

# Workload Management for Academic Staff

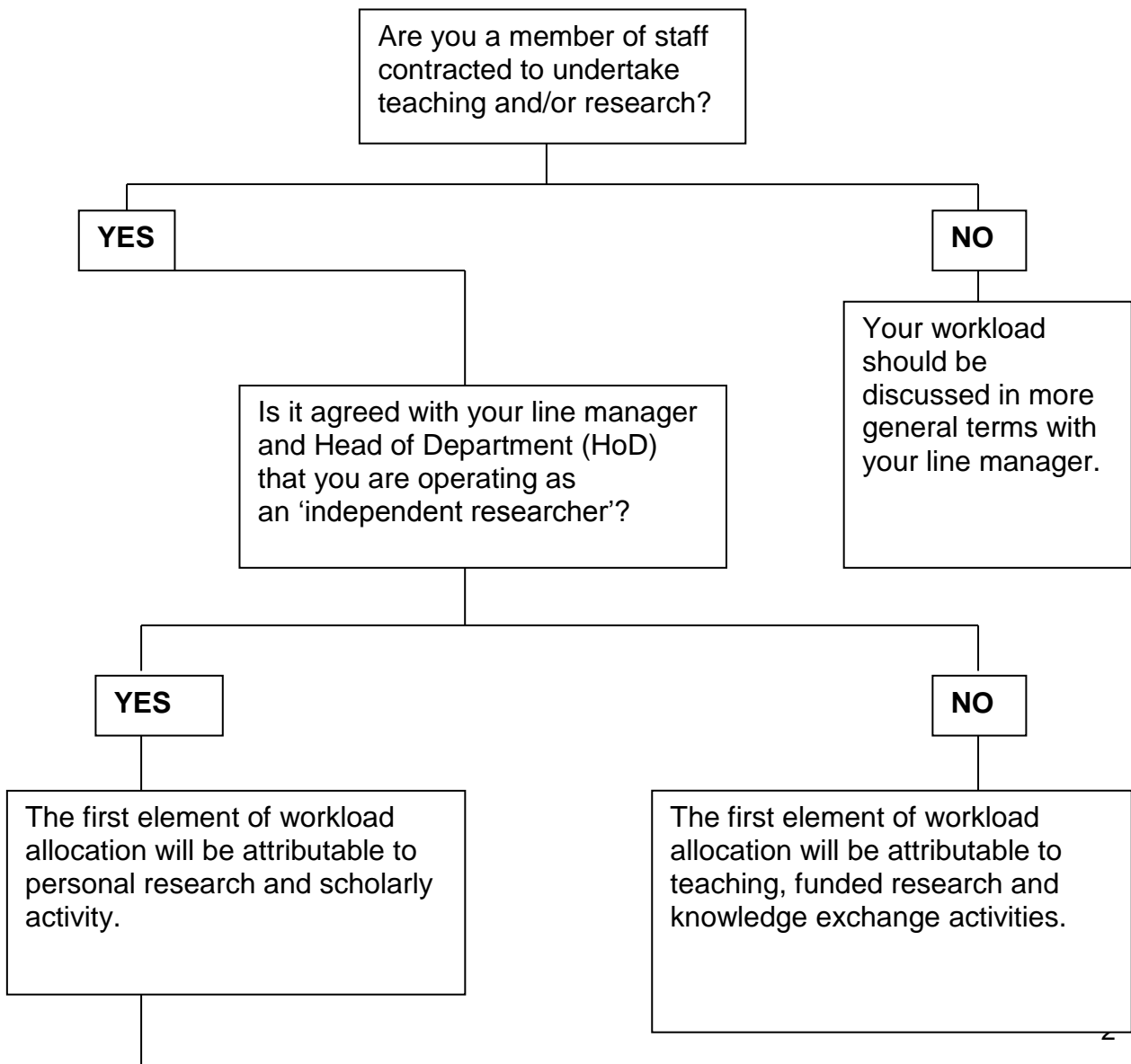
## Introduction

1. This document builds on the document titled 'Workload Management for Academic Staff' approved by the Institute's SLT in 2010 and implemented for the academic year 2010/11. It results from work done as one of the Projects in the Academic Mission Strand of the Institute's Implementation of its Strategic Review.
2. Workload management arrangements in HE can be controversial, even divisive. In addition to needing to avoid being seen to constrain academic freedom, a Workload Management System (WMS) runs several other risks, including limiting enterprise, enthusiasm and commitment. One of the points forcefully made to us in some of the meetings we held was that the use of a WMS at the Institute might reduce collegiality and prove counter-productive. On the other hand, another point made to us was that each academic department operates some form of workload allocation and that an Institute-wide WMS has the potential to ensure greater equity among staff in workload, to relate effort expended to income earned in a more transparent manner and to facilitate workload calculations for staff working in more than one department. Overall, a WMS needs to be used as a management tool not as a blunt instrument that is implemented indiscriminately, for instance in regard to staff with disabilities.
3. A WMS has to work within two metrics, that of money and that of time, and these are not always consistent. We cannot give ourselves workloads that we do not have the income to cover, but we cannot give ourselves workloads that are not achievable within our working hours. In this WMS we have tried to accommodate these two. During the 2010/11 academic year feedback on the operation of the WMS was obtained and this has informed this document.

## Categories of academic work

4. The workload of academic staff falls into three categories:
  - Personal research and scholarly activity, which is nonetheless funded, normally from HEFCE QR (referred to here as *personal research activities*);
  - Activities which generate direct earned income, whether these relate to teaching, funded research or knowledge exchange activities (referred to as *teaching, funded research and knowledge exchange activities*);
  - Development and service activities which do not generate income (referred to as *service activities*).

5. The balance of activities will be different for individual members of staff, reflecting the particular contributions they make to the academic life of the Institute. As a research-intensive institution, the Institute has an expectation that a very high proportion of academic staff employed at Grade 8 and above will be operating as independent researchers. Staff who are research active in this way will have time allocated to them to undertake a range of scholarly activities. However, not all staff at these grades will be operating as independent researchers and this needs to be taken into account in considering the appropriate balance of their workloads. Similarly, academic staff at grade 7 (or even 6), professional staff and even some support staff may be operating, at least partially, as independent researchers. The Institute is fully committed to supporting the development of the research trajectories of the next generation of its research active staff and so wishes to ensure that such staff are given the opportunity to develop their research careers.
  
6. The flow chart below sets out the steps that a manager should go through with an individual member of staff in discussing the allocation of work.



The second element of workload allocation will be attributable to teaching, funded research and knowledge exchange activities.

The second element of workload allocation will be attributable to service activities.

The third element of workload allocation will be attributable to service activities.

7. It should be noted that the allocation of workload to individual members of staff is distinct from the Institute's Resource Allocation Model. For resource allocation purposes, the Institute's approach is to distribute to faculties the QR grant it receives on the basis of the number and cost of academic staff at Grade 8 and above employed in each faculty at the end of the academic year prior to planning round for the following year. The allocation of QR resources will not be amended to reflect the outcomes of individual workload allocation discussions. It is for faculties to manage the impact of individual workload allocation decisions within the envelope of resources allocated to them.

### The parameters

8. The figures used in the rest of this paper are in some cases the same as in the 2010/11 version of the Institute's WMS but in others have changed, partly because of feedback obtained from staff during the evaluation of the 2010/11 version and partly because of the incorporation of more recent financial data.
9. The WMS model used in 2010/11 was predicted to produce a fec teaching deficit of £468k for 2010/11. The model proposed here is predicted to produce a fec surplus of £1,048k (i.e. a fec rate of 104%) for 2011/12.
10. The proposed WMS has the following parameters:
  - *Personal research activities*: For staff who are operating as independent researchers, an allocation of time should be agreed with their managers of **0.20 FTE** in order to undertake activities such as authoring of research outputs, preparation of bids for funded research projects, peer reviewing

and other activities serving the academic community. It should also include any unfunded research. The amount of time actually allocated will depend on the profile of individual members of staff (for example, some staff may be less experienced and confident in the preparation of funded research bids and will not be active in this way). Where staff are engaged on funded research projects which are costed at less than 100% fec, then the deficit against fec rates should also be offset against this allocation.

- *Teaching, funded research and knowledge exchange activities:* For staff who are operating as independent researchers, an allocation of time should be agreed with their managers of **approximately 0.75 FTE** for teaching, funded research and knowledge exchange activities. For staff who are not operating as independent researchers, an allocation of time should be agreed with their managers of **approximately 0.95 FTE**.
- *Service activities:* Academic staff contribute to the life of their Departments, Faculties and the Institute more generally in a wide range of ways even if they hold no formal roles of responsibility that carry a time allocation (for example, through participation in Committees and working groups, attendance at meetings of SIGs, unfunded contributions to Institute Centres, etc.). In addition, all academic staff should have time for their own professional and personal development. Consequently, an allocation of time should be agreed with individuals' managers of **up to 0.05 FTE** in respect of such service and development activities. In instances where staff hold roles of responsibility with an allocated time commitment, this allocation will be taken into account in defining the teaching, funded research and knowledge exchange and service activities allocated to these individuals.

As these parameters are expressed in terms of FTE, they apply equally to staff on part time and full time contracts. (For example, an independent researcher on a 0.6 FTE contract would typically have 0.12 for personal research activities, 0.45 for teaching, funded research and knowledge exchange activities and 0.03 for service activities.)

## Calibrating activities

11. The calculations presume that a full-time member of academic staff benefits from 30 days leave, eight days of public holidays and six Institute closure days.
12. Although some members of staff in our meetings argued that a WMS needs precisely to allocate time to all the various components of a teaching programme (e.g. preparation for teaching, pastoral support, first marking, second marking, formative assessment and feedback, etc.) the majority felt that a broad brush approach was better. We have adopted the latter approach here, recognising that this requires more fine-grained allocations to be made within Departments and across the Institute within Programme areas, notably

at Master's level and within the Doctoral School (where the time devoted to the Doctoral School's training programmes is subject to individual calculation of loads, which are covered by payment from the Doctoral School to the relevant academic departments). Heads of academic departments have the discretion to use reasonable judgement to make adjustments to take account of particular circumstances.

13. Accordingly, the following 'tariffs' are proposed for each category of academic activity:

<b>Activity</b>	<b>Tariff</b>
Funded research	Days written into the costing (assuming this is at 100% fec)
Knowledge exchange	Days written into the costing (assuming this is at 100% fec)
Primary PGCE teaching	0.8 FTE per 20 full-time students (pro rata)
Secondary PGCE teaching	0.6 FTE per 20 full-time students (pro rata) plus 0.1 FTE per course (0.2 FTE per course where there are more than 40 full-time students)
Post-compulsory PGCE teaching	0.8 FTE per 20 full-time students (pro rata)
Master's teaching	0.75 FTE per 20 full-time students (pro rata)
BEd and FD teaching	0.75 FTE per 20 full-time students (pro rata)
Research student supervision	8 days per full-time student; 5 days per part-time student (MPhil/PhD each year in the HEFCE time frame; EdD student once IFS has started; 1 day before then)

SLT  
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