consideration by the University.

iii)   ████ (progression to Assistant Teaching Professor, Associate Teaching Professor and Teaching Professor).

The above potential career pathways are interchangeable and academic colleagues may move (lateral and/or upward) from one to another.

The University recognises the contributions of a diverse workforce. It believes that academic colleagues should, wherever possible, be permitted to continue working for as long as they wish to do so provided that they are making a full contribution to the University.   The University does not have an organisational retirement age for academic employees however it recognises that colleagues will wish to consider full / partial retirement plans for a number of reasons and in good time and it is reasonable for the Head of School / ████ to seek to understand the working intentions of employees towards the later stages of their careers in order to facilitate workforce planning and in respect of budgeting and other administrative considerations.

There should be realistic and honest reflection on career next steps – to include potential timescale (i.e. short term – within 12 months, medium term – 1 to 3 years, long term – 3 to 5 years), milestones, extent ready for such a move and any development or other support required. The parties should note, however, that there are no guarantees with respect to potential future opportunities.

Further Information

Performance Review Policy

ACAS - How to Manage Performance
http://www.acas.org.uk/media/pdf/m/0/How-to-manage-performance-advisorybooklet.pdf

Academic Performance Review Form

Frequently Asked Questions

Q. Is the updated Academic Performance Review process for those employees still within their probation period ?

A. Yes. Although academic colleagues still within their probationary period will have separate conversations with their Head of School / ▮ regarding progress, the updated Academic Performance Review process has been developed for all academic employees at the University and will supplement conversations being held relating to probation.

Q. Does the employee have to sign the Academic Performance Review form ?

A. No. Since the objective is to be helpful and constructive there is no requirement for the parties to sign the form. However, there is a requirement for agreed comments to be recorded on the form. The Head of School / ▮ will finalise the form and email a final copy to the Reviewee. Both parties should retain an electronic copy for the records.

Q. How does the Academic Performance Review process relate to the Workload Allocation Model ?

A. The Head of School / ▮ is responsible for developing and reviewing departmental resource allocation plans. However, although there is an indirect link between the two processes Performance Review is a separate process.

Q. Who should conduct the Academic Performance Review meeting ?

A. Normally it is for the relevant Head of School / ▮ to carry out the Performance Review meeting.

Q. Will the outcome be confidential ?

A. Completed Performance Reviews forms will normally be confidential between the Reviewee and Reviewer. Any development outcomes may need to be more widely disseminated however.

Q. How does Academic Performance Review relate to the University's promotion arrangements ?

A. The Performance Review process is separate form any appointment and promotion procedures the University. However, information obtained on completed forms can be used by the Head of School / ▮ in preparing other submissions.

Q. How should Heads of School / ▮ deal with academic employees who may be reluctant to participate ?

A. All academic colleagues are expected to have a Performance Review. The process is designed to be constructive, positive and a useful two way process that benefits both the Reviewee and the Reviewer. It usual practice for HEIs to have systems to review

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performance, potential and identify training and career planning needs. However, the relevant ██████████████ *will provide support to the Head of School /* ████ *where colleagues are hesitant - to overcome any perceived obstacles.*

Q. Where does the updated Academic Performance Review process fit into performance management ?

A. Performance management is an ongoing process of communication and feedback between the Head of School / ████ *and Reviewee throughout the year. The Performance Review process is designed to link academic colleagues individual objectives, contribution and career development plans to the achievement the local School level annual plan but the University Strategic Plan.*

However, if the Reviewee's contribution and performance is identified to be unsatisfactory overall and the normal coaching, counseling and training do not bring performance to an acceptable level, further action may be necessary – e.g. a formal Performance Improvement Plan may be put in place.

Q. Where do I source the data / information required for the evidence sections of the form ?

A. If you have any queries you should speak to your Head of School / ████ *in the first instance.*

Appendix 4 Derivation of the Q statements

The table that follows, shows the indicative influence that led to the numbered Q statements that were used on the Q 'tiles'. The row labelled 'source' begins with a letter corresponding to the location of the influence:

L: Graham, A.T., 2012. *Academic staff performance and how this is related to an academic's workload within the post-92 higher education sector.*, Unpublished research paper for the EdD: School of Education, University of Manchester.

This paper was a literature review that established the conceptual dichotomy between performance and workload management.

A: Graham, A.T., 2013. *The role of Academic Managers in workload and performance management of academic staff.*, Unpublished research paper for the EdD: School of Education, University of Manchester.

This paper was a small-scale study undertaken with the three Academic managers at the University of Eagleton who had responsibility for implementing workload and performance management processes.

N: Refers to issues related to the conceptual 'bins' in the NPM Framework (in Chapter 4 of this thesis).

The page numbers used in the 'source' immediately following the identification letter (L, A or N) refer to the page in the source document itself. Although a specific identification of the source has been given in the tables it should be remembered that this was a holistic process which, in fact, meant that several issues may have contributed to the formation of a question; for example, an issue triggered by an Academic Manager may also have been supported by something similar in the literatures or vice versa; hence the indicative nature of the source. The statements were not constructed in isolation and all of the statements can trace their provenance to literatures or empirical work.

Statement	1. The University is using outdated workload management systems
	2. The University has adopted best current practice for the performance management of its staff
	3. The University is run by a group of managers operating by diktat rather than through collegiality
Source	A: p21, p23 and p30, Academic Manager B
Statement	4. Consultation over the workload model has resulted in a universally acceptable framework to staff
	5. The performance management model resulted from effective consultation with staff
	7. The terms 'leadership' and 'management' are used interchangeably within the University
	8. Managers understand what it means to lead staff effectively
Source	A: p22 and p31, all Academic Managers
Statement	6. Managers act in order to empower their staff
	12. Team working is actively supported by line managers
	50. The academic staff workload model allows for efficient use of a limited staffing resource
Source	A: p29 and p33, Academic Manager C,
Statement	9. Management fiat is the predominant way in which the University is being run
Source	A: derived from Academic Manager comments, p31 and Academic Manager B, p24
Statement	10. Collegiality is valued within the University
	11. Collegiality does not exist within the University
Source	L: Shore and Wright (1999, p565); Ball (2003)
Statement	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff
Source	L: p24 discussion of workload models

Statement	14. Academic staff performance is managed through effective processes and policies
Source	L: p16 general concerns about performance management
Statement	15. Staff workload is linked clearly to achieving local plan objectives 16. Performance management is used to ensure local plan objectives are achieved 21. The workload model will enable staffing costs to be managed effectively 17. Performance indicators for individual staff are clearly identified 18. Student retention rates for each staff member would be an effective performance indicator
Source	A: Academic Manager A, p28 and p30
Statement	19. Reducing the student:staff ratio would have a positive impact on staff performance
Source	N: Ch. 4, p15; 'products'
Statement	20. A local plan linked to the University Strategy exists within the Academic Group 22. The checking mechanism for workloads to ensure equity across the University, is clearly defined 24. Academic Groups have a clearly focused agenda derived from the Strategic Plan
Source	N: Ch. 4, p16; 'audit controls'
Statement	23. Academic staff have autonomy in their roles
Source	L: p17 and p 28, Shore and Wright (1999, p565); Hull (2006)
Statement	25. There are clear local objectives set for the Academic Group
Source	A: p29, Ranson (2003, p470)
Statement	26. The new Academic Groups operate with an appropriate level of autonomy 57. The workload model will help to establish a flexible staffing base
Source	L: p28 and p30, Hull (2006, p39); Barrett and Barrett (2007)
Statement	27. There is a well-understood performance management system in operation
Source	A: p34 discussion of findings
Statement	28. Performance management is really about disciplinary issues
Source	L: p20 and p23, Ball (2003, p216) and Deem (1998)
Statement	29. The PDP is effectively used within the Academic Group 63. There is low morale attributable to the workload and performance management model 68. Goodwill is playing an ever more important role in effective performance of the academic role
Source	A: Academic Manager B, p24
Statement	30. Expected standards or levels of performance are clearly articulated 56. Performance management is an important feature in the academic contract
Source	L: p20, Ranson (2003)
Statement	31. The peer observation system is used to effectively support development 32. The peer observation system forms an integral part of the PDP process 65. The staff appraisal process is clearly understood by staff
Source	A: p24 and p25, all Academic Managers
Statement	33. The focus for performance management is on high quality teaching
Source	L: p27, Burgess (1996)
Statement	34. Support is given for all aspects of the academic role
Source	L: p21, Ball (2003, p224)
Statement	35. Student satisfaction is a valid proxy for staff performance
Source	A: p25, Academic Manager A
Statement	36. The workload allocation model is clearly defined
Source	N: Ch.4, p14, 'administrative values'
Statement	37. The workload model values all aspects of the academic role 45. Models for workload and performance management have been adopted too late to prevent further staffing restructuring
Source	A: p23, Academic Manager B
Statement	38. Academic staff workloads are probably 'about right' as they are currently
Source	L: p15 and p28, Bryson (2004, p38); Kinman and Jones (2003)
Statement	39. The workload model provides for equity in workloads across the staff within the University
Source	A: p24, Academic Manager A
Statement	40. Increasing academic staff workloads will have a measurable negative effect on role performance
Source	L: p15, Fidler and Cooper (1992, p xi)
Statement	41. Staff workload allocations affect student retention on their programme of study
Source	N: Ch. 4, p19, Fredman and Doughney (2102)
Statement	42. There is equitable workload distribution between male and female academic staff
Source	L: p29, Deem (1998)
Statement	43. The workload model is having a demotivating impact on the academic role
Source	L: p31, Houston *et al* (2006)
Statement	44. Peer pressure is used in place of positive management of workloads
Source	A: p22 and p 24, Academic Manager B and C
Statement	46. Linkages between performance and workload management processes are clear
Source	L: p36, conclusions around the conceptual dichotomy
Statement	47. Workload and performance management systems should be linked together
Source	A: p26, Academic Manager A

Statement	48. There is a lack of consistency in the application of the workload and performance systems
Source	L: p32, Houston *et al* (2006)
Statement	49. There are clear links between workload, performance and the University Strategic Plan
Source	N: Ch.4, p24, Coaldrake and Stedman (1999)
Statement	51. The links between the current funding regime and the workload model are clear
	52. The modernisation agenda for HE requires an effective workload model
	53. Modern management of HE requires effective performance management processes
Source	A: p31, all Academic Managers
Statement	54. The contractual basis for the workload model is clear
	55. The contractual basis for performance management is clear
Source	A: p24, Academic Manager C
Statement	58. The workload model will reduce overall staffing costs
Source	A: p29, all Academic Managers omitted this point
Statement	59. Resource allocation is improved by using the workload allocation model
	60. The University has become more student-focused in its management approaches
	61. The workload model will help to improve the student experience
Source	L: p26 and p276, Burgess (1996)
Statement	62. Performance management processes will improve the student experience
Source	L: p22, Deem (1998); Ball (2003)
Statement	64. There is a clear differentiation between the L and SL role requirements
Source	L: p14, academic role
Statement	66. The rationale for the workload management model is clear
Source	L: p7, Burgess (1996)
Statement	67. The rationale for performance management is clear
Source	L: p16, Fidler and Cooper (1992, p xi)

Appendix 5

Q Statements that appear on the tiles

1. The University is using outdated workload management systems
2. The University has adopted best current practice for the performance management of its staff
3. The University is run by a group of managers operating by diktat rather than through collegiality
4. Consultation over the workload model has resulted in a universally acceptable framework to staff
5. The performance management model resulted from effective consultation with staff
6. Managers act in order to empower their staff
7. The terms 'leadership' and 'management' are used interchangeably within the University
8. Managers understand what it means to lead staff effectively
9. Management fiat is the predominant way in which the University is being run
10. Collegiality is valued within the University
11. Collegiality does not exist within the University
12. Team working is actively supported by line managers
13. Workloads of academic staff are effectively managed to 'get the best' out of the staff
14. Academic staff performance is managed through effective processes and policies
15. Staff workload is linked clearly to achieving local plan objectives
16. Performance management is used to ensure local plan objectives are achieved
17. Performance indicators for individual staff are clearly identified
18. Student retention rates for each staff member would be an effective performance indicator
19. Reducing the student:staff ratio would have a positive impact on staff performance
20. A local plan linked to the University Strategy exists within the Academic Group
21. The workload model will enable staffing costs to be managed effectively
22. The checking mechanism for workloads to ensure equity across the University, is clearly defined
23. Academic staff have autonomy in their roles
24. Academic Groups have a clearly focused agenda derived from the Strategic Plan
25. There are clear local objectives set for the Academic Group
26. The new Academic Groups operate with an appropriate level of autonomy
27. There is a well-understood performance management system in operation
28. Performance management is really about disciplinary issues
29. The PDP is effectively used within the Academic Group
30. Expected standards or levels of performance are clearly articulated
31. The peer observation system is used to effectively support development
32. The peer observation system forms an integral part of the PDP process
33. The focus for performance management is on high quality teaching
34. Support is given for all aspects of the academic role
35. Student satisfaction is a valid proxy for staff performance
36. The workload allocation model is clearly defined
37. The workload model values all aspects of the academic role
38. Academic staff workloads are probably 'about right' as they are currently
39. The workload model provides for equity in workloads across the staff within the University
40. Increasing academic staff workloads will have a measurable negative effect on role performance
41. Staff workload allocations affect student retention on their programme of study
42. There is equitable workload distribution between male and female academic staff
43. The workload model is having a demotivating impact on the academic role

44. Peer pressure is used in place of positive management of workloads
45. Models for workload and performance management have been adopted too late to prevent further staffing restructuring
46. Linkages between performance and workload management processes are clear
47. Workload and performance management systems should be linked together
48. There is a lack of consistency in the application of the workload and performance systems
49. There are clear links between workload, performance and the University Strategic Plan
50. The academic staff workload model allows for efficient use of a limited staffing resource
51. The links between the current funding regime and the workload model are clear
52. The modernisation agenda for HE requires an effective workload model
53. Modern management of HE requires effective performance management processes
54. The contractual basis for the workload model is clear
55. The contractual basis for performance management is clear
56. Performance management is an important feature in the academic contract
57. The workload model will help to establish a flexible staffing base
58. The workload model will reduce overall staffing costs
59. Resource allocation is improved by using the workload allocation model
60. The University has become more student-focused in its management approaches
61. The workload model will help to improve the student experience
62. Performance management processes will improve the student experience
63. There is low morale attributable to the workload and performance management model
64. There is a clear differentiation between the L and SL role requirements
65. The staff appraisal process is clearly understood by staff
66. The rationale for the workload management model is clear
67. The rationale for performance management is clear
68. Goodwill is playing an ever more important role in effective performance of the academic role

Appendix 6

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of Manchester

Q Methodological Study Instructions:

A study of the perceptions of academic staff of workload and performance

Thank you for agreeing to take part in this Q methodological study. Enclosed with this instruction guide to undertaking the Q sort you should have;

- Participant Information Sheet and;
- Participant Consent Form

The study is aimed at establishing the attitudes amongst academic staff to the workload and performance management systems that are in operation within your institution. There are three research questions that are being addressed through this study;

- What are the perceptions of academic staff of the models of workload and performance management in operation within a single post-92 higher education institution?
- What is the relationship, identified by academic staff, between workload and performance management of staff?
- What recommendations can be made about the future development and deployment of workload and performance management models?

There will be a blank sorting distribution chart provided together with 68 Q-sort tiles. You will also be given a blank record sheet for us at step 8 in these instructions. The purpose of the exercise is for you to place the tiles onto the chart using only the spaces allocated on the chart for all 68 tiles.

Please follow the instructions in sequence in order to complete the Q sort process.

1. Firstly, please examine the distribution chart and note that it has exactly the same number of spaces marked on the chart as you have cards. Also note that each column has a heading indicating the relative value of the cards that you will place in the spaces under that heading. Only one card per space is allowed and all cards must be allocated to a space. There is no weighting allocated to the spaces vertically under each heading.

2. Place the chart to one side, but keep it in view so that you can refer to the column headings, whilst you complete step 3.

3. Now, take the pile of 68 Q-sort tiles and bearing in mind the research questions and distribution chart headings, read each tile in turn and sort them into three piles. The three piles should be those that you definitely **AGREE** with placed on the right-hand side, those that definitely **DISAGREE** with placed on your left-hand side and the

remainder that you are **INDIFFERENT** about should be placed in pile directly in front of you.

There are no limits on the number of cards that you place in each pile but you should be faithful to your own feelings and viewpoint.

4. Spread out in front of you the pile of cards that you **AGREE** with so that you can each card clearly. Now, allocate these cards to the columns to the right of the central column on the distribution chart. Note that you can only put one card in each slot marked on the chart. Once you are happy with your allocation according to the column headings then you should review your allocations and make any swaps that you feel are necessary.

Don't worry if you have more cards than will fit in the right of centre columns, simply allocate them across the centre using the headings to guide the relative worth, to you, of each comment on the card.

5. Now spread out in front of you the pile of cards that you **DISAGREE** with so that you can each card clearly. Now, allocate these cards to the columns to the left of the central column on the distribution chart. Note that you can only put one card in each slot marked on the chart. Once you are happy with your allocation according to the column headings then you should review your allocations and make any swaps that you feel are necessary.

Again don't worry if you have more cards than will fit in the left of centre columns, simply allocate them across the centre using the headings to guide the relative worth, to you, of each comment on the card.

6. Finally spread out in front of you the pile of cards that you are **INDIFFERENT** to so that you can each card clearly. Now, allocate these cards to the columns to that remain on the distribution chart taking note of the column headings to give the relative weighting as you see it to each card. Note that you can only put one card in each slot marked on the chart. Once you are happy with your allocation according to the column headings then you should review your allocations and make any swaps that you feel are necessary.

7. At this stage you should have a fully populated distribution sheet with all of the cards allocated to one slot on the chart. Now you should review the card positions in relation to the column headings and if necessary swap card positions to best reflect your feelings and viewpoint.

8. Once you are satisfied with your allocation please use the blank record sheet to note the number shown on the front of each card so that the record sheet is an exact representation of your card distribution.

9. It would then be helpful if you could use the highlighter provided to indicate on the record sheet where your **AGREE**, **INDIFFERENT** and **DISAGREE** items end and begin. This will help me to better understand your Q sort and viewpoint. Thus the finished record sheet could look like this example;

Extremely unlike my point of view	Very much unlike my point of view	More than disagrees with my point of view	Disagrees with my point of view	Does not fit comfortably with my point of view	Neither agree nor disagree with my point of view	Fits comfortably with my point of view	Agrees with my point of view	More than agrees with my point of view	Very much like my point of view	Extremely like my point of view
2	13	64	17	67	9	56	38	52	53	68
8	60	61	57	66	20	42	26	44	48	35
37	18	59	51	4	21	34	23	41	63	43
	6	33	32	58	10	30	3	45	40	
		19	31	49	28	62	7	1		
			50	46	27	47	25			
			5	36	16	29	12			
				39	11	54				
				14	65	55				
					24					
					22					
					15					

10. Please leave the cards as they are on the distribution chart and ask the researcher to come over to you so that a final check can be made of the record sheet that you have just completed.

That is the end of the Q sort process.

Thank you very much for agreeing to participate in this study!

Andrew Graham

Appendix 7 Biography of the staff in the p-sets used for the project

Female Lecturers (13 out of 27; 48%)

Code	Service	Academic Group	Subject
LF11	1	Health and Community Studies	Community Studies
LF02	1	Business, Accountancy and Law	Law
LF03	1	Business, Accountancy and Law	Pre-University and Transition Centre
LF04	2	Business, Accountancy and Law	Business and Management
LF14	1	Education and Psychology	Psychology
LF05	1	Engineering, Sports and Sciences	Sports Science
LF06	1	Engineering, Sports and Sciences	Biology and Environmental Studies
LF07	2	Health and Community Studies	Community Studies
LF08	1	Health and Community Studies	Health Studies
LF09	1	Health and Community Studies	Health Studies
LF10	1	Health and Community Studies	Health Studies
LF13	7	Business, Accountancy and Law	Business
LF12	1	Engineering, Sports and Sciences	Biology and Environmental Studies
		Mean length of service =	1.62

Female Senior Lecturers (13 out of 48; 27%)

Code	Service	Academic Group	Subject
SLF01	21	Art, Design and Language	English Studies
SLF02	8	Business, Accountancy and Law	Pre-University and Transition Centre
SLF13	23	Creative Technologies	Computing
SLF03	5	Creative Technologies	Media Production
SLF07	9	Creative Technologies	Computing
SLF08	6	Education and Psychology	Education
SLF04	13	Education and Psychology	Education
SLF05	3	Engineering, Sports and Sciences	Construction, Surveying, Architectural Technology
SLF11	6	Engineering, Sports and Sciences	Sport Rehabilitation
SLF06	24	Engineering, Sports and Sciences	Biology and Environmental Studies
SLF09	7	Engineering, Sports and Sciences	Biology and Environmental Studies
SLF10	1	Health and Community Studies	Health Studies
SLF12	4	Health and Community Studies	Health Studies
		Mean length of service =	10

Male Lecturers (13 out of 38; 34%)

Code	Service	Academic Group	Subject
LM03	2	Business, Accountancy and Law	Business and Management
LM04	1	Business, Accountancy and Law	Pre-University and Transition Centre
LM02	2	Creative Technologies	Games
LM01	2	Creative Technologies	Media Production
LM05	1	Creative Technologies	Games
LM07	1	Engineering, Sports and Sciences	Automobile and Mechanical Engineering
LM06	3	Engineering, Sports and Sciences	Construction, Surveying, Architectural Technology
LM08	1	Health and Community Studies	Health Studies
LM11	1	Engineering, Sports and Sciences	Civil Engineering
LM13	1	Creative Technologies	Creative Technologies
LM09	1	Engineering, Sports and Sciences	Electronic Engineering
LM12	2	Art, Design and Language	Art and Design
LM10	2	Business, Accountancy and Law	Business and Management
		Mean length of service =	1.54

Male Senior Lecturers (13 out of 53; 25%)

Code	Service	Academic Group	Subject
SLM06	15	Art, Design and Language	Art and Design
SLM12	8	Business, Accountancy and Law	Law
SLM05	3	Business, Accountancy and Law	Accountancy
SLM01	12	Creative Technologies	Computing
SLM08	13	Creative Technologies	Creative Technologies
SLM02	12	Creative Technologies	Games
SLM09	12	Education and Psychology	Education
SLM03	26	Engineering, Sports and Sciences	Automobile and Mechanical Engineering
SLM04	7	Engineering, Sports and Sciences	Civil Engineering
SLM13	23	Engineering, Sports and Sciences	Sports Science
SLM07	3	Engineering, Sports and Sciences	Mathematics
SLM11	3	Engineering, Sports and Sciences	Sport Rehabilitation
SLM10	10	Health and Community Studies	Health Studies
		Mean length of service =	11.31

Appendix 8

Mathematical Formulae

F1 = factor 1 and F2 = factor 2
N (number of Q sorts in the study) = 13 for separate staff groups and;
N = 52 for the whole staff
Number of items in the Q set = 68

In the equations below, F1 is used by way of example but for factor 2 then F1 would be replaced by F2.

Eigenvalue (EV)

EV for F1 = (Q sort 1 loading on F1)^2 + … (Q sort N loading on F1)^2
(after Brown 1980, p222)

Variance

Variance for F1 = 100 x (EV for F1 ÷ N)
(after Brown 1980, p222)

Communality (h^2)

h^2 (for Q sort 1) = (Q sort 1 loading on F1)^2 + (Q sort 1 loading on F2)^2
(after Watts and Stenner 2012, p104)

Significant Factor Loading ($p < 0.01$)

Significant factor loading for the study = 2.58 x $(1 \div \sqrt{no.\,of\,items\,in\,Q\,set}\,)$
(after Brown 1980, p223)

Standard Error

Standard error for the study = $1 \div \sqrt{no.\,of\,items\,in\,Q\,set}$
(after Brown 1980, p222)

Appendix 9

Note: the University and agent details have been anonymised.

<u>Agent email</u>

Dear <Colleague>

Andy Graham (Executive Dean, On Campus Division) is undertaking research as part of his studies for the Doctorate in Education at Manchester University. I am contacting you as his agent which is a requirement of the ethical processes under which he is operating at Manchester.

His area of interest is the workload management of academic staff and how this relates to the performance of those staff in their role. He would like to conduct a Q sort with you lasting for 60 minutes to establish your perceptions of the methods of workload and performance management used in the University and how these are applied in practice. This would be followed by a series of 3 post-sort contextualisation questions that should take no longer than 30 minutes. Thus the overall time commitment would be 90 minutes.

I have enclosed a copy of the participant information sheet that outlines how the data gathered will be used in his research paper. Andy has been given formal ethical clearance from the University of Manchester as well as the University of Eagleton.

It would be helpful to me if you could let me know by 25 April 2014 if you would be willing or not to participate in this process so that I can inform Andy and he can then contact you to setup the interview meeting.

Regards

<agent name>

<agent name>
<agent's role title and division>

A study of the perceptions of academic staff of workload and performance management models.

Participant Information Sheet

You are being invited to take part in a research study which aims to explore the perceptions of, and attitudes to, workload and performance management as applied to academic staff within the University. This is a pilot study prior to the thesis stage of the EdD. Before you decide it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and please ask if there is anything that is not clear or if you would like more information. Thank you for reading this.

Who will conduct the research?

Andrew Graham, EdD Research Student at the Manchester Institute of Education, Ellen Wilkinson Building, University of Manchester, Oxford Road, M13 9PL.

What is the aim of the research?

This empirical study within a post-92 HEI has been designed to examine and illuminate the way in which academic staff workload is being managed and the extent to which this is being used in the performance management of academic staff. It will examine the models used for both aspects and any linkages that exist between them.

Why have I been chosen?

You have been chosen because you are a member of the permanent full-time academic staff subject to the workload and performance management regime of the University.

What would I be asked to do if I took part?

If you decide to take part in the research, you will be asked to undertake a Q sort lasting no more than 60 minutes. The Q sort asks you to sort particular statements on cards onto a grid. The statements on the cards cover your potential perceptions of workload and performance management of staff and your understanding of these aspects. Following this a series of 3 post-sort questions will be asked in order to help to contextualise your Q sort; this should take no longer than 30 minutes. The overall tie commitment would be 90 minutes. It is not expected that taking part in this study will cause you any risks, pain or discomfort.

What happens to the data collected?

A record is made of the Q sort statements and their position on the grid. This allows for an analysis to be carried out that compares the way you arranged the cards with others in the

sample asked to perform a similar task. Notes will be taken of your answers to the post sort questions.

How is confidentiality maintained?

It is crucial that participants' anonymity is secured. The researcher will take steps to ensure that all data is stored securely and the anonymity of participants is maintained by ensuring that notes do not include subject specific information that would lead to participants being identified. Your details will not be passed on to anyone else. All research records will be held on an encrypted USB drive to which only the researcher would have access.

What happens if I do not want to take part or if I change my mind?

It is up to you to decide whether or not to take part. If you do decide to take part, you will be given this information sheet to keep and be asked to sign a consent form. If you decide to take part, you are still free to withdraw at any time without giving a reason and without detriment to yourself.

Will I be paid for participating in the research?

No, unfortunately it is not possible to offer you payment for taking part in this study.

What is the duration of the research?

You will only be asked to take part in the Q sort and post-sort questions on one occasion for this study.

Where will the research be conducted?

University of Eagleton, North of England in room E40.

Will the outcomes of the research be published?

The outcomes of this research will be presented in a thesis submission to the School of Education at Manchester University. It may be presented in a peer-reviewed journal and possibly at an academic conference.

Contact for further information

If you are willing to participate, or would like further information, please contact <agent name> via email: agent@eagleton.ac.uk <agent> is acting as the agent for the researcher so that you do not feel coerced or obliged to participate. Once you have given your consent then Andrew will contact you directly to setup the interview. It would be helpful if you could let <agent> know of your decision by 25 April 2014.

What if something goes wrong?

If there are any issues regarding this research that you would prefer not to discuss with the researcher or his agent, please contact the Research Practice and Governance Co-ordinator by either writing to 'The Research Practice and Governance Co-ordinator, Research Office, Christie Building, The University of Manchester, Oxford Road, Manchester M13 9PL', by emailing: Research-Governance@manchester.ac.uk or by telephoning 0161 275 7583 or 275 8093

The University of Manchester

MANCHESTER 1824

A study of the attitudes of academic staff to workload and performance management.

CONSENT FORM

If you are happy to participate please complete and sign the consent form below

Initials

1. I confirm that I have read the attached information sheet on the above study and have had the opportunity to consider the information and ask questions and had these answered satisfactorily

2. I understand that my participation in the study is voluntary and that I am free to withdraw at any time without giving a reason

3. I understand that my Q set pattern and answers to my post-sort questions will be kept confidential and used anonymously within any written paper.

4. I agree to the use of anonymous quotes.

5. I agree that any data collected may be published in anonymous form in research paper submissions, academic books or journals

I agree to take part in the above research on the basis laid out in the participant information sheet;

Name of Participant: **Signature:**   **Date:**

_____   _____   _____

Researcher's Name: **Signature:**   **Date:**

_____   _____   _____

Appendix 10

Data and factor statements for L Female group

This two factor solution was arrived at after an iterative process proved that this was the only viable solution. The factors are labelled 'F1' and 'F2' and show the loading generated for each participant's Q sort (LF01 through to LF13) on the factor by PQMethod at a significance level of $p<0.01$; these factor loadings show the degree to which a Q sort correlates with the factor. This solution shows that 12 of the 13 Q sorts load significantly on the factors as indicated by the 'x' adjacent to the values and only one Q sort (LF07) is confounded; meaning that it loads significantly on both factors and is therefore omitted from the final data used by PQMethod to calculate the factor array. Thus the two factors capture the majority of the views expressed in the individual Q sorts which is important for the validity and reliability of the solution.

The confirmation of the two factor solution rests on several statistical tests against data shown in the table and for which the relevant formulae are given in Appendix 8. The EVs are shown in rotated factor loadings table with both comfortably being greater than 1.0 which meets the Kaiser-Guttman criterion. A further test can be used to confirm that these factors are indeed significant and that is by using Humphrey's rule and in the rotated factor loadings the standard error products are shown along with value of twice the standard error for the study which is 0.24 (derived again from the equation shown in Appendix 8) and for both factors Humphrey's test is passed, which again is another indicator these 2 factors being valid. In this case the two factors account for just short of 42% of the variance in the study where, as a general rule, a figure in excess of 35% is deemed to be very

good (Watts and Stenner 2012). It follows that high variance figures coupled with EV > 1.0 are good indicators of an acceptable solution. As a final confirmation that this 2 factor solution is valid the factor loadings are compared with the significant factor loading calculated from the formula in Appendix 8 and if the absolute value of two or more of the loadings exceed the calculated significant factor loading (0.31 in this case) then that is further confirmation that the solution is valid (Brown 1980); in this case the test is passed for the two factor solution.

The next phase of the analysis was to establish which of the Q sorts should be identified for PQMethod in order for the algorithm to produce the factor arrays. Firstly, the significant factor loading was calculated at the significance level of $p > 0.01$ as shown in the formula in Appendix 8 and then this was compared with each of the factor loadings generated by PQMethod. Where the factor load exceeds this value then it is marked with an 'x' unless they are 'confounded' or 'non-significant' in which case they are omitted. It is permissible at this stage in the analysis to use the calculated significant factor loading (0.31 in this case) as a baseline figure and to adjust upwards from that figure to reduce the number of confounded or null Q sorts (Watts and Stenner 2012) and in this case a figure of 0.35 was used to give the optimum result; the optimum being the inclusion (indicated by 'x') of as many Q sorts as possible. The figures in the 'h^2' column indicate the communality for each of the Q sorts and illustrate the issue of a low value for h^2 allowing for a Q sort to significantly load on a factor if it has an exclusive link with a single factor as illustrated by LF01 where h^2 is 19% but the factor loadings are almost negligible for F2 but significant for F1.

The factor array is shown below together with a column labelled 'boundary count' which represents the frequency of that statement occurring in the boundaries identified by the participants on their Q sort grid. A boundary count of greater than half the number of participants in the group (in this case 6.5) meant that the group were neutral overall about that statement and so these are italicised within the factor array table. The consensus statement table is italicised for entries where the difference between factors is greater than 1 or the absolute value is 5. Once the above considerations have been taken into account for the factors then the result is salient statements table from which the 'crib sheet' (Watts and Stenner 2012) for each factor was produced. The crib sheet for both factors together with the full factor statements are shown at the end of this appendix.

Female Lecturers					
Q Sort	**F1**		**F2**		**h^2 (%)**
LF02	0.43	X	0.03		19
LF03	0.31		0.37	X	23
LF04	0.79	X	-0.03		63
LF05	0.67	X	0.18		48
LF06	0.55	X	0.28		38
LF07	0.5	X	-0.32		35
LF08	0.51		0.35		38
LF09	0.16		0.83	X	71
LF10	-0.05		0.57	X	33
LF11	0.73	X	-0.32		64
LF12	0.6	X	-0.08		37
LF13	0.54	X	0		29
LF14	-0.21		0.66	X	48
EV	3.42		2.03		
Standard error product	0.4		0.55		
Variance (%)	26.31		15.62		
Significant Factor Loading (calculated)	**0.31**				
Standard error	**0.12**				
2x Standard Error	0.24				
Rotated Factor Loadings for the L Female group					

Boundary Count	Q tile Statement	Factors	
		F1	F2
5	1. The University is using outdated workload management systems	2	-4
6	2. The University has adopted best current practice for the performance management of its staff	-1	-2
4	3. The University is run by a group of managers operating by diktat rather than through collegiality	4	-3
7	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-4	-2
4	5. The performance management model resulted from effective consultation with staff	-3	-1
2	6. Managers act in order to empower their staff	-4	4
7	7. The terms 'leadership' and 'management' are used interchangeably within the University	3	-2
3	8. Managers understand what it means to lead staff effectively	-5	4
4	9. Management fiat is the predominant way in which the University is being run	2	-3
4	10. Collegiality is valued within the University	-1	3
4	11. Collegiality does not exist within the University	0	-3
2	12. Team working is actively supported by line managers	2	2
2	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-1
7	14. Academic staff performance is managed through effective processes and policies	-2	0
8	15. Staff workload is linked clearly to achieving local plan objectives	-1	-1
7	16. Performance management is used to ensure local plan objectives are achieved	0	-2
4	17. Performance indicators for individual staff are clearly identified	-1	0
2	18. Student retention rates for each staff member would be an effective performance indicator	-3	-4
2	19. Reducing the student:staff ratio would have a positive impact on staff performance	2	2
6	20. A local plan linked to the University Strategy exists within the Academic Group	1	1
7	21. The workload model will enable staffing costs to be managed effectively	2	1
3	22. The checking mechanism for workloads to ensure equity across the University, is clearly defined	-2	-2
4	23. Academic staff have autonomy in their roles	-2	3
7	24. Academic Groups have a clearly focused agenda derived from the Strategic Plan	0	2
4	25. There are clear local objectives set for the Academic Group	-1	4
4	26. The new Academic Groups operate with an appropriate level of autonomy	-2	1
5	27. There is a well-understood performance management system in operation	-1	-1
2	28. Performance management is really about disciplinary issues	-3	-5
4	29. The PDP is effectively used within the Academic Group	1	5
4	30. Expected standards or levels of performance are clearly articulated	-2	1
3	31. The peer observation system is used to effectively support development	1	5
4	32. The peer observation system forms an integral part of the PDP process	0	0
2	33. The focus for performance management is on high quality teaching	1	1
2	34. Support is given for all aspects of the academic role	-5	0
1	35. Student satisfaction is a valid proxy for staff performance	-1	2
3	36. The workload allocation model is clearly defined	0	-1
4	37. The workload model values all aspects of the academic role	-4	-1
2	38. Academic staff workloads are probably 'about right' as they are currently	-4	-2
4	39. The workload model provides for equity in workloads across the staff within the University	0	2
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	5
2	41. Staff workload allocations affect student retention on their programme of study	4	1
7	42. There is equitable workload distribution between male and female academic staff	3	1
5	43. The workload model is having a demotivating impact on the academic role	4	-3
3	44. Peer pressure is used in place of positive management of workloads	3	-5
7	45. Models for workload and performance management have been adopted too late to prevent further staffing restructuring	1	-4
7	46. Linkages between performance and workload management processes are clear	-1	-1
1	47. Workload and performance management systems should be linked together	3	2
5	48. There is a lack of consistency in the application of the workload and performance systems	3	-1
8	49. There are clear links between workload, performance and the University Strategic Plan	0	0
4	50. The academic staff workload model allows for efficient use of a limited staffing resource	0	0
5	51. The links between the current funding regime and the workload model are clear	-2	-4
5	52. The modernisation agenda for HE requires an effective workload model	2	3
2	53. Modern management of HE requires effective performance management processes	2	4
7	54. The contractual basis for the workload model is clear	-1	0
4	55. The contractual basis for performance management is clear	0	-2
6	56. Performance management is an important feature in the academic contract	1	0
7	57. The workload model will help to establish a flexible staffing base	1	0
7	58. The workload model will reduce overall staffing costs	0	0
7	59. Resource allocation is improved by using the workload allocation model	0	1
1	60. The University has become more student-focused in its management approaches	4	3
2	61. The workload model will help to improve the student experience	-2	2
4	62. Performance management processes will improve the student experience	1	0
5	63. There is low morale attributable to the workload and performance management model	5	-5
3	64. There is a clear differentiation between the L and SL role requirements	-3	-3
4	65. The staff appraisal process is clearly understood by staff	1	3
1	66. The rationale for the workload management model is clear	-3	1
6	67. The rationale for performance management is clear	0	-1
3	68. Goodwill is playing an ever more important role in effective performance of the academic role	5	0

Italicised statements show those where the boundary score is greater than half the number (>6.5) undertaking the Q sort

L Female factor arrays

L Female: consensus statements			
		Factors	
Statement	**Q tile statements (abridged)**	**F1**	**F2**
2	The University has adopted best current practice for - staff…	-1	-2
4	*Consultation over the workload model - framework to staff…*	*-4*	*-2*
5	*The performance management - effective consultation with…*	*-3*	*-1*
12	Team working is actively supported by line managers…	2	2
14	*Academic staff performance - effective processes and policies…*	*-2*	*0*
15	Staff workload is linked clearly to achieving local plan…	-1	-1
16	*Performance management - plan objectives are achieved…*	*0*	*-2*
17	Performance indicators for individual staff are clearly…	-1	0
18	Student retention rates - performance indicator…	-3	-4
19	Reducing the student:staff ratio - staff performance…	2	2
20	A local plan linked - exists within the Academic Group…	1	1
21	The workload model - staffing costs to be managed effectively…	2	1
22	The checking mechanism - clearly defined…	-2	-2
27	There is a well-understood - system in operation…	-1	-1
32	The peer observation system - part of the PDP process…	0	0
33	The focus for performance - high quality teaching…	1	1
36	The workload allocation model is clearly defined…	0	-1
40	*Increasing - workloads will have a - effect on role performance…*	*5*	*5*
41	*Staff workload allocations affect student retention…*	*4*	*1*
42	*There is equitable workload - male and female academic staff…*	*3*	*1*
46	Linkages between - processes are clear…	-1	-1
47	Workload and performance - should be linked together…	3	2
49	There are clear links - the University Strategic Plan…	0	0
50	The academic - efficient use of a limited staffing resource…	0	0
52	The modernisation - requires an effective workload model…	2	3
53	*Modern management - performance management processes…*	*2*	*4*
54	The contractual basis for the workload model is clear…	-1	0
56	Performance - is an important feature in the academic contract…	1	0
57	The workload model will help to establish a flexible staffing…	1	0
58	The workload model will reduce overall staffing costs…	0	0
59	Resource - by using the workload allocation model…	0	1
60	The University has become more student-focused…	4	3
62	Performance - processes will improve the student experience…	1	0
64	There is a - between the L and SL role requirements…	-3	-3
65	*The staff appraisal process is clearly understood by staff…*	*1*	*3*
67	The rationale for performance management is clear…	0	-1

Italicised statements where the difference is >1 between factors or absolute value was 5

L Female consensus statements

Boundary Count	Q tile Statement		Factors	
			F1	F2
	L Female: salient statements for factor 1 & 2			
5	1.	The University is using outdated workload management systems	2	-4
4	3.	The University is run by a group of managers operating by diktat rather than through collegiality	4	-3
4	5.	The performance management model resulted from effective consultation with staff	-3	-1
2	6.	Managers act in order to empower their staff	-4	4
3	8.	Managers understand what it means to lead staff effectively	-5	4
4	9.	Management fiat is the predominant way in which the University is being run	2	-3
4	10.	Collegiality is valued within the University	-1	3
4	11.	Collegiality does not exist within the University	0	-3
2	13.	Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-1
4	23.	Academic staff have autonomy in their roles	-2	3
4	25.	There are clear local objectives set for the Academic Group	-1	4
4	26.	The new Academic Groups operate with an appropriate level of autonomy	-2	1
2	28.	Performance management is really about disciplinary issues	-3	-5
4	29.	The PDP is effectively used within the Academic Group	1	5
4	30.	Expected standards or levels of performance are clearly articulated	-2	1
3	31.	The peer observation system is used to effectively support development	1	5
2	34.	Support is given for all aspects of the academic role	-5	0
1	35.	Student satisfaction is a valid proxy for staff performance	-1	2
4	37.	The workload model values all aspects of the academic role	-4	-1
2	38.	Academic staff workloads are probably 'about right' as they are currently	-4	-2
4	39.	The workload model provides for equity in workloads across the staff within the University	0	2
0	40.	Increasing academic staff workloads will have a measurable negative effect on role performance	5	5
2	41.	Staff workload allocations affect student retention on their programme of study	4	1
5	43.	The workload model is having a demotivating impact on the academic role	4	-3
3	44.	Peer pressure is used in place of positive management of workloads	3	-5
5	48.	There is a lack of consistency in the application of the workload and performance systems	3	-1
5	51.	The links between the current funding regime and the workload model are clear	-2	-4
2	53.	Modern management of HE requires effective performance management processes	2	4
4	55.	The contractual basis for performance management is clear	0	-2
2	61.	The workload model will help to improve the student experience	-2	2
5	63.	There is low morale attributable to the workload and performance management model	5	-5
4	65.	The staff appraisal process is clearly understood by staff	1	3
1	66.	The rationale for the workload management model is clear	-3	1
3	68.	Goodwill is playing an ever more important role in effective performance of the academic role	5	0
	L Female salient statements			

Crib sheet for F1

Factor 1

Items ranked at +5

40 Increasing academic staff workloads will have a measurable negative effect on role performance
63 There is low morale attributable to the workload and performance management model
68 Goodwill is playing an ever more important role in effective performance of the academic role

Items ranked higher in F1 array than in F2 array

1 The University is using outdated workload management systems +2
3 The University is run by a group of managers operating by diktat rather than through collegiality +4
9 Management fiat is the predominant way in which the University is being run +2
11 Collegiality does not exist within the University 0
28 Performance management is really about disciplinary issues -3
41 Staff workload allocations affect student retention on their programme of study +4
43 The workload model is having a demotivating impact on the academic role +4
44 Peer pressure is used in place of positive management of workloads +3
48 There is a lack of consistency in the application of the workload and performance systems +3
51 The links between the current funding regime and the workload model are clear -2
55 The contractual basis for performance management is clear 0

Items ranked lower in F1 array than F2 array

5 The performance management model resulted from effective consultation with staff -3
6 Managers act in order to empower their staff -4
10 Collegiality is valued within the University -1
23 Academic staff have autonomy in their roles -2
25 There are clear local objectives set for the Academic Group -1
26 The new Academic Groups operate with an appropriate level of autonomy -2
29 The PDP is effectively used within the Academic Group +1
30 Expected standards or levels of performance are clearly articulated -2
31 The peer observation system is used to effectively support development +1
35 Student satisfaction is a valid proxy for staff performance -1
37 The workload model values all aspects of the academic role -4
38 Academic staff workloads are probably 'about right' as they are currently -4
39 The workload model provides for equity in workloads across the staff within the University 0
53 Modern management of HE requires effective performance management processes +2
61 The workload model will help to improve the student experience -2
65 The staff appraisal process is clearly understood by staff +1
66 The rationale for the workload management model is clear -3

Items ranked at -5

8 Managers understand what it means to lead staff effectively
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff
34 Support is given for all aspects of the academic role

Factor 1 crib sheet for the L Female group

Detailed factor statement for F1

Factor 1: Management failings

Factor 1 has an eigenvalue of 3.38 and explains 26% of the study variance. Eight of the participants are significantly associated with this factor. For the eight participants that load significantly the average length of service is 2 years.

The University is very clearly being run by a group of managers operating via diktat rather than collegiality to the extent that collegiality is not valued (3:+4, 10:-1). Executive fiat is the model adopted by University management (9:+2). There was a very strong feeling that the managers do not understand what it means to lead effectively and that consequently they fail to act in ways that empower their staff (8:-5, 6:-4) particularly when there aren't clear local objectives for the academic group (25:-1). Academic staff feel that they have little autonomy in their roles and that this is also reflected at the academic group level (23:-2, 26:-2).

The workload management model that is being used is outdated and is clearly having a demotivating impact on the academic role (1:+2, 43:+4) probably because the workload model does not value the full range of activities undertaken by academic staff (37:-4) and because the linkages between the current funding regime and workload model is unclear (51:-2). There is no clear rationale for the current workload management model (66:+3). These workloads are very definitely not being effectively managed in order to 'get the best' out of the academic staff (13:-5). The workloads placed on academic staff are clearly unacceptable (38:-4) and will do little to help improve the student experience (61:-2); in fact it is very clear that the staff workload allocations will negatively affect student retention on their programmes of study (41:+4). There is a definite feeling that peer pressure between colleagues is being used in place of positive management of workloads (44:+3).

In terms of performance in the academic role there was a clear acknowledgement that modern management of staff in HE requires effective performance management processes, including the use of a peer observation system and an effective Professional Development Plan (PDP) process (53:+2, 31:+1, 29:+1). The University staff appraisal system was understood (65:+1), however the effect of this on the staff was tempered by the strong view that there is a lack of support for all aspects of the academic role (34:-5) probably resulting from a lack of clearly articulated standards for performance (30:-2). Student satisfaction was not viewed as a valid proxy for staff performance (35:-1). It was understood that performance is not about disciplinary matters and equally it was clearly evident that this model had not resulted from effective consultation with the staff (28:-3, 5:-3). There was very strong feeling that increasing academic staff workloads will have a measurable negative impact on performance in the role (40:+5).

There is definitely low morale amongst the academic staff that is directly attributable to the workload and performance management models that have been adopted with the result that goodwill is playing a key role in ensuring effective academic performance (63:+5, 68:+5). This is compounded by a clear belief that there is a lack of consistency in application of the workload and performance models across the University (48:-3).

Detailed factor statement for F1 for the L Female group

Crib sheet for F2

Factor 2

Items ranked at +5

29 The PDP is effectively used within the Academic Group
31 The peer observation system is used to effectively support development
40 Increasing academic staff workloads will have a measurable negative effect on role performance

Items ranked higher in F2 array than in F1 array

5 The performance management model resulted from effective consultation with staff -1
6 Managers act in order to empower their staff +4
8 Managers understand what it means to lead staff effectively +4
10 Collegiality is valued within the University +3
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff -1
23 Academic staff have autonomy in their roles +3
25 There are clear local objectives set for the Academic Group +4
26 The new Academic Groups operate with an appropriate level of autonomy +1
30 Expected standards or levels of performance are clearly articulated +1
34 Support is given for all aspects of the academic role 0
35 Student satisfaction is a valid proxy for staff performance +2
37 The workload model values all aspects of the academic role -1
38 Academic staff workloads are probably 'about right' as they are currently -2
39 The workload model provides for equity in workloads across the staff within the University +2
53 Modern management of HE requires effective performance management processes +4
61 The workload model will help to improve the student experience +2
65 The staff appraisal process is clearly understood by staff +3
66 The rationale for the workload management model is clear +1

Items ranked lower in F2 array than F1 array

1 The University is using outdated workload management systems -4
3 The University is run by a group of managers operating by diktat rather than through collegiality -3
9 Management fiat is the predominant way in which the University is being run -3
11 Collegiality does not exist within the University -3
41 Staff workload allocations affect student retention on their programme of study +1
43 The workload model is having a demotivating impact on the academic role -3
48 There is a lack of consistency in the application of the workload and performance systems -1
51 The links between the current funding regime and the workload model are clear -4
55 The contractual basis for performance management is clear -2
68 Goodwill is playing an ever more important role in effective performance of the academic role 0

Items ranked at -5

28 Performance management is really about disciplinary issues
44 Peer pressure is used in place of positive management of workloads
63 There is low morale attributable to the workload and performance management model

Factor 2 crib sheet for the L Female group

Detailed factor statement for F2

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Factor 2: Positive about performance

Factor 2 has an eigenvalue of 2.08 and explains 16% of the study variance. Four of the participants are significantly associated with this factor. For the four participants that load significantly the average length of service is 1 year.

There is a strong sense that managers act in order to empower their staff through leading effectively (6:+4, 8:+4). This results in a feeling of collegiality being valued across the University (10:+3) with the associated view that collegiality does actually exist. (11:-3). Academic staff have autonomy in their roles just as there is a sense of the academic groups having an appropriate level of autonomy (23:+3, 26:+1), probably assisted by the fact that there are clear local objectives set for the academic group (25:+4). There is a definite feeling that managers are acting collegially and that management diktats or executive fiat are not to the fore (3:-3, 9:-3). Overall, the workload and performance management models are being applied consistently to the point where it is strongly felt that morale is not suffering at all (48:-1, 63:-5).

Whilst the current performance management model did not result from effective consultation with the staff it is definitely recognised that the modern management of HE does require effective performance management processes to be used (5:-1, 53:+4) and yet the contractual basis for the models is unclear (55:-2). The processes such as the PDP are used very effectively (29:+5) alongside a very effective peer observation system to support staff development (31:+5). A clearly understood staff appraisal system is in use (65:+3). All of these processes are aided by articulated standards of expected performance without any sense at all that performance is equated with disciplinary issues (30:+1, 28:-5). Student satisfaction is accepted as a valid proxy for academic staff performance (35:+2). There is ambivalence about whether or not goodwill is playing an important role in effective performance management (68:0).

Workloads of academic staff are not being effectively managed in order to 'get the best' from the staff and they are currently not felt to be at acceptable levels (13:-1, 38:-2). One of the problems with the current workload model is that it does not value all aspects of the academic role (37:-1). There are some positive attributes from the workload model such as a clear sense that the model is providing for equity in workload across academic staff and is helping to improve the student experience(39:+2, 61:+2).

Whilst the links between the current funding regime for HE and the workload model are distinctly unclear (51:-4) the rationale for having such a model is understood (66:+1). The current workload model is viewed as being up-to-date resulting in very positive management of workloads that does not rely on peer pressure between colleagues (1:-4, 44:-5).

In terms of academic workload there is a definite feeling that increasing workloads will have a measurable negative effect on staff performance together with an acknowledgement that staff workloads will affect student retention on their programmes of study (40:+5, 41:+1). A further positive feature of the workload model is that there is no sense of it having a demotivating effect on staff (43:-3).

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Detailed factor statement for F2 for the L Female group

Appendix 11

<u>Data and factor statements for SL Female group</u>

A two factor solution was derived as the only viable solution to the data set as shown in the rotated factor loadings (at a significance level of $p<0.01$) table and labelled 'F1' and 'F2'. This solution shows that 11 of the 13 Q sorts load significantly on the factors as indicated by the 'x' adjacent to the values with Q sorts 5 and 10 being insignificant and therefore excluded. An actual significant factor loading of 0.45 was used to generate this optimum result. Thus the two factors capture the majority of the views expressed in the individual Q sorts which is important for the validity and reliability of the solution.

The confirmation of the two factor solution rests on several statistical tests against data shown in the rotated factor loadings table and for which the relevant formulae are given in Appendix 8. The EVs are calculated according to the formula in Appendix 8 and they pass the Kaiser-Guttman criterion of being >1. In the rotated factor loadings table the standard error products are shown along with value of twice the standard error for the study which is 0.24 (derived from the equation in Appendix 8) and for both factors Humphrey's test is passed, which again is another indicator these 2 factors being valid. The variance figure for each factor is important because it is a measure of what is common across the Q sorts that make up that factor in this case the two factors account for just short over 38% of the variance in the study. As a final confirmation that this 2 factor solution is valid there are more than two factor loadings on each factor that exceed the calculated significant factor loading.

The factor arrays and subsequent tables of statements in line with the process described earlier are given in this appendix along with the full factor statements for each of the factors in this solution.

Female Senior Lecturers			
Q Sort	F1	F2	h2 (%)
SLF01	0.18	0.57 x	36
SLF02	0.47 x	0.34	34
SLF03	0.58 x	0.21	38
SLF04	0.86 x	-0.06	74
SLF05	0.31	0.31	19
SLF06	0.65 x	0.09	43
SLF07	0.65 x	0.12	44
SLF08	0.57 x	0.42	50
SLF09	0.47 x	0.27	29
SLF10	-0.19	-0.03	4
SLF11	-0.18	0.59 x	38
SLF12	0.67 x	0.13	47
SLF13	0.42	0.5 x	43
EV	3.51	1.47	
Standard error product	0.58	0.34	
Variance (%)	27	11.31	
Significant Factor Loading (calculated)	**0.31**		
Standard error	**0.12**		
2x Standard Error	0.24		
SL Female rotated factor loadings			

Boundary Count	Q tile Statement	Factors	
		F1	F2
9	1. *The University is using outdated workload management systems*	*1*	*0*
7	2. *The University has adopted best current practice for the performance management of its staff*	*-3*	*0*
2	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	1
3	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-2	-2
4	5. The performance management model resulted from effective consultation with staff	-4	-2
3	6. Managers act in order to empower their staff	-3	4
4	7. The terms 'leadership' and 'management' are used interchangeably within the University	2	2
3	8. Managers understand what it means to lead staff effectively	-3	0
3	9. Management fiat is the predominant way in which the University is being run	3	2
4	10. Collegiality is valued within the University	-4	-1
3	11. Collegiality does not exist within the University	4	-2
3	12. Team working is actively supported by line managers	0	3
1	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	3
3	14. Academic staff performance is managed through effective processes and policies	-1	-3
7	15. *Staff workload is linked clearly to achieving local plan objectives*	*0*	*1*
3	16. Performance management is used to ensure local plan objectives are achieved	2	1
3	17. Performance indicators for individual staff are clearly identified	-1	-2
0	18. Student retention rates for each staff member be an effective performance indicator	-3	-5
0	19. Reducing the student:staff ratio would have a positive impact on staff performance	4	4
4	20. A local plan linked to the University Strategy exists within the Academic Group	2	1
4	21. The workload model will enable staffing costs to be managed effectively	0	2
5	22. The checking mechanism for workloads to ensure equity across the University, is clearly defined	-2	-1
2	23. Academic staff have autonomy in their roles	-4	5
6	24. Academic Groups have a clearly focused agenda derived from the Strategic Plan	2	-1
6	25. There are clear local objectives set for the Academic Group	1	-1
4	26. The new Academic Groups operate with an appropriate level of autonomy	-1	-3
2	27. There is a well-understood performance management system in operation	-2	-4
3	28. Performance management is really about disciplinary issues	1	-5
2	29. The PDP is effectively used within the Academic Group	-2	-3
4	30. Expected standards or levels of performance are clearly articulated	-1	-1
1	31. The peer observation system is used to effectively support development	1	-4
0	32. The peer observation system forms an integral part of the PDP process	1	-5
3	33. The focus for performance management is on high quality teaching	-2	0
0	34. Support is given for all aspects of the academic role	-5	-4
2	35. Student satisfaction is a valid proxy for staff performance	2	-1
3	36. The workload allocation model is clearly defined	-1	-1
0	37. The workload model values all aspects of the academic role	-5	-3
2	38. Academic staff workloads are probably 'about right' as they are currently	-4	-1
4	39. The workload model provides for equity in workloads across the staff within the University	-2	2
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	2
0	41. Staff workload allocations affect student retention on their programme of study	3	3
4	42. There is equitable workload distribution between male and female academic staff	1	5
1	43. The workload model is having a demotivating impact on the academic role	5	0
5	44. Peer pressure is used in place of positive management of workloads	1	-2
10	45. *Models for workload and performance management have been adopted too late to prevent further staffing restructuring*	*0*	*0*
5	46. Linkages between performance and workload management processes are clear	0	0
5	47. Workload and performance management systems should be linked together	3	2
3	48. There is a lack of consistency in the application of the workload and performance systems	3	1
7	49. *There are clear links between workload, performance and the University Strategic Plan*	*-1*	*1*
5	50. The academic staff workload model allows for efficient use of a limited staffing resource	0	1
5	51. The links between the current funding regime and the workload model are clear	0	0
2	52. The modernisation agenda for HE requires an effective workload model	3	5
3	53. Modern management of HE requires effective performance management processes	2	4
6	54. The contractual basis for the workload model is clear	-1	-1
2	55. The contractual basis for performance management is clear	0	-3
4	56. Performance management is an important feature in the academic contract	2	0
6	57. The workload model will help to establish a flexible staffing base	-1	1
5	58. The workload model will reduce overall staffing costs	0	3
4	59. Resource allocation is improved by using the workload allocation model	0	3
3	60. The University has become more student-focused in its management approaches	1	1
3	61. The workload model will help to improve the student experience	0	2
5	62. Performance management processes will improve the student experience	0	0
4	63. There is low morale attributable to the workload and performance management model	4	0
1	64. There is a clear differentiation between the L and SL role requirements	-3	-2
5	65. The staff appraisal process is clearly understood by staff	1	-4
2	66. The rationale for the workload management model is clear	-1	0
3	67. The rationale for performance management is clear	-2	-2
2	68. Goodwill is playing an ever more important role in effective performance of the academic role	4	4

Italicised statements show those where the boundary score is greater than half the number (>6.5) undertaking the Q sort

SL Female factor arrays

	SL Female: consensus statements		
		Factors	
Statement	Q tile statements (abridged)	F1	F2
1	The University is using outdated workload management systems…	1	0
4	Consultation over the workload model - framework to staff…	-2	-2
5	*The performance management - effective consultation with staff…*	-4	-2
7	The terms leadership and management - interchangeably…	2	2
9	Management fiat is - way in which the University is being run…	3	2
14	*Academic staff performance - effective processes and policies…*	-1	-3
15	Staff workload is linked clearly to achieving local plan objectives…	0	1
16	Performance management - plan objectives are achieved…	2	1
17	Performance indicators for individual staff are clearly identified…	-1	-2
18	*Student retention rates - performance indicator…*	-3	-5
19	Reducing the student:staff ratio - staff performance…	4	4
20	A local plan linked - exists within the Academic Group…	2	1
21	*The workload model - staffing costs to be managed effectively…*	0	2
22	The checking mechanism - clearly defined…	-2	-1
25	There are clear local objectives set for the Academic Group…	1	-1
26	*The new Academic Groups - an appropriate level of autonomy…*	-1	-3
27	*There is a well-understood - system in operation…*	-2	-4
29	The PDP is effectively used within the Academic Group…	-2	-3
30	Expected standards - performance are clearly articulated…	-1	-1
33	*The focus for performance - high quality teaching…*	-2	0
34	*Support is given for all aspects of the academic role…*	-5	-4
35	*Student satisfaction is a valid proxy for staff performance…*	2	-1
36	The workload allocation model is clearly defined…	-1	-1
41	Staff workload allocations affect student retention…	3	3
45	Models - adopted too late prevent further staffing restructuring…	0	0
46	Linkages between - processes are clear…	0	0
47	Workload and performance - should be linked together…	3	2
48	*There is a lack of consistency in the application - systems…*	3	1
49	*There are clear links - the University Strategic Plan…*	-1	1
50	The academic - efficient use of a limited staffing resource…	0	1
51	The links between - the workload model are clear…	0	0
54	The contractual basis for the workload model is clear…	-1	-1
55	*The contractual basis for performance management is clear…*	0	-3
56	*Performance - is an important feature in the academic contract…*	2	0
57	*The workload model will help to establish a flexible staffing…*	-1	1
60	The University has become more student-focused…	1	1
62	Performance - processes will improve the student experience…	0	0
64	There is a - between the L and SL role requirements…	-3	-2
66	The rationale for the workload management model is clear…	-1	0
67	The rationale for performance management is clear…	-2	-2
68	Goodwill is playing an ever more important - the academic…	4	4

Italicised statements where the difference is >1 between factors or absolute value was 5

	SL Female consensus statements		

Boundary Count	Q tile Statement	F1	F2
	SL Female: statements and factor scores	**Factors**	
		F1	**F2**
2	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	1
4	5. The performance management model resulted from effective consultation with staff	-4	-2
3	6. Managers act in order to empower their staff	-3	4
3	8. Managers understand what it means to lead staff effectively	-3	0
4	10. Collegiality is valued within the University	-4	-1
3	11. Collegiality does not exist within the University	4	-2
3	12. Team working is actively supported by line managers	0	3
1	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	3
3	14. Academic staff performance is managed through effective processes and policies	-1	-3
0	18. Student retention rates for each staff member would be an effective performance indicator	-3	-5
4	21. The workload model will enable staffing costs to be managed effectively	0	2
2	23. Academic staff have autonomy in their roles	-4	5
6	24. Academic Groups have a clearly focused agenda derived from the Strategic Plan	2	-1
4	26. The new Academic Groups operate with an appropriate level of autonomy	-1	-3
2	27. There is a well-understood performance management system in operation	-2	-4
3	28. Performance management is really about disciplinary issues	1	-5
1	31. The peer observation system is used to effectively support development	1	-4
0	32. The peer observation system forms an integral part of the PDP process	1	-5
3	33. The focus for performance management is on high quality teaching	-2	0
0	34. Support is given for all aspects of the academic role	-5	-4
2	35. Student satisfaction is a valid proxy for staff performance	2	-1
0	37. The workload model values all aspects of the academic role	-5	-3
2	38. Academic staff workloads are probably 'about right' as they are currently	-4	-1
4	39. The workload model provides for equity in workloads across the staff within the University	-2	2
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	2
4	42. There is equitable workload distribution between male and female academic staff	1	5
1	43. The workload model is having a demotivating impact on the academic role	5	0
5	44. Peer pressure is used in place of positive management of workloads	1	-2
3	48. There is a lack of consistency in the application of the workload and performance systems	3	1
2	52. The modernisation agenda for HE requires an effective workload model	3	5
3	53. Modern management of HE requires effective performance management processes	2	4
2	55. The contractual basis for performance management is clear	0	-3
4	56. Performance management is an important feature in the academic contract	2	0
6	57. The workload model will help to establish a flexible staffing base	-1	1
5	58. The workload model will reduce overall staffing costs	0	3
4	59. Resource allocation is improved by using the workload allocation model	0	3
3	61. The workload model will help to improve the student experience	0	2
4	63. There is low morale attributable to the workload and performance management model	4	0
5	65. The staff appraisal process is clearly understood by staff	1	-4

SL Female salient statements

Factor 1

Items ranked at +5

3 The University is run by a group of managers operating by diktat rather than through collegiality
40 Increasing academic staff workloads will have a measurable negative effect on role performance
43 The workload model is having a demotivating impact on the academic role

Items ranked higher in F1 array than in F2 array

11 Collegiality does not exist within the University +4
14 Academic staff performance is managed through effective processes and policies -1
18 Student retention rates for each staff member would be an effective performance indicator -3
24 Academic Groups have a clearly focused agenda derived from the Strategic Plan +2
26 The new Academic Groups operate with an appropriate level of autonomy -1
27 There is a well-understood performance management system in operation -2
28 Performance management is really about disciplinary issues +1
31 The peer observation system is used to effectively support development +1
32 The peer observation system forms an integral part of the PDP process +1
35 Student satisfaction is a valid proxy for staff performance +2
44 Peer pressure is used in place of positive management of workloads +1
48 There is a lack of consistency in the application of the workload and performance systems +3
55 The contractual basis for performance management is clear 0
56 Performance management is an important feature in the academic contract +2
63 There is low morale attributable to the workload and performance management model +4
65 The staff appraisal process is clearly understood by staff +1

Items ranked lower in F1 array than F2 array

5 The performance management model resulted from effective consultation with staff -4
6 Managers act in order to empower their staff -3
8 Managers understand what it means to lead staff effectively -3
10 Collegiality is valued within the University -4
12 Team working is actively supported by line managers 0
21 The workload model will enable staffing costs to be managed effectively 0
23 Academic staff have autonomy in their roles -4
33 The focus for performance management is on high quality teaching -2
38 Academic staff workloads are probably 'about right' as they are currently -4
39 The workload model provides for equity in workloads across the staff within the University -2
42 There is equitable workload distribution between male and female academic staff +1
52 The modernisation agenda for HE requires an effective workload model +3
53 Modern management of HE requires effective performance management processes +2
57 The workload model will help to establish a flexible staffing base -1
58 The workload model will reduce overall staffing costs 0
59 Resource allocation is improved by using the workload allocation model 0
61 The workload model will help to improve the student experience 0

Items ranked at -5

13 Workloads of academic staff are effectively managed to 'get the best' out of the staff
34 Support is given for all aspects of the academic role
37 The workload model values all aspects of the academic role

Factor 1 crib sheet for SL female group

Detailed factor statement for F1

Factor 1: Workload woes

Factor 1 has an eigenvalue of 3.51 and explains 27% of the study variance. Eight of the participants are significantly associated with this factor. For the eight participants that load significantly the average length of service is 9.5 years.

There is a strong feeling that the University is being run by a group of managers operating by diktat rather than through collegiality to the extent that collegiality does not exist within the University and is definitely not valued (3:+5, 11:+4, 10:-4). These managers fail to understand what it means to lead staff effectively and therefore are failing to empower their staff (8:-3, 6:-3). There is a strong feeling that this means there is not support being given to all aspects of the academic role by the managers (34:-5). The academic groups do have a focused agenda that is linked to the University's strategic plan and yet they are unable to operate with an appropriate level of autonomy (24:+2, 26:-1). There is an even stronger feeling that this means that academic staff have little autonomy in their roles (23:-4).

The workloads of academic staff are not being effectively managed at all (13:-5) and the model being used does not value all of the aspects of an academic role (37:-5). In fact not only will the increasing staff workloads damage the performance of academic staff in their roles, through lack of positive management resulting in peer pressure coming to the fore, it is already having a clear demotivating effect on those staff (40:+5, 44:+1, 43:+5). It is very clear that academic staff workloads are far from being at the 'right level' (38:-4).

There is a belief that the current workload model is not helping to provide an equitable distribution of workload across all staff in the University and yet at the local level it is felt that there is an equitable workload allocated to male and female staff (39:-2, 42:+1). There is a firm belief that within modern HE environments there needs to be an effective workload model but this will not necessarily help to establish a flexible staffing resource (52:+3, 57:-1). There was ambivalence about how the workload model will reduce overall staff costs, improve resource allocation or improve the student experience (58:0, 21:0, 59:0, 61:0).

Effective performance management is recognised as being an important part of the academic contract (56:+2) necessary for the modern management of HE and yet there was also an acknowledgement that there was a lack of clarity as to what processes were implied (53:+2). The staff appraisal process was understood in terms of how the peer observation process is effectively used and is integral to the staff PDP (65:+1, 31:+1, 32:+1). There is a view that academic staff performance is not managed through effective policies and processes, to the extent that the performance management system is not well understood at all (14:-1, 27:-2) probably by virtue of the fact that the model being used did not result from any effective consultation with the staff (5:-4).

Whilst there is a feeling that student satisfaction measures can be a valid proxy for staff performance the current model does not focus on high quality teaching (35:+2, 33:-2). Equally there was a firm view that student retention rates on their programmes would not be an effective performance indicator (18:-3).

There is a definite lack of consistency in the application of the workload and performance management models resulting in a very strong sense of low morale amongst staff (48:+3, 63:+4), and a feeling that performance management in particular is really about disciplinary matters (28:+1).

Detailed factor statement for F1 for the SL Female group

Crib sheet for F2

Factor 2

Items ranked at +5

23 Academic staff have autonomy in their roles
42 There is equitable workload distribution between male and female academic staff
52 The modernisation agenda for HE requires an effective workload model

Items ranked higher in F2 array than in F1 array

5 The performance management model resulted from effective consultation with staff -2
6 Managers act in order to empower their staff +4
8 Managers understand what it means to lead staff effectively 0
10 Collegiality is valued within the University -1
12 Team working is actively supported by line managers +3
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff +3
21 The workload model will enable staffing costs to be managed effectively +2
33 The focus for performance management is on high quality teaching 0
34 Support is given for all aspects of the academic role -4
37 The workload model values all aspects of the academic role -3
38 Academic staff workloads are probably 'about right' as they are currently -1
39 The workload model provides for equity in workloads across the staff within the University +2
53 Modern management of HE requires effective performance management processes +4
57 The workload model will help to establish a flexible staffing base +1
58 The workload model will reduce overall staffing costs +3
59 Resource allocation is improved by using the workload allocation model +3
61 The workload model will help to improve the student experience +2

Items ranked lower in F2 array than F1 array

3 The University is run by a group of managers operating by diktat rather than through collegiality +1
11 Collegiality does not exist within the University -2
14 Academic staff performance is managed through effective processes and policies -3
24 Academic Groups have a clearly focused agenda derived from the Strategic Plan -1
26 The new Academic Groups operate with an appropriate level of autonomy -3
27 There is a well-understood performance management system in operation -4
31 The peer observation system is used to effectively support development -4
35 Student satisfaction is a valid proxy for staff performance -1
40 Increasing academic staff workloads will have a measurable negative effect on role performance +2
43 The workload model is having a demotivating impact on the academic role 0
44 Peer pressure is used in place of positive management of workloads -2
48 There is a lack of consistency in the application of the workload and performance systems +1
55 The contractual basis for performance management is clear -3
56 Performance management is an important feature in the academic contract 0
63 There is low morale attributable to the workload and performance management model 0
65 The staff appraisal process is clearly understood by staff -4

Items ranked at -5

18 Student retention rates for each staff member would be an effective performance indicator
28 Performance management is really about disciplinary issues
32 The peer observation system forms an integral part of the PDP process

Factor 2 crib sheet for SL female group

Detailed factor statement for F2

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Factor 2: The workload and performance seesaw

Factor 2 has an eigenvalue of 1.43 and explains 11% of the study variance. Three of the participants are significantly associated with this factor. For the three participants that load significantly the average length of service is 16.7 years.

It is strongly believed that there is an equitable workload distribution between male and female academic staff at the local level and at the University level this is translated into equity of workloads across all academic staff (42:+5, 39:+2). This is borne out of a conviction that modern HE requires an effective workload model to be in place (52:+5). Resource allocation will certainly be improved by using the workload model which will, in turn, reduce the overall staffing costs to the University (59:+3, 58:+3) probably through a more flexible staffing resource (57:+1). Additionally, the workload model will clearly help to effectively manage staffing costs (21:+2). The current workload model will also help to improve the student experience (61:+2). Overall there is positive management of workloads rather than allowing peer pressure to dominate (44:-2).

On the negative side there is a firm belief that the workloads of staff are not being managed in order to 'get the best' out of the staff as they are not acceptable currently (13:+3, 38:-1). The workload model certainly does not value all aspects encompassed by an academic role (37:-3). Clearly, increasing staff workloads will have a demonstrable negative effect on role performance although whether this is having a demotivating impact on academic staff is less clear (40:+2, 43:0).

There is a strong recognition that modern HE does require effective performance management processes (53:+4). However, the current performance management model did not result from effective consultation with the staff (5:-2). The result is that academic staff performance is not being managed through effective policies and processes (14:-3). The actual contractual basis for the processes used is distinctly unclear (55:-3). This is exemplified by the fact that the performance management system itself is not understood because of a lack of an effective peer observation system to support development coupled with a poorly understood staff appraisal system (27:-4, 31:-4, 65:-4). There is an even stronger belief that the peer observation system does not form part of the PDP process (32:-5). Student retention rates would definitely not be an effective performance indicator in the same way that student satisfaction may not be a valid proxy for staff performance (18:-5, 35:-1). On the positive side, performance management is not viewed as being essentially about disciplinary matters (28:-5). There was no strong feeling about whether or not the focus of performance management may be on high quality teaching (33:0).

There is a belief that the University is being run by a group of managers operating through diktat rather than in a collegial manner leading to the views that collegiality is not valued and actually does not exist (3:+1, 10:-1, 11:-2). Managers may not understand what it means to lead staff effectively and this manifests itself through a strong feeling that there is not support for all aspects of the academic role (8:0, 34:-4). There are positives though in that managers are acting to empower their staff through active support for team working (6:+4, 12:+3). This leads to a strong sense that academic staff have autonomy within their roles (23:+5).

Academic groups do not have an appropriate level of autonomy probably because they do not have a clearly articulated agenda derived from the University strategic plan (26:-3, 24:-1). There is a lack of consistency in the application of the workload and performance management models (48:+1).

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Detailed factor statement for F2 for the SL Female group

Appendix 12

Data and factor statements for L Male group

A two factor solution was derived as the only viable solution to the data set as shown in the rotated factor loadings (at a significance level of p<0.01) table in this appendix and labelled 'F1' and 'F2'. This solution shows that 10 of the 13 Q sorts load significantly on the factors (as indicated by the 'x') with Q sorts 6, 7 and 10 being confounded on both factors and therefore excluded, with an actual significant factor loading of 0.4 used. Thus the two factors capture the majority of the views expressed in the individual Q sorts which is important for the validity and reliability of the solution.

The confirmation of the two factor solution rests on the statistical tests that have been described earlier. The EVs are as calculated and shown in this appendix and they pass the Kaiser-Guttman criterion of being >1.0. In the rotated factor loadings table the standard error products are shown along with value of twice the standard error for the study which is 0.24 (derived from the equation in Appendix 8) and for both factors Humphrey's test is passed, which again is another indicator these 2 factors being valid. The variance figure for each factor is important because it is a measure of what is common across the Q sorts that make up that factor in this case the two factors account for just under 41% of the variance. As a final confirmation that this 2 factor solution is valid there are more than two factor loadings on each factor that exceed the calculated significant factor loading. The factor arrays and subsequent tables of statements in line with the process described earlier are given in this appendix along with the full factor statements for each of the factors in this solution.

Male Lecturers					
Q Sort	F1		F2		h2 (%)
LM01	0.82	X	0.22		72
LM02	0.63	X	0.09		41
LM03	0.37		0.42	X	31
LM04	-0.36		0.47	X	35
LM05	0.36		0.6	X	49
LM06	0.36		0.37		27
LM07	0.49		0.5		49
LM08	0.61	X	0.14		39
LM09	0.69	X	-0.03		48
LM10	0.37		0.28		22
LM11	0		0.42	X	18
LM12	0.18		0.76	X	61
LM13	0.61	X	0.17		40
EV	3.22		2.08		
Standard error product	0.57		0.46		
Variance (%)	24.77		16		
Significant Factor Loading (calculated)	**0.31**				
Standard error	**0.12**				
2x Standard Error	0.24				
L Male rotated factor loadings					

Boundary Count	Q tile Statement	F1	F2
	L Male: statements and factor scores	**Factors**	
		F1	**F2**
8	1. *The University is using outdated workload management systems*	*2*	*0*
5	2. The University has adopted best current practice for the performance management of its staff	-3	-4
1	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	-1
4	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-2	-1
4	5. The performance management model resulted from effective consultation with staff	-2	-1
3	6. Managers act in order to empower their staff	-4	1
4	7. The terms 'leadership' and 'management' are used interchangeably within the University	3	-2
4	8. Managers understand what it means to lead staff effectively	-4	2
2	9. Management fiat is the predominant way in which the University is being run	5	1
4	10. Collegiality is valued within the University	0	3
2	11. Collegiality does not exist within the University	0	-4
4	12. Team working is actively supported by line managers	2	4
0	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-3
5	14. Academic staff performance is managed through effective processes and policies	-5	2
5	15. Staff workload is linked clearly to achieving local plan objectives	-3	-1
4	16. Performance management is used to ensure local plan objectives are achieved	0	1
4	17. Performance indicators for individual staff are clearly identified	-1	0
3	18. Student retention rates for each staff member would be an effective performance indicator	-3	1
1	19. Reducing the student:staff ratio would have a positive impact on staff performance	3	3
6	20. A local plan linked to the University Strategy exists within the Academic Group	0	1
8	21. *The workload model will enable staffing costs to be managed effectively*	*2*	*-1*
3	22. The checking mechanism for workloads to ensure equity across the University, is clearly defined	-2	-2
4	23. Academic staff have autonomy in their roles	-3	3
7	24. *Academic Groups have a clearly focused agenda derived from the Strategic Plan*	*-1*	*0*
6	25. There are clear local objectives set for the Academic Group	-1	0
1	26. The new Academic Groups operate with an appropriate level of autonomy	-2	3
4	27. There is a well-understood performance management system in operation	-3	-2
2	28. Performance management is really about disciplinary issues	1	-5
7	29. *The PDP is effectively used within the Academic Group*	*-1*	*0*
6	30. Expected standards or levels of performance are clearly articulated	-1	1
4	31. The peer observation system is used to effectively support development	1	-2
8	32. *The peer observation system forms an integral part of the PDP process*	*1*	*-1*
4	33. The focus for performance management is on high quality teaching	0	4
1	34. Support is given for all aspects of the academic role	-5	0
3	35. Student satisfaction is a valid proxy for staff performance	1	5
3	36. The workload allocation model is clearly defined	1	-1
2	37. The workload model values all aspects of the academic role	-4	-4
2	38. Academic staff workloads are probably 'about right' as they are currently	-4	-5
3	39. The workload model provides for equity in workloads across the staff within the University	0	0
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	4
1	41. Staff workload allocations affect student retention on their programme of study	4	4
2	42. There is equitable workload distribution between male and female academic staff	3	5
4	43. The workload model is having a demotivating impact on the academic role	4	-2
4	44. Peer pressure is used in place of positive management of workloads	2	-5
9	45. *Models for workload and performance management have been adopted too late to prevent further staffing restructuring*	*1*	*-3*
3	46. Linkages between performance and workload management processes are clear	-1	-3
3	47. Workload and performance management systems should be linked together	3	3
3	48. There is a lack of consistency in the application of the workload and performance systems	2	2
3	49. There are clear links between workload, performance and the University Strategic Plan	-2	-1
6	50. The academic staff workload model allows for efficient use of a limited staffing resource	-2	-3
5	51. The links between the current funding regime and the workload model are clear	-1	-4
3	52. The modernisation agenda for HE requires an effective workload model	4	2
4	53. Modern management of HE requires effective performance management processes	2	2
4	54. The contractual basis for the workload model is clear	0	0
5	55. The contractual basis for performance management is clear	-1	0
6	56. Performance management is an important feature in the academic contract	0	2
5	57. The workload model will help to establish a flexible staffing base	0	1
8	58. *The workload model will reduce overall staffing costs*	*1*	*-2*
7	59. *Resource allocation is improved by using the workload allocation model*	*1*	*-2*
4	60. The University has become more student-focused in its management approaches	2	1
3	61. The workload model will help to improve the student experience	0	0
5	62. Performance management processes will improve the student experience	1	2
2	63. There is low morale attributable to the workload and performance management model	4	1
2	64. There is a clear differentiation between the L and SL role requirements	0	-3
4	65. The staff appraisal process is clearly understood by staff	-2	-1
5	66. The rationale for the workload management model is clear	-1	0
5	67. The rationale for performance management is clear	0	0
2	68. Goodwill is playing an ever more important role in effective performance of the academic role	3	5

Italicised statements show those where the boundary score is greater than half the number (>6.5) undertaking the Q sort

L Male factor arrays

L Male: consensus statements			
		Factors	
Statement	**Q tile statements (abridged)**	**F1**	**F2**
1	*The University is using outdated workload management systems…*	*2*	*0*
2	The University has adopted best current practice for - staff…	-3	-4
4	Consultation over the workload model - framework to staff…	-2	-1
5	The performance management - effective consultation with staff…	-2	-1
13	*Workloads of academic staff are effectively managed…*	*-5*	*-3*
15	*Staff workload is linked clearly to achieving local plan objectives…*	*-3*	*-1*
16	Performance management - plan objectives are achieved…	0	1
17	Performance indicators for individual staff are clearly identified…	-1	0
19	Reducing the student:staff ratio - staff performance…	3	3
20	A local plan linked - exists within the Academic Group…	0	1
22	The checking mechanism - clearly defined…	-2	-2
24	Academic Groups have a clearly focused agenda…	-1	0
25	There are clear local objectives set for the Academic Group…	-1	0
27	There is a well-understood - system in operation…	-3	-2
29	The PDP is effectively used within the Academic Group…	-1	0
30	*Expected standards - performance are clearly articulated…*	*-1*	*1*
31	*The peer observation - effectively support development…*	*1*	*-2*
32	*The peer observation system - part of the PDP process…*	*1*	*-1*
36	*The workload allocation model is clearly defined…*	*1*	*-1*
37	The workload model values all aspects of the academic role…	-4	-4
38	*Academic staff workloads - about right as they are currently…*	*-4*	*-5*
39	The workload model provides for equity in workloads…	0	0
40	*Increasing - workloads will have a - effect on role performance…*	*5*	*4*
41	Staff workload allocations affect student retention…	4	4
42	*There is equitable workload - male and female academic staff…*	*3*	*5*
46	*Linkages between - processes are clear…*	*-1*	*-3*
47	Workload and performance - should be linked together…	3	3
48	There is a lack of consistency in the application - systems…	2	2
49	There are clear links - the University Strategic Plan…	-2	-1
50	The academic - efficient use of a limited staffing resource…	-2	-3
52	*The modernisation - requires an effective workload model…*	*4*	*2*
53	Modern management - performance management processes…	2	2
54	The contractual basis for the workload model is clear…	0	0
55	The contractual basis for performance management is clear…	-1	0
56	*Performance - is an important feature in the academic contract…*	*0*	*2*
57	The workload model will help to establish a flexible staffing…	0	1
60	The University has become more student-focused…	2	1
61	The workload model will help to improve the student experience…	0	0
62	Performance - processes will improve the student experience…	1	2
65	The staff appraisal process is clearly understood by staff…	-2	-1
66	The rationale for the workload management model is clear…	-1	0
67	The rationale for performance management is clear…	0	0
68	*Goodwill is playing an ever more important - the academic…*	*3*	*5*

Italicised statements where the difference is >1 between factors or absolute value was 5

L Male consensus statements

	L Male: statements and factor scores		
Boundary Count	**Q tile Statement**	**Factors**	
		F1	**F2**
1	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	-1
3	6. Managers act in order to empower their staff	-4	1
4	7. The terms 'leadership' and 'management' are used interchangeably within the University	3	-2
4	8. Managers understand what it means to lead staff effectively	-4	2
2	9. Management fiat is the predominant way in which the University is being run	5	1
4	10. Collegiality is valued within the University	0	3
2	11. Collegiality does not exist within the University	0	-4
4	12. Team working is actively supported by line managers	2	4
0	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-3
5	14. Academic staff performance is managed through effective processes and policies	-5	2
5	15. Staff workload is linked clearly to achieving local plan objectives	-3	-1
3	18. Student retention rates for each staff member would be an effective performance indicator	-3	1
4	23. Academic staff have autonomy in their roles	-3	3
1	26. The new Academic Groups operate with an appropriate level of autonomy	-2	3
2	28. Performance management is really about disciplinary issues	1	-5
6	30. Expected standards or levels of performance are clearly articulated	-1	1
4	31. The peer observation system is used to effectively support development	1	-2
4	33. The focus for performance management is on high quality teaching	0	4
1	34. Support is given for all aspects of the academic role	-5	0
3	35. Student satisfaction is a valid proxy for staff performance	1	5
3	36. The workload allocation model is clearly defined	1	-1
2	38. Academic staff workloads are probably 'about right' as they are currently	-4	-5
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	4
2	42. There is equitable workload distribution between male and female academic staff	3	5
4	43. The workload model is having a demotivating impact on the academic role	4	-2
4	44. Peer pressure is used in place of positive management of workloads	2	-5
3	46. Linkages between performance and workload management processes are clear	-1	-3
5	51. The links between the current funding regime and the workload model are clear	-1	-4
3	52. The modernisation agenda for HE requires an effective workload model	4	2
6	56. Performance management is an important feature in the academic contract	0	2
2	63. There is low morale attributable to the workload and performance management model	4	1
2	64. There is a clear differentiation between the L and SL role requirements	0	-3
2	68. Goodwill is playing an ever more important role in effective performance of the academic role	3	5
	L Male salient statements		

Crib sheet for F1

Factor 1

Items ranked at +5

3 The University is run by a group of managers operating by diktat rather than through collegiality
9 Management fiat is the predominant way in which the University is being run
40 Increasing academic staff workloads will have a measurable negative effect on role performance

Items ranked higher in F1 array than in F2 array

7 The terms 'leadership' and 'management' are used interchangeably within the University +3
11 Collegiality does not exist within the University 0
28 Performance management is really about disciplinary issues+1
31 The peer observation system is used to effectively support development +1
36 The workload allocation model is clearly defined +1
38 Academic staff workloads are probably 'about right' as they are currently -4
43 The workload model is having a demotivating impact on the academic role +4
44 Peer pressure is used in place of positive management of workloads +2
46 Linkages between performance and workload management processes are clear -1
51 The links between the current funding regime and the workload model are clear -1
52 The modernisation agenda for HE requires an effective workload model +4
63 There is low morale attributable to the workload and performance management model +4
64 There is a clear differentiation between the L and SL role requirements 0

Items ranked lower in F1 array than F2 array

6 Managers act in order to empower their staff -4
8 Managers understand what it means to lead staff effectively -4
10 Collegiality is valued within the University 0
12 Team working is actively supported by line managers +2
15 Staff workload is linked clearly to achieving local plan objectives -3
18 Student retention rates for each staff member would be an effective performance indicator -3
23 Academic staff have autonomy in their roles -3
26 The new Academic Groups operate with an appropriate level of autonomy -2
30 Expected standards or levels of performance are clearly articulated -1
33 The focus for performance management is on high quality teaching 0
35 Student satisfaction is a valid proxy for staff performance +1
42 There is equitable workload distribution between male and female academic staff +3
56 Performance management is an important feature in the academic contract 0
68 Goodwill is playing an ever more important role in effective performance of the academic role +3

Items ranked at -5

13 Workloads of academic staff are effectively managed to 'get the best' out of the staff
14 Academic staff performance is managed through effective processes and policies
34 Support is given for all aspects of the academic role

Factor 1 crib sheet for L male group

Detailed factor statement for F1

Factor 1: Workload gripes

Factor 1 has an eigenvalue of 3.25 and explains 25% of the study variance. Five of the participants are significantly associated with this factor. For the five participants that load significantly the average length of service is 1.4 years.

Academic staff workload is not managed effectively and the University is not managing to 'get the best' out of its academic staff (13:-5). Similarly the performance of academic staff is not managed through effective policies and associated processes (14:-5) meaning that support is not being given to enable staff to fulfil all aspects of their role (34:-5). Goodwill from academic staff is playing an ever more important role in the effective discharge of their duties (68:+3). There was limited recognition that performance management is a feature of the academic contract (56:0) and yet expected standards of role performance were not clearly articulated (30:-1). Student satisfaction is a valid proxy measure of academic staff performance (35:+1) and yet using retention rates as a measure of performance would not be effective (18:-3). Whilst there was a clear recognition that the modernisation agenda for HE required an effective academic workload model to manage the staff resource there was a lack of understanding of the way in which the workloads were affected by the current funding regime for HE (52:+4, 51:-1).

The workload allocation model is defined (36:+1) but the implementation of this model has led to unacceptable individual workloads with the result that the model itself is having a demotivating impact on the academic staff (38:-4, 43:+4). Peer pressure between colleagues is felt to be a more significant driver (44:+2) in managing workloads. There was a definite feeling that there is an equitable distribution of workload between male and female staff (42:+3). Each academic group has a local plan but the staff workloads are not clearly linked to achieving the objectives laid out in the plan (15:-3). Furthermore, as staff workloads are increased, there is a strong feeling that this will have a measurable negative impact on their role performance (40:+5).

In terms of a collegial approach to management there was a strong belief that the management is operating through diktat and executive fiat (3:+5, 9:+5). This leads to a fairly strong sense that the academic groups and the individual staff within them have little autonomy (23:-3, 26:-2).

Managers did not understand what it meant to 'lead' their staff and were unclear over the terms 'leadership' and management' (8:-4, 7:+3). There was a clear tension between a feeling that team working is being supported within the academic groups by the managers and yet the staff are certainly not empowered at all as a result (12:+2, 6:-4).

There was a lack of clarity about how workload and performance management processes were linked (46:-1). There was a feeling that performance management was about disciplinary processes and yet this was contrasted with the feeling that the peer review process was helpful in supporting development of staff (28:+1, 31:+1). This may help to explain the very strong sense that the models being used for workload and performance management were the cause of low morale amongst the academic staff (63:+4).

Detailed factor statement for F1 for the L male group

Crib sheet for F2

Factor 2

Items ranked at +5

35 Student satisfaction is a valid proxy for staff performance
42 There is equitable workload distribution between male and female academic staff
68 Goodwill is playing an ever more important role in effective performance of the academic role

Items ranked higher in F2 array than in F1 array

6 Managers act in order to empower their staff -4
8 Managers understand what it means to lead staff effectively -4
10 Collegiality is valued within the University 0
12 Team working is actively supported by line managers +2
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff -3
14 Academic staff performance is managed through effective processes and policies +2
15 Staff workload is linked clearly to achieving local plan objectives -3
18 Student retention rates for each staff member would be an effective performance indicator -3
23 Academic staff have autonomy in their roles -3
26 The new Academic Groups operate with an appropriate level of autonomy -2
30 Expected standards or levels of performance are clearly articulated -1
33 The focus for performance management is on high quality teaching 0
34 Support is given for all aspects of the academic role 0
56 Performance management is an important feature in the academic contract 0

Items ranked lower in F2 array than F1 array

3 The University is run by a group of managers operating by diktat rather than through collegiality -1
7 The terms 'leadership' and 'management' are used interchangeably within the University +3
9 Management fiat is the predominant way in which the University is being run +1
11 Collegiality does not exist within the University 0
31 The peer observation system is used to effectively support development +1
36 The workload allocation model is clearly defined +1
40 Increasing academic staff workloads will have a measurable negative effect on role performance +4
43 The workload model is having a demotivating impact on the academic role +4
46 Linkages between performance and workload management processes are clear -1
51 The links between the current funding regime and the workload model are clear -1
52 The modernisation agenda for HE requires an effective workload model +4
63 There is low morale attributable to the workload and performance management model +4
64 There is a clear differentiation between the L and SL role requirements 0

Items ranked at -5

28 Performance management is really about disciplinary issues
38 Academic staff workloads are probably 'about right' as they are currently
44 Peer pressure is used in place of positive management of workloads

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Factor 2 crib sheet for L male group

Detailed factor statement for F2

Factor 2: Performance is the key

Factor 2 has an eigenvalue of 2.08 and explains 16% of the study variance. Five of the participants are significantly associated with this factor. For the five participants that load significantly the average length of service is 1.4 years.

Goodwill is playing a very significant role in ensuring the effective performance in an academic role with student satisfaction firmly viewed as a valid proxy for the measure of academic performance (68:+5, 35:+5). It is strongly felt that performance management is not about disciplinary matters (28:-5).

While staff performance is being managed through effective policies and processes the actual standards of performance required are not fully articulated (14:+2, 30:-1) and there was ambivalence about whether or not performance management is about high quality teaching (33:0). Using student retention rates as an indicator of individual academic staff performance is definitely viewed as being unacceptable (18:-3). It was felt that the peer review is an effective way in which to support staff development (31:+1).

In terms of workload there is a strong feeling that this is equitable across male and female staff but overall academic workloads are not at their correct levels (42:+5, 38:-5). The workloads are not being managed in a way that allows academic staff to do their 'best' job (13:-3) despite the fact that the workload allocation model is defined (36:+1). As staff workloads increase there is fairly strong feeling that that this will result in a clear negative impact on job performance to the extent that the current model is having a significant demotivating effect on staff (40:+4, 43:+4).

In terms of management of academic staff there is a strong belief that positive management practices are being used to manage workloads and that it is not simply being left to peer pressure between colleagues (44:-5). Whilst there is a view that management by diktat is not the usual modus operandii of managers generally, there is a view that managers do operate by fiat at the University level (3:-1, 9:+1).

Managers do not understand what it means to 'lead' their staff effectively and yet they use the terms 'leadership' and 'management' interchangeably resulting in a confusion that does not actually empower their staff (8:-4, 7:+3, 6:-4). However, despite this there is a view that local managers actively support team working (12:+2). Neither the academic groups nor individual staff within them feel that they have any autonomy in what they do (23:-3, 26:-2). Additionally, they cannot see a link between the workloads allocated to staff and the achievement of local plan objectives (15:-3).

At the macro level there is a good understanding of the modernisation agenda within HE and that this requires an effective workload model to manage the staff resource (52:+4). However, the links between the funding regime and workloads are as unclear as the linkages between performance and workload management processes (51:-1, 46:-1). These ill-defined linkages may be contributing to the feeling of low morale amongst academic staff (63:+4).

Detailed factor statement for F2 for the L male group

Appendix 13

Data and factor statement for SL Male group

The first matter to note is that the factor loadings are unrotated because it is a single factor. The EV is 5.04 clearly passing the Kaiser-Guttman criterion and Humphrey's test is also comfortably passed both indicating a valid and reliable solution. The variance figure is in excess of 38% and is again within the boundary described earlier to indicate a good solution. As a final confirmation that this single factor solution is valid there are more than two factor loadings on the factor that exceed the calculated significant factor loading. The factor array was then produced as before but in this case PQMethod is unable to work on a single factor and so the formulae were entered into a spreadsheet and a manual calculation of the array was undertaken which is reported in the table in this appendix with the boundary statements italicised. Clearly there are no consensus statements in a single factor solution and so the process at this stage was to proceed directly to the crib sheet in which the boundary statements would be removed. However this stage had to be amended although it remained line with the process described by Watts and Stenner (2012). The aim was to ensure that the mid-ranking statements were not simply discarded (other than those that the boundary process had excluded) but were reviewed in line with the key +5, +4, -5 and -4 statements (these were retained because they define the extremities of the factor itself. Watts and Stenner (2012) suggest that once the statements at the extremities are identified, the remainder of the statements should be examined and those that help to amplify or reinforce the extremities should be considered for keeping to formulate the factor statement. Once again, preserving the holistic view of the

data. This crib sheet is shown in this appendix where reasons are shown against the mid-ranking statements that have been retained to explain the rationale for keeping them in the final factor statement.

Male Senior Lecturers		
Q sort	F1	h2 (%)
SLM01	0.56	31
SLM02	0.79	62
SLM03	0.52	27
SLM04	0.83	69
SLM05	0.54	29
SLM06	0.62	38
SLM07	0.69	48
SLM08	0.6	36
SLM09	0.72	52
SLM10	0.37	14
SLM11	0.63	40
SLM12	0.49	24
SLM13	0.58	34
EV	5.04	
Standard error product	0.66	
Variance (%)	38.77	
Significant Factor Loading (calculated)	**0.31**	
Standard error	**0.12**	
2x Standard Error	0.24	
SL Male factor loadings		

	SL Male: Staements and factor score	Factor
Boundary Count	Q tile Statement	F1
8	1. *The University is using outdated workload management systems*	2
5	2. The University has adopted best current practice for the performance management of its staff	-2
1	3. The University is run by a group of managers operating by diktat rather than through collegiality	3
4	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-4
3	5. The performance management model resulted from effective consultation with staff	-3
4	6. Managers act in order to empower their staff	0
6	7. The terms 'leadership' and 'management' are used interchangeably within the University	2
5	8. Managers understand what it means to lead staff effectively	0
2	9. Management fiat is the predominant way in which the University is being run	4
4	10. Collegiality is valued within the University	-1
2	11. Collegiality does not exist within the University	0
3	12. Team working is actively supported by line managers	2
0	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5
5	14. Academic staff performance is managed through effective processes and policies	-3
9	15. *Staff workload is linked clearly to achieving local plan objectives*	0
8	16. *Performance management is used to ensure local plan objectives are achieved*	1
3	17. Performance indicators for individual staff are clearly identified	-1
1	18. Student retention rates for each staff member would be an effective performance indicator	-3
1	19. Reducing the student:staff ratio would have a positive impact on staff performance	5
6	20. A local plan linked to the University Strategy exists within the Academic Group	1
7	21. *The workload model will enable staffing costs to be managed effectively*	1
3	22. The checking mechanism for workloads to ensure equity across the University, is clearly defined	-5
4	23. Academic staff have autonomy in their roles	2
7	24. *Academic Groups have a clearly focused agenda derived from the Strategic Plan*	1
5	25. There are clear local objectives set for the Academic Group	0
4	26. The new Academic Groups operate with an appropriate level of autonomy	0
2	27. There is a well-understood performance management system in operation	-3
2	28. Performance management is really about disciplinary issues	2
4	29. The PDP is effectively used within the Academic Group	-2
4	30. Expected standards or levels of performance are clearly articulated	0
1	31. The peer observation system is used to effectively support development	-1
2	32. The peer observation system forms an integral part of the PDP process	-1
2	33. The focus for performance management is on high quality teaching	-3
1	34. Support is given for all aspects of the academic role	-2
1	35. Student satisfaction is a valid proxy for staff performance	0
2	36. The workload allocation model is clearly defined	1
1	37. The workload model values all aspects of the academic role	-5
0	38. Academic staff workloads are probably 'about right' as they are currently	-4
2	39. The workload model provides for equity in workloads across the staff within the University	-4
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5
2	41. Staff workload allocations affect student retention on their programme of study	3
3	42. There is equitable workload distribution between male and female academic staff	3
3	43. The workload model is having a demotivating impact on the academic role	4
3	44. Peer pressure is used in place of positive management of workloads	1
7	45. *Models for workload and performance management have been adopted too late to prevent further staffing restructuring*	1
3	46. Linkages between performance and workload management processes are clear	-2
5	47. Workload and performance management systems should be linked together	2
2	48. There is a lack of consistency in the application of the workload and performance systems	4
2	49. There are clear links between workload, performance and the University Strategic Plan	-2
3	50. The academic staff workload model allows for efficient use of a limited staffing resource	0
5	51. The links between the current funding regime and the workload model are clear	0
4	52. The modernisation agenda for HE requires an effective workload model	3
3	53. Modern management of HE requires effective performance management processes	2
5	54. The contractual basis for the workload model is clear	-2
4	55. The contractual basis for performance management is clear	-1
4	56. Performance management is an important feature in the academic contract	1
6	57. The workload model will help to establish a flexible staffing base	-1
4	58. The workload model will reduce overall staffing costs	1
4	59. Resource allocation is improved by using the workload allocation model	-2
2	60. The University has become more student-focused in its management approaches	4
2	61. The workload model will help to improve the student experience	-4
5	62. Performance management processes will improve the student experience	-1
3	63. There is low morale attributable to the workload and performance management model	3
5	64. There is a clear differentiation between the L and SL role requirements	0
6	65. The staff appraisal process is clearly understood by staff	0
4	66. The rationale for the workload management model is clear	-1
4	67. The rationale for performance management is clear	-1
0	68. Goodwill is playing an ever more important role in effective performance of the academic role	5

Italicised statements show those where the boundary score is greater than half the number (>6.5) undertaking the Q sort

	SL Male factor array

SL Male: Single Factor Crib Sheet

Items ranked at +5 or +4
19 Reducing the student:staff ratio would have a positive impact on staff performance +5
40 Increasing academic staff workloads will have a measurable negative effect on role performance +5
68 Goodwill is playing an ever more important role in effective performance of the academic role +5
9 Management fiat is the predominant way in which the University is being run +4
43 The workload model is having a demotivating impact on the academic role +4
48 There is a lack of consistency in the application of the workload and performance systems +4
60 The University has become more student-focused in its management approaches +4

Items ranked at -5 or -4
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff -5
22 The checking mechanism for workloads to ensure equity across the University, is clearly defined -5
37 The workload model values all aspects of the academic role -5
4 Consultation over the workload model has resulted in a universally acceptable framework to staff -4
38 Academic staff workloads are probably 'about right' as they are currently -4
39 The workload model provides for equity in workloads across the staff within the University -4
61 The workload model will help to improve the student experience -4

Additional items
2 The University has adopted best current practice for the performance management of its staff -2
(Fits with the theme raised by the -4/-5 statements)
3 The University is run by a group of managers operating by diktat rather than through collegiality +3
(Fits with item 9 and reinforces the view of unilateral management)
5 The performance management model resulted from effective consultation with staff-3
(Fits in with item 4 about lack of consultation)
10 Collegiality is valued within the University -1
(Amplifies item 9 to an extent)
14 Academic staff performance is managed through effective processes and policies -3
(Balances the negative themes on workload models into performance models)
17 Performance indicators for individual staff are clearly identified -1
(Links with item 14 and provides amplification on performance)
18 Student retention rates for each staff member would be an effective performance indicator -3
(Links with item 61 surrounding academic performance and the student experience)
20 A local plan linked to the University Strategy exists within the Academic Group +1
(Linked with item 49 and provides amplification)
27 There is a well-understood performance management system in operation -3
(Provides further amplification on the views about performance models)
28 Performance management is really about disciplinary issues+2
(Links to item 43 about demotivation)
33 The focus for performance management is on high quality teaching -3
(A view of the role of performance management that contrasts with item 60)
34 Support is given for all aspects of the academic role -2
(Supports items 38 and 39)
36 The workload allocation model is clearly defined +1
(An interesting view in as much as it is positive but only weakly so)
41 Staff workload allocations affect student retention on their programme of study +3
(Supports item 40)
42 There is equitable workload distribution between male and female academic staff +3
(Interesting point regarding the intersection of genders and workloads)
46 Linkages between performance and workload management processes are clear -2
(Key feature of the study!)
47 Workload and performance management systems should be linked together +2
(Supports the view expressed through item 46)
49 There are clear links between workload, performance and the University Strategic Plan -2
(Lack of clear linkages between workload and performance management)
52 The modernisation agenda for HE requires an effective workload model +3
(Amplification on the views about the need for such a model)
53 Modern management of HE requires effective performance management processes +2
(balancing view on the need for performance management)
54 The contractual basis for the workload model is clear -2
(Important because of the apparent 'ignorance' of the commitment to the models)
55 The contractual basis for performance management is clear -1
(Significant because of the apparent 'ignorance' of the academic contractual terms)
59 Resource allocation is improved by using the workload allocation model -2
(Links with the view in item 39 relating to equity of workloads)
62 Performance management processes will improve the student experience-1
(Useful contrast with item 60)
63 There is low morale attributable to the workload and performance management model +3
(Reinforces items 68 and 43)
66 The rationale for the workload management model is clear -1
(Reinforces items 38, 39 and 61)
67 The rationale for performance management is clear -1
(Outlines a position on performance management)

SL Male

Factor 1: Always a glass half full.

This factor has an eigenvalue of 5.04 and explains 39% of the study variance. All 13 members of staff in this group were significantly loaded on this factor. The average length of service for this group of staff is 11.31 years.

Increasing academic staff workloads will certainly have a measurable negative effect on role performance (40:+5) and in fact academic staff workloads are currently not acceptable (38:-4). The result is that there is a clear feeling that the workload model will not help to improve the student experience (61:-4) and that the workloads will negatively affect the retention of students on their programmes of study (41:+3). This could be attributed to the fact that any consultation over the workload model has not resulted in a universally acceptable framework (4:-4) and the rationale for having such a model is unclear (66:-1).

Whilst the modernisation agenda for HE requires an effective workload model (52:+3), workloads of academic staff are definitely not effectively managed to 'get the best' out of the staff (13:-5) especially as the workload model does not value all aspects of the academic role (37:-5). This is compounded by the strong view that the workload model is not providing for equity in workloads across the staff within the University (39:-4) leading to a view that resource allocation will not improve by using the workload allocation model (59:-2). The checking mechanism for workloads to ensure equity across the University, is not clearly defined (22:-5) and yet the model itself is defined (36:+1). Whatever the contractual basis is for the workload model, it is unclear (54:-2) but there is equitable workload distribution between male and female academic staff (42:+3). Ultimately, the view is that the workload model is having a demotivating impact on the academic role (43:+4).

Modern management of HE requires effective performance management processes (53:+2) to be in place and yet there is a feeling that the University has not adopted best current practice for the performance management of its staff (2:-2) with the rationale for performance management being unclear (67:-1). There was also a belief that performance management processes will not improve the student experience (62:-1). Similarly, there is a view that performance indicators for individual staff are not yet identified (17:-1) but a strong feeling exists that using student retention rates for each staff member would not be an effective performance indicator (18:-3).

The contractual basis for performance management is unclear (55:-1) and the model being used is poorly understood (27:-3). This is because the performance management model did not result from effective consultation with staff (5:-3) and therefore has a lack of 'buy in' to the model, resulting in staff performance being managed through ineffective processes and policies (14:-3).

There is a very strong sense that goodwill is playing an ever more important role in effective performance of the academic role (68:+5) and that reducing the student:staff ratio would have a positive impact on staff performance (19:+5). Unfortunately there is also a feeling that support is not being given to all aspects of the academic role (34:-2).

There is a lack of consistency in the application of the workload and performance systems (48:+4) leading to low morale attributable to these workload and performance management models (63:+3). This is compounded by the view that performance management is really about disciplinary issues (28:+2) with a lack of focus on the model being used to develop high quality teaching (33:-3). Workload and performance management systems should be linked together (47:+2) but the linkages between the two processes is unclear in practice (46:-2). This is reinforced by the view that clear links do not exist between workload, performance and the University's Strategic Plan (49:-2).

Management fiat is the predominant way in which the University is being run (9:+4) resulting in managers operating through diktat rather than through collegiality (3:+3). There is a strong feeling that the University has become more student-focused in its management approaches (60:+4).

Full factor statement (single factor solution) for the SL Male group

Appendix 14

Data and factor statements for all 52 staff

A two factor solution was derived as shown in the rotated factor loadings (at a significance level of p<0.01) table in this appendix and labelled 'F1' and 'F2'. This solution shows that 46 of the 52 Q sorts load significantly on the factors (as indicated by the 'x') with Q sorts 4 and 20 being confounded on both factors along with 23, 31, 36 and 49 being insignificant and therefore excluded, with an actual significant factor loading of 0.4 used. The two factors capture the majority of the views expressed in the individual Q sorts.

The confirmation of the two factor solution rests on the statistical tests that have been described earlier. The EVs are as calculated as shown in this appendix and they pass the Kaiser-Guttman criterion of being >1. In the rotated factor loadings table the standard error products are shown along with value of twice the standard error for the study which is 0.24 (derived from the equation in Appendix 8) and for both factors Humphrey's test is passed, which again is another indicator these 2 factors being valid. The variance figure for each factor is important because it is a measure of what is common across the Q sorts that make up that factor in this case the two factors account for 40% of the variance. As a final confirmation that this 2 factor solution is valid there are more than two factor loadings on each factor that exceed the calculated significant factor loading. The factor arrays and subsequent tables of statements in line with the process described earlier are given in this appendix along with the full factor statements for each of the factors in this solution.

All 52 Staff			
Q Sort	F1	F2	h² (%)
LF01	0.36 x	0.19	17
LF02	0.14	0.65 x	44
LF03	0.76 x	0.2	62
LF04	0.51	0.44	45
LF05	0.4 x	0.32	26
LF06	0.6 x	-0.19	40
LF07	0.33	0.41 x	28
LF08	-0.05	0.75 x	57
LF09	-0.19	0.5 x	29
LF10	0.8 x	-0.08	65
LF11	0.6 x	0.09	37
LF12	0.52 x	0.21	31
LF13	-0.32	0.54 x	39
LM01	0.82 x	0.14	69
LM02	0.63 x	-0.02	40
LM03	0.36	0.54 x	42
LM04	-0.34	0.52 x	39
LM05	0.35	0.54 x	41
LM06	0.46 x	0.24	27
LM07	0.59	0.45	55
LM08	0.69 x	0.06	48
LM09	0.7 x	-0.07	49
LM10	0.32	0.39	25
LM11	0.05	0.46 x	21
LM12	0.29	0.53 x	37
LM13	0.6 x	0.15	38
SLF01	0.32	0.44 x	30
SLF02	0.6 x	0.14	38
SLF03	0.72 x	-0.1	53
SLF04	0.77 x	-0.11	61
SLF05	0.3	0.38	23
SLF06	0.6 x	0.29	44
SLF07	0.61 x	0.04	37
SLF08	0.66 x	0.28	51
SLF09	0.49 x	0.23	29
SLF10	-0.29	0.38	23
SLF11	-0.01	0.41 x	17
SLF12	0.67 x	0.13	47
SLF13	0.56 x	0.02	31
SLM01	0.42 x	0.21	22
SLM02	0.76 x	0.21	62
SLM03	0.47 x	0.35	34
SLM04	0.75 x	0.19	60
SLM05	0.62 x	0.07	39
SLM06	0.47 x	0.35	34
SLM07	0.66 x	0.21	48
SLM08	0.71 x	0.05	51
SLM09	0.7 x	-0.05	49
SLM10	0.37	0.19	17
SLM11	0.55 x	0.39	45
SLM12	0.48 x	0.35	35
SLM13	0.51 x	0	26
EV	14.96	5.63	
Standard error product	0.63	0.49	
Variance (%)	28.77	10.83	
Significant Factor Loading (calculated)	**0.31**		
Standard error	**0.12**		
2x Standard Error	0.24		
All 52 staff rotated factor loadings			

	All 52 staff: statements and factor scores		
Boundary Count	**Q tile Statement**	**Factors**	
		F1	**F2**
30	1. *The University is using outdated workload management systems*	*2*	*-3*
23	2. The University has adopted best current practice for the performance management of its staff	-3	-2
8	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	-2
18	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-4	-1
15	5. The performance management model resulted from effective consultation with staff	-4	-1
12	6. Managers act in order to empower their staff	-2	3
21	7. The terms 'leadership' and 'management' are used interchangeably within the University	2	-1
15	8. Managers understand what it means to lead staff effectively	-3	2
11	9. Management fiat is the predominant way in which the University is being run	4	-1
16	10. Collegiality is valued within the University	-2	2
11	11. Collegiality does not exist within the University	2	-4
12	12. Team working is actively supported by line managers	2	4
3	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-2
20	14. Academic staff performance is managed through effective processes and policies	-3	0
29	15. *Staff workload is linked clearly to achieving local plan objectives*	*-1*	*0*
22	16. Performance management is used to ensure local plan objectives are achieved	1	0
14	17. Performance indicators for individual staff are clearly identified	-1	0
6	18. Student retention rates for each staff member would be an effective performance indicator	-4	-3
4	19. Reducing the student:staff ratio would have a positive impact on staff performance	3	5
22	20. A local plan linked to the University Strategy exists within the Academic Group	1	1
26	21. The workload model will enable staffing costs to be managed effectively	1	0
14	22. The checking mechanism for workloads to ensure equity across the University, is clearly defined	-3	-4
14	23. Academic staff have autonomy in their roles	-2	4
27	24. *Academic Groups have a clearly focused agenda derived from the Strategic Plan*	*1*	*1*
21	25. There are clear local objectives set for the Academic Group	0	3
13	26. The new Academic Groups operate with an appropriate level of autonomy	-1	1
13	27. There is a well-understood performance management system in operation	-3	-1
9	28. Performance management is really about disciplinary issues	1	-5
17	29. The PDP is effectively used within the Academic Group	-1	2
18	30. Expected standards or levels of performance are clearly articulated	-1	1
9	31. The peer observation system is used to effectively support development	0	1
14	32. The peer observation system forms an integral part of the PDP process	0	-1
11	33. The focus for performance management is on high quality teaching	-1	2
4	34. Support is given for all aspects of the academic role	-5	-1
7	35. Student satisfaction is a valid proxy for staff performance	0	3
11	36. The workload allocation model is clearly defined	1	-2
7	37. The workload model values all aspects of the academic role	-5	-2
6	38. Academic staff workloads are probably 'about right' as they are currently	-4	-4
13	39. The workload model provides for equity in workloads across the staff within the University	-2	1
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	5
5	41. Staff workload allocations affect student retention on their programme of study	4	2
16	42. There is equitable workload distribution between male and female academic staff	3	4
13	43. The workload model is having a demotivating impact on the academic role	4	-3
15	44. Peer pressure is used in place of positive management of workloads	2	-5
33	45. *Models for workload and performance management have been adopted too late to prevent further staffing restructuring*	*1*	*-3*
18	46. Linkages between performance and workload management processes are clear	-1	-3
14	47. Workload and performance management systems should be linked together	3	4
13	48. There is a lack of consistency in the application of the workload and performance systems	3	0
20	49. There are clear links between workload, performance and the University Strategic Plan	-2	0
18	50. The academic staff workload model allows for efficient use of a limited staffing resource	-1	0
20	51. The links between the current funding regime and the workload model are clear	0	-5
14	52. The modernisation agenda for HE requires an effective workload model	3	3
12	53. Modern management of HE requires effective performance management processes	2	5
22	54. The contractual basis for the workload model is clear	-1	-2
15	55. The contractual basis for performance management is clear	0	-1
20	56. Performance management is an important feature in the academic contract	1	2
24	57. The workload model will help to establish a flexible staffing base	0	0
24	58. The workload model will reduce overall staffing costs	1	0
22	59. Resource allocation is improved by using the workload allocation model	0	0
10	60. The University has become more student-focused in its management approaches	2	2
10	61. The workload model will help to improve the student experience	-2	1
19	62. Performance management processes will improve the student experience	0	1
14	63. There is low morale attributable to the workload and performance management model	4	-2
11	64. There is a clear differentiation between the L and SL role requirements	0	-4
19	65. The staff appraisal process is clearly understood by staff	0	1
12	66. The rationale for the workload management model is clear	-2	0
18	67. The rationale for performance management is clear	0	-1
7	68. Goodwill is playing an ever more important role in effective performance of the academic role	5	3

Italicised statements show those where the boundary score is greater than half the number (>26) undertaking the Q sort

	All 52 staff factor arrays		

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	All 52 staff: consensus statements		
		Factors	
Statement	**Q tile statements (abridged)**	**F1**	**F2**
2	The University has adopted best current practice for…	-3	-2
15	Staff workload is linked clearly to achieving local plan…	-1	0
16	Performance management - plan objectives are achieved…	1	0
18	Student retention rates - performance indicator…	-4	-3
19	*Reducing the student:staff ratio - staff performance…*	*3*	*5*
21	The workload model - staffing costs to be managed effectively…	1	0
22	The checking mechanism - clearly defined…	-3	-4
27	*There is a well-understood - system in operation…*	*-3*	*-1*
32	The peer observation system - part of the PDP process…	0	-1
38	Academic staff workloads - about right as they are currently…	-4	-4
47	Workload and performance - should be linked together…	3	4
50	The academic - efficient use of a limited staffing resource…	-1	0
52	The modernisation - requires an effective workload model…	3	3
54	The contractual basis for the workload model is clear…	-1	-2
55	The contractual basis for performance management is clear…	0	-1
57	The workload model will help to establish a flexible staffing…	0	0
58	The workload model will reduce overall staffing costs…	1	0
59	Resource - by using the workload allocation model…	0	0
60	The University has become more student-focused…	2	2
67	The rationale for performance management is clear…	0	-1

Italicised statements where the difference is >1 between factors or absolute value was 5

All 52 staff consensus statements

Boundary Count	Q tile Statement	Factors	
		F1	F2
8	3. The University is run by a group of managers operating by diktat rather than through collegiality	5	-2
18	4. Consultation over the workload model has resulted in a universally acceptable framework to staff	-4	-1
15	5. The performance management model resulted from effective consultation with staff	-4	-1
12	6. Managers act in order to empower their staff	-2	3
21	7. The terms 'leadership' and 'management' are used interchangeably within the University	2	-1
15	8. Managers understand what it means to lead staff effectively	-3	2
11	9. Management fiat is the predominant way in which the University is being run	4	-1
16	10. Collegiality is valued within the University	-2	2
11	11. Collegiality does not exist within the University	2	-4
12	12. Team working is actively supported by line managers	2	4
3	13. Workloads of academic staff are effectively managed to 'get the best' out of the staff	-5	-2
20	14. Academic staff performance is managed through effective processes and policies	-3	0
14	17. Performance indicators for individual staff are clearly identified	-1	0
4	19. Reducing the student:staff ratio would have a positive impact on staff performance	3	5
22	20. A local plan linked to the University Strategy exists within the Academic Group	1	1
14	23. Academic staff have autonomy in their roles	-2	4
21	25. There are clear local objectives set for the Academic Group	0	3
13	26. The new Academic Groups operate with an appropriate level of autonomy	-1	1
13	27. There is a well-understood performance management system in operation	-3	-1
9	28. Performance management is really about disciplinary issues	1	-5
17	29. The PDP is effectively used within the Academic Group	-1	2
18	30. Expected standards or levels of performance are clearly articulated	-1	1
9	31. The peer observation system is used to effectively support development	0	1
11	33. The focus for performance management is on high quality teaching	-1	2
4	34. Support is given for all aspects of the academic role	-5	-1
7	35. Student satisfaction is a valid proxy for staff performance	0	3
11	36. The workload allocation model is clearly defined	1	-2
7	37. The workload model values all aspects of the academic role	-5	-2
13	39. The workload model provides for equity in workloads across the staff within the University	-2	1
0	40. Increasing academic staff workloads will have a measurable negative effect on role performance	5	5
5	41. Staff workload allocations affect student retention on their programme of study	4	2
16	42. There is equitable workload distribution between male and female academic staff	3	4
13	43. The workload model is having a demotivating impact on the academic role	4	-3
15	44. Peer pressure is used in place of positive management of workloads	2	-5
18	46. Linkages between performance and workload management processes are clear	-1	-3
13	48. There is a lack of consistency in the application of the workload and performance systems	3	0
20	49. There are clear links between workload, performance and the University Strategic Plan	-2	0
20	51. The links between the current funding regime and the workload model are clear	0	-5
12	53. Modern management of HE requires effective performance management processes	2	5
20	56. Performance management is an important feature in the academic contract	1	2
10	61. The workload model will help to improve the student experience	-2	1
19	62. Performance management processes will improve the student experience	0	1
14	63. There is low morale attributable to the workload and performance management model	4	-2
11	64. There is a clear differentiation between the L and SL role requirements	0	-4
19	65. The staff appraisal process is clearly understood by staff	0	1
12	66. The rationale for the workload management model is clear	-2	0
7	68. Goodwill is playing an ever more important role in effective performance of the academic role	5	3

All 52 staff: statements and factor scores

All 52 staff salient statements

Crib sheet for F1

Factor 1: All 52 Staff

Items ranked at +5
3 The University is run by a group of managers operating by diktat rather than through collegiality
40 Increasing academic staff workloads will have a measurable negative effect on role performance
68 Goodwill is playing an ever more important role in effective performance of the academic role

Items ranked higher in F1 array than in F2 array
7 The terms 'leadership' and 'management' are used interchangeably within the University +2
9 Management fiat is the predominant way in which the University is being run +4
11 Collegiality does not exist within the University +2
20 A local plan linked to the University Strategy exists within the Academic Group +1
28 Performance management is really about disciplinary issues +1
36 The workload allocation model is clearly defined +1
41 Staff workload allocations affect student retention on their programme of study +4
43 The workload model is having a demotivating impact on the academic role +4
44 Peer pressure is used in place of positive management of workloads +2
46 Linkages between performance and workload management processes are clear -1
48 There is a lack of consistency in the application of the workload and performance systems +3
51 The links between the current funding regime and the workload model are clear 0
63 There is low morale attributable to the workload and performance management model +4
64 There is a clear differentiation between the L and SL role requirements 0

Items ranked lower in F1 array than F2 array
4 Consultation over the workload model has resulted in a universally acceptable framework to staff -4
5 The performance management model resulted from effective consultation with staff -4
6 Managers act in order to empower their staff -2
8 Managers understand what it means to lead staff effectively -3
10 Collegiality is valued within the University -2
12 Team working is actively supported by line managers +2
14 Academic staff performance is managed through effective processes and policies -3
17 Performance indicators for individual staff are clearly identified -1
19 Reducing the student:staff ratio would have a positive impact on staff performance +3
23 Academic staff have autonomy in their roles -2
25 There are clear local objectives set for the Academic Group 0
27 There is a well-understood performance management system in operation -3
29 The PDP is effectively used within the Academic Group -1
30 Expected standards or levels of performance are clearly articulated -1
31 The peer observation system is used to effectively support development 0
33 The focus for performance management is on high quality teaching -1
35 Student satisfaction is a valid proxy for staff performance 0
39 The workload model provides for equity in workloads across the staff within the University -2
42 There is equitable workload distribution between male and female academic staff +3
49 There are clear links between workload, performance and the University Strategic Plan -2
53 Modern management of HE requires effective performance management processes +2
56 Performance management is an important feature in the academic contract +1
61 The workload model will help to improve the student experience -2
62 Performance management processes will improve the student experience 0
65 The staff appraisal process is clearly understood by staff 0
66 The rationale for the workload management model is clear -2

Items ranked at -5
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff
34 Support is given for all aspects of the academic role
37 The workload model values all aspects of the academic role

Detailed factor statement for F1

All 52 Staff: Factor 1: A poor performance

Factor 1 has an eigenvalue of 15.08 and explains 29% of the study variance. 34 of the participants are significantly associated with this factor. For the 34 participants that load significantly the average length of service is 7.68 years. There are Q sorts that significantly load on this factor from all 4 sub-groups of staff.

There is a very strong belief that the workloads of academic staff are not being effectively managed to 'get the best' out of the staff and that the model currently used does not value all aspects of the academic role (13:-5, 37:-5). Peer pressure is used in place of positive management of workloads (44:+2). Consultation over the workload model has resulted in a model that is not universally acceptable to staff and consequently the workload model is having a demotivating impact on the academic role (4:-4, 43:+4). Whilst the workload allocation model is defined, the rationale for its introduction is unclear (36:+1, 66:-2).

Whilst there is a strong feeling that there is equitable workload distribution between male and female academic staff (42:+3), the same is not true for the staff in general across the University (39:-2). In relation to the students there was a strong belief that staff workload allocations negatively affect student retention on their programme of study (41:+4) and will not help to improve the student experience (61:-2).

It is recognised that modern management of HE requires effective performance management processes and that performance management features in the academic contract (53:+2, 56:+1). However, the current performance management model was not the result of effective consultation with staff (5:-4). Academic staff performance is not being managed through effective processes and policies as evidenced by the clear view that the current performance management system is not understood (14:-3, 27:-3). Crucially, performance indicators for individual staff are not clearly identified (17:-1).

A very strong view was expressed that increasing academic staff workloads will also have a measurable negative effect on role performance (40:+5) whilst reducing the student:staff ratio would have a positive impact on staff performance (19:+3). There is a view that performance management is really about disciplinary issues (28:+1) coupled with a very strong view that support is not given for all aspects of the academic role (34:-5).

Expected standards or levels of performance are not articulated and neither is the PDP used effectively within the Academic Group to support setting performance standards (30:-1, 29:-1). Whilst the focus for performance management is not on high quality teaching (33:-1) there was ambivalence out whether performance management processes will improve the student experience (62:0) or whether student satisfaction is a valid proxy for staff performance (35:0). Overall, there is a strong sense that goodwill is playing an ever more important role in effective performance of the academic role (68:+5).

There is a strong sense that the University is run by a group of managers operating by diktat rather than through collegiality with management fiat being dominant (3:+5, 9:+4) leading to low morale attributable to the workload and performance management model (63:+4). There is clearly a lack of consistency in the application of the workload and performance systems (48:+3) across the University. Whilst a local plan linked to the University Strategy exists within the Academic Group the local objectives are not explicit (20:+1, 25:0). The links between workload, performance and the University Strategic Plan are not clear as indeed the linkages between performance and workload management processes are unclear (49:-2, 46:-1).

Whilst the terms 'leadership' and 'management' are used interchangeably within the University, managers have little understanding of what it means to lead staff effectively (7:+2, 8:-3). Managers do not act in order to empower their staff and yet there is still a feeling that team working is actively supported by line managers (6:-2, 12:+2) although the staff have little autonomy in their roles (23:-2). Collegiality does not exist within the University and neither is it valued within the University (11:+2, 10:-2).

Crib sheet for F2

Factor 2: All 52 Staff

Items ranked at +5
19 Reducing the student:staff ratio would have a positive impact on staff performance
40 Increasing academic staff workloads will have a measurable negative effect on role performance
53 Modern management of HE requires effective performance management processes

Items ranked higher in F2 array than in F1 array
4 Consultation over the workload model has resulted in a universally acceptable framework to staff -1
5 The performance management model resulted from effective consultation with staff -1
6 Managers act in order to empower their staff +3
8 Managers understand what it means to lead staff effectively +2
10 Collegiality is valued within the University +2
12 Team working is actively supported by line managers +4
13 Workloads of academic staff are effectively managed to 'get the best' out of the staff -2
14 Academic staff performance is managed through effective processes and policies 0
17 Performance indicators for individual staff are clearly identified 0
20 A local plan linked to the University Strategy exists within the Academic Group +1
23 Academic staff have autonomy in their roles +4
25 There are clear local objectives set for the Academic Group +3
26 The new Academic Groups operate with an appropriate level of autonomy +1
27 There is a well-understood performance management system in operation -1
29 The PDP is effectively used within the Academic Group +2
30 Expected standards or levels of performance are clearly articulated +1
31 The peer observation system is used to effectively support development +1
33 The focus for performance management is on high quality teaching +2
34 Support is given for all aspects of the academic role -1
35 Student satisfaction is a valid proxy for staff performance +3
37 The workload model values all aspects of the academic role -2
39 The workload model provides for equity in workloads across the staff within the University +1
42 There is equitable workload distribution between male and female academic staff +4
49 There are clear links between workload, performance and the University Strategic Plan 0
56 Performance management is an important feature in the academic contract +2
61 The workload model will help to improve the student experience +1
62 Performance management processes will improve the student experience +1
65 The staff appraisal process is clearly understood by staff +1
66 The rationale for the workload management model is clear 0

Items ranked lower in F2 array than F1 array
3 The University is run by a group of managers operating by diktat rather than through collegiality -2
7 The terms 'leadership' and 'management' are used interchangeably within the University -1
9 Management fiat is the predominant way in which the University is being run -1
11 Collegiality does not exist within the University -4
36 The workload allocation model is clearly defined -2
41 Staff workload allocations affect student retention on their programme of study +2
43 The workload model is having a demotivating impact on the academic role -3
46 Linkages between performance and workload management processes are clear -3
48 There is a lack of consistency in the application of the workload and performance systems 0
63 There is low morale attributable to the workload and performance management model -2
64 There is a clear differentiation between the L and SL role requirements -4
68 Goodwill is playing an ever more important role in effective performance of the academic role +3

Items ranked at -5
28 Performance management is really about disciplinary issues
44 Peer pressure is used in place of positive management of workloads
51 The links between the current funding regime and the workload model are clear

Detailed factor statement for F2

All 52 Staff

Factor 2: Feeling positive

Factor 2 has an eigenvalue of 5.72 and explains 11% of the study variance. Twelve of the participants are significantly associated with this factor. For the twelve participants that load significantly the average length of service is 3.25 years. No Q sorts from the group male Senior Lecturers load on this factor.

Whilst the links between the current funding regime and the workload model are very clear there is a strong perception that increasing academic staff workloads will have a measurable negative effect on role performance (51:+5, 40:+5). Consultation over the workload model has not resulted in a universally acceptable framework since the workload model does not value all aspects of the academic role and is ill-defined (4:-1, 37: -2, 36:-2). There is a view that workloads of academic staff are not effectively managed to 'get the best' out of the staff with peer pressure being relied on in place of positive management of workloads (13:-2, 44:+5). The workload model is providing some equity in workloads across the staff within the University (39:+1) and there is an equitable workload distribution between male and female academic staff (42:+4). There is a sense that the workload model will help to improve the student experience (61:+1) and it will have a positive effect student retention on their programme of study (41:+2). The workload model itself is not having a demotivating impact on the academic role (43:-3).

Modern management of HE certainly requires effective performance management processes to be in place and yet the current model did not result from effective consultation with staff (53:+5, 5:-1). Whether academic staff performance is managed through effective processes and policies (14:0) is debateable because there is not a well-understood performance management system in operation (27: -1). There is a feeling that performance management is an important feature in the academic contract (56:+2) and that performance management processes will improve the student experience (62:+1), to the extent that student satisfaction is believed to be a valid proxy for staff performance (35:+3).

Linked with this is a feeling that the focus for performance management is rightly on high quality teaching (33:+2). A very strong feeling exists that reducing the student:staff ratio would have a positive impact on staff performance (19:+5). Expected standards or levels of performance are articulated for academic staff and yet there is uncertainty about whether performance indicators for individual staff are clearly identified (30:+1, 17:0). A strong feeling was held that performance management is not about disciplinary issues (28:-5) but goodwill is playing an ever more important role in effective performance of the academic role (68:+3).

The PDP is effectively used within the Academic Groups with a clearly understood staff appraisal system (29:+2, 65:+1). The peer observation system is used to support development of staff but that support is not forthcoming for all aspects of the academic role (31:+1, 34:-1). A problem compounded by a lack of clear differentiation between the L and SL role requirements (64: -4).

There is a firm belief that the linkages between performance and workload management processes themselves are unclear (46:-3). There is a feeling that there is not low morale amongst staff that is attributable to the workload and performance management models (63:-2).

Managers do act in order to empower their staff and they do understand what it means to lead staff effectively (6:+3, 8:+2) without using the terms 'leadership' and 'management' interchangeably (7:-1). Collegiality is valued within the University and it certainly does exist! (10:+2, 11:-4) Hence the sense that the University is not being run by a group of managers operating by diktat rather than through collegiality (3:-2) and management fiat is not dominant (9:-1). There is a clear sense that as a result of this team working is actively supported by line managers (12:+4) and the academic staff do have autonomy in their roles (23:+4). All of this is facilitated by a local plan within the Academic Groups linked to the University Strategy (20:+1) that sets fairly clear local objectives for the Academic Group (25:+3). These Academic Groups operate with an appropriate level of autonomy (26:+1).

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