University Of Southampton

An Exploration of the Investors in People Standard in
the University Sector

Ann Musgrove Read

Doctorate of Education

Research and Graduate School of Education

December 2002

UNIVERSITY OF SOUTHAMPTON

ABSTRACT

FACULTY OF SOCIAL SCIENCE

RESEARCH AND GRADUATE SCHOOL OF EDUCATION

Doctorate of Education

AN EXPLORATION OF THE INVESTORS IN PEOPLE STANDARD IN THE UNIVERSITY SECTOR

By Ann Musgrove Read

This study explores the uptake of the Investors in People Standard, the UK's national standard for good staff development practice, in the Higher Education sector. It examines the reasons why there has been such a slow rate of achievement of the Standard in this sector, the differences between pre and post 1992 Universities and the potential benefits to those who do achieve it. This exploration is located within an analysis of the changing landscape and culture of HE, the relatively few research studies that have been conducted on the Standard, and the staff development literature in higher education. The Standard lies at the heart of Government plans to increase the skills and productivity of the UK's workforce and, a decade after its launch, over 60% of large employers have achieved the Standard. Yet, despite support from HE stakeholders like HEFCE, QAA, HESDA and Universities UK, and a strong recommendation that the Standard be adopted to improve poor staff development practices in HE, only 13 universities have achieved the Standard, one pre-1992 university and 12 post-1992 universities.

The reasons for this are explored through a three stage research design: a narrative based on the experience of one post-1992 university working towards the Standard, statistical analysis of uptake and achievement of the Standard and an in-depth analysis of semi-structured interviews of a range of academic, support and consultant staff.

Three significant findings were as follows. Firstly, Universities perceived academically-orientated benchmarks, like the RAE and subject review, to be more important than staff development benchmarks like the Standard and consequently gave them higher priority. Secondly, the Standard, linked as it is to the growing trend of managerialism in the sector, was seen to be in conflict with a 'traditional' academic culture. Thirdly, post-1992 universities and service departments in pre-1992 universities, were perceived to have a more corporate culture that made it easier for them to commit to and achieve the Standard.

However, since HEFCE's human resource initiatives are encouraging universities to adopt many of the practices required by the Standard, many of the real and perceived barriers to the adoption of the Standard in the HE sector may be overcome in the near future.

List of Contents

Chapter 1 Introduction

Chapter 2 Literature Review

Appendices

Chapter 2

Chapter 3

List of Tables and Figures

Acknowledgements

I would like to thank all the *participants* of this study who gave freely of their time and views. Without their help and support it would not have been possible to conduct this study. In particular I would like to thank the *University of Summertown's Investors in People project manager*, who was unfailingly helpful and supportive.

I am also indebted to my supervisor *Professor Helen Simons* for her guidance, support and patience, to *Jane Lapraik (dyslexia tutor)* for helping me come to terms with being dyslexic and to *Dr Wendy Leeks* for being a sounding board, proof reader and friend.

Last but not least I want to acknowledge the support and patience of my *husband* and *children* without whose tolerance I could never have completed this thesis. I am looking forward to spending my evenings and weekends with them, instead of being locked-away working on 'mum's book'.

Abbreviations

BBC	British Broadcast Corporation
CPD	Continuing Professional Development
CNAA	Council for National Academic Awards
CVCP	Council of Vice Chancellors and Principles
DfEE	Department of Education and Employment
EU	European Union
HE	Higher Education
HEI	Higher Education Institutions
HEFCE	Higher Education Funding Council for England
HEQC	Higher Education Quality Council
HESA	Higher Education Statistical Agency
HESDA	Higher Education Staff Development Agency
HMI	Her Majesty's Inspectorate
IiP	Investors in People
IiP (UK)	Investors in People (UK)
IRS	Industrial Relations Service
ISO	International Standards Organisation
LSC	Learning and Skills Councils
NHS	National Health Service
NCIHE	National Committee of Inquiry in Higher Education
NTO	National Training Organisation
OFSTED	Office for Standards in Education
PCFC	Polytechnic and Colleges
QAA	Quality Assurance Agency for Higher Education
QA	Quality Assurance
RAE	Research Assessment Exercise
SCOP	Standing Conference of Principals
SME	Small and medium sized enterprises
TEC	Training and Enterprise Council
UCoSDA	University and Colleges Staff Development Association

UK	United Kingdom
USEL	University of Summertown Enterprise Limited
UWIST	University of Wales Institute of Science and Technology
VC	Vice Chancellor

Chapter 1

Introduction

1.1 The Investors in People Standard

Introduced nationally in November 1990, the Investors in People (IiP) Standard was the first UK national quality Standard awarded to organisations for effective investment in the training and development of staff (Investors in People UK, 1996). The Standard attempts to set the level of good practice for staff development by specifying the principles that link training and development activities to organisational objectives. It encourages the most effective use of training and development resources, and sets the benchmark for organisations against which improvements in organisational performance can be measured.

The Standard is based on four principles: commitment, planning, action, and evaluation. Underpinning these principles are a number of criteria or indicators against which organisations are assessed. When an organisation can demonstrate to trained assessors that their practice meets the indicators, they are awarded the Standard for a 3-year period. Re-assessment and re-award occurs, either every three either years or on a continuous assessment basis. Organisations awarded the Standard should have demonstrated both their commitment to staff development and the robustness of their procedures.

1.2 How My Interest Began

Although in the early 1990's I must have seen the IiP logo on organisations' headed notepaper and job advertisements, I do not think I really understood what it meant until 1994. At that time I was reading for a MSc in Personnel Management and as part of the course I learnt about various staff development concepts, including the IiP Standard. For my MSc thesis, I decided to undertake a project looking at how near the Science Faculty, in which I was then based, was to achieving the Standard.

Prior to joining the Science Faculty at Summertown, I had worked for large private sector companies where both business driven performance appraisal and staff training /

development were embedded parts of the organisational culture. I found it difficult to make the transition to Higher Education (HE), where there was no performance review, no clear staff development strategy, or professional development framework. I had joined the University with a commercial research and management background but with no teaching experience. I was at a loss to understand how I was to know if my teaching was satisfactory and how I was meant to acquire the necessary knowledge, skills and attitudes. I intend no criticism of the University, my head of department or colleagues, all of whom were unfailingly supportive. Courses and advice were available, if I took the initiative, but there was no staff development structure or proactive support. Talking to colleagues who had moved from industry to HE, I realised how common my feelings were, and how lucky I was to be in a supportive department!

The Standard seemed to provide a staff development framework that could potentially be very useful to universities. By definition Higher Education Institutions (HEIs) that had achieved the Standard would have to have in place the processes to ensure that staff knew what was expected of them, and had received adequate training/ support that had been evaluated in the light of the organisations needs.

Summertown formally committed to achieving the Standard when I was reading for my MSc. At that time I was not involved in the University's preparations in anyway, but I maintained an interest in both the Standard and academic staff development as a result of my masters project. Consequently, I was both the logical choice and a keen volunteer to act as the Faculty's co-ordinator when, in 1999, the Science Faculty was approached to be one of the Investors in People pilot sites. After a period of analysis and preparation, the Faculty was formatively assessed in May 2000. Two relatively minor areas were identified for further action. In September 2000, the Faculty was successfully reassessed, and formally awarded the plaque in October 2000.

Given both my academic interest and the involvement of my then workplace, a study investigating the adoption of the Standard in the HE sector seemed a suitable focus for my doctoral research. Although I believe that the Standard can provide a useful framework for organisational development in the HE, I know this is not a view shared by many of my colleagues

1.3 Rationale for this study

For me the creation of knowledge and the inculcation of students into their chosen disciplines are the primary foci for universities. It would seem logical, therefore, that universities, as employers, should be interested in ensuring that their employees are equipped with the right knowledge, skills and values in order to carry out their duties effectively and efficiently. It would be reasonable to expect universities to be able to demonstrate this commitment to HE stakeholders and achievement of the Standard is one way of demonstrating this.

Indeed, in 1993 88% of the sector, who had responded to a Higher Education Quality Council survey, indicated that they were interested in achieving the Standard (HEQC, 1993). This interest has since been encouraged by successive Conservative and Labour governments, the Quality Assurance Agency for Higher Education (QAA), the National Committee of Inquiry into Higher Education (NCIHE, 1997) and the Bett Inquiry (1999). However, by the turn of the millennium very few universities had achieved the Standard as whole institutions. Of the successful institutions, only one was a pre-1992 university and 12 were post-1992 universities. Thus, there appeared to be a mismatch between stakeholders' aspirations for the HE sector and reality. This mismatch combined with my own experiences and interests led me to want to explore why the achievement of the Standard appears to be so problematic in HE.

1.4 Research Questions

My research project was prompted by one question:

> *Why has the progress towards achievement of the Investors in People*
> *Standard been so slow?*

This question had to be refined, and its premise (slow progress) had to be substantiated through examination of the available literature and information about the success rate of universities in achieving the Standard. The initial stages of the research enabled this overarching question to be broken down and augmented, thereby defining a focus and establishing the parameters guiding research questions, the research methodologies to be adopted, and the project as a whole. The questions I sought to address in this study are:

1. What factors could explain the slow rate of achievement of the Standard within the university sector?

2. How might the difference in achievement rate between pre and post-1992 universities be explained?

3. What are the perceived benefits for a university in achieving the Standard?

In order to tackle these questions I decided to examine my own university and explore whether the experiences and perceptions within one university could throw light on the complex issues at play within the university sector. To put Summertown into the context of the sector as a whole I first looked at the patterns of interest and success in similar universities. From this analysis it was obvious that there were differences between pre and post-1992 universities. Using this data and other information gleaned from the literature I developed an interview protocol and carried out 14 semi-structured interviews. I followed this up by writing the history of the Standard at Summertown as a story based on documents, interviews and my own experience. The precise methodology is explained in greater detail in chapter 3, but I felt this approach would enable me to understand the complex issues at play, and thereby provide a useful insight into the above questions.

Chapter 2

Literature Review

2.1 Introduction

It is a truism of our times that the single most important resource any

organisation possesses is its employees. In no sector is this more so than

within higher education, where the support of learning and research is

crucially dependent upon successful harnessing of intellectual activity.

Schuller (1991:14)

One of the essential factors in any organisation's success is the contribution made by its employees (Porteous, 1997:6). Successful organisations have clear goals and focussed staff development, ensuring staff havethe knowledge, skills, and attitudes to undertake their work efficiently and effectively. This philosophy of investing in staff development to improve organisational performance, and thereby improve the economic position of the country, lies behind successive Governments' training initiatives over the last 40 years (Critten, 1993:5). The Investors in People Standard is one such initiative introduced to encourage employers to invest in the development of their workforce.

Launched nationally in November 1990, the Investors in People Standard was the first UK national quality standard awarded to organisations for effective investment in staff training and development. The Standard is the only quality benchmark that aligns the strategic development of people with the achievement of business success and bottom line objectives (Rajun, Chapple and van Eupen, 2001:3). It attempts to encourage both the most effective use of training and development resources and to set the benchmark against which improvements in organisational performance are measured.

The Standard is still an important part of the UK's training policy. In 2001 Estelle Morris (30/10/01), then Secretary of State for Education and Skills, reinforced its importance when she said: '*Investors in People lies at the heart of the Government's plans to increase the skills and productivity of our workforce*'. By the end of 2001, 24.34% of the UK workforce (or 5,766,645 people) were working for Standard

recognised companies and a further 38.70% (9,166,498) for companies committed to achieving the Standard. More than 25,000 companies were recognised; a further 20,000 were committed (IiP UK, 2001a).

The UK HE sector plays a significant part in the UK economy. In 1999, the sector had an income approaching £12 billion, which constituted 1.4% of the gross domestic product. It employed over 300,000 staff, or approximately 1.2% of the UK workforce, and educated 1.7 million students, (Bett, 1999). As a major employer, with a wide range of professional, administrative, technical and manual staff, the sector should be *interested in developing its staff to ensure they provide an efficient and effective service.* Achieving the Standard would be one way to demonstrate this. Although two-thirds of the sector committed to achieving the Standard in the early nineties, a decade later only around 14% of universities had achieved it, and only one pre-1992 university. A further 28% of universities have achieved the Standard in one or more departments, but mainly in non-academic departments in pre-1992 institutions. This does not compare favorably with other sectors. Williams and Triller (2000:1) reported that by the end of 1999, 62% of employers (with 200+ employees) had achieved the Standard against a target of 70%. The achievement rate in other parts of the education sector e.g. schools and further education colleges was over 50%. In comparison, the achievement record of the university sector has been low and uneven.

The primary aim of this study is to explore the perceptions of staff at a post 1992 university about the uptake and achievement of the Standard in the university sector. In order to do this, it is important to look at the Standard in its UK context, as many of the issues are generic and not restricted to HE. Therefore, section 2.2 presents an overview of the Standard and the more general literature, followed by an overview (section 2.3) of the HE sector and its staff development practices. The next section (section 2.4) outlines the history of the Standard in the sector and reviews the literature on HE issues with the Standard. Since one of the important themes identified in this study is organisational culture, the penultimate section looks briefly at organisational culture and changing management styles in HE. The final section attempts to draw the sections together and pave the way for the study itself.

2.2   The Investors in People (IiP) Standard

Since the 1960s, it has been recognised that the UK suffers from a shortage of key skills, inadequate training, and an unequal distribution of costs among employers and between employers and Government (Critten, 1993:2). A number of studies (Steedman and Wagner, 1987; Prais and Steedman, 1986; Prais and Wagner, 1988) have clearly demonstrated Britain's skills deficit relative to other advanced industrial nations. A survey commissioned by the Department of Employment (1989) confirmed that many companies were not investing in the training of their staff and reported that one in five UK employers provided no training at all. Of employers who did provide training, only 48% of their workforce were covered, and of that 48% only a third of employees had received any training in the preceding three years.

Successive Governments have tried to stimulate improvements in the competence and competitiveness of the British workforce through:

- Legislation (e.g. Employment and Training Acts, 1973 and 1983)
- Policy Statements (e.g. White Papers like 'A new training initiative: a programme for action', 1981 and 'Training for employment', 1988)
- Establishing a training infrastructure (e.g. the Industrial Training Boards; the Manpower Services Commission; the National Council for Vocational Qualifications; Training and Enterprise Councils).

Despite these initiatives, the UK has still lagged behind the rest of Europe. In an attempt to understand what would encourage organisations to invest more in developing their staff, the Manpower Services Commission sponsored a review by Cooper and Lybrand in1985. It concluded that a Queens Award (rather like that for export) should be developed specifically for training and the concept of a 'Training Employer' Standard should be developed.

The National Training Awards in 1987 evolved out of the first recommendation and after considerable refinement and extension, the IiP Standard developed out of the second recommendation in 1990. (See Appendix 2.1 for a more detailed description of the development of the Standard over the last decade)

Key points to note about the Standard are:

- it is based on commercial experience of good practice;

- it is predicated on the principles of commitment, planning, action and evaluation, with a number of associated indicators (see appendix 2.2);

- it is criteria based, assessed against an organisation's own business objectives;

- there have been three versions of the standard (see appendix 2.3). The latest (see appendix 2.2) focuses on outcomes rather than processes, is less prescriptive in nature and is more about organisational philosophy than organisational action;

- it was originally implemented and assessed through the Training and Enterprise Councils (TECs) and more recently by their replacements the Learning Skills Councils;

- Investors in People (UK) took over from the Department of Employment as the awarding body in 1994;

- Until 1995 parts of an organisation could be assessed independently. The introduction of the 'autonomy rule' in 1995, meant only legally/ financially independent autonomous units could be assessed. This had a negative effect on large organisations, like universities, consequently in 1998 the 'Building Block' approach was introduced, which allowed parts of an organisation to be independently assessed if the whole organisation was committed to achieving the Standard;

- continuous improvement is one of the aims of the Standard, so reassessment occurs every three years, unless an organisation decides to go for the recently introduced continuous assessment method;

- the Standard continues to be developed, with such new initiatives as the recruitment and selection model.

Over the last decade, the Standard has been popular with organisations. Over 25,000 companies have been awarded the Standard and a further 20,000 have committed and are working towards achieving it (IiP UK 2001a). According to IiP UK (2001e) there are plans and expectations that the number of companies achieving the Standard will continue to grow, especially in the SME[1] sector. In addition many organisations have

---

[1] Small to Medium Enterprises

been publicly positive about both the Standard itself and their experiences of working towards it (e.g. the BBC, Toyota, Whitbread, Frizzell Financial Services). Successive Governments have recognised the Standard's contribution to creating a British society that is committed to personal and economic growth, through a philosophy of life long learning (Hill and Stewart, 1999). The Standard is therefore seen by many commentators (e.g. Down and Smith, 1996; Douglas, Kirk, Brennan and Ingram, 1999; Hobby, 1995) as an effective mechanism for promoting staff development.

2.2.1 Staff development and the Investors in People Standard

The trouble is that the phrase 'staff development' is so all embracing that to say one favours and practices it has little more meaning than to say that one favours virtue and opposes sin – it could be anything and everything.

Greenway and Harding (1978:12)

What is meant by staff development, where it starts, what is included and where it finishes, are definitional questions for staff development and therefore the Standard. Webb (1996) is in line with most of the literature (for examples see Brew 1995; Harrison 1998; Reid and Barrington 1999) on staff development when he suggests:

Staff development is normally considered to include the institutional policies, programmes and procedures which facilitate and support staff so that they may serve their own and their institutions needs.

Webb (1996:63)

This implies several things about staff development, namely:

- staff development processes and activities are the responsibility of the organisation;
- staff development is about 'enhancing' employees in some way, be it their knowledge, skills, abilities or attitudes;
- the changes are 'normally' work related;
- staff development is of mutual benefit to the individual and the organisation, i.e. the organisation has a more knowledgeable employee better able to do their job; the individual has greater knowledge which should enhance their job satisfaction, self-esteem, and career prospects.

It is perhaps important to draw the distinction here between staff development and training. Staff development is a wider concept, whilst training tends to be specific, narrowly focussed, planned and job related events or actions, which are utilitarian in approach (e.g. IT training), and intended to improve specific skills that individuals use in their daily working lives (Graham and Bennett, 1998:297). Staff development on the other hand, is more general and relates to all learning experiences whereby personal growth occurs and job related performance is enhanced and /or changed (Harrison, 1998:XIII). The Standard is about staff development not training. It requires individuals to be engaged with the organisational goals and their own staff development process, and for organisations to articulate their goals clearly and evaluate staff development activities (see appendix 2.2, evidence column).

Staff development is a continuous process (Harrison 1998; UCoSDA 1994; Reid and Barrington 1999; Brookes 1995) with three key elements, the identification of a development need, action and evaluation of action. Figure 2.1 shows a typical staff development process, equally applicable at individual and organisational levels.

Figure 2.1 Typical staff development process
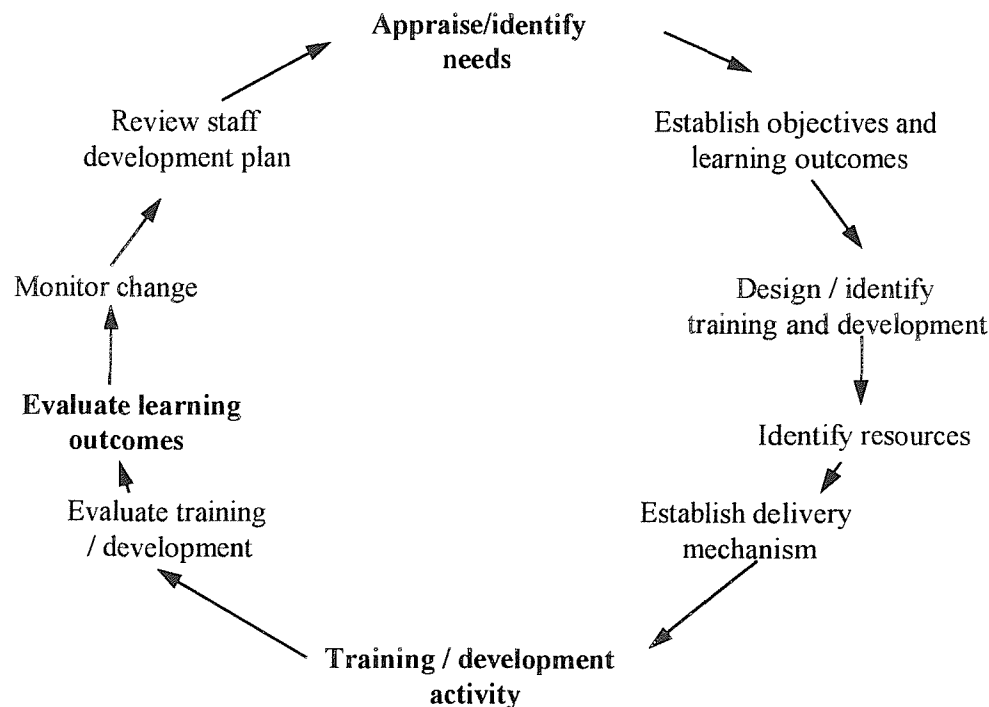
(UCoSDA, 1994b)

Continuous improvement is one of the key tenets of the Standard and is reflected in the three-year re-assessment cycle and the expectation that the organisation will enhance its strategy and implementation between assessments. The Standard also uses the three elements identified above, referring to them as the principles of 'Planning, Action, and Evaluation', but it also has an additional principle of Commitment (see appendix 2.2). The latter is about the organisation being committed to developing people, in order to achieve its aims and objectives. Although each version of the Standard has used slightly different definitions of the principles (see Appendix 2.3), the overall concepts have remained the same. The principles of the Standard reflect what is considered to be good practice (Graham and Bennett, 1998; Reid and Barrington, 1999). Even those authors who are critical of the Standard (e.g.Harrison, 1998; Hoque, 2001; Adams, 1997) have not challenged it on the principles on which it is predicated, rather they have criticised its language, applicability and implementation.

A major review of attitudes to staff development in the UK (Coopers and Lybrand, 1996) identified the three elements of successful staff development as:

a) suitable processes and systems

b) the management skills to get the value and benefit out of the processes

c) commitment at all levels, but particularly at the top of the organisation.

These findings support the approach taken by the Standard and justify the inclusion of the fourth principle of commitment. The review went further and found that where the elements were missing, the results were:

(i) an **involvement gap** where employees were not engaged with the organisation and felt undervalued and insufficiently motivated;

(ii) a **performance gap** where staff felt the systems were not allowing them to perform;

(iii) a **management skill gap** particularly in terms of communication, listening, encouraging, and providing feedback;

(iv) a **communication gap** where there was an over-reliance on written media (rather than face- to-face interaction) and top-down programmes, leaving employees feeling at best indifferent, at worst cynical;

(v) a **contract gap** where there was a lack of clarity about the relationship between the company and the employee;

(vi) a **skills gap** where there were feelings that there was a skill shortage and that the education system was not delivering.

Where the three elements identified above are missing it would suggest that such organisations would either not be interested in the Standard, or would struggle to met the criteria.

It is difficult empirically to demonstrate whether improvements in organisational performance are a direct result of staff development programmes, as a large number of factors impact on organisational performance, e.g. the economy, the market, the product or service, customer service and marketing etc. As Torrington and Hall (1995:394) have observed, investing in staff development is more an act of faith than a guarantee of success. However, Miller (1991) has argued that the relationship between effective staff development and organisational success is well supported by anecdotal evidence and can be demonstrated at the macro, if not at the micro level.

The aspirations of the Standard are based on a link between staff development policy / practices and business objectives, and the effectiveness of the former in helping to achieve the latter. The indicators used to assess organisations involve staff understanding of their roles, clarity of organisational goals, management behaviour, and effectiveness of evaluation. There is no assumption in Version 3 of the Standard that staff development has to be undertaken in any specific way; rather the indicators concentrate on the outcomes of staff development activities in achieving business objectives, not the processes involved.

The Standard is in line with current staff development literature (Harrison, 1998; Rainbird, 2000; McGoldrick, Stewart and Watson, 2000). Balderson (1997:1) even suggests that the Standard can be considered the embodiment of the tenets of good human resource development. Nevertheless, the original version of the Standard can be critiqued for a lack of underpinning research and a rather rigid rationalistic approach to defining good staff development practice. It assumed staff wanted to be developed and developed in line with organisational objectives; evidence from this study suggests this is not always the case in universities. It assumed certain processes were required for good staff development and these were closely connected with a 'managerial' style of

management. Even so, since 1991 a number of studies (for example IRS, 1998) have supported the proposition that organisations achieving the Standard have gained benefits and can demonstrate good staff development practice. In addition, the latest version of the Standard allows for a more diverse view of staff development practice, concentrating on outcomes rather than processes. However the principles behind the Standard are still that of commitment, planning, action, and evaluation, suggesting the Standard is locked into a rationalistic model of good practice.

2.2.2 Claims made about achieving the Standard

Significant commercial benefits may be gained by organisations that achieve the Standard. These benefits begin to appear while working towards becoming an Investor in People.

IiP UK (2001b)

IiP (UK) has claimed significant practical benefits from working towards and achieving the Standard (see Appendix 2.4), ranging from increased productivity to greater customer satisfaction. These claims have been supported by research based on case studies (e.g. Prickard, 1992; Hobby, 1995; Burton, 1995) or larger scale studies mainly commissioned by either IiP UK or the Government, (e.g. Spilsbury, Moralee, Frost, and Hillage, 1995; Rix, Parkinson, and Gaunt, 1994; IiP (UK) 2001b).

The nature of the studies and the circumstances of their commissioning mean that questions remain as to how far the results can be generalised, and how independent and rigorous the research has been.

IiP (UK) commissioned a research institute in 1999 to assess the business impact of the Standard and a management consultancy in 2001 to conduct a comprehensive assessment of the views of employers and employees relating to people and productivity. The first study surveyed over 2000 organisations and carried out 24 in depth interviews (Rajun, Chapple, and Eupen, 1999). The second study involved telephone interviews of 1567 employers and 1275 employees, (NOP World, 2001). Neither of the reports discusses ethics, reliability, validity, or analysis methods and both have scant references and cited evidence (although the technical details of sample size, and composition are included in the 2001 report). This kind of reporting makes some

academics (e.g. Adams, 1997) question the quality of research on which the claims for the Standard are based.

Benefits reported by these two studies are extensive. Rajun *et al.* (1999) claim they found over 40 benefits, grouped thus:

- raising the bottom line (in at least a third of the commercial organisations);
- building new relationships (in at least half the organisations);
- reducing hassle (in at least 40% of the organisations);
- creating new mindsets (in at least 70 % of the organisations).

They concluded:

> *What was anticipated as a tool of good practice in linking training to business objectives has helped organisations to achieve a lot more across the business. A kitemark of training process has proved, in retrospect, to be a generic benchmark of excellence.*

> Rajun *et. al.*,(1999:6)

What is not addressed is the reasonably large number of organisations which failed to find these benefits and what impact the Standard had on those organisations.

NOP World (2001) reported that, across the UK, 22% of employers believed the Standard had significantly increased the productivity of their people and therefore their organisation; a further 47% thought that it had provided a marginal increase (NOP World, 2001:34). The inference would be that 31% of the sample thought that the Standard had resulted in no impact or even a negative impact, but this is not commented upon. On the employee side, the survey showed that 15 % of employees felt the Standard had a significant positive impact on their productivity, with a further 29% believing the increase to have been marginal. It seems that 56% felt it had no impact or a negative impact, but again this was not addressed. The report claims that the links between increased labour productivity and training are thereby established. It concludes:

> *That undertaking to attain Investors in People recognition does provide significant benefits to organisations and to people and specifically to productivity of people and organisations. The benefits to business,*

> *regardless of size, sector or location of increased productivity are clear,*
> *the benefits to employees are equally clear.*

<div align="right">NOP World (2001:4)</div>

However, it is difficult to believe how such universal claims can be made about the Standard, when the data provided in the reports suggests that significant numbers of employers and employees found no benefits. Nearly half the employers thought the Standard had only a marginal impact on productivity (and over 30 % that it had no impact or a negative impact), while nearly 60% of the employees did not report any positive impact at all.

Others have conducted more rigorously reported research and have embedded their conclusions more firmly in their data. For example, the Industrial Relations Service (IRS) has undertaken several independent studies of IiP as part of their regular survey of employees and employers. In March 1994, when about 4400 companies in the UK had committed to achieving the Standard, IRS reported the two principal reasons for wanting to achieve the Standard were a desire to be recognised for good training practice and a wish to ensure training activities related directly to business needs. A further survey in 1998 (when some 10,000 organisations had achieved the Standard and a further 20,000 were committed) found that employees in accredited organisations were much more satisfied with their training, believing it improved their performance and increased their eligibility for a better job. Managers in accredited organisations were also seen as more likely to give performance feedback, recognise and acknowledge a job well done and communicate well with their subordinates. Three quarters of employees in accredited organisations reported understanding how their job was evaluated, compared to 60% in non accredited organisations, and there were similar findings for employees reporting that their job allowed them to use their initiative.

IRS has claimed that its work (1994:8) showed that there is a real difference between organisations that have achieved the Standard and those with no involvement with the process. IRS supports the claims by IiP (UK) that the Standard results in higher employee satisfaction, better-focussed training and improved customer service. However, IRS also recognised that these differences do not necessarily imply that

achieving the Standard causes an organisation to be better. Rather, it might be that organisations attracted to the Standard are those which are more likely to develop, appraise and communicate better with their staff anyway. This view is supported by the work of Rix, Parkinson, and Gaunt (1994), Hoque (2001) and Down and Smith (1998). The latter argues that the organisations with the most to gain, those with poor training and development practices, are least likely to have adopted the Standard.

Another study was undertaken in 1999 by Tamkin, Hillage, Cummings, Bates, Barber and Tackey, who conducted a number of case studies and telephone interviewed 120 organisations which had achieved the Standard. Their main conclusions were:

(i) organisations that differentiate themselves on quality, not price, and see their workforce as one of their key resources are the ones that get the most out of the Standard;

(ii) reaping the benefits of the Standard requires considerable effort by the organisation in implementing, embedding and maintaining systems. Most benefit is felt by those that have the most to do;

(iii) the Standard appears to be especially valuable to those organisations making transitions in terms of size or complexity of operation;

(iv) there are no instant benefits from the Standard, as it takes time to implement and mature;

(v) there is a chain of benefits that begins with good management leading to positive staff attitudes, linking through to better service, performance and profitability;

(vi) the Standard cannot rectify a poor business strategy, but it does provide the means to implement strategy more efficiently and effectively.

Other authors (e.g. Alberga *et al.,* 1997; Hill and Stewart, 1999; Hillage, 1996) agree that organisations have experienced a significant number and range of benefits. Indeed, some of the case-study data (e.g. Elms, 1998; Smith, 2000; Paterson, 1998; Hambley and Howard, 1995) suggests that individual organisations have found considerable benefits.

However, there are critics. Douglas, Kirk, Brennan, and Ingram (1999) reported very little support among non-managers for a link between the Standard, training and performance and found that many employees saw achieving the Standard as very little more than a 'plaque on the wall'. While Ram (2000) suggests that in small companies, although both employers and employees recognise the importance of the 'logo' as a marketing device, they view achieving the Standard as purely a bureaucratic exercise that has no impact on training once it has been secured. Similarly, Hoque's (2001) *survey demonstrated that a considerable minority of accredited workplaces (around 20%) are failing to engage in best practice, with, for example, no formal off-the-job training, no induction programme, no staff development review.* These studies indicate that some of the claims made about the Standard may be overstated. Harrison (1998:79) supports this and asserts that the impact of the Standard on business results is still to be proved convincingly, with many employees remaining unimpressed by the training and development programmes they experience in the workplace.

If the benefits of achieving the Standard have not been independently proven, it begs the question why should organisations be interested in achieving it and why has it survived so long? The answer, as Peart (1999:5) suggests, might lie in the premise that the Standard is just 'good common sense people management and development', which can be adopted by any organisation regardless of size and sector. It offers both a framework (based on established and accepted good practice) for people management and provides a benchmark of good practice. This does not explain why organisations fail to embrace the Standard and/ or subsequently fail to achieve it.

2.2.3 Non-uptake / achievement of the Standard

Very little has been published about the reasons why some organisations have no interest in the Standard or why others, after showing initial interest, decide not to be assessed / reassessed. An early study by Rix, Parkinson, and Gaunt (1994) that looked at a sample of companies not working towards the Standard, found that none of them had actually rejected its general principles. Rather they felt they were not in a position to go ahead at that time. The typical reasons given included:

(a) Pressure from working with other standards.

(b) Low / non-existent contact with the TECs

(c) Concern that the Standard was overly bureaucratic and aimed at large companies.

(d) Training a low priority / no specialist training function.

(e) Sceptical about the credibility of the Standard.

These findings were in line with the reasons identified by Taylor and Thackwray, (1996:30&32) for non-take up, which included the cost of the process, the potential bureaucracy, no business value, and /or it was the wrong time.

IiP (UK) have attempted to address many of these issues. Criticisms of rigidity and bureaucracy are somewhat disarmed by the latest version of the Standard, which is far more flexible, and the assessment process no longer requires massive amounts of paperwork. Detailed research on the costs of achieving the Standard has been undertaken (Dodd, Cutter, Rodger, Shaw, Owens, Cowen and Lawless, 2001). The mean cost of achieving the Standard in 1999-2000 was £6,058 for individual organisations and £4,216 for the local TECs. However, there was considerable variation depending on sector cost structures and what needed to be done. In addition, IiP (UK) have commissioned several studies, produced a considerable amount of literature, and developed a comprehensive website in an attempt to overcome the perceived disadvantages. The Government also continues to support the Standard and its infrastructure.

Despite these changes the Standard is not likely to be attractive to those organisations with poor staff development practices (IRS, 1994, Hoque 2001). These either do not recognise their own poor practice, or do not see the business benefits in changing their human resource strategy. Similarly, I would suggest that the Standard is unlikely to be attractive to organisations that feel no need for customer or stakeholder recognition of their staff development practices. Furthermore IiP (UK) does not publish data or reports on the number of organisations that, having committed to the Standard, subsequently fail to put themselves forward for assessment, or on those failing the initial or any subsequent re-assessment. Without such information it is difficult to evaluate effectively the impact of the Standard or to understand why some organisations are not attracted to the Standard or struggle to achieve it. Far more research needs to be

undertaken and published on the organisations that were not interested or failed to achieve the Standard before the impact of the Standard can truly be evaluated.

2.3 The Higher Education Sector

The last decade has witnessed a sustained under-investment in the human capital that underpins high quality teaching and research. Weak training and development, limited recruitment of new staff, dwindling numbers of postgraduate research students and uncompetitive salaries have all contributed to a situation where the HE system is likely to fail to meet the demands that will be placed upon it.

Keep and Sisson (1992:69)

Today higher education in the UK has become essentially a unitary system that is institutionally and organisationally diverse (Farnham, 1999:211). The present system was created by the Further and Higher Education Act of 1992. This Act abolished the nominal distinctions between polytechnics and universities and established one funding and admissions system. Some institutions are still primarily concerned with teaching whilst others have a heavy emphasis on research (Bett,1999:13). Yet all have been affected by accelerated change in the last fifteen years, as the sector has transformed from an élite to a mass education system (Trow, 1989). It must be acknowledged, as Wagner (1996:21) points out, that many of the sector's values still belong to an élite system. These changes have had a massive impact on the workforce, requiring both changes to working practices and increased productivity. Jary and Parker (1998) provide a comprehensive summary of the changes, among these being:

a) The abolition of the binary divide between the former polytechnics and the universities.

b) Massive expansion in student numbers, with greater socio-economic and age diversity than in the 1960s.

c) Increased staff-student ratios.

d) A 35% reduction in funding per student between 1989/90 and 1997/98.

e) Replacement of student grants with loans and the introduction of student fees.

f) Increase in external and internal regulatory financial and quality controls, with expectations of greater accountability and transparency (e.g. institutional audits, subject review, research assessment exercise, transparency review).

g) Credit-based modularisation and semesterisation of the curriculum and courses.

h) Competition for students from other providers, such as further education colleges, private providers (e.g. University of Buckingham), virtual providers (e.g. UK e-Universities World Wide Ltd.) and large employers (e.g. NHS U).

The impact of these changes has not been uniform across the sector, with some universities being more adversely affected. However, most university managers have tried to find ways of maximising income from alternative sources, thereby placing new and often unwelcome increased responsibilities and greater needs for staff development on staff. At the same time conditions for staff have deteriorated as human and physical resources have become increasingly over stretched (Rigby, 1996:140). The situation has been made worst by the lack of sophisticated personnel management systems and the poor management of personnel issues at a strategic level (Keep and Sisson, 1992:73).

To address the sector's poor record of human resource management, the Government set up the Bett Committee to consider pay arrangements and related employment practices in order to underpin an effective world-class higher education system. Bett (1999) endorsed the view that universities are complex to manage because of the range of their activities and the variety and nature of staff employed. The Committee identified major deficiencies in management training, professional and occupational training, equal opportunities, appraisal, and staff development for part-time staff and staff on fixed-term contracts. As a consequence of Bett and other reports, HEFCE[2] has recognised the need to encourage better management and staff development activities in the sector and has recently tried to promote better practice. However, the profusion of complex organisational goals, lack of agreement about the nature of staff development and its ownership and importance make improvement initiatives difficult to implement.

2.3.1 Staff development in higher education

It is paradoxical that, in an employment area where staff account for two thirds of all recurrent costs, their development should be so far down their employers' list of priorities. This is doubly so when one of the principle roles

> *of academic staff is to train and develop the employees of industry and commerce.*
>
> Mackie (1990:59)

There is a considerable body of literature (including HEQC, 1994; Brew, 1995; Sawbridge, 1995; Crosthwaite, 1995, Cuthbert, 1996; Barnett, 1992) stressing the importance of staff development in sustaining a world class HE provision in the UK. However, several commentators have criticised the sector for its poor staff development practices (Mackie, 1990; Fender, 1993; NCIHE, 1997; Bett, 1999) and its deep-rooted negative attitudes, especially about management training (Middlehurst, 1995).

In 1993 Middlehurst maintained that particular staff development 'cults' or pervasive myths and interpretations operated in HE, lowering the status of staff development and hindering its effective implementation (Middlehurst, 1993:178). She defined these 'cults' as:

- **Gifted amateur:** any intelligent, educated individual can undertake the tasks without training
- **Heredity:** those with natural talent will emerge.
- **Deficiency:** training is essentially remedial or for those who are personally ineffective.
- **Inadequacy:** once qualified, admitting gaps in one's knowledge or competence involves a loss of face.
- **Implicit:** development takes place through gradual induction into the norms and operations of academe; learning by osmosis is the hallmark of success.
- **Selection:** good staff will ensure good performance and will obviate the need for and cost of development.
- **Intellectual:** there is no scientific basis to such things as management, so it does not deserve to be taken seriously.

These myths or attitudes are later collectively conceptualised as '*entrenched amateurism*' (Middlehurst, 1995:90) and Middlehurst accuses senior managers of hypocrisy in paying lip-service to the necessity of training, developing and educating others, while refusing to acknowledge that they have development needs

---

[2] Higher Education Funding Council for England

themselves. The prevalence of these attitudes goes some way to explain why the sector has a history of poor staff development practices.

Traditionally, the sector's approach to staff development has been heavily biased in favour of provision for academic staff; predominantly departmentally based and discipline/research related; largely uncoordinated and unsystematic, and with little monitoring and accountability (UCoSDA, 1994b:10). This has meant there has been very little focus on or resources devoted to non-academic staff (Cryer, 1993). Academic departmental budgets tend to be spent on discipline related activities like conferences and specialist training courses, while institutional resources are devoted to promoting learning and teaching. Webb (1996:63) acknowledged this institutional bias towards academics and teaching when he stated: *'staff development in tertiary institutions such as universities has mostly been concerned with educational development'*. However, authors like Doidge (1995) and Harrison (2000) say that the situation for non-academic staff has improved from *'the training desert of the mid 1960s to the position today which, if not a lush forest, has at least a healthy growth of shrubbery'* (Palfreyman and Warner (2000b:8). Others such as Elton (1999) have also pointed out the inadequacy and unfairness of concentrating resources on academics when many non academic staff undertake scholarly work, actively support research and undertake teaching (e.g. careers specialists, counsellors, librarians). The rigid division between academic and non-academic staff therefore looks at best ' *artificial, hidebound and snobbish'* (*Op Cit.* p180).

The inequities and inadequacies of staff development in HE have been recognised by the Government and by universities themselves. Consequently the sector has its own NTO[3], HESDA[4] which replaced UCoSDA[5] in November 2000. HESDA's philosophy is that:

> *Investment in the personal, professional and career development of all staff*
> *employed in higher education is fundamental to:*
>
> * *the successful achievement of organisational goals*

---

[3] National Training Organisation
[4] Higher Education Staff Development Agency, a wholly owned subsidiary of Universities UK
[5] Universities and Colleges Staff Development Agency

> • *the motivation and continuing capacity of individuals to support that*
> *achievement.*

HESDA (2001a)

In the recently-published HE sector workforce plan (HESDA, 2001) the complexity of staff development in HE is recognised. Factors identified include recruitment difficulties, an ageing academic workforce, and skill gaps in management, team working, information technology and communication. The plan supports the earlier findings and recommendations of Dearing (1997), Betts (1999), and the Royal Society (1998). The report also identified a number of priorities, including raising the profile of staff development to develop a culture of learning among the staff, encouraging staff to participate in professional development, and implementing quality frameworks, for example Investors in People. In response to this and earlier reports cited above, HEFCE[6], the major provider of funds for English universities, is also encouraging better staff development practice by introducing funding initiatives. For example: the fund for 'The Development of Good Management Practice' (HEFCE, 2000a) and 'Rewarding and Developing Staff in Higher Education' (HEFCE, 2000b, 2001). It is perhaps an indication of the sector's continuing poor performance that the majority of institutions were only able to submit interim rewarding and developing staff strategies in 2001, with less than half of the 42 institutions that submitted full human resource strategies receiving approval. Although by October 2002 nearly all institutional strategies had been approved in full or with conditions, HEFCE (2002) identified poor data collection, ineffective target setting, and poor management and evaluation as continuing weakness in many of the HEI's strategies. It is precisely these kinds of issues that the Standard attempts to address.

Hence, considerable external pressures from, for example, the Funding Councils, Department for Education and Employment, the National Training Organisation and other stakeholders like trade unions and the QAA[7], has been brought to bear on universities to operate and demonstrate effective staff development policies and activities. Since staff salaries typically account for between 70% and 80% of university

---

[6] Higher Education Funding Council for England
[7] Quality Assurance Agency

costs (UCoSDA, 1994 and Ashcroft, 1995) it could be argued that making effective use of staff is an economic imperative (Burton 1995:19).

Although no UK university has yet gone bankrupt, it is likely that institutions in difficulties will be merged with their neighbours (e.g. University College Cardiff and UWIST[8]) or suffer intrusive action if they fail to deliver on quality grounds (e.g. Thames Valley University). Hence, effective staff development is important to the sector and individual institutions if they are to survive. An irony identified by Dearing (1997) remains, in that institutions devoted to teaching and learning and to the advancement of knowledge and understanding pay so little attention to equipping their own staff with advanced knowledge and understanding.

Support for the Standard as a mechanism for promoting good staff development practice is ambiguous. Both Dearing (1997 and Bett (1999) recommended that universities should seek to achieve the Standard. Bett stated:

> *With barely any exception those who are already accredited see the benefits from improvements in planning, communication and staff development as worth the effort. We would urge all other universities and HE colleges to seek IiP accreditation without delay.* (Bett, 1999:91)

Following on from Bett, the recent Good Practice Guide (Office for Public Management, 2002:25and26) encourages the use of the Standard as a vehicle for involving staff in reviewing human resource practice and as a way of demonstrating commitment to staff development. Even the QAA has been positive about the Standard in the past, and has looked at ways of incorporating it into audits and reviews (Crozier, Sharp, Swan, Adams, Daniel, Gordon and Thackwary, 2000). However, universities are autonomous institutions and it would not be politically expedient, practical or appropriate to attempt to coerce them into achieving an independent Standard like IiP as a means to improve staff development practice. Consequently, although both HEFCE and the QAA are supportive of the Standard, they remain strictly neutral in that achieving the Standard brings no direct benefits in terms of funding or audits. It is up to individual universities to determine if trying to achieve the Standard will help them to address their staff development issues.

2.4 The Standard And The Higher Education Sector

> *As a respected benchmark for good practice in training and development of*
> *people to achieve organisational goals, Investors in People (IiP) has had a*
> *somewhat patchy history of acceptance and progress in higher education,*
> *but national reports and government targets consistently champion IiP as*
> *an effective tool for staff development.*

> Haines and Ketteridge (2002:110)

In 1993, HEQC[9] undertook a survey to identify which institutions were considering committing to, or had committed to, the Standard and would be interested in joining a network. Out of the 146 responses received, 129 indicated they wished to be part of the network (Crosthwaite, 1995), but very few HEIs[10] were committed at that time. As a result of the interest shown, a joint UCoSDA/ HEQC network was set up with the stated aim of helping 70% of Universities to attain the Standard by 2000. By 1998, the network had evolved into the Investors in People in Higher Education Forum, with the *'overriding aim to promote and gain commitment to the Investors In People National Standard at a strategic level within HEIs'*, (Thackwray, 1998b). Its activities have included yearly surveys to establish the uptake and progress of institutions towards achieving the Standard; annual conferences to share experiences and good practice; training events and newsletters. UCoSDA provided a range of services to help institutions prepare for and achieve the Standard, including issuing briefing papers on the Standard (for example: Whiteley, 1993; Thackwray, 1996; Adams, 1997; Balderson, 1997; Crozier et al., 2000; Gordon, 2000; Thackwray, 2000; Williams, 2000).

The University of Luton was the first whole university to achieve the Standard, in April 1994. In the same year three individual departments also achieved it: the Centre for Continuing Education, Lancaster University; the Business School, Open University; and Scarman House (conference centre), University of Warwick. By November 1999, the network reported 23 HEIs had achieved the Standard, which included 11 colleges of higher education, (see appendix 2.5). This exceeded the revised (in 1998) forum target

---

[8] University of Wales Institute of Science and Technology
[9] Higher Education Quality Council
[10] Higher Education Institutions

of 22 institutions by 2000 and resulted in a congratulatory note from Baroness Blackstone, the Minister of State for Higher Education, (CVCP, 2000).

At the same time, 26 HEIs reported achieving the Standard in at least one department (see appendix 2.6). The pre-1992 universities have had the most autonomous unit awards, mainly for non-academic departments, although there are some notable exceptions, such as the School of Biological Sciences at the University of Manchester.

The number of institutions gaining recognition over the first decade of the Standard was low, falling far short of the expected 70% by the year 2000, although many have maintained an interest via the forum. There have been only a few publicly announced "referred" assessments (e.g. Nottingham Trent University), where the institution admitted they had failed to be awarded the Standard. This is partly to be expected since the assessment process is confidential, and it is only when the Standard has been achieved that the results are in the public domain. Anecdotal evidence from the forum suggests that for the majority of HEIs progress has been slow because they have chosen not to be assessed rather than be referred. Reasons they cited have included the institutions feeling they were not ready, inappropriate timing, or because their local TEC suggested further work was required.

Today, as the sector's NTO, HESDA is required by the DfEE to promote the Standard (DfEE, 2000:20). It provides a range of services from maintaining the Web site, providing consultancy, self-help materials, mock assessments, publications and training events. In addition, HESDA supports three national practitioner groups, the annual conference and the recently set up Vice-Chancellors and Principals Group. Perhaps, as Sir Graeme Davies (Vice-Chancellor, University of Glasgow) suggests, these measures may result in the Standard spreading rapidly through the sector in the next few years (HESDA, 2001a) and universities gaining the benefits claimed for the Standard.

2.4.1   Reported advantages for universities in achieving the Standard.

Despite the low number of institutions who have gained the Standard in the past, a growing number of universities are perceiving the benefits, and publicly supporting the Standard (UCoSDA, 2000). Some of the more successful and/ or committed

universities have allowed case study material to be published about their progress e.g. The Open University, Glasgow, Aston, Bradford. From the information provided in these case studies a summary of both the reasons why some universities have committed to achieving the Standard, and the benefits they think they have obtained has been collated (see appendix 2. 7 (i)).

There appear to be seven main reasons for universities committing to the Standard and these are listed in Table 2.1. (See appendix 2.7 (ii) for breakdown by University)

Table 2.1: Reasons for wanting to commit and achieve the Standard

Rational	N	%*
1. A means of publicly benchmarking performance	8	40
2. Promoting effective staff development and good practice	8	40
3. To support Institutional mission, strategic plan	7	35
4. As aid to reorganisation/ change and or improving practice	6	30
5. Developing relationship with TEC	3	15
6. Raising the importance of staff development	1	5
7. Improve staff development for non academics	1	5

* 20 universities in sample

Nearly half of the sample said they committed to make sure that their staff development practices were effective and in line with established good practice. There was a recognition that, as the Registrar of Bradford University said '*We should be doing this any way*' (HESDA, 2001:62), and that the 'Badge' was of less importance than getting the outcomes right. A third of the sample also saw the Standard as useful for implementing changes in support of the institution's mission. Three institutions acknowledged that their relationship with the local TECs was in part a driving force, as either a means of increasing business or because their Vice Chancellor was a member of the TEC Board. These stated reasons are in line with the findings of Crosthwaite and Wollard's (1995) survey that reported that the most popular reasons for considering the Standard were:

- As part of a total quality approach.
- Because it was a good thing.

- Benchmarking against other institutions.

- Pressure from local TEC.

- Improve /consolidate staff development initiatives.

It is interesting to note that none of the reasons given refer specifically to the nature of HE and that external recognition and 'gaining the badge' were not regarded as significant reasons to engage with the Standard.

The Universities who are working towards or who have achieved the Standard have also claimed a number of benefits, listed below (see appendix 2.7 (i) and 2.7 (iii) for more detail).

Table 2.2: **Summary of key benefits claimed for achieving the Standard**

Benefits	N	%
1. Introduction/ improvement of people management processes e.g. appraisal, induction, communication	11	52
2. Improved business planning, aligned with staff development	11	52
3. Framework for systematic review	8	38
4. Raise awareness/ greater focus on staff development	8	38
5. Greater ownership of staff development and university objectives by staff	8	38
6. More cost effective/ prioritised staff development	6	29
7. Recognition for good practice in staff development	6	29
8. Improved staff development for non-academic staff/ greater understanding of their contribution	5	24
9. Improved management practice	5	24
10. Helped with outcomes of external scrutiny	4	19
11. Improved staff relations/morale	4	19
12. Improved methods of evaluating the impact of staff development	4	19
13. Framework for change management	2	10
14. Greater understanding of organisational goals	2	10

* 21 Universities in sample

Over half believed the process had improved their people management arrangements ensuring these linked into both business and academic planning. More than a third of the universities felt they had benefited from the systematic review necessitated by the Standard, since this had identified shortcomings. There was also a greater awareness and ownership of staff development, linked more closely to departmental and university

objectives. Over a quarter stated that their staff development was now better focussed and more cost effective, in particular for non- academic staff and managers. Several universities commented that achieving the Standard had helped with performance in QAA and OFSTED reviews, with improving evaluation techniques and communication of organisational goals. The benefits identified are similar to those anticipated by Crosthwaite and Wollard (1995):

- Improving staff development systems.
- Improving staff motivation and morale.
- Improving internal communications.
- Assisting with other approaches to QA.

Interestingly only a few institutions saw such things as improving the image they presented to employees and students, and recruitment/retention of staff as potential benefits. Crosthwaite and Wollard also identified factors, which made universities more successful. These included:

- using other tools like total quality management. Trying for the Standard alone is not enough to "shift" the organisational culture;
- an organisational 'champion' at a high level to kick-start the process then sponsor the process at senior / middle management levels.
- An "insider / outsider", someone with knowledge and experience of both the Standard and universities.

A further study (HEQC, 1998, section 81) supported this analysis and went on to make the following points:

- Staff resistance may have more to do with 'government initiative' overload than antagonism to the Standard per se.
- Resistance and scepticism are most effectively overcome by concentrating on the processes not the standard.
- Early involvement of the trade unions reduces problems later.
- Explanatory literature in a HE friendly language is needed.

There are, however, a number of identified potential barriers to institutions achieving the Standard, despite the considerable support provided by HESDA, LSCs and widespread encouragement from Government bodies and other stakeholders.

2.4.2 Higher education issues with the Standard

Whilst many universities would recognise these issues described in section 2.2.3, research concentrating on universities suggests that the sector may also have additional specific problems in achieving the Standard. The most popular reason for not considering the Standard according to Crosthwaite and Wollard (1995) was lack of time due to other pressures. However, other issues like the language, bureaucratic approach of the Standard, resistance from managers, and the expense involved were also identified as major barriers for universities.

Daniel (1997) highlighted the 'language' used in the Standard and supporting documentation as one of the main causes for the slow uptake. The 'management speak' public relations style of most of the literature is counter to the academic ethos, with its lack of cited evidence, the slightly patronising and 'magazine' style of its prose, and its openly managerial emphasis. This does not match the collegiate culture of autonomy and self-direction to which many academics and institutions aspire (Caldwell and Spinks, 1992). As Adams has so eloquently observed:

> *Those who embrace this terminology are frequently regarded by*
> *colleagues either as sycophantic careerists or little short of barking mad.*
>
> Adams (1997:3)

The latest version of the Standard, published in April 2000, does go a long way to addressing this issue (Haines and Ketteridge, 2002). For example, Version 1 uses phrases like ' business goals and targets' whereas Version 3 talks about a ' plan with clear aims and objectives that are understood by everyone'. Duncan (2001:92) suggests that complaints about the language of the Standard are a 'red herring' as the language is not difficult and can easily be contextualised for HE. However, for many it is too late; the language of the Standard is entwined with the contentious and resented trend within HE towards a managerial model of control (Adams, 1997).

The Standard's initial approach took a particularly unitarist vision of industrial relations and a naïve view of organisational behaviour (Adams, 1997) as it was developed from the Department of Employment and individual employer's experiences/ opinions rather than extensive research. Hence some academics would question the principles behind

the Standard, whilst others would seriously dispute its applicability to HE. Although a reasonable amount of research has now been undertaken (see sections 2.2.2 and 2.2.3) some of it is of a questionable academic standard. Consequently the academic credibility of the Standard has not been established and is open to dispute.

Since the Standard was initially developed to accommodate commercial models of organisations, universities with their pluralistic approach, autonomous individuals and heavy bias towards the academic side have had a difficult time demonstrating they meet the criteria. Burton (1995:20) illustrates this issue by pointing out that the earlier IiP documentation talks about managers and employees, implying a 'top-down' view of management. In universities the organisational structures are more fluid with a greater emphasis on a collegiate 'bottom-up' approach on the academic side. Another example is the requirement for an organisation to understand what staff development occurs, the costs involved and the outcomes. In universities with devolved budgets and individual budget holders accountable to external grant holders, it is not easy to establish how much money is actually spent on staff development. As Sawbridge (1995:25) highlights ' *many of the costs are concealed because inherent, subject based staff development is not costed institutionally'* .

These organisational aspects were compounded by the 'inconsistent behaviour' of the local TECs, (Crosthwaite, 1997). Some TECs were sympathetic and accommodating to the unusual nature and structures of universities, whilst other TECs were not. Consequently what universities were requested to achieve in order to be awarded the Standard was very variable (HEQC, 1998). Version 3, and the growing experience of assessors in the HE sector, has gone a long way to overcome these problems. However, it is still extremely difficult in many universities to establish what and where staff development occurs, how much it costs and whether it was effective.

One of the biggest stumbling blocks in the mid-1990s was the introduction of the 'autonomy rule'. Many of the pre-1992 universities had gained the Standard on a departmental basis, mainly in non-academic departments or in business or health schools and had little intention of committing as a whole organisation. Implementation strategies often involved a voluntary, department-by-department approach. As

Baldridge (1971) points out, individual academic staff frequently have a high degree of fiercely defended autonomy, and as a consequence, the management approach has to allow for considerable self-determination. Trying to implement organisation wide policies in a systematic and comprehensive manner is therefore extremely difficult in many universities. Adoption of policies is only successful when there is wide support among staff, and even then there will be pockets of resistance. Although the revised guidelines in 1998 allowed a 'building block' approach, which has helped those universities where there is an institutional desire for achieving the Standard, it is still problematic for those universities where only parts wish to be considered.

Balderson (1997) and Williams and Triller (2000) both considered the commitment of middle managers in universities as an issue. Their experience suggests that very few managers were actually opposed to the effective development of their staff, but many academic managers were suffering from 'initiative overload', resulting from mandatory internal and external scrutiny. Hence academic managers tended to be ambivalent about the Standard and about implementing the various processes needed to achieve it. This ambivalence could effectively equate to resistance, if the managers failed to implement such key processes as appraisal and evaluation of staff development. The unique culture of universities (Sawbridge,1996 and Duke,1992) has been identified as having an indirect impact on the attitudes of staff to their university, staff development and the Standard. Jarratt noted the existence of:

> *Large and powerful academic departments together with individual*
> *academics who sometimes see their academic discipline as more important*
> *than the long-term wellbeing of the university, which houses them.*

Jarratt (1985:33)

This view has been supported by a number of authors (e.g. Becher, 1989; Duke, 1992; Fender, 1993; Elton, 1999). Such a community of individuals may feel ill at ease with the notion of being a 'human resource' to be 'developed' in the interests of the institution. Their identity and first loyalty as scholars is to their discipline, and its international community is their primary reference point. In these circumstances staff development comes close to being intrusive and offensive (Duke, 1992:96). In addition to their discipline loyalty, academics value professional autonomy and expect high degrees of personal discretion. As professionals they expect to be led by one of their

peers in a relationship based on trust, and not managed by them (Thorne and Cuthbert, 1996:187). Consequently staff development initiatives, which are seen as centrally imposed with little or no consultation and support, can be meet with stiff resistance. As Sawbridge (1996) says the 'university culture' tends to demand a more collegiate approach, where staff are involved in decision-making and implementation. Crosthwaite and Wollard (1995) were the first to report that this 'cultural divide' made the Standard an undesirable goal for some institutions.

Crosthwaite (1993) suggests that continuing professional development of a scholarly kind for academic staff has always been part of the ethos of HE, distinguishing it from other educational sectors. However, evaluation of such activities is normally undertaken by academic peers and not by 'line-managers'. As Gordon (2000:4) points out, many academic staff do not perceive their line-manager to be the most appropriate person to undertake such a role. Furthermore, many academics feel personal development is the responsibility of the individual, rather than the employer (MacFarlane, 1995:64). These values are re-inforced by such behaviour as academics using their consultancy and grant money to attend events such as conferences and seminars of their choice, which may have no linkage to the university's goals. Until recently, Crosthwaite (1993) maintains, scholarly endeavours were rarely if ever directly related to institutional objectives in teaching and research and seldom addressed the development of competence in these areas as distinct from scholarly development. One of the real issues for universities is the difficulty of differentiating scholarly activities from staff development. For example, in many jobs acquiring new knowledge would be considered staff development, but academics are expected to read widely, keep abreast of their field and update their teaching materials. Most academics would consider this scholarly rather than staff development activity.

Staff development has never had a particularly high status in universities. Indeed, until HEFCE made it a requirement many English universities did not have a staff development policy. UCoSDA (1994b:22) identified lack of credibility and low status as critical to staff development's lack of organisational impact. They concluded that staff development success was heavily dependent on the status and approach of the responsible manager rather than the function itself. Sawbridge (1995:16) puts the lack

of status of staff development down to '*weak policy formulation, problems in ownership of the policy that does exist, and the relatively low status of those employed to implement it*'. The common split between academic development and 'skills' training compounds this; the former often provided by an independent unit staffed by academics for academics, while the latter is provided by personnel services for all staff.

Reviewing issues raised about the Standard in the HE sectors indicates that many potential barriers are on the academic side and are related to the nature of academic culture and autonomy. Hence the next section looks briefly at the organisational culture and changing management styles of universities.

2.5   The Organisational Culture Of Universities

> *A university is a combination of academic departments linked together*
> *only by a shared central heating system.*
>
>   Dopson and McNay (2000:16)

Research by IRS (1994) suggests that a major determinant of whether an organisation will be interested in the Standard is its organisational culture, so that this wider context needs to be considered in addition to the narrower field of staff development when reviewing uptake of the Standard. Bargh, Bocock, Scott, and Smith (2000: 9) argue that universities are a special kind of organisation that cannot be assimilated into a generic industrial model, consequently this may have implications for the take up of the Standard in HE.

As with staff development, the emphasis of much of the literature (see section 2.3.1) on organisational culture in HE is about the nature and characteristics of academics (for example Becher, 1989; Adams, 1998; Damrosch, 1997). Even the work that does look at the organisational rather than academic culture of universities (e.g. Hardy, Langley, Mintzberg, and Rose, 1988; McNay, 1996; Weick, 1976; West, Smith, Feng, and Lawthorn, 1998) tends to concentrate on the academic side, as it is this aspect that dominates the university.

Weick (1976) describes universities as unusual organisations with loosely coupled systems characterised by:

- A relative absence of regulation.

- Little linkage between the concerns of senior managers and lecturers.

- A lack of congruence between structure and activity.

- Differences in methods, aims and missions between departments.

- Little interdependence among departments.

- Invisibility of much that happens.

By contrast, Sporn (1996) in her comparison of cultures and management style felt universities were different because:

- Goals are ambivalent (e.g. research versus teaching).

- There is a very heterogeneous student base (e.g. compact student versus company executive).

- Standards are hard to define (as a consequence of the diverse nature of services).

- There are large numbers of professional staff (with strong expectations of autonomy).

- They are very susceptible to changes in their environment (e.g. political, economic, technological and social changes).

Both authors recognise that there is considerable ambiguity and decentralisation in universities, with lower levels of visibility and accountability than in most organisations. This is a very different situation from most commercial organisations, where the goals are clearer and individuals are more accountable for their performance.

There are several models of the organisational culture in higher education, for example McNay (1995), Hardy *et al.* (1988), Becher (1989), Bergquist (1992). In addition some of the more general models include one organisational type that is meant to embrace universities / professional organisations e.g. Mintzberg and Quinn (1991) and Handy (1993). Although all models provide some insight, Becher's model (See Table 2.3) is particularly useful as it suggests that all types of organisational pattern are present within the university but in varying degrees.

Decision-making in the hierarchical pattern may involve more persuasion than command in universities, but it does require that a coherent set of institutional policies are forged out of the diverse set of priorities which abound in universities. There is a

clear need for co-ordination of views at different levels and hence the need for a hierarchy of responsibility if not power. In the collegial pattern individuals enjoy a high level of discretion to conduct their affairs in their own way, subject only to minimal constraints. They enjoy equal rights in decision-making, and decisions have to be subject to ratification from below and exposed to possible dissension. In the anarchical model, academics enjoy high degrees of autonomy with powerful allegiances and strong professional identities outside their own institutions. This means they are often well placed to resist internal sanctions and pressures, and the plurality of values and pressures makes it very difficult for managers to identify unambiguous goals. In the political pattern, power is personal and decisions are made through a process of negotiation and compromise. Hierarchical and collegial patterns operate in the public domain and are reflected in the committee structures, whereas anarchical and political patterns are more covert and operate in the private domain.

Table 2.3 Four Patterns of Organisational Behaviours

Organisational Patterns	Characteristics Features
Hierarchical	Authority conferred from above Recognisable chains of command Pre- determined regulations and procedures Specified roles
Collegial	Authority ratified from below Equality of rights in decision making Decisions exposed to dissent High personal discretion
Anarchical	Authority eroded by personal loyalties Emphasis on individual autonomy Ambiguous goals; Pluralistic values Influence based on expertise
Political	Authority deriving from personal power Conflict as basis for decisions Policies based on compromise Influence deriving from interest groups

Becher (1988:320)

In terms of the Standard and staff development, Sawbridge highlights the significance of these organisational behaviours, such that:

> *Policies might well find themselves in the public domain through institutional mission statements and officers with titles and resources to implement practice, but these may be subverted by anarchic and political forces at work ...* [Individuals] *may be charged with implementing policy, but their ability to do so will depend on the degree of commitment to the policy, which is manifested across the institution, not just with those with central managerial functions.*

Sawbridge (1996:9)

Hence a university may commit to a policy like achieving the Standard, but find it is unable to implement it due to other forces at work in the organisation.

Another important historical difference between commercial organisations and pre-1992 universities was academic tenure, which made it extremely difficult to dismiss an academic member of staff. Although that was changed in 1988 by the Education Reform Act, 'academic freedom' is still an important concept and a university has only limited control over its academic staff, especially those who are more senior. For example, Handy (1993:189) stereotypes university professors as doing what they have to in terms of teaching and administration, but essentially regarding the university as a base to expand their own careers and follow their own interests. He uses 'professorial behaviours' to illustrate the concept of the 'Person Culture' in organisations where certain individuals behave autonomously in pursuit of their own goals not the organisations. Such individuals are not easy to manage, as little influence can be brought to bear on them: resources and positional power have little effect, coercive power is not usually available, and, since such individuals are usually strong personalities they are not easily persuaded by other dominant personalities. Staff development for such individuals would be what they wished to do (if anything) and would not necessarily have any relationship with the university objectives. This type of culture is incompatible with the Standard, which implicitly assumes individuals work to achieve the organisation's aims and are willing to undertake staff development in furtherance of those goals.

It is this dominance of independently-minded academic staff in universities that may go a long way to explain why the Standard has not been readily adopted there. Unlike commercial organisations, major policy initiatives that are perceived to be irrelevant, unhelpful or merely rhetorical, cannot be 'forced through' if the bulk of the academic staff are hostile. Handy (1988) describes this as a process of management by consent not consensus, where managers need to check that what they propose is acceptable. Bligh (1990) surmises that academics believe they have the right to disagree with the management and will not do things they disagree with. The earlier versions of the Standard assumed that managers made the decision, which does not easily fit with the collegial approach. Version 3, being outcomes-based, no longer assumes a hierarchical decision-making model and can therefore more readily accommodate cultures where individuals have greater control over their own activities.

Nevertheless, this view of 'academic autonomy' has been challenged. Jarrett in 1985 recommended that universities (and therefore staff) should be held more accountable by establishing clear objectives and achieving value for money in terms of transparent indicators. Since the mid-eighties it has been suggested (for example: Trow, 1989; Hartley, 1997; Trowler, 1998; Wright, 2001; Deem, 2001; Henkel, 2002) that 'managerialism' is emerging as a dominant force in British HE. This concept refers to:

> *The practices commonplace in the private sector, particularly the imposition of a powerful management body that overrides professional skills and knowledge. It keeps discipline under tight control and is driven by efficiency, external accountability and monitoring, and an emphasis on standards.*

> Utley (2001:7)

Managerialism is predicated on the belief that better management should lead to a better world, economically and socially, where social progress should be achieved through greater economic productivity arising from the use of disciplined workforces where managers have the right to manage (Wright, 2001:281). Deem (2001:10and11) elaborates on the concept, pointing out that it refers to both the ideologies and the actual application of techniques, values and practices derived from the private sector. Such practices include the introduction of targets (objectives) and the monitoring of efficiency and effectiveness through such activities as staff appraisal and the

measurement of staff performance and achievements. Hence a managerial culture is seen as incompatible with an academic culture which relies on trust not control (Henkel, 2002). Many of the managerial processes (e.g. appraisal, target setting, evaluation) associated with 'managerialism' are seen as the means of undermining academic autonomy and increasing management control. Unfortunately, they are also the processes promoted by the earlier versions of the Standard as the means to enhancing staff development practice. Hence, the conclusion is reached in many academic minds that the Standard promotes a managerial culture and is therefore incompatible with an academic culture.

Managerialism is reported to be more prevalent in the post-1992 sector (Henkel, 2002), probably as a consequence of their local government background. Up until 1988, the post-1992 universities were under the direct control of local authorities, which provided many of the support functions, ranging from stationery to personnel services, and dictated the rather bureaucratic management style. They were released from local government control by the Education Reform Act (1988) which established the post-1992 universities as independent corporations and the Further and Higher Education Act (1992) which established them as universities with the same funding and admissions processes as the pre-1992 universities (Crosthwaite and Warner, 1995). On gaining their independence the post –1992 universities had to establish their own personnel and staff development functions. This explains why Warner and Crosthwaite (1992) found that 86% of personnel heads in post-1992 universities were appointed between 1988 and 1992, compared with 35% in the pre-1992 universities. In addition 50% of personnel heads in the post-1992 universities, compared with 30% from the pre-1992 universities, had previous experience outside education.

This different background colours, to some extent, how the universities are likely to see their personnel and staff development function. For example, Hall (2000:93) points out that personnel heads in pre-1992 universities tend to report to the Registrar, whilst in post-1992 universities they tend to report directly to the Vice-Chancellor or their deputy. In pre-1992 universities personnel is seen as just another aspect of central administration and the:

> *Active management of personnel issues at a strategic level is relatively*
> *unknown, and the integration of personnel considerations into wider*
> *planing within institutions…remains rare.*
>
> Keep and Sisson (1992:73)

Conversely, in post-1992 universities, the personnel function is more likely to be seen as strategic and to be far more influential in shaping university policy. Personnel heads because of their external experience are more likely to be aware of and/or had experience of the Standard and their senior and more strategic role may put them in a stronger position to determine a university's policy towards the Standard. This may partly explain the relative success of post-1992 universities in achieving it.

Another important difference between pre and post-1992 universities is tenure of management posts. In pre-1992 universities academics are usually selected/ elected to fill the positions of Pro-Vice Chancellor and Head of Department for a fixed period of time. Selection is based more on academic credentials than on management capabilities (UCoSDA, 1994c), although this may be changing, with an increasing number of appointments at senior level being made from outside the sector. The expectation is that each Pro-Vice-Chancellor/ Head of Department will return in time to their substantive academic post. The Registrar is the head of all administrative functions and provides the continuity of management. In the post-1992 universities the system is different with Pro-Vice-Chancellors and Heads of Departments more likely to be appointed by open competition to permanent posts with clearly defined areas of responsibility (both executive and strategic) with administrative and academic staff reporting directly to them. The combination of permanence and line management responsibilities means that in post-1992 universities Pro-Vice-Chancellors are far more powerful than in pre-1992 universities (Palfreyman and Warner, 2000:4).

Gledhill (1999:99) suggests the pre-1992 model is similar to the relationship between the civil service and Members of Parliament, whilst post-1992 universities are run more like local government, which is strongly managerial. House and Watson (1995:9) suggest that even before incorporation post-1992 universities were closer to a commercial/ industrial than a collegiate model. That is, mainly permanent staff operating in a recognised, if not always a perfectly functioning management structure,

where managers have considerable delegated responsibilities and are accountable for their and their staff's performance. In addition post-1992 universities were seen to be accustomed to external procedural intervention and regulation by the CNAA[11] and HMI[12], rather than internal peer review. As House and Watson observed:

> *It has not been unknown for Vice-Chancellors of traditional universities to cast an envious eye at the perceived power of the director of a polytechnic to impose by diktat, unfettered by the obstructive stance of a conservative senate.*

House and Watson (1995:9)

Farnham (1999), Thorne (1996) and McNay, (1995) all consider post-1992 universities to be more managerial and less collegial in their structures than pre-1992 universities. This impacts on the way decisions are made, which in post-1992 universities are more 'top down' or hierarchical (Sawbridge, 1996:5). There is a greater concentration of power at the centre of post-1992 universities with less consultation and fewer committees (Dopson and McNay, 2000). The tradition of collegial governance, conducted through widespread consultation and debate, is struggling to withstand the pace of external circumstances even for pre-1992 universities, which are becoming more managerial (Harvey and Knight, 1996; Boden, 2001, Fulton, 1996, Utley, 2001). Research by McNay (1996) supports this view suggesting that post-1992 universities are moving more towards a corporate culture, whilst pre-1992 universities are tending towards bureaucracy as they are forced into being more accountable. Applying McNays' theory would suggest that universities with a culture where the power is centralised (i.e. bureaucracy and corporations) would find it easier to make the decision to commit to the Standard and implement the necessary processes.

Pre- and post-1992 universities have traditionally differed in their mission with many pre-1992 universities aspiring to educate academically gifted students, while post-1992 universities are more concerned with the notion of spreading excellence in education among all those who could participate and benefit from it, with a bias towards vocational courses (Gledhill, 1999:97). These long-standing traditions are now breaking down, but their historical effects are still perceived. These differences in mission have

---

[11] Council for National Academic Awards
[12] Her Majesty's Inspectorate

affected the kind of staff recruited (Farnham, 1999:223) with pre-1992 universities more likely to recruit staff who are more highly academically qualified (i.e. holders of PhDs), more likely to have spent their whole career in a university and be research active. Staff recruited in the post-1992 universities are more likely to have industrial experience, be less research active and be accustomed to a more managerial than collegial management style. In addition, post-1992 university staff are more likely to have come across the Standard in previous employment.

2.6 Conclusion

The Standard has been in existence now for over a decade and a quarter of the UK workforce is working for organisations that have achieved it and thereby demonstrated the required levels of staff development practice. Considerable benefits have been claimed for the Standard, and both the Government and many stakeholders in HE, including some universities support it.

However the majority of universities, despite being major UK employers, have been slow to embrace the Standard. Historically staff development in universities has traditionally been focussed on academic staff and in the last decade very much on their teaching and learning role, rather than across the wide range of employees. In addition there has been a marked difference in the achievement between pre- and post-1992 universities and between academic and service departments.

The literature (e.g. Adams, 1997: Crosthwaite 1993 and 1997) suggests a number of possible reasons for this ranging from the unique nature of university culture, the low status of staff development in the sector, and the different histories and traditions between pre / post-1992 universities and support/ academic departments. However it is not completely clear what problems the Standard specifically raises for HE and why it is more attractive to post-1992 universities. In order to investigate and clarify these issues further, this research looks at one post-1992 university's experience of the Standard and perceptions from within the institutions of the benefits and issues involved in trying to achieve it. The research aspires to locate the relevance and importance of these issues in a broader statistical analysis of uptake and an understanding of the culture of universities.

Chapter 3

Methodological approach

3.1 Introduction

The methodological approach chosen by a researcher is determined by a number of factors. Gill & Johnson (1997:128) point out that, although the researcher should be aware of the differing inherent strengths and weaknesses of the different research methods, it is the nature and content of the research topic and the extent of the available resources that influence any choice. This view is supported by Hartley (1994:208) who states ' *there is nothing per se which makes one method weak or strong'*, it is how researchers attend to the potential weakness of the method they are using that is important. Others, like Anderson (1990:7), take a more prescriptive approach, and suggest the methodology chosen by educational researchers should be influenced by the research type (i.e. descriptive, explanatory, generalisation and theoretical) and discipline tradition. Whilst Bell & Newby, (1977:9) suggest it is the *'idiosyncrasies of person and circumstance'* that is at the heart, not the periphery of research. I support Bell and Newby's position. Whilst I fully acknowledge that my choice of methodology was influenced by my research topic and limited by practical considerations, the final choice was determined by my personal preference and interest.

As a disillusioned experimental psychologist I was particularly interested in exploring the benefits of a qualitative approach to research, as increasing numbers of my fellow psychologists (Richardson 1996, Banister, Burman, Parker, Taylor, & Tindall 1998, Hayes 1998) have argued the benefits of qualitative approaches to the study of human behaviour and organisations. They have highlighted serious weaknesses in the positivistic paradigm such as ecological validity, ethics, demand characteristics, volunteer characteristics, experimenter effects etc. As Gill & Johnson explain:

> *It is the subjective processes that provide the sources of explanation of human action... Thus the aim of such interpretative approaches is to understand (verstehen) how people make sense of their worlds, with human action being conceived as purposive and meaningful rather than*

> *externally determined by social structures, drives, the environment or*
> *economic stimuli.*
>
> <div align="right">Gill & Johnson (1997:133)</div>

Given what I wanted to explore, qualitative approaches were more appropriate for my research questions, which were focused on the 'why' and the issues behind the behaviours.

This still gave me a variety of approaches and paradigms to choose from. I decided to adopt a case-study strategy, using the experiences and perceptions from within my own university to explore my research questions. This approach allowed me a mixture of data collection and data analysis approaches, without the limitation imposed by one epistemological paradigm. In terms of data collection I started out by looking at the sector to establish what was happening in terms of achievement of the Standard and to check whether Summertown was reasonably typical. Secondly, I developed a story of Summertown's experience of working towards the Standard based on documentary evidence, personal experience and interviews. Thirdly, I interviewed eleven Summertown managers and staff developers, and three experienced IiP consultants to explore their perceptions and experiences of the Standard at Summertown and in the sector. Throughout the study I was reading the literature to help inform my data collection, analysis and discussion.

Looking at the sector' performance and describing Summertown's journey towards the Standard provided the context in which to interpret the experiences and perceptions of the participants. Together I felt the outcomes would provide a useful insight into the issues of the Standard in the sector.

3.2   Use Of Case-Study As A Research Strategy

Although, as Simons (1996:225) claims the case-study is now widely accepted as a form of research, there is not a commonly agreed definition of what constitutes a case-study. Stake (1995:2) observed ' *we cannot make precise definitions of cases or case studies because practices already exist for case-study in many disciplines'* e.g. medicine, business, law and anthropology, which all take slightly different views. Many writers including Yin (1994), Hartley (1994), Robson (1993) and Holloway

(1997) believe case-study is a research strategy rather than method, since it employs a number of methods to collect data, which can be either qualitative, quantitative or both. The common theme is that case studies are bounded in some way, such as by place, time or process. Furthermore, case studies can use extensive and multiple sources of information (Creswell, 1998:61), and are not restricted to a single or multiple case or even to one level of analysis (Yin, 1994:4).

In the context of this research it is perhaps more fruitful to look at why case-study is now a common approach in educational research and what are its strengths and weaknesses. Simons (1996:227) claims that case-study celebrates the particular and the unique, it gives space to the perceptions and judgement of participants in the description and construction of understanding, while engaging readers with the experience of the phenomena and it renders the unfamiliar familiar and the familiar strange. By giving insight into specific instances, events or situations its reveals what these mean to individuals, getting beyond the form and structure to the realities (Walker, 1974:76).

Yin (1994: 4) suggests that case-study should be the preferred research approach when the 'how' and 'why' questions are being posed about real life contemporary events. With case-study research the topic of interest is studied within its social context, and the phenomenon is not artificially separated from its surrounding. Case-study research may also be distinguished by its approach to theory building, which tends to be inductive (Yin, 1981) and occurs through the systematic piecing together of detailed evidence to generate theories of more general interest. Hartley (1994:209) argues that case studies provide the means to understand complex social phenomena, where several approaches to data gathering and analysis are needed to tease out the delicate and intricate interactions and processes that occur in real life.

Furthermore Adelman, Kemmis and Jenkins (1980:47) describe the advantages of using a case-study strategy as producing outcomes that:
   a) are strong in reality
   b) draw attention to subtlety and complexity
   c) are able to represent the discrepancies or conflicts between the viewpoints of the participants

d) can provide descriptive material sufficiently rich to admit subsequent reinterpretation

e) can be directly interpreted and of use in the real world

f) can present research findings in an accessible form.

In summary, case-studies provide the means to explore the fine detail of complex social processes in the sounds, sights, and smells of the real situation. From the detailed analysis of the situation, theories can be developed to provoke ideas about new ways of viewing the world, or to fill in an idea with vivid details, or to suggest new perspectives (Baldridge, 1971).

However, there are number of theoretical and practical problems with using a case-study strategy which should not be underestimated. Perhaps the biggest criticism of case studies is their lack of generalisation. Atkinson and Delamout argue:

> *If studies are not explicitly developed into more general frameworks, then they will be doomed to remain isolated one-off affairs, with no sense of cumulative knowledge or developing theoretical insight.*

Atkinson and Delamont (1985:39)

Other commentators take a different view and suggest that:

> *Case-study is the way of the artist, who achieves greatness when, through the portrayal of a single instance locked in time and circumstance, he communicates enduring truths about the human condition. For both the scientist and artist, content and intent emerge in form.*

MacDonald and Walker (1975:3)

Simons (1996:231) clarifies the situation by positing case-study as a paradox not a contradiction, consequently '*by studying the uniqueness of the particular, we come to understand the universal*'. She explains that researchers need to tolerate the ambiguity and live with the paradox in order to understand.

Both Yin (1994) and Hartley (1994) also point out that generalisation within the positivistic paradigm is also not without its difficulties. One should only make generalisations about a sample to a population, where a representative sample is taken from a homogeneous population. However, in social research, attempting to look at human phenomena, representative samples are difficult to achieve and populations are

seldom homogeneous. Whilst in many kinds of qualitative inquiry generalising from a sample to a population is not an issue, because the point is to understand the particular situation. Case-study researchers rarely claim that their findings are generalisable, leaving it to the reader to determine if the conclusions drawn reflect their own experience and /or whether the findings support establish theory. However, there is a potential danger in case-study research of providing description without wider meaning (Hartley, 1994:210). A case-study may produce fascinating details about a particular social situation, but, without the discipline of theory development, it can easily degenerate into a descriptive story. Detailed description is of little interest to a wider audience unless it conveys some fundamental insights.

A number of authors have developed varying typologies of case-study. Stenhouse (1988) identified four broad styles: ethnographic, evaluative, educational and action research, while Yin (1993) suggested three forms of case-study: exploratory, explanatory, and descriptive. Stake (1995) also distinguishes between three types of case-study, intrinsic where the interest is the particular case, instrumental where the interest is more general and collective which are designed to be representative. All these models have value, but my approach best fits with Stake's instrumental approach which looks at a particular situation in order to try to understand an outside concern. As Stake says of the instrumental approach:

> *We have a research question, a puzzlement, a need for general*
> *understanding and a feel that we may get insight into the question by*
> *studying a particular case... This use of case-study is to understand*
> *something else. Case-study here is instrumental to accomplish some thing*
> *other than understanding* [the particular case].

Stake (1995:3)

By choosing the bounded system of the University of Summertown, I intended to identify the key issues and achieve a greater understanding of the sector as a whole.

Before leaving case-study and looking in more detail at the methods and data analysis, I think it is important to draw attention to one other dimension, which caused me considerable anxiety. Bassey (1999:39) draws a distinction between educational

research and what he calls discipline research in educational settings. Educational research he defines as '*critical enquiry aimed at informing educational judgements and decisions in order to improve educational action*' carried out by educationalists and having immediate relevance to teachers and policy makers. For him ' *discipline research in education aims critically to inform understanding of phenomena pertinent to the discipline in educational settings*'; while it may be relevant to teachers and policy makers is not pertinent to their day-to-day decisions. The audience for my study is peers in HE interested in staff development; it does not have an educational aim per se. My study could have focused on a different market sector and, by Bassey's definition, constitutes discipline research in an educational setting. Yet it has been carried out in the spirit of educational research rather than in the tradition of any other discipline. To this end I am satisfied that the topic and methodology is appropriate for a management orientated Doctorate of Education thesis.

3.3   Research Methods And Data Collection

3.3.1   Quantitative analysis

Initial data gathering about HEIs and their interest in and success with the Standard was undertaken in the summer of 1999. From the analysis it was clear there was a difference between pre and post-1992 universities, with pre-1992 universities tending to be smaller, with fewer FE students, more overseas students and lower staff/student ratios. One of the most striking differences was in terms of the achievement of the Standard between the two types of universities and this subsequently formed one of the key themes in the interviews, which were undertaken in the Summer of 2000. The numerical data presented in this thesis on the 'interest in' and the 'achievement of' the Standard was revised and updated during the summer 2001 at the end of the academic year in which the interviews took place. At this time, the UCoSDA[1] web site had migrated to its new home at the University of Sheffield, and the information on the site had been updated. The 2001 data was felt to be more reliable than that collected in 1999 and more likely to reflect the impact of the introduction of the building block approach. The numerical analysis can be found in chapter 4.

---

[1] Universities and Colleges Staff Development Agency

3.3.2 Considerations when writing a story

The story about the Standard at the University of Summertown covers the period between 1992 and 2000. The purpose of the story is to provide the background and the context of the university at which all of the participants worked (with one exception) either as employees or as IiP consultants. It is what Riessman (1993) calls a topic-centred narrative in that it is a story of past events connected thematically by the storyteller. In line with Bassey's (1999:87) advice, the story is organised in chronological sections, with the interests of the audience held firmly in mind.

However, it is also my story of how I saw the University trying to achieve the Standard. It is based on the accounts of colleagues who were involved first hand, my own experience and available documentary evidence. According to Holloway's (1997) definition of a narrative, a story is meant to be interpretative, not merely a factual account of events. As Gabriel (1998) says, the truth of a good story lies not in its accuracy but in its meaning. As Remenyi, Williams, Money and Swartz (1998) describe a narrative, my story is also meant to be:

> *A consistent and convincing description of the process or subject matter*
>
> *under investigation... drawing on largely qualitative information, that*
>
> *tells the story of the phenomena being research in a comprehensive way.*

> Remenyi *et al.* (1998:121&124)

However, Hartley (1994:221) suggests caution in using stories, warning that it is a mistake to believe that narrative is the most interesting aspect of a case-study, rather the purpose of narrative is to draw out the wider implications, while giving a strong sense of the particular circumstances of the case. Stake (1995) also urges discretion about the use of stories in case-study research. He states very clearly that '*case-study reporting is not simply story telling*' (*op cit*:127), warning that stories can detract from the intent of the researcher to provide more than a literary titbit. However, Stake does recognise that the traditional academic report format is ill-fitted for case-study reporting and he encourages the contemplation of alternative approaches. With these caveats firmly in mind, the story element of this study is provided as contextual background, with my position, involvement and consequently partial perspective emphasised.

The third approach to data collection was a series of semi-structured interviews, and this formed the bulk of the data collection. These were analysed using a model adapted from Miles & Huberman (1994). The methodological considerations are greater here and are discussed in more detail in the section below.

3.3.3 Semi-structured interviews

The purpose of the statistical analysis and the story was to provide both the background and context to the third part of the study – the semi-structured interviews. It was envisaged that the analysis of the interviews would enable the research questions to be addressed and the propositions developed, which related particular instances to more general themes or trends through the application of theory and analytical method. Interviews were chosen because, as Rubin and Rubin (1995:1) declare, they are a well establish technique to find out what others feel and think about their worlds, helping the researcher understand the experiences and events in which they did not participate. These days there are a host of useful sources (e.g. Arkey & Knight, 1999; Kvale, 1996; Rubin & Rubin, 1995) describing both how to carry out qualitative interviews, and the practical and methodological considerations of the different types of interview. After researching the topic I decided to use semi-structured interviews to ensure the collection of responses about specific topics of interest, whilst providing freedom to follow up points of interest and allowing participants to answer questions in a way that suited them. An interview protocol was developed (see appendix 3.1) based on the topics of interest. Multiple interviewees were chosen to provide a greater understanding of the processes and issues, and to reduce the likelihood that events, feelings, or attitudes described by one participant were not wholly idiosyncratic.

3.3.3.1 Selection of participants

A purposive sampling approach was used to select the participants, which Robson (1993:142) highlights as a common approach within case-studies. This means that participants were chosen for a reason, rather than randomly. In this study participants were chosen for their knowledge, attitudes and experience of the Standard and included the Vice Chancellor, the IiP project manager, the Head of Personnel, the Dean of a Faculty and academic/ service departmental heads. With the exception of the external

participants, I knew and had worked with all participants. Table 3.1 gives the reasons for the choice of each participant.

Table 3.1 Choice of participants

Code	Background	Reason Chosen	Time at University
SMGR1	Academic	Senior Manager, involved in 1999 decision to proceed with the Standard	<5 years
SMGR2	Academic	Senior Manager, previously involved in the Standard	>5 years
SMGR2	Academic	Senior Manager, involved in 1999 decision to proceed with the Standard	>5 years
SDEV1	Non-academic	Involved in staff development and heavily involved in the implementation of the Standard	>5 years
SDEV2	Academic	Involved in academic staff development, no involvement with the implementation of the Standard	>5 years
SDEV3	Non-academic	Involved in staff development, and involved in decision to proceed with Standard	>5 years
HOD1	Academic	Head of academic department, successfully involved in the implementation of the Standard, who was not enthusiastic about the Standard	>5 years
HOD2	Academic	Head of academic department, successfully involved in the implementation of the Standard, who was supportive of the Standard	>5 years
HOD3	Academic	Head of academic department, not involved in the implementation of the Standard, who had looked into it when it first came out and was not supportive of the Standard	>5 years
HOS1	Non-academic	Head of service department, successfully involved in the implementation of the Standard	<5 years

Code	Background	Reason Chosen	Time at University
HOS2	Non-academic	Head of service department, involved in the implementation of the Standard	>5 years
IiP1	Non-academic	Investors in People (UK) Higher Education Account Manager	
IiP2	Non-academic	Hampshire Training and Enterprise Council Consultant responsible for the University of Summertown account.	<5 years
IiP3	Academic	Investors in People independent consultant, with considerable experience of the HE sector	>5 years

The involvement of the participants with the Standard varied greatly, from working with it on a daily basis (participants IIP1-3 and SDEV1) to being involved with it in the early stages of the university's engagement (SMGR2 & HOD2) to managing units which had been assessed (SMGR1, SMGR3, HOD1, HOD3, HOS1, HOS2). Experience of the university also varied, but with the exception of SMGR1, all the internal participants had been at the university since 1992. However, all participants were familiar with the Standard and had some involvement with it.

3.3.3.2 Interview process and transcription

Participants were approached and asked if they would participate in the study. All agreed readily and none requested to withdraw at a later date. Time, dates and a private / quiet location were agreed. I undertook all the interviews. All interviews were recorded, and notes taken. Due to poor quality of the tape recording, three interviews could not be transcribed verbatim (participants STEV1, HOS2, & IiP3) and in these cases my notes were used to supplement the interview scripts. The interviews lasted between 30 and 90 minutes.

Tapes were transcribed as accurately as possible, five by myself and seven by a trained typist. We did not use any particular conventions as advocated by Atkinson & Heritage (1984). Rather we attempted to record what was said, leaving spaces for breaks, but omitting 'errs' and 'umms' etc.

3.3.3.3   *Analysis of interviews*

One of the key questions in interview analysis is what material should be analysed; is it the 'interview' itself or the transcript of the interview? As Burman (1998:57) points out the transcript is ' *an impoverished record, a key stopping point on the road of progressive removal from the encounter, to the aural representation (on tape) to the written representation* '. Barum takes an ethnographic stance and argues for the inclusion of the researcher's experience in the form of field notes encapsulating impressions, perceptions of emergent issues and feelings as well as factual recording of what was said. Heritage (1984: 237) takes the opposite view and argues for the benefits of working with transcripts alone, as he sees transcripts as an essential corrective to the limitations of intuition and recollection. Transcripts allow repeated and detailed examination of the events of the interaction by the researcher and by others. Whilst acknowledging the power and richness of an ethnographic approach, I decided not to follow this tradition and consequently I did not note my 'impressions' of the interviews, but I did keep a summary of comments in case the recorder failed.

3.3.3.4   *Analytical process*

There are numerous books and journal articles, for example Miles and Huberman (1994), Punch (1998), Kvale (1996), Rubin and Rubin (1995) describing various ways to analyse interview data. Kvale (1996:187) argues that there are five main approaches to interview analysis:

     a) **Categorisation of meaning:** where a number of defined categories are generated from either the literature and /or a pilot study. Each statement in an interview transcript is then coded as belonging to one of the categories. This approach allows for frequency to be taken into account and for the inter-coder reliability to be assessed as a means of checking the validity of the categories and the analysis process.

     b) **Condensation of meaning:** where the data are split into 'natural meaning units' and the central theme of each unit recorded. Each unit is then interrogated in terms of the specific purpose of the study. The essential, non-redundant themes are then tied together into a descriptive statement. This is a common approach in phenomenological research.

c) **Structuring of meaning through narratives:** where the interview is treated as a form of narration. The analysis leads to a new story being told, a story developing the themes of the original interview(s). The analysis can be a condensation or reconstruction of the many tales told in an interview to form a more condensed and coherent story. This is a popular method in feminist research.

d) **Interpretation of meaning:** This approach is based on an hermeneutic perspective, where the researcher explores the process of discovering meaning in the experience of individuals by interpreting the data in a number of ways.

e) **Ad hoc methods for generating meaning:** where there is no standard method for analysing the whole of the interview material. Rather there is a free interplay of a number of techniques. Kvale (p204) states that this approach is exemplified by Miles & Huberman (1994), who identified thirteen such tactics arranged roughly from the descriptive to the explanatory and from the concrete to the more conceptual and abstract.

I was attracted to the ad hoc method, as I did not want my interview analysis to be based within one strong epistemological tradition. Miles and Huberman (1994:3) describe this approach as pragmatic, that is selecting a method that produces *'clear verifiable, credible meaning'* which is *'manageable and straightforward'* and does *'not necessarily require prolonged training or a specialised vocabulary'*. Moreover Punch (1998:202) also supports this approach and describes it as *'analysis which is directed at tracing out lawful and stable relationships among social phenomena, based on regularities and sequences that link these phenomena'*. Miles and Huberman call their approach 'transcendental realism' and base it around three concurrent streams of data display, data reduction and conclusion drawing and data verification interacting throughout the analysis. See Figure 3.1 overleaf.

The analysis is split into three basic operations: coding, memoing and conclusion drawing and verifying. Coding is the foundation of the process and is the means by which labels are put against pieces of data to create meaning. In the initial stages the labels are likely to be descriptive, allowing the researcher to get a feel for the data. At the later stages of analysis the coding is at a higher level of abstraction, becoming

inferential or interpretative. There must however be clear links between the labels and the data to establish audit trails through the analysis. Memoing, although a separate operation is not a separate stage, rather it is the process of recording ideas that occur while coding the data. As (Punch 1998:207) highlights '*They help the analyst move from the empirical to the conceptual level*' and help in the development of propositions. Conclusion drawing and verifying, although conceptually distinct from the other stages, is likely to happen concurrently. It involves a number of analytical processes, which may be used at the same time or sequentially. As Punch states '*several things are going on at the same time*'. The purpose of this operation is to integrate the data reduction and data displays into a meaningful and coherent picture of the data.

Figure 3.1 Components of data analysis: interactive model
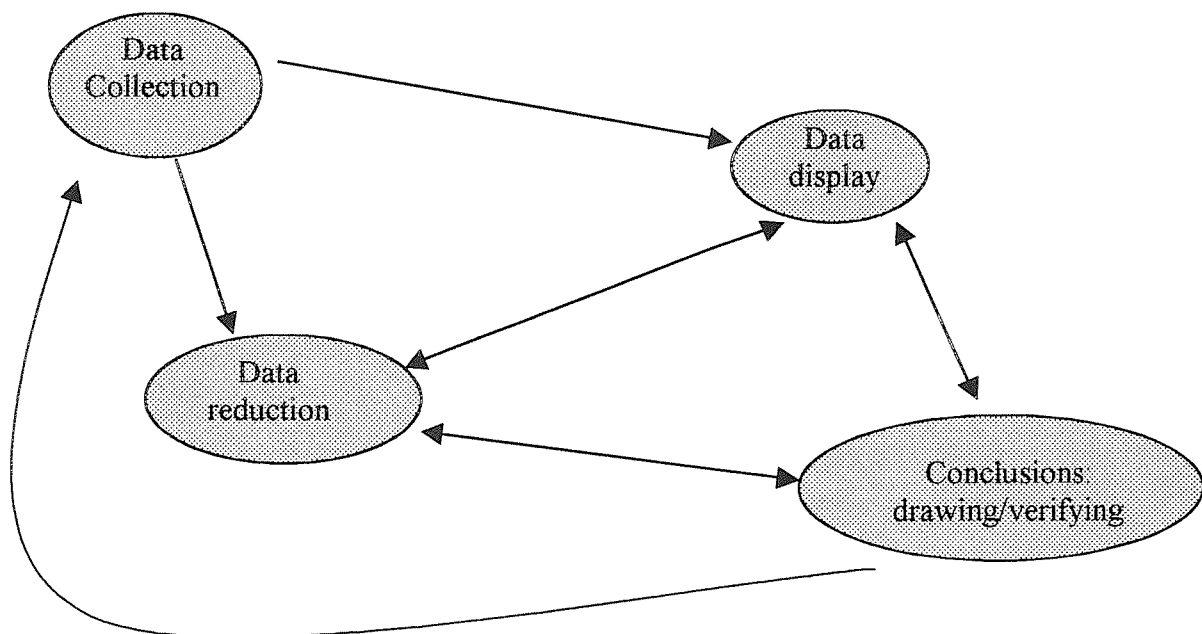
Miles and Huberman (1994:12)

Within this general model of qualitative data analysis Miles and Huberman (1994) describe a number of approaches, broadly categorised as within case or cross case. Since my data was a number of interviews I adopted a variant on the partially ordered matrices approach (*op cit*:177) as the first-cut data analysis technique. Partially ordered matrices are really just summary charts which attempt to make the data comparable by condensing and standardising it into a regular format. I took each transcript in turn and

summarised the points made. I then took each summary statement and coded it against the topics identified in the semi-structured interviews to produce the partially ordered meta-matrices (see appendix 3.2). At this stage I could have used different codes, but since the interviews were structured around these themes, it seemed a sensible approach to do the first pass coding using the same themes.

3.3.3.5 *Making sense of the data*

After developing the partially ordered meta-matrices, I attempted to use some of the techniques described by Miles and Huberman, (1994) to explore, describe and make sense of the data, but I found the techniques very restrictive, laborious and ill-suited to the data. I took a step back. As a consequence of developing the matrices, I had read and re-read the interview scripts and notes a number of times. Certain themes appeared to have emerged from the transcripts, consequently I re-classified the data from the interview scripts into these new key themes. This was an iterative process. New themes emerged as I attempted to classify the comments; some of the original ideas did not seem that well supported and were dropped as new concepts emerged. Once the interview data was re-sorted into the key themes, the ideas and comments were refined, described and explained (see Chapter 6). The next and final stage was the clustering of the themes, comparison with the literature and the drawing of conclusions (see Chapter 7).

3.4 Ethics And Personal Bias

I believe ethical practice is fundamental to good research practice. Consequently, when designing and carry out any research ethics must be taken into consideration. Walker (1983) identified the following potential ethical difficulties with case studies, they can:

a) be an uncontrolled intervention into the lives of others

b) give a distorted view of the world

c) embalm practices which are always changing

d) raise serious issues of confidentiality

e) raise issues of access and control over data

f) inappropriately involve the researcher in the events / situations under study.

These issues were taken into consideration in the design of this study. The data collection was post hoc, so it had a minimal impact on any of the participants' lives. I made it clear in the interviews that I was serving out my notice and would not be

reporting back to the university. In addition, as a member of the British Psychological Society I am bound by the Society's code of conduct (1991) and by the Research and Graduate School of Education ethical guidelines for research, cited in the EdD student handbook (2001). Informed consent was sought at the beginning of each interview, and it was made clear that participants could withdraw at any time, including retrospectively. Participants were fully briefed as to the purpose of the research, and how the interview tapes / data would be handled. Where individuals made it clear that they did not wish to be quoted about specific things, their request was respected.

All participants were assured of confidentiality as far as possible. It was for this reason that I decided to use a 'nom de plume' for the university and only to refer to the participants by a code. In addition, full interview transcripts have not been included in this thesis to further protect individuals. Nevertheless it has to be acknowledged that colleagues at the University of Summertown and neighbouring HE institutions may be able, by their knowledge of the researcher and the organisation, to identify individuals. As Bell (1999:42) highlights in a similar situation, identifying people by role may preserve the guarantee of anonymity for an outside reader, but does not confer the same degree of obscurity for those within the organisation. This is an inherent problem with case studies of this type.

When using an interpretative approach one has to acknowledge and be careful about one's own biases and the potential impact these might have on the data analysis. I view the Standard as one means, but not the only means, of promoting good management and staff development practice. I am supportive of the Standard in that I believe it can help organisations address a number of staffing issues, but I recognise there are number of problematic issues with the Standard and it is not the only way to enhance staff development. I also appreciate my views about the Standard are not shared by a large number of my colleagues. Hence my interest in exploring the area. I have tried to ensure the interviews were conducted in a consistent and neutral way, by not asking leading questions and or promoting the Standard in any way. However most of the participants knew I had an interest in and were supportive of the Standard and this may have biased their responses. The data, not my personal views, should have driven the analysis and conclusions. This was my aspiration throughout, despite my declared support of the

Standard. I have attempted to be impartial in the collection and analysis of the data, trusting that the issues raised contribute to a deeper understanding of how the HE sector views the Standard.

Chapter 4

Quantitative Analysis

4.1 Introduction

The purpose of this chapter is to provide an overview of the HE sector and the University of Summertown as background information for the case-study. The specific aims of the chapter are four-fold. Firstly, to demonstrate that HE is a major UK employer, employing a wide range of occupational groups and making a significant contribution to the UK economy. Secondly to present information on the interest in and achievement of the Standard by UK universities similar to the University of Summertown. Thirdly to identify any statistical indicators which may predispose a university to be successful in achieving the Standard. Finally, to put the University of Summertown within the context of the sector, in terms of students enrolments and numbers of academic staff.

4.2 The Higher Education Sector And Its Workforce

The HE sector is composed of universities, university colleges and colleges of HE. It plays a significant part in the UK economy. In 1999/2000 the sector had an income of around £12.8 billion, with the largest amounts coming from the funding councils (£5.1 billion), student fees (£2.9 billion) and research contracts (£2 billion); in the same year 1.8 million students were enrolled (HESDA, 2001a). The sector employed 345,300 staff directly and 217,700 staff indirectly, generating £34.8 billion directly and indirectly for the UK economy (Kelly, Marsh, & McNicoll, 2002). HEIs can be found in most parts of the UK, with two thirds of the new English Learning Skills Councils having two or more HEIs in their area. Indeed, in many areas HEIs are among the largest employers (Crosthwaite, 1995) and have a major impact on the local economy (CVCP, 1997), employing directly and indirectly 2.6% of the total UK workforce (Kelly *et al.*, 2002).

The spring 2001 labour force survey (cited in HESDA, 2001) estimated the HE workforce at 408,333 staff, split among the categories listed in table 4.1 overleaf

Table 4.1 Higher education employees by gender and occupational groups

Major occupational groups	All	%	Male	Female
Managers and senior officials	18,890	5	9,873 (52%)	9,017(48%)
Professional	218,782	54	124,111(57%)	94,671(43%)
Associate professional and technical	45, 982	11	24,280 (53%)	21,702 (47%)
Administrative and secretarial [1]	77,126	19	16,426 (21%)	60,700 (79%)
Other [2]	47,553	12	22,556 (47%)	24997 (53%)
All	408,333	100	197,246 (48%)	211,087 (52%)

NB: table uses the new standard occupational classification 2000 system, where professional would include both academic and professionally qualified support staff.

An earlier employer survey, March 1998, (cited in: Bett, 1999) reports around 300,000 HE employees, with 45% of staff engaged in teaching and research. Staff that work in the sector but are not employed directly by an HEI can account for the 100,000+ difference in staff numbers. Approximately 29% of staff are part-time and mainly in the support services, although 23% of academic staff are also part time (Farnham, 1999).

4.3   Defining The HE Sector

The above statistics sound impressive and authoritative, but one of the issues for this study was the difficulty in defining exactly what is meant by the HE sector, what organisations to include and which ones to exclude. Initially this seemed to be an simple task, but it soon became apparent that different stakeholders have different definitions. For example in the academic year 1999/2000 (see Table 4.2) the UK Funding Councils supported 165 HEIs (ignoring Further Education Institutions which also receive HE funding). HESA (2000) collected information on 174 Institutions in the academic year 1997/8, while the UCoSDA database provided information on a 125 universities and colleges. Hence, defining the HE sector and producing a definitive list of HE institutions was not as simple as it might first appear.

---

[1] Includes personal service and sales and customer service staff
[2] Includes skilled trade, process, plant and machine operators and elementary

Table 4.2. Institutions funded by the UK Higher Education Funding Councils in the academic year 1999/2000

Funding Council	Universities	Colleges & Institutes	Higher Education Colleges	Further Education Colleges
For England[3]	71	18	43	269
For Wales[4]	7		6	
For Scotland[5]	13		5	
For Northern Ireland	2			
Totals	93	18	54	269

4.3.1 Defining the sample

In order to create a common data set it was decided to concentrate on those institutions which provided a broad range of campus based HE courses to a large number of students. The following types of HE institutions were excluded:

- Colleges of HE/ University Colleges
- Universities with less than 5000 students enrolments in 97/98
- Mono-technics e.g. medical schools, art colleges
- The Open University

Although a vital part of the sector, these institutions are less typical of the sector as a whole, and have little in common with the University of Summertown.

This left 94 universities (listed in appendix 4.1(i)) which provide a range of courses, are of a reasonable size, are representative of the bulk of the sector, and more likely to have similar staff development issues to the University of Summertown.

4.3.2 Division of the sample

Initial exploration of the data suggested that within the above sample there were marked differences between difference types of universities. Although UK universities are now within a unitary system, universities are commonly classified by when they obtained

---

[3] (source http://www.hefce.ac.uk/unicoll/ucmain.htm 27/7/01)
[4] (source HTTP://www.niss.ac.uk/education/hefcw/inst.html 27/7/01)
[5] (source: HTTP://www.shefc.ac.uk/shefc/contacts/HEIS.htm 27/7/01)

their title, that is either prior to or as a result of the 1992 Further and Higher Education Act. Palfreyman and Warner (2000b:2) refer to these two types of institutions as 'chartered' and 'statutory' respectively, as they argue this avoids the confusion inherent in the terms 'traditional' or 'old' university and 'new' university. I have preferred to use the terms of pre-1992 and post-1992, as these descriptors were readily understood by all those involved in this study and are used by a number of authors (e.g. Thorne and Cuthbert, 1996).

The pre-1992 universities could have been further divided either historically (Farnham, 1999) or by self-declared interest groups (Court, 1998) (see appendix 4.1 (ii)). However, there were no obvious differences between the pre-1992 university classifications in terms of IiP behaviour (see appendix 4.1 (iii)) and this was not pursued.

4.4   Quality Of The Data

The results of any quantitative analysis are only as good as the data that is used. So before embarking on any analysis it is important to recognise the limitation of the data set. In this case there are a number of issues with the quality of the data and these have to be recognised.

4.4.1   Data collection period

In any study, undertaken over a period of time, there needs to be start and end point. The initial analysis was undertaken in 1999, when the only sector information available from HESA was for the academic year 1997/98. During 1998 – 2001 the sector numbers were controlled by HEFCE and did not change significantly from 1997/8. For the information about the Standard it was decided to use data available during the summer 2001 as the reference point. At this time the USoCDA /HESDA website had migrated to its new home at the University of Sheffield, and the information on the site had been updated. Consequently the IiP status data used in this chapter is not current at the date of submission, but it is from the same academic year as the interviews.

4.4.2 HESDA IiP database

USoSDA / HESDA have tracked the number of HEIs interested in the Standard since 1993, although the data is not a totally reliable source of information. For example, not all HE institutions are members of the agency (e.g. Royal Hollaway and Queens Belfast), or their IiP status is not recorded (e.g. Edinburgh and Oxford). In addition the database relies on institutions to self-report and to keep it up to date, which is unreliable. For example parts of Kingston University were awarded the Standard in 1999, but the UCoSDA database in August 2000 still showed Kingston as committed, but with no recognitions. Consequently the database can not be considered a totally reliable source of data, and is inconsistent between the detailed tables and the summary (see appendix 4.5), but it is the best available.

When approached IiP (UK) would not release information about the HE sector, stating that the information about individual universities was protected under the Data Protection Act (1998) and they did not provide bespoke summary reports for the public.

4.5 Investors In People Standard And Universities

There is very little detailed statistical information published about the Standard and the HE sector. Williams and Triller (2000:1) reported that, by the turn of the century, 62% of employers with 200+ employees had achieved the Standard, whilst the achievement rate in the education sector, excluding HE was over 50%. HESDA (2001a) stated that the take-up in HE is less than the national average, but this is hard to quantify, as they provide no supporting statistics. IiP UK publish information about the education sector, but since this includes nurseries, schools and colleges of Further and Higher Education as well as universities, it is of little use in providing a real benchmark for comparison.

4.5.1 Achievement of the Standard by Universities

The process of achieving the Standard involves a number of stages. Although there is slight variation in the definition of the stages (e.g. Peart, 1999; Smith, 2000; Taylor & Thackwray, 1996), HESDA report status against the following stages:

1. At the discussion stage and considering making a formal commitment
2. Made a formal commitment, but in the early stages of preparation
3. In the process of preparing for assessment

4. Achieved the Standard

5. Achieved re-recognition

6. No interest in committing to or achieving the standard

Using the data available from the website the IiP status of the institutions included in this sample was coded as below with two additional categories of 'partially recognised' and 'no information posted on the Web' added to the above list. (See appendix 4.2 for the complete list)

Table 4.3 IiP Status of Institutions

Status	Frequency					
	Pre-1992	As a % of pre-1992	Post-1992	As a % of Post-1992	N	As % of total
Considering a commitment	6	11	4	10	10	11
Formal commitment	5	9	2	5	7	7
Action plan prepared	2	4	8	20	10	11
Recognised as institution	1	2	8	20	9	10
Part recognised	17[6]	32	9	22	26	28
Re – accredited	0	0	4	10	4	4
Not under consideration	10	19	2	5	12	13
No information provided	12	23	4	10	16	17
Total	53	100	41	100	94	100

July 2001 updated data

Thirteen (14%) institutions have achieved the Standard. Only one of the pre-1992 universities (University of Strathclyde) was recognised as a whole institution, compared to twelve post -1992 universities. 42% of the pre-1992 sector had declared no interest in the Standard or had failed to provide any information on their intentions compared to 15% in the post-1992 sector. This suggests that post-1992 universities are not only more interested in the Standard as whole organisations, but are more likely to be successful in achieving it when they have declared an interest.

---

[6] Joint University of Manchester and UWIST departments coded against Manchester

4.5.2 Achievement of the Standard by one of more departments[7]

The HESDA database provides the name of the part(s) of the HEIs that have been recognised. These 'parts' have been coded into 8 categories (see appendix 4.3). However it should be pointed out that the coding is very broad. For example, if a university has achieved recognition for all its accommodation and hospitality service this is recorded as one 'recognition'. Whereas, if a university has achieved the Standard for only one of several conference centres this is also scored as one. The HESDA database provides no consistent indication of the size or complexity of the part of the institution, rather the count is based on the number of individual recognitions.

Table 4. 4 Frequency of universities with one or more departments recognised

	Frequency							
	1	2	3	4	5	7	12	15
Pre-1992	10	1	3	2	1	0	0	0
Post-1992	2	0	0	2	2	1	1	1
Total	12	1	3	4	3	1	1	1
%	46	4	12	15	12	4	4	4

In all, 88 individual departments had been recognised by the summer of 2001. 32% of the pre-1992 universities had one or more departments recognised compared with 22% for the post-1992 universities. The majority (61%) of pre-1992 universities had only one department recognised with a maximum of five departments at the university of Loughborough. The pattern for post-1992 universities is very different, with over a third of the universities having 7 or more departments recognised, suggesting that they had adopted the building block approach to recognition.

4.5.3 Types of departments achieving the Standard

The majority of departmental recognitions were in non- academic departments (73%) or in business schools and health studies departments (11%). There does not seem to be

---

[7] Term 'department' is used to cover academic schools, departments, faculties and service units.

any discernible pattern in terms of which institutions have gone for departmental recognition apart from the predominance of pre-1992 universities. The relatively low number of departmental recognitions in the post-1992 universities can be partly accounted for by nearly all the full institutional recognitions being achieved by the post-1992 universities. The Standard appears to be more popular in residential and catering departments (18%) and commercial and research units (11%).

Table 4.5 Summary of departments achieving IiP Status (July 2001)

Type of department	Frequency					
	Pre-1992	As a % pre-1992	Post-1992	As a % of post-1992	N	%
Residential and catering	14	41	2	4	16	18
Library	2	6	2	4	4	5
Commercial/ research unit	6	18	4	7	9	10
Staff development	1	3	0	0	1	1
Other non academic	5	15	28	52	33	38
Business school	0	0	4	7	4	5
Health School	3	9	3	6	6	7
Other academic	3	9	11	20	14	16
Total	34	100	54	100	88	100

Business schools and health studies departments account for 12% of the departments recognised and 42% of academic departments. The remaining academic departments cover a wide range from whole faculties like the University of Coventry to smaller, single discipline areas like the Dental Postgraduate Unit at the University of Bristol.

4.5.4   Trends in the achieving the Standard

Looking at the historical picture of recognitions there was a sharp increase in the number of post-1992 universities achieving departmental recognition between 1996 and 1999 and a decrease in the number of universities reporting that the 'Standard is not under consideration'.

Table 4.6 History of recognitions

Stages	July 94	%	June 95	%	Aug 96	%	Nov. 99	%	Jul 01	%
Considering a commitment	21	22	22	23	19	20	11	12	10	11
Formal commitment	8	9	6	6	3	3	8	9	7	7
Action plan prepared	8	9	25	27	26	28	19	18	10	11
Recognised as institution	0	0	1	1	4	4	8	11	9	10
Part recognised	0	0	4	4	14	15	18	19	26	28
Re – accredited	0	0	0	0	0	0	2	2	4	4
Not under consideration	19	20	20	21	20	21	11	12	12	13
No information provided	38	40	16	17	8	9	17	18	16	17
Total	94	100	94	100	94	100	94	100	94	100

Source: HEQC, 1994; 1995; 1996; UCoSDA, 1999; and HESDA 2001.

There has also been a change in the pattern and volume of departments achieving the Standard. The number of successful departments increased from 26 to 88, an 340% increase between 1999 and 2001, compared to an increase of whole university achievements of 24%. By July 2001, 35% of the successful departments were from just two post-1992 universities; Coventry and Kingston.

In 1999, there was a clear pattern in the types of departments that had been successful in achieving the Standard. 85% of the departments were in the pre-1992 university sector and 81% were non-academic or support departments. Of the five academic departments that reported achieving the standard, four were either Business Schools or Health Studies Departments. By 2001, 39% of all departments recognised were in pre-1992 universities compared to 61% in post-1992 universities, with an increase of academics departments to 28%.

Table 4. 7 Summary of departments achieving IiP Status (July 1999)

Type of department	Frequency					
	Pre-1992	As a % pre-1992	Post-1992	As a % of post-1992	N	%
Residential and catering	8	36	0	0	8	31
Library	1	5	0	0	1	4
Commercial/ research unit	3	14	1	25	4	15
Staff development	1	5	0	0	1	4
Other non academic	5	23	0	0	5	19
Business school	1	5	2	50	3	8
Health School	1	5	1	25	2	8
Other academic	1	5	0	0	1	8
Total	22	100	4	100	26	100

4.6 Pre And Post-1992 Universities And The University Of Summertown

HESA (2000) data (see appendix 4.4 (i)) on the 94 universities included in the sample was examined, but there were no obvious relationship between IiP Status and:

- Size of institution
- Number of Further Education students
- Number of part time students
- Number of overseas students
- Number of academic staff
- Staff student ratios

Table 4.8 Pre and post-1992 universities

Indicator	Sample mean	Pre-1992 mean	Range	Post-1992 mean	Range
Size of institution	15,435	14,224	5,829 to 25,678	17,001	8,086 to 28,897
Further education students	301	47	0 to 884	629	0 to 6,435
Part time Students	1,084	3,247	181 to 12,517	4,712	1824 to 9023
Overseas students	1,085	1,313	117 to 4,057	791	497 to 1,431
Academic Staff	1161	1,412	386 to 4057	836	373 to 1,431
Staff / student ratios	16.1:1	12.2:1	3:1 to 33:1	21.1:1	12.0:1 to 38.3:1

There were marked differences between pre and post-1992 universities on the above indicators. In addition the University of Summertown was compared to the whole sample and the post-1992 sector (see appendix 4.4 (ii)).

The mean size of universities in this sample was 15,435 students, with 62% (33 universities) of the pre-1992 universities being smaller than the mean. Post-1992 universities are bigger with 46% (19 universities) having less than the sample mean number of students. The University of Summertown is typical in that it falls within the 15,000-19,999 band in terms of student size and is of average size for a post-1992 University. The mean size for a post-1992 university was 17,001 enrolments, with post-1992 universities being bigger than pre-1992 universities.

Although post-1992 universities had the greater numbers of FE students, less than a third had more than 500 FE students. Of these thirteen universities, five had achieved the Standard, and three had at one or more departments recognised (which included the University of Summertown). Therefore 62% of the post-1992 universities with 500+ FE students had had some success with the Standard. Of the remaining five post-1992 universities, two had no FE students and three had less than 500 students. Nine or 17%

of the pre-1992 universities had FE students and of these only the University of Stirling had achieved recognition for its Department of Entrepreneurship. The University of Summertown was unusual in that it had between 2500 and 3000 FE students, making it the third biggest university provider of FE courses in the UK.

Universities also showed considerable variation in the types of HE students they enrolled. All HE institutions had some part-time and overseas students enrolled. Pre-1992 universities had a mean of 3,247 part-time students and post-1992 universities had a mean of 4,712. The greater number of part time students at pre-1992 universities may reflect the vocational tradition of pre-1992 universities (Gledhill, 1999). Summertown had between 3000 and 3999 part-time students enrolled which was the mode for post-1992 universities but less than the average. Part-time students made up 19% of the total student enrolments for Summertown, compared with the sector average of 27%. Pre-1992 universities averaged 1313 overseas students, compared with a mean of 791 for post-1992 universities. The greater numbers of international students at pre-1992 universities probably reflect their more established international reputations. Summertown had a relatively high number (between 1000 and 1499) for a post-1992, but was not atypical of the sector.

Pre-1992 Universities employ the most academic staff and enjoy the lowest staff student ratios. The mean number of academic staff employed by the universities in the sample was 1,161, with a mean of 1,412 at pre-1992 universities compared to a mean of 836 at post-1992 universities. That is, pre-1992 universities employed 60% more academics than post 1992 universities. Only two of the thirteen universities that had achieved the Standard (Strathclyde and Sunderland) employed more staff than the sample mean, and eight of the twelve post-1992 universities employed less academic staff than the post-1992 sector mean. Summertown employed between 1000 and 1499 staff making it one of the bigger academic employers for the post-1992 sector, and it had one of the better staff student ratios in the sector.

This pattern is not repeated in terms of the staff-student ratios. The sample mean Student to Staff Ratio (SSR)[8] was 16.1:1, with a mean of 21.1 for post-1992 universities, and 12.2 for pre-1992 universities. Pre-1992 universities had a considerably better ratio of academic staff to students, although they also had the greatest variance, with SSRs ranging from 3:1 at Imperial College of Science to 33:1 at Birkbeck[9]. In terms of the post-1992 sector, Summertown was in the modal group with a Staff Student Ratio of between 15:1 and 20:1.

4.6.1 Conclusion

From the analysis of the above statistics there is nothing to suggest that the Summertown is atypical of the post −1992 sector, although it does have a relatively high number of FE students. The majority of differences appear to be between the pre-1992 universities and post-1992 universities. On the whole the pre-1992 sector has less students, few if any FE students, more overseas students, more academic staff and lower staff student ratios.

---

[8] NB academic staff will include research staff and other non teaching academic staff
[9] Birkbeck is unusual in the that 96% of its students are part time.

Chapter 5

The University of Summertown's story

5.1 Introduction

In accounts of real-life events it is hard to know where to begin and where to end, what to include and what to exclude. This becomes even more difficult when a number of years have passed. The story of Summertown's involvement with the Standard is such an account As one senior manager responded when asked when he thought the University first got interested in the Standard *'It is such a long time ago now, I cannot even remember how long ago it was'*. Over the past decade, many of the players influential at the beginning of the story have left, whilst other participants' memories have faded. The context in which events occurred, and the reasons for things happening are only 'half remembered'. The influence and behaviour of the people involved has become hard to ascertain and to triangulate. However, there is some agreement among participants and the remaining paper records what were the key events.

What follows therefore does not attempt to be a definitive history of Investors in People at the University of Summertown. Rather it is a piecing together of information from various interviews and documents to create an interpretation of the University's involvement in the Standard. This account starts in 1992 and ends in November 2000 when I left the University, but the story continues ....

5.2 The Beginning

The University of Summertown is a large, city-centred based post –1992 university with over 2000 employees and an annual turnover in excess of £70m. It considered itself one of the leading Polytechnics prior to1992, and now considers itself as one of the leading post-1992 universities. It offers a wide range of courses to students of all ages and nationalities and has done well in subject reviews, institutional audit and the 2001 RAE.

In 1992, the local TEC decided its suppliers should be committed to achieving the Investors in People Standard, at least according to the memories of a number of senior

staff at the University. At that time the University, mainly through its commercial arm, the University of Summertown Enterprise Limited (USEL), had a number of small training contracts. Business managers were concerned that this business would be lost if the University did not commit to achieving the Standard. Initial discussions focussed on accrediting USEL, but it was quickly felt that the whole University should commit. Consequently in September 1992, a local TEC IiP consultant visited the Head of Personnel to discuss the possibility of institutional commitment. She left behind the 'toolkit' and other documentation describing the Standard and the process.

At this stage the Directorate[1] must have discussed the Standard, but Directorate meetings are confidential and no minutes were kept. With only one member of the original Directorate remaining in the University, it is difficult to establish what happened. One participant suggested that other Directorate members were hostile to the Standard, seeing the behaviour of the local TEC as 'blackmail' and confusing the Standard with Brian Fender's (Chair of the CVCP[2] at that time) book, 'Investing In People'. Another participant suggested it was the Head of Personnel who was hostile and he resented being forced into trying to achieve the Standard for commercial reasons since he felt the Standard was a 'management fad' with no long-term benefits. It was probably a combination of all these factors, but the outcome was that the Directorate were not initially supportive of the Standard.

Despite these reservations, in August 1993, as a condition of a contract with the local TEC, a senior manager of the University wrote confirming the University's intention to commit to the Standard and a University contact was appointed. Why the University declared an intention to commit at this time is not clear. The Directorate may have collectively had a change of heart, or the senior manager involved may have exceeded his authority. Perhaps more likely, given the management style of the then Vice Chancellor, he made the decision to commit to the Standard based on short-term commercial need, and without seeking the support of the rest of the Directorate. The outcome was that on September 27th, 1993 the local TEC consultant visited the Vice-Chancellor to discuss self-diagnosis and the production of an action plan. On the 6th

---

[1] Senior management team composed of the Vice Chancellor, 3 Pro Vice Chancellors and (from 1998) the Director of Finance.

October 6th, 1993, the Vice Chancellor wrote formally to the local TEC stating the University's intention to commit to the Standard.

5.3 Formal Commitment

Until this point, very few members of the University knew about the Standard or that the University was planning to commit to achieving it. The news was broken at a senior staff conference in November 1993, held at Marwell Zoo. By most accounts the reception was sceptical and negative. What had been intended as an information exchange in the form of a questions and answers session led by the local TEC consultant turned into a hostile debate on whether the Standard was a good idea or not. The language and style of the presentation was very business-orientated, which was not well received. As one academic head said later said in conversation, '*It went down like a lead balloon*'.

Nevertheless, in December 1993, the Human Relations Committee of the Board of Governors recommended that the University should formally commit to the Standard and that the implementation strategy should be low key, given scepticism expressed at the Marwell meeting. A working party was set up to oversee the implementation. A senior manager later commented:

> *This was a mistake, the Directorate had delegated the task to a group of*
> *staff with low profiles... they* [the Directorate] *did not really understand*
> *Investors in People or the need for leadership from the top*
>
> *SMGR2 (2001)*

Not surprisingly, given the scepticism of senior staff and the status of staff involved on the working party, not much happened for about six months. This situation was not helped by the apparent confusion of responsibility between the Pro-Vice Chancellor (Academic) who was responsible for the personnel department / academic staff and the Pro-Vice Chancellor responsible for commercial activities / support staff. It was not clear which was responsible for the implementation of the Standard, and there was no obvious ownership or leadership from either. This was clear to the local TEC, as one

---

[2] Committee of Vice Chancellors and Principals

of the consultants later observed '*No-one was responsible for it and no resource had been allocated*' (IIP2) and consequently no progress was made.

In June 1994 the University was criticised by the Higher Education Quality Council for a fragmented approach to staff development and for generally weak staff development and equal opportunities. The newly introduced academic appraisal system was also criticised for not being linked to staff development, (HEQC, 1994:19, para.55).

It was suggested by three of the participants that the Pro-Vice Chancellor (Academic) only then became interested in the Standard as a way of addressing the criticism in the quality audit report. This was cited by one academic head as the main reason for the University committing to the Standard, as he said '*It was a defensive reaction to criticism*' (HOD2). Although sceptical at first, the Pro-Vice Chancellor (Academic) was reported as recognising that the Standard might be a way of getting the University's staff development policy implemented and improving communication. He is credited by several of the participants with convincing the other more hostile members of the Directorate.

Progress was made in August 1994, when, as a result of 'lobbying' by the local TEC consultant and the support of the newly enthused Pro-Vice Chancellor (Academic), a new university contact / project manager was appointed from the personnel department. In addition, the local TEC agreed to part-fund the project manager to conduct a staff survey, on condition that the University formally committed to the Standard by the end of March 1995. The March date was significant, as the local TEC needed to have signed up a number of large institutions to meet their targets by the end of the financial year at the beginning of April.

Formal contracts were signed on the October 20th, 1994 and a detailed staff opinion survey was sent out in February 1995 to approximately 25% of the employees and managers. This was an 'interesting' period in the University's history. The Vice-Chancellor and another member of the Directorate had recently left the institute in circumstances, which produced some unease, anger and insecurity among the staff. The results of the survey published in the in-house magazine in September 1995 reflected

this, with the staff indicating a lack of faith in the management's commitment to its staff.

The survey informed an action plan for the implementation of the Standard, which was presented, on March 22nd, 1995 to the local TEC, and this was agreed. Two days later, on March 27th, the acting Vice-Chancellor formally committed the University to achieving the Standard by the end of December 1998.

5.4   Implementation

The action plan identified areas for the University to address including: -

- appraisal for all staff:
- the development and implementation of a coherent staff development policy;
- enhanced staff induction programme.

A staff development policy was developed which defined staff development as:

> *University policies, plans, procedures and activities designed to support*
> *and develop the knowledge and skills of staff, and by doing so improve*
> *the effectiveness and efficiency of the individual, of the operation of the*
> *various parts of the organisation and of the University as a whole. Staff*
> *development occurs across a spectrum of activities from the formal and*
> *structured e.g. courses, seminars, workshops, study time, to the informal*
> *e.g. ad hoc on the job assistance, private study networking secondments*
> *and consultancy...* (Staff development) *is an ongoing process addressing*
> *continuing professional development... of mutual benefit*
>
> McVicar (1995)

Yet the implementation of the rest of the action plan proved problematic. There was still no clear ownership of the issues and resources were limited. The situation had not changed substantially since 1993. As one senior manager put it:

> *There may have been one staff development policy, but there were divided*
> *agencies and divided approaches.*
>
> SMGR (2000)

At this time some of service departments were reorganised. The responsibility for preparing the University for the Standard stayed with the Personnel Department, but

they now reported to the Pro-Vice Chancellor (Commercial). However academic staff development stayed with the Academic Development Centre, which continued to report to the Pro-Vice Chancellor (Academic). In terms of the Standard there was an ambiguity of roles, and no dedicated resource. In addition, the working party, which had been set-up had only met occasionally. As one member said ' *no minutes were kept because the meeting didn't do anything, the discussions were circular'* (SDEV1), and little progress was made.

The working party was reconstituted in 1996, but failed to meet. It was also at this time that Investors in People (UK) changed the rules on autonomy, which meant that institutions like the University of Summertown had to be assessed as one institution. The situation was summarised by one staff developer '*The task was so big, nothing got done quickly'*, (SDEV1). In terms of moving the institution nearer to achieving the Standard this was a slow period, although progress was being made on a number of processes e.g. appraisal, communication. At an institutional level some positive noises were still being made, for example in November 1996 the University's Further Education Strategy stated '*There needs to be a clear statement of commitment and progress in relation to Investors in People'*, (McVicar, 1996:7, para 2.12). The University's Academic Policy Committee (1997, minute 6.4) also showed support '*...The IiP initiative should be accepted and developed.'* The University's strategic plan for 1995 – 2000 (McVicar, 1995) also reconfirmed the commitment to achieving the Standard. As one senior manager said:

> *We did think seriously whether we should commit to the Standard in the strategic plan. We recognised there wasn't any sense in putting it in there, if we weren't going to do some thing about it.*
>
> <div align="right">SMGR1(2000)</div>

However there were substantial barriers in place at this time. There was little or no support from the faculties and no obvious individual champions. Although 2-2.5% of staff expenditure was earmarked for staff development, there was no common understanding of what staff development meant or money specifically allocated to achieving the Standard. The lack of any systematic staff evaluation mechanism was also seen as a major problem. In addition, the model for assessment at this time was

still predicated on organisations being assessed in one go and having a consistent approach to staff development.

The Vice-Chancellor, at the senior staff conference in September 1997, appeared rather non-committal. He acknowledged that '*Investors in People does not fit easily with higher education institutions*' but went on to say that the University was pursuing the Standard because it was '*doing the right things for the staff*' and having effective staff development was the primary aim, not achieving the Standard. Unfortunately, the audience interpreted this as a lack of support for the Standard and most staff (including myself) left the conference thinking achieving the Standard was 'off the agenda'. From discussions with the Vice Chancellor at a later date, the message he was trying to get across was that the important thing was what the Standard stood for, not achieving the 'badge'.

5.5   The Turning Point

In December 1997 the Vice Chancellor recommitted the university, by identifying four pilot areas: The Business School, Accommodation and Hospitality Services, the Academic Development Centre and the Personnel Department. As one staff developer commented '*1998 was really the turning point*' (SDEV1). The Dearing Report[3] (1997) had came out strongly in support of the Standard the previous year and Investors in People UK changed the autonomy rule to allow the building block approach. Discussions with management groups within the pilot areas took place and in June 1998 a UCoSDA[4] consultant was appointed to work with each group to identify the gaps between the Standard and current practice. The gap analysis was completed by the end of the year and action plans were drawn up with a view to each pilot area being ready by the end of December 2000.

At this stage it looked like the university was back on course. Unfortunately other events overtook the plans. The continuing existence of the Academic Development Centre was under review and it was disbanded in July 1999. The Personnel Department, although not under threat, had been severely criticised and was in the

---

[3] National Committee of Inquiry into Higher Education,
[4] Universities and Colleges Staff Development Agency

process of restructuring. The Business School's academics were split over whether going for the Standard was a good or bad thing. The more vocational and commercially oriented staff were in favour, whilst many of the more traditional non-vocational staff were against it. With no obvious champion, and little support from the Faculty Executive Committee little progress was made in the Business School. Conversely the Accommodation and Hospitality Services had taken a different approach. They created and filled a fixed-term post of Training and Development Officer with responsibility for preparing the service for assessment. Consequently they were making good progress and were on target.

About this time the university reviewed its strategic plan and the decision had to be made whether to keep the commitment to the Standard or withdraw. With three of the four pilots failing it would have been easy for the University and the project manager to give up. However, the Vice-Chancellor had become convinced of the need to address staffing issues and that the Standard provided a useful mechanism for tackling some of them. He was more interested in enhancing practice than acquiring the 'Badge', but thought that keeping the commitment would focus attention. He supported its inclusion in the new strategic plan, expenditure to support the project manager, and agreed that the Directorate and Governors would become one of the pilot areas.

This is perhaps the right moment to highlight the significant role the University's IiP project manager has played in the IiP story. As the Vice-Chancellor commented,

> *I suspect that the Project Manager's enthusiasm and natural*
> *characteristics played a major role here. She is reticent about pushing*
> *things but actually she was quite enthusiastic... I had the confidence she*
> *could deliver* [the implementation of the Standard]... *I have great faith in*
> *her ability to sweet talk people once they are sort of on board. She will, if*
> *their heads are out of the water, drag them on board.*

<div align="right">Vice-Chancellor (2000)</div>

As a consequent of this renewed commitment and allocation of resources three new areas were recruited in addition to the Directorate and Governors, the Faculty of Science (200+ academic and support staff), the Library (with 80 permanent academic/ support staff, and with a variable number of causal staff) and Sport and Recreation

(with 10 full and part time support staff). It was felt that these areas already had good staff development practices and were probably near to achieving the Standard. Perhaps more importantly, the senior managers in each of these areas were enthusiastic, prepared to allocate resources to make sure things happened and were willing to convince their colleagues to support the initiative. Certainly in the Science Faculty not all Heads of Departments were keen, but they were prepared to 'go along' with it, as long as it did not involve their staff in any extra work.

During 1999, the project manager put in a considerable amount of work to support the new pilot areas. Working with key individuals and a HE experienced TEC consultant, the project manager identified what documentation was required and what processes were needed to be improved and/ or implemented. In the case of the Science Faculty and the Directorate, the project manager wrote a lot of the 'missing' documentation and helped developed new processes e.g. the introduction of appraisal for hourly-paid academic staff.

Although the original plan for the new pilots was to carry out a formal gap analysis, then develop and implement an action plan, on the advice of the consultant, they went instead for a 'formative assessment'. This was a relatively new idea developed by IiP (UK) where areas could be formally assessed with the intention of giving advice on the specific actions needed to achieve the Standard. Reassessment would then concentrate only on the identified areas. The formative assessments started in 2000 with Sports & Recreation, the Science Faculty and the Directorate. Both the Directorate and Sports & Recreation achieved the Standard in May 2000. The Science Faculty was picked up on two areas and was successfully reassessed in September 2000. Accommodation and Hospitality Services and the Library were assessed in June. Each had a small number of points identified for further work. Accommodation and Hospitality Services was successfully reassessed in September 2000.

The Personnel and Finance Departments were scheduled for assessment in December 2000 and a number of the other faculties and services had also agreed to commit, although there was some way to go before the whole of the university was ready for assessment.

5.6   Towards An Ending

This account ends when I left the University in November 2000, although work to achieve the Standard in all departments continued. The University had made considerable strides towards achieving the Standard during 1999 / 2000. Some areas achieved recognition, while other new areas committed and are well on their way to achieving the Standard. There remained some areas where even the senior managers admitted it would be difficult. As the Vice-Chancellor said '*I think there will be some who will keep their heads down and persuading them is going to be progressively harder* '.

Chapter 6

Interview Analysis

6.1 Introduction

Analysis of participant's responses revealed not only their perceptions of the Standard, the processes necessary to achieve it and the likely benefits, but also many of their underlying attitudes about HE that informed their judgements about the Standard. Hence participants' attitudes towards higher education, its aims, role and practices had bearing on their estimation of the usefulness of the Standard, of its relevance and the level of importance they attached to achieving it.

The overriding theme that emerged was the dominance of the academic agenda. Even though forty-five per cent of the participants were not academics, most of their replies and their academic colleagues' replies referred to academic issues and staff. This indicates that participants largely viewed the Standard in the light of academic imperatives, which they perceived to be essential to a university, rather than in terms of organisational imperatives. From this perspective, the issues that emerged focussed around the participant's perceptions of universities as organisations, which informed their views on the value of the Standard to HE and their reservations about the Standard.

6.2 Perceptions Of Universities

Universities were assumed by all the participants to be unique kinds of organisations, dominated by an academic agenda and very different from businesses. With the exception of the vice-chancellor, the academic participants thought about universities only as educational and academic institutions and not as major employers of large numbers of staff in a wide range of jobs. The non-academic participants took a more holistic view of universities, but their comments showed they also thought that the organisational focus was on the academic side of the university, with service staff playing a supporting role. As a consequence many of the comments made about universities and the Standard tended to concentrate on academic issues to the exclusion

of non-academic staff and tended to stress the differences from rather than similarities with other organisations.

Nearly all of the participants highlighted that the last decade had been a period of rapid change for HE, with greater demands for accountability, value for money and transparency, and this had affected the nature of universities. As one consultant pointed out, Universities *'feel very beleaguered because they feel under pressure to change in response to demands from outside the sector'* [IiP3]. The greater demands being placed on the sector in terms of quality assurance, (e.g. RAE and subject review), and accountability to funding bodies were seen as a distraction from the core function of a university and as undermining the autonomy and the collegiate nature of institutions.

Despite the consensus over the dominance of the academic agenda, views expressed by the participants suggested that they held very mixed views about the underlying ethos of universities as organisations. Most academic participants seemed to believe in and aspire to the 'traditional view' of a university. One of the consultants summarised this view as:

> *A community of scholars in the sense that it is a group of people who are*
> *roughly connected because they work roughly in the same location and*
> *have roughly similar purpose.* [IiP3]

The concept is that universities should be collegiate enterprises, composed of self-managing peers, seeking academic excellent in their scholarly pursuits, where decisions affecting the community should be made by consensus and consent of all the peers.

This view of universities as 'communities' is very academically focussed and fails to recognise the significant contribution of support staff, without which a university could not exist. As one of the consultants pointed out:

> *On the one hand you have universities claiming to be organisations that*
> *have democratic decision-making processes and so on. On the other*
> *hand you have a large proportion of the workforce left out of those*
> *systems and not really considered part of the supposed community.*
> [IiP3]

Hence it is hard to justify universities as communities when over half the staff are likely to be excluded from organisational decision-making and not recognised as peers by the academic staff.

Doubt was also expressed about how much of a sense of 'community' academic staff really had. This was highlighted by one of the staff developers who believed that the traditional academic culture '*stressed autonomy and independence rather than community*' [SDEV2]. Academics were perceived as a unique breed of employee, their main focus being external to the university and who were not bound together in the same way as employees of other organisations. One senior manager explained:

> *Managing academic staff is like managing people who run their*
>
> *own business except on pay day and that's different from many more*
>
> *institutionally focused organisations.* [SMGR1]

Academics were typified as being interested in 'individual pursuit' and having more in common with colleagues in the same discipline in other universities than with other staff in different disciplines at the same university. The attitude was summed up as '*The fact that I work for university X is neither here nor there*' [IiP3], put another way ' *there is a kind of subject loyalty that cuts across the corporate requirements of an individual institution*' [SMGR2]. There was a strong feeling that academic staff did not recognise universities as organisations per se, rather universities were places where academics worked pursuing their interests. As one consultant pointed out:

> *The whole concept of universities being corporate entities is a relatively*
>
> *recent development and is a contested notion.* [IIP3]

Academic staff were perceived by the participants to be autonomous professionals, dedicated to discipline specific scholarly pursuits, who did not necessarily feel bound by the University's policies and goals, and who looked after their individual rather than the university's interests.

Universities were also perceived to be very different from commercial organisations in terms of complexity of roles, working relationships and line management. In universities individuals often perform a number of roles, which can make line management responsibilities very complex and obscure. For example one consultant illustrated this by saying:

> *In higher education you can have a Head of Subject, who is part of a*
> *course team, reporting to a course manager, who reports to a Head of*
> *Subject, and there is not necessarily clear hierarchical line*
> *management.* [IiP3]

This is a reasonably typical academic scenario, where a head of an academic department/group in their role as an academic, teaches on a course in addition to their role of researcher and manager of the group. Lack of clear line management was seen as part of the collegiate nature of universities, supporting the notion of academic autonomy or the 'self-managing professional'. However as a consequence of this, academic departmental heads were perceived as having limited authority over their staff, finding it difficult to insist that academic staff follow procedures or undertake specific staff development activities.

This lack of direct authority over individuals was not just at departmental level but extended up the academic hierarchy. For example, several participants pointed out that even if senior management had committed to the Standard and what it stood for, there was no guarantee that academic heads would feel it was important or take action. One academic head admitted that when he had seen messages about the Standard, he ignored them as not important. He said:

> *If Personnel put up some thing called IiP I think I know what button I'd be*
> *pressing, lets get rid of that and go on to something that matters.* [HOD2]

This example illustrates how difficult it can be in universities for senior managers to implement new policies if the academic middle managers do not support or agree with the proposed changes. Like their academic colleagues, academic managers also believe they should have a high degree of autonomy and tend to ignore things that they do not think are high priorities or they do not agree with.

Many processes in academic departments were recognised as being informal, where academics tended to do things in their own way and did not necessarily tell any one. For example, it was highlighted that a head of a department would know what conferences their staff had attended, because of the cost implications, but would not necessarily know what university or professional body events a member of staff had attended. A senior manager acknowledged:

> *It is notoriously difficult in universities to achieve the high levels of*
> *structure, systematic processes and communication that, interpreted at its*
> *most demanding, Investors would require.* [SMGR2]

In contrast, service departments were perceived differently, they were felt more likely to be organised and managed using conventional business models where the processes and roles were clear. The management style was perceived as more 'business-like' with clearer lines of responsibility and accountability than in academic departments. The two service heads supported this view indicating that their departments were run on strict financial lines and were hierarchical in nature, with clear roles and responsibilities. The management of support departments was also seen as more straightforward than academic departments because goals were clearer, easier to measure and the time-scales were shorter. In addition service staff were perceived as easier to manage; for example, one service head stated that in her department *'people are expected to toe the line, they are expected to meet deadlines and expected to do things in a certain way'* [HOS1]. That is, service staff were not perceived as enjoying the same levels of autonomy as their academic counterparts and were expected to recognise the authority of their managers.

One aspect of university life raised by nearly all the participants was poor communication which was seen as one of the biggest stumbling blocks to bringing staff on board to meet the aims, objectives and mission of an institution. The reasons were recognised as complex, but the culture of the 'autonomous academic' was held to be a major factor. As mentioned previously, academic heads were seen as making decisions on what was or was not important to pass on, intentionally or unintentionally blocking key messages from being distributed. As one head of service observed:

> *Without very strong robust line responsibility and accountability, I am*
> *not sure how you do get messages round.* [HOS1]

In addition, academics were seen as only taking notice of their immediate interests and not participating in wider issues. One staff developer described this as:

> *The academic, being the 'queen' of their domain, and not necessarily*
> *communicating outside it.* [SDEV2]

Several participants identified that there are often conflicting messages, confusing goals, poor communication structures and a mismatch between institutional rhetoric and reality in higher education. This situation was compounded by the sheer volume of information circulated, which meant staff were unable to discriminate effectively between messages. Poor communication was raised as a particular issue at Summertown. One staff developer sadly commented:' *we have a communication strategy, hold conferences, write policies, but it doesn't appear to solve the issue'* [SDEV2]. This lack of success at Summertown was supported by the majority of the university participants who felt the university was very ineffective in communicating with staff. Furthermore, several of the participants were very critical of the Directorate's communication skills. As one academic head said, if the Directorate:

> *Hear a message from the staff it doesn't like, it seems to just ignore it... staff feel they are not really listened to.* [HOD1]

This perception was combined with some cynicism about the Standard when the Directorate (plus support staff and governors) were the first group to achieve it. One outraged participant who did not wish to be identified said:

> *How can the top of an organisation achieve IiP if they can't prove that they have communicated all those plans, activities and objectives throughout the whole organisation?*

For communication to occur a message must be transmitted, received and understood. At Summertown, the feelings among the heads was that too many messages were being generated and no one was listening, resulting in a massive communication gap. The staff developers and senior managers acknowledged that there was a communication problem, which they had tried to solve, however it appeared that they had failed to recognise that effective communication was not just about transmitting messages but also about listening.

6.2.1 Differences between pre and post-1992 universities

One of the more striking aspects of the Standard and the HE sector is the relatively high success rate of post-1992 universities and the lack of interest by the pre-1992 universities. In exploring this feature all the participants agreed that there was, as one senior manager stated '*a well recognised difference between the two parts of the sector'*

[SMGR2] and they were not surprised that there were differences. In exploring the reasons for this, participants put forward a number of explanations. These centred on two major themes, organisational culture and the need for external recognition. Post – 1992 universities were believed to be more 'managerial' and 'corporate', concerned about the opinions of the external world. Conversely pre-1992 universities were perceived as much more autonomous 'academic colloquia', with individuals and departments determining for themselves what they should and should not be involved in, without reference to the University as a corporate body or the outside world.

The different backgrounds of the pre and post-1992 universities were seen as one of the main reasons for the distinctive cultures. Several participants highlighted that prior to 1988, local government and the CNAA[1] controlled the post-1992 university sector. This was believed to have resulted in attitudes that promoted more of a 'managerial' culture, which was responsive to outside influences. As one senior manager observed *'... The new universities have a tradition of pragmatism and compliance in relation to external requirements'* [SMGR2]. Senior post-1992 university managers were seen as powerful individuals, who were 'managerial' in their style, exercising considerable control over a university's policies and their implementation. For example, one of the senior managers who joined Summertown after a long career in the pre-1992 sub-sector, confessed *'It came as quiet a shock to me how much authority people thought the Vice Chancellor had'* [SMGR1].

Conversely sentiments expressed about pre-1992 universities suggested that these organisations did not view themselves as coherent entities, bound together in the same way as other organisations. For example the same manager quoted above described pre-1992 universities as *'a sort of confederation of occasionally present academics'* *[SMGR1]*. Many of the participants (academic and non academic) thought that pre-1992 universities liked to perceive themselves more as 'communities of scholars' than 'organisations' and did not like to look 'managerial' or 'corporate' as this did not fit with their self-image.

The structure and organisation of pre-1992 universities was perceived to be more fragmented and more pluralistic, the individual parts having far greater autonomy, and

more distinctive sub-cultures with the academic department at the heart, whereas, departments in post-1992 universities were perceived as having far less autonomy and control. One senior manager suggested, *'departmental autonomy is a thing of the past, new universities are beyond that'* [SMGR2]. The more corporate and managerial culture was considered the primary reason for the relatively less powerful position of departments in the post-1992 universities. As a consequence it was thought more likely that in post-1992 universities the decision as to whether to try to achieve the Standard and the implementation strategy would be decided at corporate rather than departmental level. This was certainly the case at the University of Summertown, where the Directorate committed the University without first getting agreement from either the service or academic departments. Another reason put forward by one senior manager for the 'weaker' position of academic departments in the post-1992 universities was the nature of the curriculum. Most of these universities are unitised and offer 'multi' and 'inter' disciplinary courses, requiring the sharing of courses, units and students between academic departments, which still tend to be organised on a discipline base. This sharing was seen as increasing inter-departmental dependency, thereby reducing individual departmental autonomy and reinforcing the corporate approach.

In contrast academic staff in pre-1992 universities were perceived as having, *'more freedom, more individual responsibility and less corporate responsibility'* [HOS1]. As a consequence it was harder for managers to get agreement and implement changes in pre-1992 universities unless, as one service head observed, *'people go along with it and can see the benefits...*[otherwise] *the less likely it is a manager can pull it together '* [HOS1]. No participants suggested that non-managerial staff in pre-1992 universities service departments had the same level of personal autonomy as academics, but most participants felt that departments, both academic and service, were more likely to be able to decide for themselves whether to attempt to engage with the Standard. One senior manger explained:

> *'There is a sense of difference and separation between different departments and sections... it is much more comfortable within that environment to go piece by piece '* [SMGR2].

---

[1] Council for National Academic Awards

Consequently pre-1992 universities were perceived as being *'happy to do things in bits'* [SMGR1] and this explained the predominance of departmental rather than whole institution achievement of the Standard in the pre-1992 sector. This pluralistic approach also explains the lack of whole institutional achievement of the Standard. It was felt that it would be very difficult to convince some individual departments to participant in the preparation and assessment processes and therefore get agreement across all departments.

Nearly all participants recognised that achieving the Standard said 'something' about an organisation's attitude and commitment towards staff development. Certainly, external recognition seemed to be the prevalent explanation for the relative popularity of the Standard in the post-1992 sector. This was expressed by comments like *'It's about credibility and marketing'* [HOD2] or *'New Universities want any sort of quality stamp that they can achieve'* [SDEV2]. Certainly there was a perception that the senior management in post-1992 universities felt *'this is what we ought to do to make us more acceptable, respectable'*, [SMGR1].

Admittedly, a number of participants were pretty cynical about the reasons why post-1992 universities would want to achieve the Standard, as one senior manager remarked *'It's status seeking, there is no two ways about it'* [SMGR3]. Some participants questioned whether the desire to achieve the Standard had more to do with external recognition than with any real concern for staff development. For example one academic head suggested *'The cynic would say it's another example of badge collection for some of the new ones'* [HOD1]. Or as a service head rather wryly commented, *'It's the old cliché, an organisation is only as good as its staff and it's not enough to be doing it, you have got to be seen to be doing it'*, [HOS2].

Others participants were less cynical, but saw the institutional desire to achieve the Standard more in terms of post-1992 universities attempting to improve their image. For example *'It sounds like a desperate struggle to demonstrate their real quality'*, [HOD3] was the conclusion of one academic head. Similarly, another academic head thought *'VCs and other senior managers in the new universities may believe it is a good thing in terms of marketing advantage'*, [HOD1]. The feeling expressed by

participants was that post-1992 universities had to *'compete harder to get students'* and are *'more market-orientated'* [SDEV3]. Hence anything, including the Standard, which would improve their market position was potentially worth pursuing.

Pre-1992 universities were perceived as more secure in their image and market, not needing the additional market /stakeholder recognition that achieving the Standard might provide. Some participants even suggested that pre-1992 universities did not chose to pursue the Standard as *'it is just beneath them'* [SDEV3]. Or as another participant remarked, *'If they suddenly regarded it as a source of advancing I am sure they would go in for it'*, [SMGR3]. Hence there was a certain amount of cynicism about the reason why many pre-1992 universities chose not to pursue the Standard.

There was a feeling that the 'success' indicators for pre-1992 universities were more transparent than for post-1992 universities. Pre-1992 universities have been in existence for some time, have established reputations, large numbers of alumni and a history of research. As one senior manager reflected *'They say ' we recruit students, we do well in the RAE*[2] *and people know we are good'* [SMGR3], hence they have no need for additional external evidence of quality like the Standard. However RAE scores and student applications are two indicators that many post-1992 universities find it hard to compete with; consequently they do feel the need for other 'quality' indicators like the Standard.

These various perceptions of differences between pre and post-1992 universities express views about organisational culture as a factor in both deciding whether to try for the Standard and being able to achieve it. They also give indications of the perceived value, benefits or relevance of the Standard, perceptions that are also linked to ideas of culture and identity. In particular the notion that the 'special' nature and characteristics of academics was central and even defining of university culture across pre and post-1992 universities was prevalent.

---

[2] Research Assessment Exercise

6.3   The Value Of The Standard to Higher Education

Standards generally were seen as a means of ensuring quality by defining what was acceptable and expected in an increasingly complex sector. However 'standards' for academic participants primarily meant academic standards (i.e. of awards and the quality of student work) and / or national schemes for the assessment of research[3] and teaching[4]. They were in no doubt that gaining a good score in things like the RAE and subject review was far more important to a department / university than achieving the Investors in People Standard. For example, one senior manager, who was very supportive of the Standard, explained:

> *If you were to say to me 'would you rather fail to get Investors in People status or fail to get a 4 in the next RAE', I could answer you very easily.*
> [SMGR3]

The RAE and subject review results were seen as far more important in terms of academic status and financial return than the Standard. This did not mean that participants saw no value in the Standard for HE, rather they were questioning whether it was or should be a priority on the HE agenda, an agenda often seen to be legitimately driven by academic concerns, or even by the concerns of academics.

Academic participants, whilst recognising the importance of the RAE and subject review, were not necessarily supportive of their imposition on the sector. Three participants commented on the shift within the sector from internal to external assessment of academic standards. One senior manager noted:

> *We have moved from a situation where the codes and standards of HE*
> *have been collegial, internal and implicit to a situation where they are*
> *becoming increasingly systematic, explicit and public.* [SMGR2]

This shift to external assessment was not particularly welcomed by the academic participants, who felt that many academic staff saw it as an attempt by government to reduce academic autonomy and increase control over universities. The Standard was perceived as part of this externalisation, which was required as a consequence of the growing demands for greater accountability and transparency.

---

[3] Research Assessment Exercise
[4] Subject review and institutional audit by the Quality Assurance Agency.

Perceptions of external assessment and its imposition as an attempt to reduce academic autonomy suggest that, while participants differentiated between the culture of pre- and post-1992 universities on the generic grounds that the post-1992s were more 'managerial' and 'corporate' (see 6.2.1) with less emphasis on academic autonomy, they did not make a strong distinction along these lines when discussing identity, including the self-identity of academic staff and their aspirations in the post-1992 university context.

Despite reservations about such external assessment processes, several of the participants recognised that aspects of institutional audit and subject review overlapped with the Standard and achieving the Standard could therefore be useful in helping the institution to gain good outcomes in these other areas. For example, one senior manager highlighted:

> *Some things, like peer observation, which is clearly a good thing in*
> *terms of what Investors expects in terms of staff support, really come*
> *from subject review.* [SMGR2].

Other standards, which were not associated with educational imperatives, were not considered particularly relevant to HE. The university participants admitted they had given such standards little consideration, although they did identify that ISO[5] 9000/9002, Business Excellence Awards, Hospitality Assured, and Charter Marks might be relevant to other types of organisation and to certain parts of a university. Yet IiP was somewhat differently compared to other commercial standards, at least by some participants, as being *'one that would actually do us some good'* [SMGR1]. This was because IiP was seen as complementary and supportive of processes such as institutional and subject review, and because it also helped to focus attention on human resource issues, and was applicable to all staff.

Participants were clear in their own minds about what the Standard was about; but their views varied depending on how much 'value' the participants thought the Standard had to universities. They all knew it was the only national Standard specifically targeted at staff development and it was about demonstrating good staff development practice.

The consultants, IiP project manager and some of the participants who were more experienced in working with the Standard saw it as a 'change management tool / organisational business development tool', which facilitated change in culture, values and beliefs and was applicable to any organisation. One consultant described it as:

> *A useful tool for looking at the planning, culture and the communication*
> *processes...it provides the links between systematic planning, staff*
> *development with specific and specified outcomes, and the constant*
> *process of review.* [IiP3]

The Standard was seen to be about encouraging organisations to realise that in order to identify training and development needs, they needed to understand what they were trying to achieve as an organisation. For these respondents, the starting point in trying to achieve the Standard was not training and development but business planning. For the consultant quoted above the Standard was:

> *A fairly simple aide memoir about some of the key issues that people need*
> *to keep in mind if they wish to manage change effectively in relation to*
> *training and development. Organisations need to link strategic planning to*
> *the development of people, to what outcomes they are actually achieving*
> *and keeping it under review.* [IiP3]

One service head suggested: '*staff development and training are a very fortunate by-product of the process*' [HOS1]. This group believed that the Standard was applicable to higher education, but did not underestimate the problems of getting the Standard accepted and implemented at Summertown.

Conversely, those participants who had more reservations about the Standard, and had less experience of working with it tended to see it solely in terms of staff development and were less convinced of its applicability to higher education. A staff developer with no direct involvement with the Standard said:

> *I tend to see it as about investing in your staff, making sure they have the*
> *proper training and development.* [SDEV2]

One academic head (also not directly involved with Standard) went further and suggested it was about:

---

[5] International Standards Organisation

> *Codifying ones behaviour to agree with a ' best norm' ...I see it as stifling*
>
> *individual flare... IiP tells us we have a cracking administrative system, but*
>
> *in terms of achieving things like the quality of student experience it is not*
>
> *telling you very much.* [HOD2]

This head's views reflected concerns expressed by some of the other academic participants who were also dubious about whether the Standard did anything to improve teaching and research and consequently questioned its relevance to the HE sector.

However, one senior manager saw this lack of a direct link to teaching and research as a benefit to the whole organisation. He said

> *It's not directly focussed on our teaching and research activities, it's more*
>
> *generic than that, it's much more across the University.* [SMGR1].

He recognised that the university employed a large number of staff doing a wide range of jobs and a university as an employer was not just about academics with academic agendas. The enthusiastic participants also saw the standard in this light and as a means of:

> *Enabling all staff to have a good understanding of how their work*
>
> *contributed to the good of the whole... such that they had some notion of*
>
> *why they were there and what the organisation was trying to achieve.* [IiP3]

The participants' understanding of the Standard seemed to be coloured by their exposure and experience. The more experience the participants had working with the Standard, the less reservations they were likely to have and the more likely they were to see it as a generic change management framework. That is, as a set of tools that helped universities to identify their objectives, improve their planning and evaluation processes, and develop an organisational culture that effectively supported the work of all university staff. Whereas, those participants with less experience of the Standard tended to have more reservations and to see it primarily as a means of promoting good staff development practice and therefore of limited value to universities. The latter participants had not made the link between effective staff development and clear organisational objectives, good organisation planning /evaluation and organisational culture.

6.3.1   Perceived Benefits

All participants were able to identify some benefits of the Standard that they had personally experienced, or thought that Summertown had gained, or that the sector might gain by committing to and achieving the Standard. The main benefits were in relation to human resource issues and external recognition. Several participants recognised that the university sector (including Summertown) was not at the forefront of good human resource practice and that the Standard was potentially a mechanism to improve practice. One senior manager acknowledged:

> *Most HE institutions are well behind a lot of commercial organisations in human resource management and IiP might provide a focus in this area.*
>
> [SMGR1]

Respondents identified that the senior management at Summertown had recognised that there were a number of human resource issues at the University, and that the Standard could potentially address them. One senior manager explained:

> *I think that members of the senior management believed that there were quite substantial issues around human resources, in particular the effective co-ordination and management of staff development, which the University needed to address... embarking on more explicit strategic planning process some felt would mesh nicely with IiP.* [SMGR2]

Preparing for the Standard was seen as providing both an operational framework and an imposed discipline to do things that the university needed to do anyway. The more obvious benefit of integrating the various human resource processes like appraisal, staff development and staff communication etc. was identified by many. One senior manager commented:

> *We have to ask ourselves has induction been worthwhile? Has appraisal been worthwhile? Have the staff development opportunities been worthwhile? It is easy to see these activities as something completely separate whereas actually they run parallel with all kinds of other developments in HE and this is where the IiP can help.* [SMGR2]

The heads of departments felt the critical self-review of departmental processes undertaken as part of the assessment preparation was an imposed discipline that was beneficial to them. One said:

> *If the review and analysis does no more than simply highlight the kinds of*
>
> *inadequacies in the current process, then in that sense it has been*
>
> *positive.* [HOD1]

The service heads in particular were positive about the critical self review, saying that the analysis was a good exercise in sitting down and looking at the big picture, rather than getting bogged down in the details of day-to-day operation. One service head reported:

> *It makes you look at all your processes, how they feedback, how you*
>
> *communicate, the whole of your business objectives and people's place*
>
> *in the organisation.* [HOS1]

As a result of the reviews the heads felt they had a better understanding of what needed to be done in order to support both their departmental objectives and staff's training and development. The analysis process encouraged heads to review and evaluate, and in some cases rethink what needed to be achieved. It made them more aware that they needed to articulate more clearly what was currently being done well, to remind staff what had to be done and still needed to be achieved, and how this would be evaluated. By identifying staff problems and gaps in the various processes it helped heads become aware of the issues and enabled them to focus their attention on critical issues and develop new practices where needed. They felt better able to effectively link staff development activities to departmental objectives. In addition, staff were felt to benefit as the review promoted a higher level of teamwork, cutting through some of the internal divisions. The reviews increased both the amount of and interest in staff development activity and helped changed staff attitude to staff development such that staff development was no longer considered to be just attending training courses and conferences. One service head believed that before his department had prepared for assessment, staff had not recognised the range and opportunity for staff development at the University. For him one of the benefits of the Standard was that it give him the opportunity to remind staff ' *that we do a lot of good things, we do have a whole raft of things in place, we do have good training schemes, we are generous with time'.* As a consequence it was *'a way of getting staff beyond their 9-5 humdrum existence'* [HOS2].

One academic head believed that preparing for the assessment had genuinely helped him to become a better manager. A service head enthused '*I would do it again, even if the university wasn't; it got me thinking about things*' [HOS1]. Although most participants were not this enthusiastic, those who had been directly involved in the implementation process were positive about the benefits to themselves and Summertown. One service head was quietly proud that his department would be the first Library in the county to achieve the Standard, and this gave him a personal sense of satisfaction.

The Standard was also seen as a way of building bridges with staff and trying to make sure they knew that the University, or at least their immediate managers, valued them and supported them. A few participants saw committing to achieving the Standard as a public statement about the University's espoused values. According to one senior manager it showed:

> *We do care about the people who work here. It's a way of demonstrating to staff that we wish to have national standards in the way we behave.... towards each other and to those whom we manage or those who manage us.* [SMGR2]

In addition the Standard was recognised as benefiting the University by driving forward several processes like the communications strategy, appraisal for hourly-paid staff, career development for support staff, and the production of staff management guidelines. Furthermore, one staff developer reported that preparing for the Standard had the unanticipated side-effect of giving the Personnel Department and Professional Development Unit greater access to departments to help them to address staffing issues. Previously academic departments would often not even acknowledge staff issues and certainly would not have requested support from central services.

Most university participants felt that obtaining the Standard would bring external recognition. This opinion was expressed in comments like '*it is an outside recognition, it's a reason to be proud*' [SDEV3] and '*getting that accreditation, it demonstrates that we are doing the right kinds of things*' [HOS2]. The main benefit of this was seen to be enhancing the University's image, which in turn could potentially enhance the

University's status and creditability, and hence its ability to recruit and retain staff (in particular support staff) and to attract customers. However, some cynicism was evident in comments about 'external recognition'. Several participants saw the University's commitment to the Standard as 'badge collection'. As one academic head remarked:

> *Call it sort of qualification gaining activity. It looks a bit like the University*
>
> *wants to get it so we can stick it on the bottom of the letterhead.* [HOD1]

Despite cynical views expressed by several participants, the majority thought that achieving the Standard was a means to enhance the University's standing in the outside world. Even so, they did not necessarily rate the Standard particularly highly in comparison to achieving a good RAE or subject review score, since these were indicators of academic quality, and consequently more highly valued than indicators of organisational good practice.

6.3.2   Attractiveness of the Standard to individual departments

The data in chapter 4 shows the majority of departments achieving the Standard are service departments. In exploring why service departments might be both more attracted to and successful in achieving the Standard than academic departments, the main themes to emerge were the more 'business-like' organisational culture and the greater external focus of service departments.

Service departments were perceived to be both managed by and staffed by employees who were likely to have worked outside HE. Hence it was believed that service staff at all levels were more likely to have come across the Standard, to understand what it was about and to appreciate the business benefits. In addition the academic participants thought that service staff were more likely to be familiar with and use business practices than academics.

Participants thought identifying and evaluating staff development activities was easier in service departments because they had clearer goals and greater control over their staff than academic departments. One staff developer stated '*It is easier to do staff development planning for service areas, as training needs are more obvious*' [SDEV1]. Consequently it was felt it was easier for service departments to demonstrate they could meet the Standard's criteria. In addition, one staff developer expressed the belief that

many academic managers staff felt service staff were cheaper to train as their development needs were less demanding and less complex than those of academic staff. One interpretation of this is that academic staff could use this perspective to both justify their higher staff development expenditure and to explain why it was easier for service departments to meet the Standard's criteria.

Senior service staff were thought to be aware of what was happening in other universities and their profession as a whole more than their academic counterparts. According to one service head, service staff needed to be:

> *More aware of the external factors and requirements affecting the*
> *business, as the drivers in each of the professional areas are commercial.*
> [HOS1].

Consequently, the standards used in business, like the Investors in People and ISO 9000/1/2, were more likely to be known about and valued by service managers, since ' *they are closer to other kinds of industry, who use these standards as a sort of quality measure'* [SMGR3].

Obtaining the Standard was seen as a way that service departments could demonstrate the quality of their service and their professional credibility, but also assert their sense of self worth. For example, one senior manager said *'I can see them going for it because they wanted something to show that they were as respectable as people getting reasonable research grades'* [SMGR1]. While Institutional audit, subject review and the RAE are seen to provide tangible and public measures of academic quality, on the service side participants recognised *'There isn't necessarily a readily obvious universal quality standard'* [SDEV3]. Achieving the Standard is one of the few ways for service departments to demonstrate external verification of their quality, a way of benchmarking their performance and being recognised by their industry peers. This was recognised in particular by two of the staff developers who made comments like:

> *It is really more those that are not so linked into the academic world, that*
> *are linked into the wider community, where IiP may be seen as a useful*
> *badge.* [SDEV2]

and

> *It's sort of peer equality issues as it were, not necessarily in HE but more*
> *widely in the business as it were, or the profession they are involved in.*
> [SDEV3].

Many universities' service departments also run commercial activities in addition to providing internal services. In these areas, where universities are competing directly in commercial markets, the Standard was seen as giving the university some commercial edge. One senior manager elaborated on this point by surmising that for *'Universities with a huge conference trade I would have thought, in every respect, that IiP would be a fantastic asset'* [SMGR2]. Interestingly, this view was not shared by one of the service heads directly involved in the conference trade; she believed that *'Customers don't recognise national standards like that. They might just about recognise two stars and three stars'* [HOS1]. This service head saw the value of obtaining the Standard as internal to the department. She felt the Standard was attractive because it was a way of improving the business processes and supporting the staff, and she did not see it as a mechanism for improving the status of the department or the competitive edge of the service.

Although the analysis in chapter 4 shows that relatively few academic departments have achieved the Standard, Business Schools and Health Studies departments were more likely to achieve the Standard than other types of academic departments. The dominant theme to emerge in explanation for this was the external focus of these departments.

Both types of departments were perceived as being more outward looking and more aware of what was going on externally than many other types of academic departments because of the applied nature of their discipline and their commercial activities. Staff were felt more likely to have outside contacts as part of their normal academic roles and therefore more likely to come across the Standard. Unlike service departments, they were not perceived as professionally comparing themselves with other organisations, but rather wanting to make themselves more attractive to win business (e.g. consultancy, short courses, student placements, graduate jobs, sponsored students

etc.). The assumption was that if a department's potential customers had the Standard or valued the Standard, then the department was more likely to see the benefits of achieving it. A senior manager noted '*They would be working with people who had Investors, who thought it worthwhile* [SMGR2] and who might expect suppliers of educational services to have achieved the Standard. An academic head endorsed this, and said:

> *If you are recruiting students for MBAs from companies that have spent a*
> *lot of time getting IiP, it's perhaps part of the expectation of the market that*
> *the supplier of the course would also have followed the kite-mark.* [HOD2]

Achieving the Standard was also seen as potentially providing a competitive edge over similar departments in other universities. For example, a senior manager highlighted the competitive situation between schools of health studies by pointing out that they may be attracted to the Standard '*because they are, as we know only too well, out there competing for business*' [SMGR1]. Similarly, a staff developer suggested that achieving the Standard might be seen as providing additional credibility with customers:

> *It's about credibility and recognition within the field in which they are*
> *operating... particularly in health education where it's all full cost, driven*
> *by hard-nosed purchasing.* [SDEV3]

Several participants pointed out that many business school academics would have worked in other sectors and nearly all health studies academics would have worked for the NHS[6]. The assumption was that business and health academic staff would be more likely to have been exposed to the Standard in previous employment than other academic colleagues. For example one academic head said:

> *Because Investors in People is a business process, one would expect them*
> *to at least know more about it.* [HOD1]

In addition, staff in business and health schools were seen as more likely to have experience of a managerial culture and would perhaps be more in tune with the philosophy behind the Standard than staff in other departments with no non-academic work experience. One senior manager said, reflecting on the relative success of

business and health schools, said *'yes, that doesn't surprise me. If you said that they were mainly Schools of History or some thing, I would be rather more surprised'* [SMGR1].

Interestingly, unlike the service departments, no one suggested that achieving the Standard had anything to do with external recognition of quality for academic departments, probably because the RAE and subject review were believed to be the appropriate indicators.

Although the participants were generally positive about the Standard, this did not mean that they thought it was a universal panacea or without it problems in the HE sector. Academic participants questioned how achieving the standard had any direct benefit in terms of enhancing research and teaching and concerns were also raised about whether the main beneficiaries were the management or the staff. Certainly very few direct benefits for the staff were identified. The reservations expressed ranged from the value of the Standard for universities to practical issues of implementation in HE.

6.4   Reservations About the Standard

As highlighted in section 6.2, participants viewed universities as unique kinds of organisations focussed around an academic agenda and believed their colleagues felt the same. Hence, many academic staff were believed to be sceptical about the Standard because they saw it as promoting business practices and models which were not necessarily seen as relevant to HE, an attitude illustrated by comments like *'the Standard is only useful to businesses and we aren't a business'* [IiP2]. For some academics the imposition of the Standard was seen as part of the move to towards 'managerialism'. For example, one senior manager suggested some academics were likely to see the implementation of the processes needed to achieve the Standard:

> *As an attempt to turn education into being exactly the same as running*
>
> *Marks and Spencer ... a monetarist approach to HE.* [SMGR3]

Participants felt that many academics believed the Standard did not accommodate the traditional view of universities. It was perceived to be based on a commercial and corporate model of organisations, with a culture of production targets and management

---

[6] National Health Service

control, rather than a culture based on intellectual inquiry carried out by autonomous, professional individuals. A senior manager made the point that many academic staff had chosen not to enter a business environment, but to work in a university where they believed they had individual autonomy and the freedom to research and teach what they saw fit. The conclusion drawn by participants was that academics who rejected or resented the notion that universities should operate according to a business ethos, would also feel the Standard was not relevant to HE on the grounds it was based on business practices derived from the commercial sector.

While participants characterised post-1992 universities as more 'business-like', and saw this as some explanation of the fact that more of them had committed and achieved the Standard, perceptions of resistance and resentment from academics towards a business ethos was counter to this. An inference is that academics within post-1992 institutions were regarded as having a 'pre-1992' conception of themselves, their role and what a university should be and do.

Academics were believed to resent what was seen as an extra burden of bureaucracy and administration associated with increasing demands for greater accountability and reporting. In this light, some of the participants suggested that the Standard could be seen as a mechanism to 'check-up' on staff activities and thereby undermine feelings of personal excellence, autonomy and professionalism. A senior manager reflected:

> *I think they feel that it is an abandonment of a trusting relationship*
> *between management and themselves, trust in their professional*
> *commitment... they would say that IiP is an intrusive framework,*
> *which might well cost them extra time and might not take them*
> *anywhere meaningful...they ought to be trusted.* [SMGR2]

An academic head went further, suggesting that because of its perceived managerial focus the Standard could contribute to undermining traditional university values and culture. He believed that HE should be driven by a kind of bottom-up democratic process, whereas what was happening was much more top down. He considered that the Standard could be viewed as a way of formalising aspects of increasing management control. This view was supported by one of the staff developers who said:

> *It is in a way perhaps too restricting for HE. That is, it is a standard which tends to hinder the traditional independence of academics.* [IiP2]

Participants clearly attributed to academics a view that the Standard could be seen as a tool for implementing a more managerial and business-oriented approach to HE and a means for aiding the destruction of the traditional academic culture, a trend the participants believed many academics resented and were hostile towards.

In addition to the concerns over the business ethos perceived to underpin the Standard, academic participants also questioned whether the Standard did anything for the core business of universities, which for them was research and teaching. Several academic participants expressed the view that limited resources might be better spent on improving these essential areas, instead of pursuing the costly 'add-on' of IiP.

The Standard was seen as a big commitment for a University or department to make when there were other higher priorities like the RAE, subject review, student recruitment and retention etc. all of which had a direct impact of the 'core business'. Hence opportunity costs, and the increased workload, were major issues raised in connection with implementing the Standard. Putting time, money and effort into achieving the Standard, according to one of the academic heads, was directing resources, including intellectual resource, away from the 'core business' of teaching and research, which he suspected might have the effect of reducing rather than enhancing overall quality. He would rather have seen university resources being put into supporting the 'core business', than generic university initiatives. His view could be summed up as *'the Standard isn't irrelevant to HE, just not important enough to waste resources on it'* [HOD1]. Clearly, for him research and teaching were the important things in a university and he was not convinced of the need for significant investment in enhancing general staff development.

Other academic participants also questioned whether there would be significant potential benefits to the 'core business' or staff. Several stated they did not believe achieving the Standard would have any impact on student recruitment or retention, key objectives of the University, as most potential students would not know what the Standard was about. For example:

> *'I have never had a student or potential student phone, turn up or make an*
>
> *enquiry who has mentioned any thing about Investors in People status...but*
>
> *other aspects of quality have been raised ... external examiners...QAA*
>
> *scores and TQA and teaching and learning approaches.* [HOD1]

A staff developer explained that employees were often not convinced about the Standard because they could not see any direct changes or benefits to themselves. This was unfortunate as often such staff were not necessarily in a position to know what had changed and why.

There was also a common feeling that departments were stretched to the limit and it was unreasonable to expect them to do more. This was illustrated by comments like *'If I am asked to do IiP on top of everything else, that is when I will scream'* [HOD2]. As one service head acknowledged *'many departments are initiative tired, the Standard* is *seen as just another hurdle'* [HOS2]. For many of the participants the issue appeared to be not whether the Standard was useful or appropriate to HE, but whether given all the other demands on HE, it was worth the effort.

There was disquiet about the additional workloads and diverting of resources away from the core business in order to achieve the Standard. Resistance and resentment on these grounds was certainly attributed to many and felt to be widespread. Nevertheless the truth of such claims was contested. Most of the activities undertaken in preparation for the Standard were also part of the University's human resource plan, which was meant to enable the delivery of the University's strategic plan. As acknowledged by many of the participants, the Standard was about good practice and the processes needed to achieve the Standard should have been done anyway, so many of the costs involved would have been incurred even if the University had not been preparing for the Standard. In addition to the fears about direct costs, the concerns expressed about the workload may not have been that well founded either. Contrary views expressed included *'As far as I am aware, the areas that have gone for it have not felt it was a great burden'*, [SDEV2] and *'Its nice that it didn't require too much additional documentation'*, [SMGR1]. It was pointed out that the documentation demands of the QAA and the University's own quality assurance and planning procedures meant that the areas undergoing assessment were able to produce a considerable amount of

pertinent documentation without any additional work. Several of the participants mentioned that compared to subject review and institutional audit, the assessment process for the Standard was relatively simple and far less demanding. There was also a crossover in that, if an area had done well in subject review, they were well on the way to achieving the Standard.

By the time the interviews were undertaken in 2000 the Vice Chancellor and the Head of Personnel both seemed to feel that the direct costs of preparing for the Standard had represented value for money, as it had helped the University to achieve some of its human resource objectives. This indicates that, as employers, the University senior managers recognised wider imperatives that just research and teaching and wanted to support the development of all their staff.

However the irony of the sector's reputation for ineffective staff development did not go un-remarked by participants, evidenced by one staff developer:

> *Although Universities are about student development and learning they*
> *are not very good about their staff's development and learning.* [SDEV1]

The reasons for this were thought to be complex, ranging from the nature of academic culture to lack of money. For example academics' expectations of a high degree of independence and autonomy in their work was felt to extend to their own development. As one consultant noted:

> *There is certainly the notion that your own development is up to you and*
> *is not something which is accountable to the organisation as a whole.*
> [IiP3]

This feeling of self-determination was compounded by a slightly negative attitude to staff development as identified by one staff developer:

> *There is still an attitude in some areas that staff development is 'remedial'*
> *for those not bright enough to work it out for themselves.* [SDEV1]

The assumption behind this is that 'self-managing academic professionals' should and can determine for themselves what development, if any, they need and should undertake it with no necessity for approval or interference from others. There is no acknowledgement in this attitude that staff development should be in response to

organisational needs or that an individual might not be in the best position to identify what aspects of their performance need development.

A number of service and academic staff were identified by their managers as not being interested in changing or enhancing their jobs or developing further as individuals. These staff had been doing the same job for a long time and wanted to be left alone to get on with it. Consequently it was felt such staff had limited potential for any staff development. One academic head had considered trying to swap staff roles around in order to enhance staff development and broaden the departmental skill base, but found this was not practicable. He said:

> *You try to swap them around. Then you start to whittle them away for this*
>
> *reason and for that reason and you find that you have little room for*
>
> *sensible manoeuvre in terms of a development strategy.* [HOD3]

Both service and academic heads had concerns over such resistance to staff development, but felt there was very little they could do apart from work around it. This is problematic for achieving the Standard, which it is predicated on positive engagement of the individual with the organisation.

Even when staff accepted that staff development activity was a normal part of continuing professional development, participants believed that staff development was still seen as attending courses and events, rather than learning new skills or broadening experience etc. that could be achieved in number of inexpensive ways. This created problems because demands for development tended to require money, which was very limited. Nearly all the university participants considered lack of money and the problem of allocating limited funds fairly and effectively as major impediments. Insufficient funds were regarded as the biggest problem, which meant not everyone got what they wanted or needed. According to one head:

> *You have to take a managerial decision about, is it worth spending the*
>
> *money or it is not...Everyone is different, bizarrely different in many*
>
> *respects. Also I've never yet met an academic who hasn't got an ego three*
>
> *times the size he ought to have... Decisions can lead to disquiet,*
>
> *murmuring in the ranks, it does particularly when you've got limited*
>
> *resources.* [HOD3]

In some ways the public commitment to the Standard exacerbated this situation because it raised expectations about staff development (i.e. attending events) that could not be met.

There was a strong impression that staff development approvals and allocations tended to made in response to immediate needs and individual desires rather than in fulfilment of strategic objectives or against an agreed staff development plan, as the Standard expects. This was the experience of a consultant who said:

> *You get a sense of little groups looking at their own training and development issues and not necessarily feeling they have to engage in the university imperatives.* [IiP3]

The impression was created by the university participants that staff development was seen as an immediate 'fix' to specific problems, or as reward for doing well, rather than a strategic investment.

This lack of strategic approach was very much in evidence with academic management training. Two senior managers and two consultants pointed out that universities lacked a tradition of professional academic management and consequently there was considerable suspicion of the concept of management, with a corresponding lack of management training and management development programmes. As one of the consultants said:

> *In HE you end up with lots of managers in management roles who don't view themselves as managers and are not necessarily very good at doing the bits of it, like the interpersonal bit. In addition universities tend to promote people into management positions based on their professional technical abilities and don't consider the equally important half of the equation which is people management, and then don't give managers any development to meet that side of the job.* [IiP3]

With the exception of the IiP project manager, all the other university participants were line managers, but none of them raised the issue of their own development as managers, or indicated they had ever received any training. If managers do not recognise themselves as managers, or recognise their own staff developments

needs as managers and / or their important role in shaping the staff development of their staff, meeting the Standard's criteria becomes very difficult.

6.4.1 Mismatch of the language

The language used in the Standard and supporting literature was thought to be a barrier to involvement by several participants. The earlier versions of the Standard were perceived as being aimed at the business sector and therefore to use inappropriate language for HE. As one consultant acknowledged, the Standard and universities '*did not use the same language and therefore there was a mismatch in terms of understanding*', [IiP2]. Another consultant suggested that any wording would be a barrier, as the issues raised by the Standard were not easy issues to grapple with in HE. She said:

> *Any way you express the notion of the relationship to the corporate whole and the individual within it will, in HE, set up hostility, no matter what words you use, because staff are strongly resistant to the notion of the corporate whole. However you express it, what you are beginning to tap into are areas of misunderstanding, resistance, hostility.* [IiP3]

The perceived 'business-like' language referring to 'business practices', reinforced the view that the Standard was 'managerialistic'. Since, as noted previously, some academics were believed to be hostile to anything promoting greater management control, the way the Standard was phrased was thought to be a deterrent. However one consultant hotly contested this and pointed out that ' *The word business was never in the Standard; it was people's perception*', [IiP3]; she believed the language was used as an excuse and was not a barrier.

Those participants who were familiar with the latest version of the Standard (version 3) believed it had overcome a lot of the criticisms of the earlier versions, as the style and language was more explicitly 'outcome' rather than 'process-based'. The criteria had become less prescriptive and much more about what was right for the organisation. This approach was seen to be more accommodating of the idiosyncratic approaches found in HE. In addition, the outcome-based language was more familiar to the Sector and likely to meet with less resistance. One service head observed that Version 3 of the Standard does not:

> *Stress things like business, business organisations. It doesn't use the*
> *word business. It hardly ever uses the word training actually. It's more I*
> *think about learning and that's the business we are in.* [HOS2]

Hence Version 3 of the Standard was felt to have addressed not only the stylistic issues, but also one of the underlying philosophical problems many academics were perceived to have with the Standard.

6.4.2 Higher education issues with the process

Three of the participants involved from the early stages of the implementation indicated that a number of the key processes like a staff development policy, induction, and an appraisal mechanism were lacking at Summertown in the early nineties and consequently had to be developed, approved and implemented. This was recognised as a widespread deficiency in HE at that time. In addition the sheer scale of change needed to implement these processes was recognised as problematic and identified as a key reason for the slow achievement at Summertown.

The ability of different organisations to implement the various processes required by the Standard was recognised by the consultants to vary enormously. Their experience suggested that large organisations, like universities, found it difficult because of the problems of getting commitment from all sections, and the co-ordination and scale of changes needed. One of the consultants confessed that the local TEC had not been very successful with large organisations and admitted:

> *To do it as a whole organisation is almost impossible, we have rarely done*
> *it with other large organisations...it has taken five years to achieve the*
> *Standard at the local hospital trust.* [IiP2]

Not surprisingly therefore the size and complexity of Summertown was identified as a major barrier by the IiP project manager, who felt that nothing got done quickly and it took years to implement and embed processes like appraisal.

Part of the problem was recognised to be the differing pressures on the various parts of the University. In any large organisation, some parts are likely to be under more pressure than other parts at any one time. Hence the impacts of changes across an organisation are variable and departmental ability to respond to the demands of the

Standard would also vary. The point being made by the participants was that there was never one right time for the whole organisation. Several of the participants thought areas struggling to meet budgets tended to be more interested in student recruitment, cutting costs, and staff redundancies than in staff development and achieving the Standard. They pointed out that where there is considerable anxiety about job security, staff tend to be more interested in keeping their jobs than undertaking staff development. In addition, two academic participants mentioned that periods of uncertainly often brought deep-rooted disagreements and resentments to the surface, making any changes difficult to implement. One academic head explained, when you are in a middle of a crisis, spending time and money on achieving the Standard was going to be perceived as a waste and a source of annoyance. More buoyant areas were therefore perceived to be both more likely to be receptive to and have the resources to meet the Standard. Certainly, the relatively buoyant state and positive financial situation of the Science Faculty at the University of Summertown was seen a major contributing factor in it being the first academic area to achieve the Standard.

Conversely, one of the consultants suggested that the problem was not the size or complexity of organisations, but the way large organisations tended to go about trying to achieve the Standard. She stated:

> *I think it is fascinating to the extent to which people say it is hard,*
> *because it should be so much part of what they are doing anyway. I think*
> *it is only allowed to be hard because people have responded to the*
> *Standard in a very mechanistic and unimaginative way.* [IiP3]

She believed large organisations found it difficult because they tended to interpret the Standard very literally, attempting to impose one solution. Not surprisingly this 'one size fits all' model was very hard to implement across a wide range of departments. Although the other participants did not share the view that Summertown or the sector had been mechanistic in their approach, they did acknowledge that achieving the Standard was not something that Summertown was finding easy to do and it was taking a long time.

One of the key reasons for the slow progress at Summertown was perceived to be the lack of any real commitment by the Directorate in the middle nineties. When exploring

the slow progress of the University it soon became apparent that the participants were unclear about why the university had committed. Although Summertown had committed formally in 1995, few university participants were aware of this and were unclear why this had been done. Replies like 'No is the short answer' [HOS1] or 'I don't really know the reason why we did' [SMGR1] were common. This lack of clarity was confirmed by one of the consultants who stated 'They didn't know why they were doing it' [IiP2], although one staff developer did point out that ' I think that all sorts of people did it for different reasons' [SDEV3], suggesting there was no definitive reason, but a combination of reasons which were not clear to anyone.

Most participants thought that the commitment to the Standard was likely to have been a politically motivated response by the Directorate to the external environment and had very little to do with staff development. One academic head suggested it was a response to criticism about the lack of a clear staff development strategy in the1994 HEQC audit report. Committing to the Standard 'was seen as a robust answer to outside criticism of how we organised our affairs', [HOD2]. Others were more cynical, suggesting 'It was politically very much a positive area in terms of a government view of things', [SDEV2] and that the Directorate wanted to be seen to being doing the right things. Several participants thought that the Directorate saw the Standard as an image building activity, as 'something nice to have on the wall' [HOS2]. They had the feeling that the Directorate had the attitude of 'lets have all the quality indicators that we can', [SDEV2], rather then reinforcing the values behind the Standard. These comments say something about the participant's feelings toward the Directorate in 1995 and reflect the organisational reality of that time. They may also reflect a concern, in post-1992 universites, about what it meant to be a university and how to measure up to or compete with the 'old' institutions, or to a perception or mythology of what the latter was understood to be.

Only the three university participants who were involved with the Standard in 1992 and the Vice Chancellor were aware of the history of the Standard and they confirmed that little or no progress was made between 1992 and 1999. The other university participants assumed the initiative was relatively recent and connected with the new Vice Chancellor. One of the consultants explained that the lack of progress during

1992-1999 was because the Directorate had failed to understand what the standard was about and what was required:

> *If you don't actually have that buy-in, that commitment and pure*
> *understanding of what Investors is and what it can do for the organisation*
> *and set out what you want to achieve in terms of evaluating from*
> *outcomes, then you don't get anywhere. The biggest stumbling block was*
> *the lack of understanding from the Directorate.* [IiP2]

The Directorate at that time had no real appreciation of how much the process was likely to cost and had no inclination to '*throw a lot of money at it*' [SDEV3]. This signalled very clearly that they might have made the formal commitment, but they were not going to allocate resources to meet that commitment.

Academic staff were also perceived to have little interest in the Standard. Comments ranged from:

> *I haven't found a great deal of support or people who feel strongly about*
> *it… academic staff don't really see the value of it.* [SDEV2]

to the rather more humorous:

> *There hasn't exactly been a mad rush by departments saying "me too, me*
> *too.* [HOS2]

and

> *There doesn't appear to be a lot of commitment, more dragging of feet.*
> [HOS2]

Even though the university position changed in 1999, the majority of the academic staff at the time of the interviews in 2000 were still perceived as having little interest in the Standard. The reasons suggested for this varied from '*Staff are cynical about the Standard as they don't see it having any impact*' [SDEV1] to concerns about the time and energy needed. As one staff developer said:

> *Most academics don't really feel that it is worth the effort, they have got*
> *enough on their plates without an extra Standard to try and attain.*
> [SDEV2]

It was acknowledged that the University had a lot to do to capture the interest of the majority of academic staff.

Nevertheless at the time of the interviews the University had been successful in two areas, two further areas were nearly there and a fifth had deferred re-assessment for a year, so not all staff were lacking interest. Several participants were more positive about increasing staff interest and suggested that the academic staff were *'becoming less cynical as it becomes better known and their professional bodies become committed and recognised'* [SDEV1]. Certainly it was acknowledged that the logo now appeared on a number of company letterheads/ job adverts and the Standard was generally better known and accepted. Furthermore, even if the idea that achieving the Standard was a good thing became gradually more accepted, just how this might be achieved and how improvements might be demonstrated remained problematic, and this was related to the nature of HE.

6.4.3 Difficulty of evaluating and measuring staff development

Measuring and evaluating the effectiveness of staff development was identified as a major difficulty for the sector by over half the participants. For example, one of the service heads observed that in business you can measure profits but what do you measure in HE? The most HE experienced consultant expanded on this theme stating:

> *It is quite complicated to demonstrate good staff development linked to organisation objectives in HE. You need to be clear what you are looking for in terms of overall achievement. You need to have the debate over what performance indicators you will use.* [IiP3]

Academic staff development tended to be perceived as a complex set of activities that occur over a long period of time. One academic head used the example of writing references for students to illustrate this point. A number of his staff had complained about writing references, so a workshop was organised and most staff attended. He went on:

> *One would eventually expect to see benefits to the organisation, I am not sure what kind of indicators one would have to measure the impact, other*

than staff saying – 'Oh now it is easier to write references for students''.

[HOD1]

The service heads also saw the difficulties in identifying suitable performance measures for support staff. For example:

You spend a lot of time and effort training staff. How do you know what the benefits are? How do I know, having spent thousands of pounds a year plus time off, I deliver a better service? You end up having to use things like the student satisfaction survey, the number of complaints, TQA results. [HOS2]

The approaches taken by a number of the participants at Summertown to measurement and evaluation supported the view of one of the consultants, who accused the sector of taking a narrow and mechanistic approach to performance indicators and evaluation. She pointed out that it is difficult to demonstrate a direct relationship between staff development and individual performance. Instead, Universities should be taking a more holistic approach and developing their own way of evaluating the effectiveness of their staff development activities. As she said:

The sector has shown a lack of imagination. If you expect to state X training has produced Y results, that is clearly difficult for any activities where X isn't a nice discrete package and Y results are not a clear outcome. Universities ought to be taking far more responsibility. They ought to be making sense of the Standard for themselves. [IiP3]

She pointed out that the Standard only asks an organisation to look at the extent to which what has happened has produced the desired results. The Standard requires evaluation, not proof, and that is a matter of judgement not measurement. There is nothing in the Standard to say the evaluation period cannot be 2-3 years or even 5 years with interim measures.

Another issue for the HE sector identified by participants was being able to provide 'auditable' evidence. As one head noted many things were done on an 'ad hoc' basis, and he did not think that fitted with the Standard's philosophy. Procedures at departmental level were often informal and no records were kept, consequently, it was difficult to know if things were being done or done effectively. For example the Science Faculty at Summertown was referred on two aspects one of which was the lack

of a formal induction and appraisal process for hourly-paid lecturing staff. The faculty could not satisfactorily demonstrate that hourly-paid lecturing staff were effectively inducted into the organisation and their duties, had their staff development needs identified, and had their performance reviewed. Hourly-paid staff had been managed on an informal basis and if they were perceived not to be doing a good job, they were not re-employed. This changed as a result of the Standard so that new hourly-paid staff were formally briefed and offered appropriate staff development opportunities, and all hourly-paid staff were offered the opportunity for feedback at the end of their contract. However, one head expressed doubts as to whether this process was worth the effort, although on reflection he decided he would ask the hourly-paid staff if they thought it beneficial!

6.4.4 Concerns over the competence of the assessors

Since so many of the responses related to the perceived 'nature and 'special-ness' of the HE sector, it is unsurprising that concerns were also expressed about the assessors' lack of understanding of HE. As one staff developer explained '*some of our IiP advisors have very little understanding of academic life...they are bemused by the situation they find here*', [SDEV2]. Another staff developer summed the situation up as '*assessors don't understand the culture, it is as if universities are too complex and a higher form of life*', [SDEV1]. The assumption underlying these statements was that the assessors did not understand universities or the 'academic culture' and expected patterns of behaviour and management systems similar to large commercial organisations. As a result universities found it hard to demonstrate they had met the criteria as they did things in a different way.

One of the consultants disputed this, but acknowledged that some assessors in the past had been hostile to Universities, finding them intimidating and very complex. She felt that universities had been cowardly in not putting forward forcefully enough their own context in order to counter the assessors' sometimes mechanistic and commerce based expectations and interpretations. As she said '*They have been 'lily-livered' in their responses to the assessors, who can be mechanistic in their interpretations*' [IiP3].

Lack of sector knowledge by assessors was identified as a thorny issue for the Standard generally and was not restricted to HE. The original premise behind the Standard was that it was designed to be universal, and since assessors are skilled in the Standard, they should be able to operate in any environment. However one consultant acknowledged that *'These days there is a tendency for assessors to have sector knowledge as this gives added credibility'* [IiP3]. Certainly the independent consultant advising the University was both an academic and a HE specialist and the participants who worked with her at the University appreciated her approach and expertise. In addition the assessor who assessed four of the areas at Summertown had previous experience of HE, and the participants identified this as beneficial.

The actual assessment process was highlighted by a number of participants as an issue. The university staff had only limited exposure to the assessment process, with only five areas of the University having been formally assessed during the period of this study. On the whole the managers involved seemed positive about the process and the assessors. As one service head said:

> *I thought our assessor was absolutely and utterly rigorous. He went*
> *through the planning, he went through the feedback, he went through*
> *everything.* [HOS1]

Out of the five areas assessed, three were referred for minor additional work which seems to support the view of one staff developer that *'the assessors did pick up issues in various areas in a very short space of time'*, [SDEV1]. It was acknowledged the process was not 100 percent foolproof. For example, one service head reported that *'there were a couple of areas I though we were weak on, but the assessor didn't pick us up on'* [HOS2].

This service head went on to say that he was not that satisfied with the process, as he felt it was too subjective, particularly in terms of the sampling. He felt he could identify the 25 individuals interviewed in his department and thought the sample of staff chosen was 'very odd', and not representative of the operation as a whole. As he suggested *' If he* [the assessor] *had picked a different 25 the results would have been different'*, [HOS2]. Another participant had doubts about the thoroughness of the process. Although her experience of the assessment process had been rigorous, she felt from

comments made by others that this was not always the case and some departments had experienced a relatively easy time. Again, such comments reiterate the individualistic focus of participants and underscore the centrality of such a focus to the culture of Summertown and by extension to the culture or at least the mythology of universities per se.

6.5 Summary

Regardless of the topic of discussion the concept of the traditional academic culture was all pervasive, colouring participants perceptions of the Standard, staff and universities. Universities were perceived as unique organisations, dominated by academics, who gave little consideration to the staff development needs of the numerically greater non-academic staff. Even in post-1992 universities, academics were seen to be clinging to a 'traditional' ideal of what a university is and should be, and what an academic is and should be. Hence there was a perception of conflict between academic culture, identify, and aspirations with the Standard leading to resistance on an ethical plane.

Despite the changes made to make the Standard more outcomes than process based, it was still seen as a business standard, promoting business practices. Consequently post-1992 universities, which were seen as more 'business –orientated', 'corporate' and 'hierarchical' in nature were believed to be more favourably disposed towards the Standard and able to achieve it. Furthermore service departments were seen as business-like and less complex, therefore less resistant to managerialism and more disposed to the Standard and better able to provide evidence to meet the criteria.

Chapter 7

Discussion and Implications

7.1 Introduction

The irony that a sector dedicated to the development and dissemination of knowledge has a poor record in staff development has been recognised in a number of reports (NCIHE, 1997; Bett, 1999; HEFCE, 2000a). The HE specific staff development literature (Middlehurst, 1995; Webb, 1996; Keep and Sissons, 1992: UCoSDA, 1994b) draws attention to a number of issues, namely: poor human resource management, poor management development, and the imbalance of staff development opportunities. Although recent reviews of HE (NCIHE,1997 and Bett, 1999),Government ministers, the QAA, HEFCE and other HE stakeholders have all recommended the Standard as a potential mechanism for improving practice, a decade after its introduction few universities have successfully embraced it.

When the Standard was first introduced the majority of universities showed an interest, by 2001 only one pre-1992 and twelve post-1992 universities had achieved it as whole organisations. Combining whole institutions and part recognitions together, 42% of the sample, (39 Universities) had achieved the Standard in at least one department, 34% of the pre-1992 universities and 51% of post-1992 universities. However, this overall figure does not compare very favourably with the UK all-sector achievement of 62% of organisations with 200+ employers (Williams and Triller, 2000), especially when it is considered that most departmental recognitions will have been achieved by departments with less than 200 members of staff. It does mean nevertheless that over 40% of universities with 5000+ students have had some success with the Standard.

The data in chapter 4 suggests that the salient factor predisposing a university to be interested in, or successful at achieving the Standard is whether they were incorporated by the 1992 Further and Higher Education Act. Such factors as numbers of student enrolled percentage of postgraduate and international students, number of academic staff, staff/ student ratios, and membership of an informal grouping such as the Russell

group, do not seem to influence a university's attraction to or achievement of the Standard in any discernable way.

Achievement by individual departments shows a different pattern. In 1999, only 22 non-academic departments and 6 academic departments were recognised. By 2001[1] this had increased to 64 non-academic and 24 academic departments, a three-fold increase. Participants noted that in pre-1992 universities departments tend to have far greater independence and were therefore more likely to meet the autonomous unit rules[2] than post-1992 departments, while post-1992 universities had more centralised systems and a greater sense of a corporate whole, making it harder for individual units to demonstrate their independence. I would suggest that the scale of the overall increase and of the rise in multiple recognitions within an institution indicates that the building-block approach is having a significant impact, since few academic departments, even in the pre-1992 sector, would meet the criteria to be assessed as autonomous units. The introduction of the autonomy rule in 1995 probably had a significant negative affect on the uptake of the Standard in HE, and this has been partly ameliorated by the move to the building-block approach, introduced in 1998.

Despite problems with the quality of information from the HESDA database (see section 4.4) the trends are clear. Post-1992 universities are more interested in and successful at achieving the Standard. At a departmental level, the Standard appears to be more attractive to non-academic departments, although this is changing rapidly as those universities committed to a building-block approach begin to experience success on their way to whole-institution recognition.

A differential in take-up and success between pre-and post-1992 universities is clear. What remains opaque in the literature is an explanation for this difference. Thus, the primary purpose of this study has been to explore the Standard from the perspective of a post-1992 university in the process of trying to achieve the Standard, in an attempt to gain a greater understanding of some of the issues encountered in this process and to

---

[1] It should be noted some departments who achieved the Standard prior to the introduction of the autonomous unit rule, were ineligible when they came up for re-assessment and consequently came off the list of recognised departments

[2] Legally and/or financially separate units with their own brand identity

consider whether these experiences might pertain more widely in the university sector. From the interviews and the story of this institution, a number of themes emerged that support the existing literature. Together with several new ideas these go some way towards explaining the pattern of institutional and departmental achievement of the Standard in HE.

7.2 Compatibility of the Standard with the HE Culture and practices

Without doubt the strongest theme to emerge from this study of the Standard in HE is the dominance of the academic perspective in universities. This dominance is evident in the staff development and organisational literature about universities and the responses of all the participants in this study. All the university participants saw the university as an academic institution first and foremost. Only the vice-chancellor and the non-academic participants at Summertown also recognised it as a multifunctional organisation and a large-scale employer. The precedence given to the academic agenda shaped the participants' attitudes to staff development and to the Standard, since they clearly regarded academic rather than organisational imperatives as of paramount importance. The findings of this study, coupled with a concomitant emphasis in the literature, clearly indicate that this 'academic agenda' is central to the identity and therefore the culture, not just of Summertown but also of UK universities, both pre- and post-1992. The sector's relationship to the Standard has to be considered in the context of this fundamental determinant, and the perceptions and assumptions that it generates. Crucially the meanings, validity and implications of this dominant attitude must be explored.

7.2.1 Elitist aspirations

Comments by participants suggested that their beliefs and aspirations about what a university is and should be, and hence their identity and purpose within the institution, were based on a largely unquestioned idealistic model of an 'elitist traditional' university, like Becher's (1988) collegial pattern. What is less clear is whether the participants believed such 'elitist' institutions exist today (or did in the past), or whether they are aspiring to some mythical organisational culture that has never existed.

These 'elitist' aspirations of the participants correspond to Wagner's (1996) view that the values within the sector still belong to an elite, rather than a mass education system, even though mass education is the reality of today (Trow, 1989). Hence, as the analysis in chapter 6 shows, these 'elitist' beliefs and values underpinned participants' attitudes to the roles of academics, their managers and the Standard. Part of the participants' reasoning seemed to stem from their belief that academics had, or at least thought they were entitled to, considerable personal freedom and legitimately hold loyalties that were wider, and even 'higher' than those due to their own employing institution (Baldridge, 1971; Jarrett, 1985; Elton, 1999). Individuals' views might, therefore, be in conflict with their organisation. Consequently participants recognised the difficulties of imposing new processes implicit in preparing for the Standard, without the tacit support of academics, bearing out the views of Thorne and Cuthbert (1996), Handy (1988) and Bligh (1990).

For manager participants this potentially created tensions since they were torn between their personal belief systems, based on a traditional and elitist model of the nature of universities, and the realities of working within and managing departments in a mass, corporate, post-1992 university. The academic managers coped with this in different ways, but all of them attempted to maintain what they believed to be an acceptable academic ethos by putting academic imperatives as the highest priority, balanced against the numerous other demands. It was where the Standard was perceived to clash with the myth of the 'academic culture' that participants voiced their reservation about the desirability and relevance of the Standard to HE.

Like Weick (1976) and Sporn (1996), the participants believed universities were unique kinds of organisations, with a very different culture to that of businesses. Although participants felt universities should aspire to maintain an elitist traditional organisation, it was clear from participant comments about Summertown that they did not believe they worked for such an organisation. Rather they considered Summertown to be more hierarchical and bureaucratic than collegial and suggested this was more typical of the sector. Indeed, some participants challenged the rhetoric of universities as 'collegial' and suggested the reality was very different. They believed power in universities was concentrated on the management and academic side of the organisation and was more

akin to Becher's hierarchical and anarchical patterns and Handy's (1993) person culture. Consequently, universities might commit themselves to certain courses of action via the committee structure (i.e. where the hierarchical and collegial patterns tend to dominate) in response to the external environment and strategic imperatives, only to find policies were not implemented at departmental level, (i.e. where anarchical and political patterns or the person culture tend to dominate) because of staff indifference and or resistance (Sawbridge, 1996). This could explain why around 88% of HEI's indicated they were interested in achieving the Standard initially (HEQC, 1993), but so few have been able to convert the interest into achieving the Standard as a whole institution.

Participants suggested that academics' indifference / resistant to the Standard might be because of the perceived similarities between the demand of the Standard for a systematic approach to staff development and the growing use of methods and tools derived from the business sector to manage universities (Trowler, 1998 and Hartley, 1997). This could explain why some academics see the Standard as interwoven with, and part of, the 'managerialist' trend within universities. Although, the participants did not explicitly refer to the Standard as managerial, several raised concerns over its perceived 'business' pedigree and its introduction of business practices into higher education. They explained that the Standard was not seen as relevant or desirable by some of their colleagues because it was predicated on business practices, which are believed to be incompatible with a collegiate approach and academic freedom. Hence, the implementation of the various processes needed to achieve the Standard could be interpreted as erosion of the 'traditional academic freedom' of self-management. Consequently, some academics were felt to resent and to be hostile towards the Standard (Adams 1997), ascribing to a belief that the Standard is a mechanism for the introduction of greater managerial control and undermining of professional academic independence.

7.2.2 The impact of HEFCE initiatives

However, changes that can be interpreted as eroding academic culture are happening regardless of the Standard. Universities have had to address reduced resources, HEFCE policy initiatives and changes in employment law. These have resulted in the development of new human resource policies and the subsequent introduction of

performance indicators, targets, and monitoring and evaluation processes. Several participants pointed out that Summertown updated its human resource policies in response to the environment and not to meet the requirements of the Standard per se. Hence it was a fortunate by-product that the updated and new policies helped departments meet the assessment criteria.

HEFCE (2002:4 &5) is actively encouraging the sector to be even more explicit in the use of action plans, targets, and formal business management techniques like fully-costed implementation plans and project management techniques in their response to the 'rewarding and developing staff initiative'. Inevitably, such techniques are spreading across universities, as departments are required to implement new policies and report against the corporate plans to enable universities to meet legislative requirements and to claim funding. These moves reflect changing social and political agendas that expect publicly funded bodies to be well managed, efficient, accountable and transparent in the use of public money. The Standard, although separate from this agenda, is interrelated in that the processes and outcomes are very similar. It is not surprising, therefore, that the participants implied that the Standard could be seen as part of the increasing managerialism in HE, and felt that their colleagues would see it in this way.

It would be interesting to explore how those universities that have not committed to the Standard as a means of enhancing staff development are securing funding under HEFCE's 'rewarding and developing staff initiative' (HEFCE, 2001 & 2002). One might ask what framework for change they are using, how successful they are, and how close such universities are to meeting the requirements of the Standard. I would suspect that universities that have really embraced what HEFCE is trying to promote would be able to meet most, if not all, of the criteria of the Standard. However there are still a number of areas of potential conflict between practice and attitudes in HE and the Standard.

7.2.3 Mismatches between the Standard and HE practice

Good staff development practice is a complex and continuous process (see section 2.2.1) that enhances the knowledge, skills and attitudes of employees so that they are better able to do their jobs and achieve company objectives (Reid and Barrington, 1999

and Harrison, 1998). However, none of the participants raised the issue of what is meant by staff development in HE, or the dilemma of where academic staff development merges into scholarship and research. Although this debate is outside the scope of this study, it is worth noting that the need to update knowledge and skills continually is an integral part of the 'academic job' and this is perhaps one area where the Standard can be criticised. It appears to imply that staff development, although essential for good staff and company performance, is an additional activity to the 'day job' as opposed to an integral part of it.

7.2.4.1   *Commitment*

According to the Standard (IiP UK, 2001f) good staff development practice is predicted on the four principles of Commitment, Planning, Action and Evaluation (see appendix 2.2). Commitment is about how an organisation demonstrates its support for staff in order to achieve its aims and objectives. The evidence required is a strategy, which embeds the canon of equality of opportunity, and examples of successful implementation. All universities now have staff development strategies in response to requirements from HEFCE, and these strategies, combined with the implementation plans demanded as part of the rewarding and developing staff initiative (HEFCE, 2001), should put many universities in a stronger position to demonstrated their commitment to developing all their staff.

However, providing effective development opportunities to all staff is an acknowledged area of weakness in HE. As Cryer (1993) and others (e.g. UCoSDA, 1994b; Webb, 1996; Elton, 1999) have identified, staff development has been heavily biased in favour of full-time academic staff and their interests. Although this situation is changing and greater emphasis is being placed on non-academic staff (e.g. HESDA, 2001 and Harrison, 2000), comments by the participants indicate that the variety of staff development needs among non-academic staff are not widely recognised, and that the complexity of catering for and investing in satisfying these needs is not fully appreciated. As a corollary, I would suggest that the contribution of non-academic staff to the successful running of a university appears to be insufficiently valued, perhaps as a consequence of the dominant 'academic agenda'.

In addition to the disparities between full-time time academic and support staff, the treatment of hourly paid academic staff at Summertown suggests many universities are likely to have some way to go before they can met the Standard's criterion for commitment to the development for all staff. The Standard covers all staff, academic, technical, professional, administrative, managerial and manual, on full-time, part-time, hourly paid, or fixed-term contracts, and includes staff employed by sub-contractors working at a university. Hence, it is likely to take some time to refocus and rebalance staff development strategies and activities to cover all staff and ensure equality of opportunity for all.

7.2.4.2   *Planning*

The 'Planning' criterion assumes an organisation has clear aims, linked to staff development strategies and practice, which employees understand. As already identified (see section 2.5) universities are characterised by ambiguity, by decentralised systems and low levels of visibility and accountability, where it is not always clear what the organisational goals are. Although the implementation plans mentioned above have forced universities to address some of these issues, the plans in themselves cannot overcome the cultural impediments of loyalty to discipline (Jarrett, 1985 and Becher, 1989) rather than to organisations, and academic autonomy (Baldridge, 1971 and Sawbridge, 1996). The Standard assumes that staff will be engaged with organisational objectives and want to enhance their work-related knowledge, skills and attitudes. However as Becher (1989) and Jarrett (1985) identified, many academics are loyal to their discipline above their university and consequently academic staff can resent and resist institutional staff development directives (Duke, 1992). Participants' views were in line with the findings of authors such as Crosthwaite and Wollard (1995) and Thorne and Cuthbert (1996) in reporting that academics expect a high degree of self-determination in their development, including the right to do nothing at all. The reluctance of some staff to engage in staff development may be related to the seven staff development cults identified by Middlehurst (1993). Certainly there was some evidence at Summertown to suggest that academic staff were believed to think staff development was a remedial rather than an enhancement activity and if the right people were recruited they would pick things up as they did the job. Conversely, there was no suggestion that service staff saw staff development as remedial, but service heads also

identified the problem of staff not wishing to undertake any staff development or change their job in any way.

To meet the Standard's 'Planning' principle organisations are expected to be able to demonstrate clearly the relationship between staff development activities and organisational objectives. Organisations will struggle to meet the indicators where the goals are not always clear, understood, or accepted, and where a significant proportion of staff see development as a matter of personal choice and do not accept that their development should be in line with organisational objectives. Certainly at Summertown, meeting the planning indicators was one of the areas that participants found hard to demonstrate.

7.2.4.3 Action

The way that the 'Action' principle, even in Version 3 of the Standard, is formulated implies a hierarchical organisational model, with the line manager as a key figure. The evidence requirements assume that managers should have the right knowledge, skills and abilities to support the development of their staff, and that appropriate processes will be in place, so that staff understand (and buy into) the role of their manager in their development. Yet academics at Summertown believed, or were perceived to believe, that academic organisations should be based on trust, autonomy and collegiate decision-making where academics are led by peers in a consensual way and not 'managed' by them. Furthermore, the literature indicates that such beliefs are widespread in universities (Baldridge, 1971; Thorne and Cuthbert, 1996; Handy, 1988; Bligh, 1990). Staff development was seen as a matter of personal self-determination, not management dictat. This is perhaps an area where there needs to be careful reading and interpretation of the Standard. After all, the Standard does not assert that managers should decide on and implement staff development actions, rather it states that managers should have the skills and knowledge to support their staff and their staff should understand their role. This does not preclude a consensus approach, but does imply that managers have a role in staff development decisions that some academics would challenge.

The situation is further complicated by the poor level of management skill in universities (Middlehurst, 1995; NCIHE, 1997; Betts, 1999) where academic managers tend to be promoted on their academic credibility, and not necessarily on their ability to

manage people and resources (UCoSDA, 1994c). Consequently, management development has been identified in the literature (e.g. Middlehurst, 1993 and 1995) and by Government reviews (e.g. Jarratt, 1985 and Bett, 1999) as particularly problematic. In addition, in support of the collegiate ethos, academic management positions tend to be secondments (particularly in the pre-1992 sector), such that there is a continuous turnover of management experience and expertise. In terms of management staff development, this means that many academics are put into line management positions where they do not necessarily have the knowledge or skills to carry out their job effectively. This was evidenced by several departmental heads at Summertown who reported difficulty in balancing conflicting demands, but did not acknowledge their own staff development needs and did not realise that going through the preparation stage for the Standard was management development for themselves. This suggests that many departmental heads may have a more limited grasp of what staff development means than they think and it is therefore not surprising that many are believed to see management development programmes and other staff development activities as primarily remedial (Middlehurst, 1993) and fail to see the strategic importance of staff development.

Recent initiatives and publications (HESDA, 2001a; HEFCE, 2000a; HEFCE, 2000b; Office for Public Management, 2002) aimed at improving HE management practice should help universities address this problem and meet the Standard's 'Action' principle. However, as several of the participants pointed out, there is no tradition of professional academic management, or management development programmes in the sector, consequently meeting the indicators for the 'Action' principle is likely to take some time.

7.2.4.4 *Evaluation*

The indicators for the 'Evaluation' principle require that organisations demonstrate they understand the impact of their investment in staff development on organisational performance, specifically that top management understands the overall costs and benefits and that the organisation and staff can show development activities have enhanced individual and organisational performance. However, because of complex and decentralised systems, devolved responsibilities, and the independence of academic staff, universities' staff development activities are not costed institutionally (Sawbridge,

1995). This means that 'top management' can only have a broad picture of what is spent on staff development and what staff development activities are undertaken. However, as the successful universities have demonstrated, this does not have to be an impediment, but it does require an innovative and flexible approach.

Evaluation and measurement was a major concern to the Summertown participants. What was perceived as particularly problematic was the linking of perceived benefits to organisational objectives and showing how these had improved organisational performance. Where goals are ambivalent, as Sporn, (1996) has shown, it is difficult to demonstrate how staff development has enhanced organisational performance. Furthermore, staff development goals in universities can be very complex and long-term (e.g. developing staff to enable production of world class research), requiring sophisticated evaluation techniques. One IiP consultant alleged that universities have taken a short term, mechanistic approach to evaluation and consequently struggle to meet the indicators. This lack of understanding that the Standard requires evaluation in the context of an organisation's goals and not mechanistic measurement was evident at Summertown. Some participants seemed to think they needed to show 'X' training produced 'Y' outcome, rather than to achieve broader aims like treating all staff equitably and promoting good staff development practice.

In contrast to the presumed complexity of academic staff development, identifying and evaluating staff development for service staff was seen as easier, mainly because service goals were perceived to be clearer and thought to generate less demanding staff development needs. Consequently, several participants felt that demonstrating they had met the evaluation indicators was more straightforward and required less effort for service departments, and this was one of the reasons for their success in achieving the Standard. Others, who felt this attitude showed a lack of imagination and little understanding of the Standard or staff development, contested this view.

In many ways the 'Evaluation' principle was seen by participants as the most challenging for HE, as it involved judging the effectiveness of the linkage between staff development activities and organisational performance. To do this performance indicators needed to be developed and agreed, and effective, efficient monitoring and

evaluation had to be in place; all relatively new techniques for HE and closely associated with a managerial approach. Again these processes were seen as antithetical to the idea or ideal of the relationship between universities and its academics, a relationship based on trust (Henkel, 2002, and Thorne and Cuthbert, 1996). Consequently being able to meet the evaluation criteria could be a major difficulty. However, since HEFCE's rewarding and developing staff fund requires universities to develop performance indicators and explain how they will be monitoring their performance, some of these issues will have to be addressed and resolved by universities, and this may help them in preparing for the Standard.

7.2.4.5 *Missing elements*

Looking more generally, Coopers and Lybrand (1996) have identified three elements of successful staff development and what happens when these are missing. Using this model to analyse what happened at Summertown, gives some purchase on why this and other universities have found it difficult to meet the IiP criteria. The first essential element is suitable processes and systems. Certainly when Summertown first committed to the Standard a number of basic processes like appraisal and induction were missing and even as late as 2000 when the first formal IiP assessments were taking place, there were still issues with the appraisal of technical and hourly-paid academic staff. The second essential element is effective management to get the benefits from the processes and systems, but as already highlighted, Summertown and other universities do not have strong line management on the academic side and this is compounded by a lack of management development. The third element is commitment, which again was identified as problematic at Summertown and, according to Sawbridge (1996) and Crosthwaite and Wollard (1995) elsewhere as well. As pointed out in section 6.2, it is hard in universities where departments have a high degree of autonomy and financial independence to get widespread support for any corporate initiative that is not directly related to research and teaching. Hence Summertown could not meet the three essential elements of staff development and indeed did show evidence of several of the gaps. For example, management skill and communication gaps were evidenced by the identification of communication as a major problem and statements that the Directorate were not listening to their staff. Summertown's experience supports Cooper and Lybrand's proposition that organisations without the three essentials for staff development will struggle to achieve the Standard.

In addition to academic culture and the mismatch between the requirements of the Standard and HE staff development practice, other issues were identified as potential impediments to universities committing to and achieving the Standard.

7.2.4   Other perceived impediments

The HESDA (2001) case studies suggest that motivation for committing to and achieving the Standard is clear and logical (see appendix 2.7(i)) for many universities. However, this clear sense of purpose was missing from Summertown as most of the participants were not sure when or why the University had committed, including those participants involved since the beginning of Summertown's interest. If Summertown is typical of the sector, it suggests that other universities may be indulging in post hoc rationalisation and that their reasons for committing to the Standard or their staff's understanding of the reasons may not be as clear cut as the case studies imply. The experience from Summertown suggests that the reasons for universities committing to the Standard are more likely to be a complex mixture of political expediency, individual enthusiasm and a genuine desire either to address or appear to address some of the poor management practices prevalent in universities.

Once an organisation is formally committed to the Standard, an action plan needs to be developed and resources put in place to prepare the organisation for assessment (Peat, 1999 and Smith, 2000). There is little evidence to suggest that Summertown's Directorate at the time of committing to the Standard had a clear understanding of what was involved. In the view of participants involved in 1994 there were inadequate resources and insufficient support to make things happen (see Chapter 5 and section 6.4.2). It was only later when the then Vice-Chancellor became convinced that achieving the Standard would help the University and he put both his political 'clout' and the resources behind the process that real process towards achieving the Standard was made.

The experience from Summertown suggests that, despite the rhetoric, a university, or parts of a university, will not achieve the Standard until there is both the political will and commitment of resources. This supports the literature (e.g. Crosthwaithe and

Wollard, 1996), which suggests that 'champions' at senior and local level are needed and organisations need to put money into achieving the Standard (Dodd *et al.*, 2001). Inadequate and under resourced project management of the preparation process may be a major reason why so many institutions that have committed to the Standard have failed to make any significant progress.

7.2.4.1   *The style of language*

It may have been the lack of willingness to 'get-to-grips' with the Standard that resulted in the language of the Standard and its supporting literature being raised by such authors as HEQC (1998), Daniel (1997) and Adams 1997), and by participants as a major concern. The 'issue' appears to be the 'managerialistic' tone and the business references in the Standard's documentation (e.g. IiP UK, 1996). Academic staff at Summertown and elsewhere are reported as finding the language alienating and inappropriate for organisations dedicated to research and teaching.

Certainly version 1 of the Standard did refer to business targets and goals, talked about employees and referred to several essential processes, which this study indicates many academics would not agree with or think relevant to them. While version 2 of the Standard was in a similar vein, it talked about organisations rather than business and put considerable emphasis on the roles and responsibilities of 'managers', which again many academics would challenge as inappropriate in universities. Version 3 is different, putting the emphasis on learning and outcomes, which the participants thought was more relevant and acceptable to HE. However as Adams (1997) pointed out the damage had been done, the Standard may have evolved and adapted but the perceptions of many academics have not; they still think it is aimed at and only relevant to commercial enterprises.

The language in the earlier versions was seen as symptomatic of an implicit managerial approach to staff development embedded in the Standard. The wording in Version 1 and 2 can be interpreted as implying a top down management model (e.g. Principle 1: An Investor in People makes a commitment from the top...), with lots of prescriptive controlling processes (e.g. see indicators 2.1 –2.4) implying a corporate approach. This kind of philosophy is closely associated with 'managerialism' and as Adams (1997) and Utley (2001) point out this is a contentious and resented trend within higher education.

Opinions among the participants were split about how big a concern the language used in the Standard and its publicity material really was. Evidence from the case studies (HESDA, 2001:62, 79, 92, 111) suggests that where some interpretation and translation of key terms was undertaken to 'contextualise' the Standard for HE the whole issue was avoided. This view was supported by consultant IIP3 who criticised the sector for taking insufficient responsibility for making sense of the Standard and for using the language as an excuse for not engaging with it.

7.2.4.2   *Achieving synchronicity*

Another impediment identified was the difficulty of getting all parts of a university to meet the criteria at the same time. Handy (1988) and Bligh (1990) highlight the difficulty of trying to impose processes in universities without the consent of the staff, and the participants highlighted the practical problems of trying to implement policies in large organisations like universities where at any one time different departments will be facing different challenges. This makes achieving the Standard as whole organisation very difficult. The university participants tended to feel that departments under pressure would focus attention and resources on solving immediate problems. The Standard in such circumstances would be seen as a distraction, an irrelevance and/or a waste of time and money. Conversely, the consultants, in line with the IiP literature (e.g. Tamkin, 1999, HESDA, 2001), suggested that the Standard could be used as a change management/ development tool and therefore had most to offer institutions and departments undergoing major change. Several universities (e.g. Aston, Bradford, Glamorgan, Glasgow) supported this view and said they saw the Standard as helping with their change programmes. Despite this rhetoric, the experience at Summertown suggests departments in 'crisis' are not interested in the Standard. Rather it is those areas that can more easily afford the time and resources that are attracted to enhancing their practice and consequently to the Standard.

7.2.4.3   *Competence of assessors*

Both the participants and the literature (Crosthwaite, 1997 and HEQC, 1998) raised concerns about the competence of assessors to assess universities. The issue appears to be the assessor's lack of understanding of the organisational structures and culture of universities, combined with their perceived mechanistic approach to the interpretation

of the indicators and evidence requirements. This was seen as barrier to achievement by some. Certainly, Summertown's experience suggested that having an assessor with HE experience was beneficial, and although there was some criticism in terms of sampling and areas of weakness not identified, the participants was generally positive about the pilot assessment experiences and the assessors.

In addition to factors affecting the HE sector in general there is also a differential success rate between pre-and post 1992 universities suggesting there must be additional factors affecting the interest in and achievement of the Standard in the sector. Pre-1992 universities have shown far less interest in, and have been less successful in achieving, the Standard than post-1992 universities.

7.3 Consideration of the differences between pre and post-1992 universities

When exploring the differences between the pre-and post 1992 universities embracing the Standard, the participants identified cultural differences as the most likely explanation. In line with the literature (Henkel, 2002; Palfreyman and Warner 2000; Gledhill, 1999), participants saw post-1992 universities as far more 'corporate' and 'managerial' than pre-1992 universities (see sections 2.5 and 6.2.1). Senior managers in post-1992 institutions were seen as having far more power over staff than their peers in pre-1992 universities. Systems, processes and decision-making were believed to be more centralised and more responsive to external pressure in the post-1992 universities, whereas pre-1992 universities were seen as more autonomous both as whole institutions and within their parts, with less centralised power, and processes and systems that were more localised and separated. Consequently it was perceived that there was less of a culture clash between the Standard and the post-1992 universities, making the Standard both more attractive to them and easier for them to achieve.

Although participants were undoubtedly attracted to what they saw as the 'traditional' model for universities they did recognise such a culture could be problematic in terms of achieving the Standard. They believed that in pre-1992 universities both individuals and departments had the freedom to pursue their own interests and that corporate initiatives which offered no obvious benefits were likely to be ignored or resisted. In these

circumstances it would be difficult for a university to commit to the Standard, never mind achieve it. Conversely, individuals and departments in post-1992 universities were seen as less powerful and less capable of ignoring or resisting 'corporate' initiatives. Consequently, it was perceived to be easier for post-1992 universities to achieve the Standard simply because senior managers had more power and could make decisions without needing to get the agreement of, or a consensus among, staff. This was borne out at Summertown, where the Directorate committed the university despite a hostile reception at the Marwell senior staff conference (see section 5.3). However, it should be noted that implementing the actions necessary to achieve the Standard was more problematic and the long time-scale between committing to the Standard and achieving it may in part be explained by the difficulty of changing practices without the support of staff.

Although the local government and CNNA heritage of the post-1992 universities was identified as a possible source of their more managerial culture, none of the participants suggested that the notionally more powerful position of personnel departments in the post-1992 sector (Hall, 2000) might impact upon a university's position in relation to the Standard. Nor did participants consider that the more vocational nature of post-1992 universities, with more of the academic staff likely to have been recruited from industry (Farnham, 1999) and therefore exposed to the Standard, would make such institutions more willing to accept it. The perceived differences tended to be more structural and cultural, with pre-1992 university academic staff seen as having greater autonomy and less corporate responsibilities. Consequently, it was believed it would be harder to get academic staff to agree with and support the Standard in pre-1992 universities.

Another major difference believed to affect attitudes to the Standard was the perceived need and desire among the post-1992 universities for external recognition. Pre-1992 universities dominate the top half of university league tables (McCall and Bayne, 2002) and were felt to be confident about themselves, secure in their image and market and therefore not needing any additional quality indicators. Post-1992 universities, on the other hand, being relatively recently created, tended to do less well on the established academic criteria for excellence, and were felt to need all the quality indicators they could achieve to boost their image and status with HE stakeholders and potential

business partners. Hence post-1992 universities were felt to be more attracted to the Standard to create the 'impression' that they were good organisations to work for by demonstrating the excellence of their staff development practices. There was an ironic twist here, in that one participant suggest that achieving the Standard could reduce a university's attractiveness to academic staff because of its association with a managerial style of management.

Despite concerns and impediments identified by the participants and the literature, a number of universities and university departments have achieved the Standard and the number is increasing every year. This indicates that some universities at least must see benefits in achieving the Standard, especially those that have been successfully re-assessed.

7.4 Perceived benefits and attraction of the Standard

Although several studies have been undertaken to look at the organisational impact of the Standard (e.g. Tamkin *et al.*, 1999; Rajun *et al.*, 1999; Hoque, 2001), there has been no comprehensive study on the HE sector. What specific HE literature there is tends to be case studies describing individual experience and looking at process aspects (e.g. Burton, 1995; Paterson, 1998; Gordon, 2000) rather than evaluating experiences and outcomes. Nevertheless, as appendix 2.7 (i) shows, universities have reported a number of benefits from achieving the Standard, some of which coincide with those put forward by IiP UK, e.g. reviewing internal practices, more effective staff development activities. However, many of the benefits claimed by IiP (UK) (see appendix 2.4) are more related to commercial activities like improved profitability than to academic ones, thereby re-enforcing the perception that the Standard is more relevant to 'Business' than 'Academia'.

In contrast, the generic findings from Tamkin *et al.* (1999) bear a close affinity to the reasons given by some universities for their commitment to the Standard and the benefits they claimed. These reflect the environment in which universities exist, an environment that is subject to rapid change, but where the institutions themselves are unable to implement change quickly, where the primary drivers are service and quality (not price) and where human resource practice is poor or underdeveloped. It is in these

circumstances, Tamkin *et al.*, suggest that organisations have the most to gain from undertaking to meet the requirements of the Standard and this seems to be supported by the benefits claimed by the universities in the case studies (HESDA, 2001g).

Perhaps the main benefit valued by participants in this study and by other universities (HESDA, 2001) was the framework and discipline the Standard provided for reviewing current practice. It helped departmental managers to take a critical view of what was going on in their departments, identifying gaps, ineffective processes and unsatisfactory outcomes. However, in contrast to the HESDA case studies, most of the benefits identified by the participants tended to be at the operational rather then the strategic, organisational level. Given that many of the participants were operational managers this is perhaps not surprising and the benefits claimed are in line with general assertions made about improved practice resulting from the preparation process (IiP UK, 2001b).

Conversely, there was also a strong feeling that many staff, particularly academics, were unlikely to perceive any direct benefit to themselves, since benefits were seen to be 'managerial' in nature, and might even be considered as detrimental to the interests of academics. The introduction of processes to support good staff development practice and meet the criteria for the Standard (e.g. appraisal for hourly paid staff) might have benefits for some individuals and for the organisation as a whole, but might be seen as bureaucratic and unnecessary by other staff. This was particularly true of staff appraisal, which one participant characterised as a waste of time, creating a mountain of paperwork and doing little to address performance problems.

IiP UK (2001b) claim that achieving the Standard can improve staff motivation and relationships within an organisation, justifying the assertion in terms of improved staff attitudes, better retention, and reduced sickness and absenteeism. Several universities (e.g. Nottingham, Robert Gordon, and Wolverhampton) also identified the Standard as helping with morale and relationships. However, no one in this study suggested that working towards or achieving the standard had a direct impact on morale. It was seen more as a way of promoting the concept of staff development and the image that the University valued its staff, which is similar to Exeter's experience (Paterson, 1998). What is less clear is whether staff at Summertown or other institutions shared the same

view as their managers about the meaning and value of a public commitment to the Standard and its achievement, and whether achieving the Standard did anything to improve staff development opportunities. Indeed, most participants felt that staff, particularly academic staff, saw little or no value in the Standard, supporting the findings of Douglas *et al.* (1999), Ram (2000) and Hoque (2001).

Achieving the Standard is meant to be a public recognition that an organisation is committed to and has demonstrated 'good people management' (IiP 2001b). The implicit assumptions are that successful organisations are shown to be 'good to work for' and 'to do business with', giving them a competitive edge through improved performance and customer satisfaction. Participants saw the benefits of external recognition for universities in a different light. They viewed it more as a confirmation that a university or department was doing the right thing, with indirect benefits in terms of QAA reviews, and which might or might not enhance an institutions' image with HE stakeholders like QAA and HEFCE.

Committing to the Standard was seen by the participants as providing an additional impetus to the implementation of many processes that Summertown and other universities should have been doing anyway. This was a theme raised in the literature (e.g. HESDA, 2001:62) and reinforced the concept that the Standard is about 'good practice'. However the Standard was not felt to have direct relevance to the recruitment and teaching of students or research output - the core business of universities. All academic participants were very clear that RAE scores and QAA subject review ratings were much more important for external recognition and were more valued by the sector and students. Despite the public support of such HE stakeholders as HEFCE, and the QAA, the Standard was perceived as having little real 'kudos' in the sector.

7.4.1 Perceptions of service departments

Views about departmental recognitions were different. None of the participants showed surprise that service departments had achieved the majority of departmental recognitions. Many of the issues associated with the perceived mismatch between academic culture and the Standard (see section 7.2) were not seen as pertinent for service departments. These were regarded as being run more on business lines, with strong line management and clear lines of responsibility and accountability, and

therefore more in tune with the 'business ethos' of the Standard. The assumption by participants appeared to be that since service departments were run on a 'business' model they would be attracted to a 'business standard' and find it easier to meet the criteria because of the better fit between the culture in service departments and the Standard.

This assumption does not recognise that service departments are more varied than academic departments in their objectives, budgetary arrangements and staff profiles. Interestingly, departmental recognitions initially tended to be concentrated in those service functions that could be designated as 'revenue earning' like residential and catering departments and highly specialist units concerned with research and consultancy. Revenue earning (or potentially revenue earning) departments, because of financial and legal requirements and regulations, have separate accounts and very clear responsibilities and targets, approximating to a business model. Other service departments, like student services and registry, are more likely to be cost centres (i.e. do not generate income), run on an administrative model, providing a prescribed service for a fixed budget. In pre-1992 universities service departments successfully achieving the Standard are mostly revenue generating, thus reinforcing the view that the Standard is more suitable for 'business' or 'business orientated' organisations. Yet, in the post-1992 universities it is service departments that are internal service providers that have achieved the Standard and their number is increasing. This suggests that achieving the Standard may have more to do with wanting to achieve it, than whether the department runs on business lines or not.

Another factor identified as potentially influential in attracting service departments to the Standard was the broader experience of their professional departmental managers outside HE and within 'industry'. Service managers were thought to be more likely than academic heads to know about the Standard, to know organisations that had achieved it, and to recognise the business benefits. The Standard was also thought to be a way that service departments could demonstrate their quality, since academic quality indicators like the RAE and subject review were not available to them. There is little in the literature that investigates or supports the validity of these beliefs, which this study

found to be widely held and, on the face of it, plausible, indicating that this would be a useful area for future research.

Despite issues and reservations raised about the desirability and applicability of the Standard to academic departments, in 13 universities all academic departments have achieved the Standard as part of their institution's assessment and a further 24 have achieved the Standard in their own right. This indicates that where there is the will and inclination, academic departments are as capable of achieving the Standard as other departments. Initially the Standard seemed more attractive to business and health schools, but this appears to have changed between 1999 and 2001. Part of this change can be explained by the adoption of a building block strategy by some institutions e.g. Kingston and Coventry. What is unclear is the motivation behind decisions by other academic departments, like the School of Biological Sciences at Manchester University, to achieve the Standard. The participants suggested such action might be undertaken as an image-building activity to make a department appear a more attractive business partner. Again, this explanation has face validity, but there is currently no collaborative evidence to support this supposition, consequently it might also be a fruitful area for further research.

All the participants accepted the value of standards, but university participants were categorical in stating that academic rather than organisational standards were the important ones for a university. Participants knew about most of the common standards like ISO 9001, but felt they were not relevant to universities. None of the participants mentioned other international organisational standards like the Malcolm Baldridge Quality Awards, popular with USA universities (NIST, 2002), in which some UK Universities are showing an interest (e.g. University of Bradford). The IiP Standard was seen to be slightly different from other standards, in that it provided a mechanism for a university to enhance it staff development practice (an acknowledged area of weakness), was complementary to QAA reviews, embraced all staff and it did not carry a large additional work overload.

Views about the nature of the Standard also varied. Participants with the greatest familiarity saw it as a developmental and change management tool, which facilitated

culture transformation by helping organisations to focus on and evaluate their business objectives and processes. Enhanced staff development was seen as a by-product. Both change management and people performance aspects are emphasised by IiP UK (2002), which present the Standard as a flexible framework that helps companies to succeed and compete through improved people performance and enhanced ability to manage the process of change. Those participants with less experience of it saw the Standard solely in terms of establishing criteria for generally good staff development practice. It seems that the Standard is so general that its purpose can be interpreted in different ways, which may be a weakness or strength.

In addition to the claims made in the more general literature (IiP UK 2001b; Spilsbury *et al.*, 1995; Rajun *et al.*, 1999), the HE specific literature (Briggs, 2000; Balderson, 1997; HESDA, 2001b) also suggests that there are clear benefits to universities in achieving the Standard, for example, promoting good staff development practice and benchmarking organisational performance. The experience at Summertown supports the literature; indeed several of the managers were very enthusiastic, believing the preparation process, particularly the critical review, had made them better managers and improved their department's performance. Other managers and participants reported some benefits as a result of preparing for the Standard, but had reservations about the cost benefits and the Standard's applicability to HE. The most negative views came from the three participants who had not been involved with the pilots at Summertown, indicating that those staff who are actively engaged with the Standard do find it a valuable experience, while those furthest away from the process have most difficulty in recognising any positive value in it.

The relative value ascribed to the benefits derived from attaining the Standard, and differing estimations of how valuable and relevant the Standard is to universities, again reflects to the values espoused by the participants, how they view themselves and their idea of a university.

7.5   Principle findings and implications

This study attempted to address the three research questions posited in section 1.4, primarily through exploration of the views and attitudes of participants at a post-1992

university struggling to achieve the Investors in People Standard, with the story of the university's experience and the quantitative analysis providing contextual background. The various themes and issues that emerged in the story and analysis have been explored in this and the previous chapter. Reflecting on the outcomes of this study I believe the main implications are:

1   Where there is a will and a real commitment to achieving the Standard (as evidenced by the thirteen successful universities), universities are as capable as other organisations of achieving it. Successful universities and departments are positive about the Standard and believe they have benefited from the experience, supporting the claims of IiP UK. However, scoring well in such things as the RAE and subject review are believed to be far more important to a university's image and to staff's perception of working for reputable organisation. Whether the benefits to be gained from achieving the Standard are worth diverting resources away from the 'core business' in order to achieve it remains a question for universities. Institutions may have decided that research and improving teaching quality are a higher priority than enhancing staff development practice and have put their effort and resources into these areas at the expense of the Standard. This may explain the continued interest but the slow progress and low success rate in achieving the Standard.

2   Despite changes to make the Standard less process driven, it is intertwined with the trend towards managerialism in HE, which brings it into conflict with what is perceived to be the traditional academic culture. By expecting staff to undertake development in line with organisational objectives, then monitoring and evaluating the outcomes, the Standard has been interpreted as undermining the relationship of trust between academics and their university and eroding academic freedom. Staff, who believe this to be the case, are unlikely to be interested in or support the implementation of practices needed to achieve the Standard and this study has found these beliefs to be widespread among academics. Conversely, the Standard can be attractive to service departments in universities, an attitude attributed to their more managerial culture and business ethos, and to a desire to demonstrate good practice and professionalism to both internal and external audiences.

3   Traditional academic culture is perceived to be strongest in pre-1992 universities. Hence it is harder for such institutions to gain widespread support for changes needed to achieve an external non-academic Standard like Investors in People. Consequently the interest and uptake in pre-1992 universities has been slower. Ironically, because of their less corporate culture it is probably easier for individual departments in pre-1992 universities to meet the eligibility criteria and achieve the Standard as autonomous units. Post-1992 universities are perceived to be more managerial, have centralised systems and desire more external recognition as 'quality' organisations. Although academics in post-1992 universities may share the reservations of their pre-1992 colleagues, the power balance is such that they are less able to resist corporative initiatives. Consequently, post-1992 universities are both more likely to be attracted to and more capable of achieving the Standard.

4   External pressure from HEFCE, new laws, the unions and other HE stakeholders are forcing universities to review and justify their staff development practice. Universities are addressing many of their staff development issues, which should make meeting the Standard's indicators easier. Such pressure could also affect perceptions of the value of the Standard and the benefits of achieving it within the sector.

Although this study has attempted to address some of the questions about the Standard and the HE sector, it has also raised further questions and fruitful areas for future research. In particular, the perceived conflict between the underlying ethos of the Standard and academic culture needs further investigation. Although the statistical analysis provided a useful insight into the differences between pre and post-1992 universities, it would have been interesting to do a more detailed statistical analysis looking at a wider range of indicators. For example, investigation of the different types of staff employed, non-HE experience of staff, percentage of budget allocated to staff development, volume of staff development activity, and so on, could also be useful. It would also be interesting to compare the experiences, views and feelings of managers and staff developers in pre-1992 universities working towards the Standard with Summertown's experiences, in order to explore the reality, rather than the rhetoric of

the differences between the two sub-sectors. In addition, it would be interesting to explore how near to meeting the Standard's indicators those institutions are that have declared no interest in the Standard, but are perceived to be advanced in terms of HEFCE's rewarding and developing staff initiative.

HEFCE's, through it various initiatives, is trying to drive improvement of management as well as staff development in the sector. Many of HEFCE's aims e.g. clarity of direction and strategic focus, integration of HR strategies and corporate goals, and monitoring and evaluating work (HEFCE, 2002:4), are synergistic with the Standard. If a university meets the HEFCE's requirements I believe they are likely to be in a strong position to achieve the criteria of the Standard. What is unknown is the impact this will have on academic culture and whether it will remain a barrier, impeding further achievement of the Standard. In addition, the imminent white paper on HE, due in January 2003, is expected to herald major changes, including further differentiation within the sector that is likely to have impact on a number of universities. The differential in organisational structures and culture between pre and post-1992 universities that has been shown to be significant in this study could be increased. Hence, the future of the IiP Standard in this potentially radically altered environment is clearly an area for ongoing research.

Appendices

Appendix 2.1- Development of the Investors in People Standard.

In 1988 The National Training Task Force was set up by the Government and given the task of promoting to employers *'the necessity of their investing in the skills of the working population'* (Employment for the 1990s, 1988). Under the chairmanship of Sir Brian Wolfson, a committee of interested parties was set up to recommend how to recognise employers who invested in their staff.

The CBI[1] had also independently been looking at ways of overcoming the UK's skill shortages. In their report *'Towards a Skills Revolution'*, (Nicholson, 1989), the CBI promoted the concept of 'Investors in Training'. This report, together with the idea of a Standard based on good practice and the past experience of the Department of Employment training initiatives, heavily informed the thinking of the Wolfson committee.

As a consequence, a draft for a criteria-based training standard were drawn up and piloted on a representative sample of 20 employers. The results of the study showed the need for an assessment framework, which was subsequently developed. In July 1990 some of the TECs[2] piloted the new draft Investors in People Standard. Although the pilots met with mixed levels of success (Taylor & Thackwray, 1996:11) a significant amount of interest was generated among the employers. The decision was made by the then Secretary of State for Employment to proceed with the scheme and the Standard was formally launched in November 1990, as "Investors in People".

During 1991, twenty-eight organisations were deemed to have met the Standard and a further 500 companies had committed to achieving it. During 1992 the infrastructure of TECs and trained practitioners was developed to support the Standard (IiP UK, 2001d:11). By 1993 the government felt confident enough to set up an independent company, Investors in People UK (IiP UK), to undertake much of the work previously

---

[1] Confederation of British Industry
[2] Training and Enterprise Council

undertaken by the Department of Employment. It's role was to be the protector of the Standard, market and promote the Standard nationally and internationally, and to provide a national assessment and quality assurance service.

By the end of 1994, over 400 organisations had achieved the Standard and the number of committed organisations had risen to 4,500. However, concern was being expressed about the number of parts of organisations, rather than whole organisations that were achieving the Standard. In response to this concern IiP UK tighten up the admission criteria so that only those parts of organisations that could demonstrate three out of the five following criteria could qualify as autonomous units and gain the Standard in their own right. The criteria were:

- being a separate legal entity;
- having separate financial / management accounts;
- having the ability to "hire and fire" staff;
- having a unique branding and identity;
- being the main focus for staff loyalty.

<div align="right">Hampshire Training and Enterprise Council (1995)</div>

By 1996, (the fifth anniversary of the Standard), the landmark of over 5000 organisational recognitions was achieved. Between 1993 - 1996, the Department for Education and Employment commissioned an extensive three-year review of the Standard. The result of this review and other work was: -

> *"an overwhelming endorsement of the Standard but also a number of key improvements to increase its attractiveness and value to organisations".* (IiP UK, 1996:2)

As a result, the Standard itself did not change, but the indicators and guidance were revised to reflect the need for greater clarity, face value and consistency of interpretation. See appendix 2.3 for copies of the 1991 and 1996 criteria and indicators.

Over the next few years the number of organisations gaining the Standard continued to grow, and a number of changes were introduced. The autonomy rule introduced in 1995 had an adverse impact on large organisations. To overcome this problem IiP UK

changed the rules to allow organisations to commit to the Standard using a building block approach. This enabled: -

Organisational sub units to come forward as pilot sites ...and offers institutions the chance to experience the Investors preparation and recognition on an incremental basis [which] *encourages informed decision making on future developments and an evaluation of the implementation options.*

UCoSDA[3] (2001).

This approach differed from the pre-1995 situation in that an organisation had to agree to an overarching recognition strategy before the individual parts could commit to the Standard and be assessed. Once all the individual parts had achieved the Standard, the organisation could be assessed at a corporatte level and awarded the Standard (IiP UK, 1998).

It was also during this period that a large number of organisations, that had previously achieved the Standard, came up for reassessment (NB the Standard is awarded for a period of three years) and were not keen to go through the whole assessment process again. In response to this IiP UK developed the idea of a continuous assessment process. It was based on the assessment of a continuous improvement plan, every 12/15 months. This approach maintains an organisation's commitment to the Standard without the need for a big re-assessment every three years. In addition assessors were gaining more experience of public sector organisations and were moving away from a rigid interpretation of the Standard, allowing far greater flexibility.

By the year 2000 over 20,000 organisations had achieved the Standard. In April 2000, IiP UK launched the latest version of the Standard. Although IiP UK (2002) positioned the new Standard as representing evolutionary rather than revolutionary change, building on the strengths of the 1996 Standard, it was in many ways a radical shift. The focus of the Standard was changed from process to the outcomes of activities, with the emphasis placed on results and impact. Consequently the new Standard is less prescriptive in its requirements.

The four principles were updated to reflect this shift and are now more about organisational philosophy that organisational action. For example, principle 1 now talks about an investor in people making a commitment, rather than commitment from the top (see appendix 2.3). The number of indicators was reduced from 23 to 12, but examples of the types of evidence required were added (see appendix 2.2). Other changes include the equal opportunities indicator (No 4), which makes explicit what was implied in the 1996 Standard.

Future developments

In April 2001the Training and Enterprise Councils were replaced by Learning and Skill Councils, they took over responsibility for working with organisations at a local level to achieve the Standard. At a national level the Standard remained the responsibility of IiP UK. The Government is still keen to promote the Standard and encourage organisations to achieve and maintain it (Estelle Morris, 30/10/01). To this end the Standard is being continuous developed (IiP, UK 2001a). New initiatives are the:

- development of a scoring/ grading approach to be included in the assessment;
- introduction of an award that recognised the outstanding contributions that organisations have made to the Standard;
- development a formal link between the Standard and the recruitment and selection model[4];
- development of two new models: developing managers and work-life balance.

It is believed that such initiatives will encourage new organisations to commit to the Standard, motivate those already committed and ensure that organisations that have already achieved the Standard will stay with it.

---

[3] Universities and Colleges Staff Development Agency
[4] The recruitment & selection model, launched in July 2001, represents good practice in this area, based on a Standard, 10 hallmarks (indicators), and underpinned by signs (evidence). It is to be used as a guide and there is no formal assessment & recognition process.

Appendix 2.2 - The Investors in People Standard: Version 3

Principles	Indicators	Evidence
Commitment An Investor in People is fully committed to developing its people in order to achieve its aims and objectives	**1 The organisation is committed to supporting the development of its people**	◆ Top management can describe strategies that they have put in place to support the development of people in order to improve the organisation's performance ◆ Managers can describe specific actions that they have taken and are currently taking to support the development of people ◆ People can confirm that the specific strategies and actions described by top management and managers take place ◆ People believe the organisation is genuinely committed to supporting their development
	2 People are encouraged to improve their own and other people's performance	◆ People can give examples of how they have been encouraged to improve their own performance ◆ People can give examples of how they have been encouraged to improve other people's performance
	3 People believe their contribution to the organisation is recognised	◆ People can describe how their contribution to the organisation is recognised ◆ People believe that their contribution to the organisation is recognised ◆ People receive appropriate and constructive feedback on a timely and regular basis

Principles	Indicators	Evidence
	4 The organisation is committed to ensuring equality of opportunity in the development of its people	◆ Top management can describe strategies that they have put in place to ensure equality of opportunity in the development of people ◆ Managers can describe specific actions that they have taken and are currently taking to ensure equality of opportunity in the development of people ◆ People confirm that the specific strategies and actions described by top management and managers take place and recognise the needs of different groups ◆ People believe the organisation is genuinely committed to ensuring equality of opportunity in the development of people
Planning An Investor in People is clear about its aims and its objectives and what its people need to do to achieve them	**5 The organisation has a plan with clear aims and objectives which are understood by everyone**	◆ The organisation has a plan with clear aims and objectives ◆ People can consistently explain the aims and objectives of the organisation at a level appropriate to their role ◆ Representative groups are consulted about the organisation's aims and objectives
	6 The development of people is in line with the organisation's aims and objectives	◆ The organisation has clear priorities which link the development of people to its aims and objectives at organisation, team and individual level ◆ People clearly understand what their development activities should achieve, both for them and the organisation
	7 People understand how they contribute to achieving the organisation's aims and objectives	◆ People can explain how they contribute to achieving the organisation's aims and objectives

Principles	Indicators	Evidence
Action An Investor in People develops its people effectively in order to improve its performance	**8 Managers are effective in supporting the development of people**	◆ The organisation makes sure that managers have the knowledge and skills they need to develop their people ◆ Managers at all levels understand what they need to do to support the development of people ◆ People understand what their manager should be doing to support their development ◆ Managers at all levels can give examples of actions that they have taken and are currently taking to support the development of people ◆ People can describe how their managers are effective in supporting their development
	9 People learn and develop effectively	◆ People who are new to the organisation, and those new to a job, can confirm that they have received an effective induction ◆ The organisation can show that people learn and develop effectively ◆ People understand why they have undertaken development activities and what they are expected to do as a result ◆ People can give examples of what they have learnt (knowledge, skills and attitude) from development activities ◆ Development is linked to relevant external qualifications or standards (or both), where appropriate
Evaluation An Investor in People understands the impact of its investment in people on its performance	**10 The development of people improves the performance of the organisation, teams and individuals**	◆ The organisation can show that the development of people has improved the performance of the organisation, teams and individuals

Principles	Indicators	Evidence
	11 People understand the impact of the development of people on the performance of the organisation, teams and individuals	◆ Top management understands the overall costs and benefits of the development of people and its impact on performance ◆ People can explain the impact of their development on their performance, and the performance of their team and the organisation as a whole
	12 The organisation gets better at developing its people	◆ People can give examples of relevant and timely improvements that have been made to development activities

Appendix 2.3 Three versions of the IiP Standard

1991	1996	2000
Commitment: An investor in people makes a commitment from the top to develop all employees to achieve business objectives	Same 1991	**Commitment:** An investor in People is fully committed to developing its people in order to achieve its aims and objectives
1.1 There is a public commitment from the most senior level within the organisation to develop people	1.1 The commitment from the top management to train and develop employees is communicated effectively throughout the organisation	1. The organisation is committed to supporting the development of its people
1.2 Employees at all levels are aware of the board aims or visions of the organisation	1.2 Same as 1991	2. People are encouraged to improve their own and other people's performance
1.3 There is a written plan but flexible plan which sets out business goals and targets	1.3 The organisation has considered what employees at all levels will contribute to the success of the organisation an has communicated this effectively to then	3. People believe their contribution to the organisation is recognised
1.4 The plan identifies broad development needs and specifies how they will be assessed and met	1.4 Where representative structures exist, communication takes place between management and representatives on the visions of where the organisation	4. The organisation is committed to ensuring equality of opportunity in the development of its people
Planning: An investor in people regularly reviews the training and development needs of all employees	**Planning:** An investor in people regularly reviews the needs and plans the training and development of all employees	**Planning:** An investor in people is clear about its aims and its objectives and what its people need to do to achieve them
2.1 The written plan identifies the resources that will be used to meet the training and development needs	2.1 A written but flexible plan sets out the organisation's goals and targets	5. The organisation has a plan with clear aims and objectives which are understood by everyone
2.2 Training and development needs are regularly reviewed against business objectives	2.2 A written plan identifies the organisations training and development needs and specifies what action will be taken to meet these needs	6. The development of people is in line with the organisation's aims and objectives
2.3 A process exists for regularly reviewing the training and development needs of all employees	2.3 Training and development needs are regularly reviewed against goals and targets at the organisation, team and individual level	7. People understand how they contribute to achieving the organisation's aims and objectives
2.4 Responsibility for training and developing employees is clearly identified and understood through the organisation, starting at the top	2.4 A written plan identifies the resources that will be used to meet training and development needs	

1991	1996	2000
2.5 Managers are competent to carry out their responsibilities for developing people	2.5 Responsibility for training and developing employees is clearly identified and understood through the organisation, starting at the top	
2.6 Targets and Standards are set for development actions	2.6 Objectives are set for training and development actions at the organisation, team and individual level	
2.7 Where appropriate, training and development objectives are linked to external Standards, such as National Vocational Qualifications	Same as 1991	
Action: An investor in people takes action to train and develop individuals on recruitment and throughout out their employment	**Same as 1991**	**Action:** An investor in people develops its people effectively in order to improve its performance
3.1 All new employees are introduced effectively to the organisation and all employed new to a job are given training and development they need to do that job	Same as 1991	8. Managers are effective in supporting the development of people
3.2 The skills of existing employees are developed in line with business objectives	3.2 Managers are effective in carrying out their responsibilities for training and developing employees	9. People learn and develop effectively
3.3 All employees are made aware of the training and development opportunities open to them	3.3 Managers are actively involved in supporting employees to meet their training and development needs	
3.4 All employees are encouraged to help identify and meet their job related training and development needs	3.4 All employees are made aware of the training and development opportunities open to them	
3.5 Effective action takes place to achieve the training and development objectives of the individuals and organisation	3.5 All employees are encouraged to help identify and meet their job related training and development needs	
3.6 managers are actively involved in supporting employees to meet their training and development needs	3.6 Action takes place to meet the training and development needs of the individuals, teams and the organisation	
Evaluation: An investor in people evaluates the investment in training and development to assess achievement and improve future effectiveness	**Same as 1991**	**Evaluation:** An investor in People understands the impact of its investment in people on its performance

1991	1996	2000
4.1 The organisation evaluates how its development of people is contributing to business goals and targets	4.1 The organisation evaluates the impact of training and development on knowledge, skills, and attitudes	10. The development of people improves the performance of the organisation. Teams and individuals
4.2 The organisation evaluates whether its development actions have achieved their targets	4.2 The organisation evaluates the impact of training and development actions on performance	11. People understand the impact of the development of people on the performance of the organisation, teams, and individuals
4.3 The outcomes of training and development are evaluated at the individual, team and organisational level	4.3 The organisation evaluates the contribution of training and development to the achievement of its goals and targets	12. The organisation gets better at developing its people
4.4 Top management understands the board costs and benefits of training and development	4.4 Same as 1991	
4.5 The continuing commitment of top management to developing people is communicated to all employees	4.5 Action takes place to implement improvements to training and development identified as a results of the evaluation	
	4.6 Top Management continuing commitment to training and development is demonstrated to all employees	

Appendix 2.4 List of benefits claimed for the Standard

IiP UK:- on their web site[5] claim the following benefits for committing to and achieving the Standard:

1. Improved earnings, productivity and profitability.

2. A positive impact on the 'bottom line'.

3. Reduced costs and wastage.

4. Enhanced quality – the Standard adds considerable value to quality initiatives.

5. Improved motivation - leading to higher morale, improved retention, reduced sickness/ absenteeism, and readier acceptance of change.

6. Customer satisfaction – helps employees become more customer focussed.

7. Public recognition - helps attract the best quality applicants.

8. Increased demand - may provide a reason for customers to choose specific goods and services.

9. Competitive advantage – through improved performance.

10. An opportunity to review internal practices against a best practice benchmark.

11. A framework for planning strategy and action.

12. A structured way to improve the effectiveness of training and development activities.

Tamkin et al (1999) found that organisations expect the Standard to:
a) Help them implement more professional human resource processes and practices.

b) Shift their culture to improve staff engagement with the organisation.

c) Make explicit the importance of the workforce.

d) Give a message to the outside world about the quality of the organisation.

In practice the Standard resulted in:

a) Better personnel systems to link business personnel plans.

b) Improve training delivery.

c) More effective training evaluation.

- a means to link individual objectives to business plans;

- better communication.

---

[5] Adapted from: Http://www.iipuk.co.uk/investorsinpeople/benefitsofinvestorsinpeople/defualt.asp (01/09/02)

In turn these improved processes can lead to:-

- better management of people;

- higher staff motivation and morale;

- lower staff turnover and absence;

- better performance leading to enhance quality and customer service;

- enhanced customer satisfaction;

- better financial and business performance.

In addition the Standard helps organisations deal with the implications of change.

Appendix 2.5 List of Higher Education Institutions achieving the Standard by November 1999.

Pre-1992 Universities	Post-1992 Universities	Colleges of HE
Strathclyde	Central Lancashire	Blackburn College
	Glamorgan	UC Bretton Hall
	Hertfordshire	Cleveland
	Hudderfield	Edge Hill
	Luton	Falmouth College of Arts
	Leeds Metropolitan	Havering College
	Middlesex	St. Martin UC
	Robert Gordon	UC Northampton
	Sunderland	New College, Durham
	Teesside	UC, Worcester
	Wolverhampton	Warrington Collegiate

Source:Http://www.shcf.ac.uk/usosda/pages/iip/recognit.htm (27/11/99)

Appendix 2.6 List of Higher Education Institutions achieving the Standard in at least one department (November 1999)

Pre–1992 Universities	Post-1992 Universities	Colleges of HE
Bangor	Central England	UC Suffolk*
Bradford	Coventry*	
Bristol	De Montford*	
Cranfield, RMCS*	Kingston*	
Hull	Liverpool John Moores*	
Imperial College	Sheffield Hallam	
Kent	Westminster*	
Leeds*		
Liverpool*		
Loughborough		
Manchester*		
Nottingham		
Open University*		
UWIST		
Sheffield		
Stirling		
St Andrews		
Warwick		

Source: Http://www.shef.ac.uk/usosda/pages/iip/recognit.htm (27/11/99)

* Indicates an academic department has been awarded the standard

Appendix 2.7(i) Summary of benefits claimed and issues raised

Key: None = no parts of University recognised yet
        Part = one or more departments recognised
        Full = whole university recognised
        BB = declared using building block approach

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)	Aston	• Standard regarded as appropriate external QA benchmark to assure internal processes • Help with reorganisation • Means of gaining support and funding form the local TEC	• Provides structured opportunity to reflect on good management practice • Acknowledgement and celebration of success • Allows individual units to be recognised • New processes (e.g. appraisal for all staff, induction) welcomed by staff • Managers developed greater professionalism and valued their role more	• Assessment was traumatic, assessor needs to understand HE • Outside consultants can cause real disruption • Uneven practice between departments	Part, BB
HESDA (2001)	Bradford	• Vice Chancellor member of local TEC Board and big believer • Seen as 'ideal' model for effective staff development • Should be achieving outcomes any way	• Diagnostic process cathartic exercise, enabled staff to re-focus energies and display greater level of goodwill • Greater clarity of purpose • Greater confidence among staff • Useful basis for organisational change programmes	• Language of Standard seen as a barrier • Initiative fatigue • Feeling among academic staff that there was little connection between staff development, planning and appraisal	Part BB

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)	Central Lancashire Central Lancashire	• Fits with institutional mission and philosophy, especially those values about optimising people's potential	• Insights gained • Greater ownership • Helped contribute to QAA Institutional & Subject review • Raised profile of key people management processes • Raises profile of institution • Maintains senior managers focus on strategic HR issues	• initial assessment found by some to be shocking and surprising • complexity of communication in large organisations • tensions arose from managerial approach to planning exemplified by the Standard and the more collegial approach preferred by many staff • language alienated staff • Standard under values learning in and for itself when this can be tied to planned objectives • Difficult to capture true & long term impact of staff development activities • Assessors need to understand diverse rather than uniform culture of universities	Full
Balderson, S. (1997)	De Montford	• Good Human Resource Practice • Raises the priority of staff development • Public demonstration of high Standards	• Guarantees staff development a place on the management's agenda • Improved staff attitude to staff development • Encouraged systematic and formal staff development processes • Closed the gap between the rhetoric and the reality that staff are the most valued resource	• Realising how large the gap was between practice and the requirements of the Standard • The need to develop a number of new /revised processes • Time it takes to develop and embed new processes • Inadequate resources for the desired staff development	Part

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
Balderson, S. (1997)			• Creative and more cost effective means of meeting training needs • Improved business planning		
Paterson, A. (1998)	Exeter, Library service Exeter, Library service		• Sharing good practice • Political kudos • Focussing minds on the organisation's goals and customer needs • better methods of evaluation • demonstrating the value management put on staff achievements	• credibility of Standard with staff	Part
HESDA (2001)	Glamorgan	• Felt commitment to supporting learning in students should extend to own staff • Help with reorganisation • To maximise staff development spend	• Reduced but more effective spending on staff development • Staff development integrated into strategic plan • Helped with organisational change, especially communication • Raised awareness of staff development opportunities	• increased bureaucracy • Academic staff not recognising legitimacy of their management roles or the need to make things explicit	Full
HESDA (2001)	Glasgow	• to help implement change of practice, especially in areas of management			Part[1] BB
HESDA (2001)	Hertfordshire	• Felt effective staff development necessary to achieve mission	• Assists in the development of the whole organisation	• integrating successful departments into a corporate approach	Full

[1] Successful achievement of Standard claimed for newly acquired faculty of education, but not recorded on HESDA database, august 2001

Appendix 2.7(i) Summary of benefits claimed and issues raised

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)			• Helps improve management processes • Helps managers focus on their roles and responsibilities • Helps service staff understand their contribution to university's mission • Better prioritisation of staff development activities	• misunderstanding that Standard was about improvements to terms and conditions • Staff preferring money to go to core activities not staff development • Initially evaluation focused on description not impact	
HESDA (2001)	Kingston Kingston	• VC sits on board of local TEC	• Diagnostic work offered systematic external review of key process and generally had a positive effect • Raised awareness and understanding of the importance of staff development • Encourages a more consistent, rigorous and strategic approach to staff development • Better communication • Celebration of the wide activities that contribute to development • University wide issues more likely to be identified and addressed.	• lip service being paid to principles, rather than ownership of process • Language & title • Communication to top down • Time to implement changes • 'change fatigue' • What should be evaluated, in what form and what should be done with the results	Part BB
HESDA (2001)	Liverpool John Moores	• Consistent with being a learning community • Builds on commitment to 'business excellence'	• Improvements in QAA assessments • Enabled reflection on and enhanced people management	• Dispelling myths	Part BB

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)			practice • Essential business improvement tool		
Taylor, P. and Thackwray, B. (1996)	Luton Open University, Business School	• to improve communication, consultation and team building • Improve professional development for non academic staff	• sharpen focus on business objectives • better human resource management process		Luton Full
HESDA (2001)	North London	• To support the delivery of the strategic plan	• Improved communication and induction, performance review and development processes • Better uses of resources • Better support for staff to do their jobs	• time • bureaucracy • need for committee approval before making progress • lack of understanding of managers • lack of data on training needs • concerns over relevance and ownership of the evaluation process	None
HESDA (2001)	Nottingham	• varies with autonomous units • Useful tool to help manage change	• Good for developing corporate identity • Improvements in communication and management practice • Raised morale, stronger corporate identity which contribute to service improvements	• strong tradition of self directed development makes planning against organisational needs difficult • Assumption in Standard that planned development is more valuable than unplanned, which is not always the case	Part BB
Briggs, P. (2000)	Robert Gordon	• As a means of benchmarking Strong staff development	• Focussed investment • Competitive advantage	• How to show added value on bottom line	Full

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
Briggs, P. (2000)		commitment • Recognition/PR • Competitive advantage	• Marketing & PR • Staff recognition & reward	• Maintaining momentum • keeping consistent commitment • Once in , a problem getting out • If done for the wrong reasons can be a bit cyclical • Does the Standard matter if doing the right things any?	
HESDA (2001)	Robert Gordon		• Increased publicity helped market university as vocational • Provided impetus for root and branch review of processes • Improved relationships • Emphasise on continuous improvement	• Language • Important not to let things slide after recognition	Full
HESDA (2001) HESDA (2001)	Sheffield Hallam Sheffield Hallam	• To help with change agenda to develop better and more robust management practice and business planning processes	• More rigorous, systematic transparent planning, with better linkage to staff development • Provides framework for reviewing management practice • Secretarial and clerical staff benefited from more structured development opportunities and seeing how there work contributes to the business	• Demonstrating how staff development contributed to departmental objectives • Resistant from some academic staff who could not see the how the Standard related to them	Part BB
HESDA (2001)	Staffordshire	• To support mission to excel as a learning community • Benchmark against best practice	• Focuses attention on whole tranche of issues that need to be addressed	• Lack of understanding of HE by assessors • Getting the whole organisation to	Part BB

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)			• Improved networking	the same stage • Evaluation of activities	
Sunderland, B (2000) & HESDA (2001)	Strathclyde	• Helps University put staffs' knowledge and skills issues at the heart of the business planning process • Public demonstration of University's commitment to staff learning and development	• Engaged staff attention • Improved Strategy and Policy alignment • Development activity broaden and deepened • Leadership and management skills improved • Induction improved • Communication and evaluation improved • Forced review of many practices • Greater synergy between individual staff development and departmental goals • Better staff development for secretarial, technical and ancillary workers	• Requirement to keep public recognition • Familiarity with assessment process • Additional effort and resources required to meet increased expectations	Full
Gordon, G. (2000)	Strathclyde Strathclyde		• Improvements in communication with staff • More inclusive & explicit institutional policies • Greater alignment between individual, departmental and institutional objectives • More focussed staff development	• Problems with the language of the Standard • Questioning by staff whether Standard was appropriate • Different expectations of groups and stakeholders • Frustration and burden of having to implement externally motivated initiatives	Full

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
Gordon, G. (2000)			• Significant amount of organisational learning		
HESDA (2001)	Sunderland	• Wanted professional and planned approach to staff development in order to align staff behind institutional goals and allows individuals to maximise their performance	• Means of measuring progress • External recognition of the quality of staff development practice • Better alignment of staff behind university's objectives • Better support for staff to fulfil own needs and ambitions • Improved ratings in external review (QAA & Ofstead)	• Needed to work hard to achieve re-recognition as had greater understanding of good practice • Poorly developed role of academic line manager • Evaluation • Difficulty of aligning performance and development objectives	Full
Williams, D. and Triller, F. (2000)	Sunderland Leeds Metropolitan	• Clear and deliberate intention to establish best practice in staff development • A means of benchmarking progress	• Enhanced evaluation and measurement of outcomes • Increased clarity as to what the universities wanted to achieve and the role staff development was expected to play • More focussed staff development activities • Staff more willing to undertake development to achieve specific goals • Increased awareness of the important of effective staff development in helping achieve good QAA Subject review scores		Full Full

Authors	Institution	Reasons for committing	Benefits acknowledged	Issues	Status
HESDA (2001)	Teeside	• Regard Standard as good model of good practice	• Raised awareness of the importance of and commitment to staff development • Clarification of staff development responsibilities • Better and more strategic staff development planning • Helps create more transparent processes and practices • Greater commitment to organisational goals • Improved equity of provision between different staff groups and clarified priorities • Clarified relationship between personal and business objectives • Improved management practice	• staff's knowledge of processes • Language alienating • Academic staff identified their professional development with their discipline rather than with their employer • How to effectively evaluate • Mechanistic and conflicting advise from the TECs	Full
HESDA (2001)	Wolverhampton	• To improve the some what ad hoc staff development provision • External recognition	• Help repair low morale resulting from reorganisation • Staff took processes more seriously • Strengthen planning cycle • Improved provision for administration and manual staff • Better evaluation processes and information • Improvement and consolidation of systems	• Low staff morale • Change fatigue • Low priority given to appraisal • Quality of support given by TEC	Full

Appendix 2.7 (ii): Reasons (by university) for committing to achieving the Standard

No.	Rational	Institutions	N
1.	A means of publicly benchmarking performance	Aston De Montford Robert Gordon Stafforshire Stathclyde Sunderland Leeds Met. Wolverhampton	8
2.	Promoting effective staff development and good practice	Bradford De Montford Glamorgan Stathclyde Sunderland Leeds Met. Teeside Wolverhampton	8
3.	To support Institutional mission, strategic plan	Central Lancashire Glamorgan Hertfordshire L'pool John Moores North London Staffordshire Sunderland	7
4.	As aid to reorganisation/ change and or improving practice	Aston Glamorgan Glasgow Luton Nottingham Sheffield Hallam	6
5.	Developing relationship with TEC	Aston Bradford Kingston	3
6.	Raising the importance of staff development	De Montford	1
7.	Improve staff development for non academics	Luton	1

Appendix 2.7 (iii): Benefits claimed (by University) for achieving the Standard

Benefits	Institutions	N
Introduction/ improvement of people management processes e.g. appraisal, induction, communication	Aston De Montford Hertfordshire Kingston L'pool John Moores Luton North London Nottingham Strathclyde Teeside Wolverhampton	11
Improved business planning, aligned with staff development	De Montford Glamorgan Kingston L'pool John Moores Luton Sheffield Hallam Strathclyde Sunderland Leeds Met. Teeside Wolverhampton	11
Framework for systematic review	Aston Central Lancashire Hertfordshire Kingston Robert Gordon Sheffield Hallam Staffordshire Strathclyde	8
Raise awareness/ greater focus on staff development	Bradford Central Lancashire De Montford Glamorgan Kingston Sunderland Leeds Met. Teeside	8
Greater ownership of staff development and university objectives by staff	Central Lancashire De Montford Strathclyde Sunderland Sunderland Leeds Met. Teeside Wolverhampton	8
More cost effective/ prioritised staff development	De Montford Glamorgan Hertfordshire North London Robert Gordon Strathclyde	6

Improved staff development for non-academic staff/ greater understanding of their contribution	Hertfordshire North London Sheffield Hallam Strathclyde Teeside Wolverhampton	6
Recognition for good practice in staff development	Aston, Central Lancashire Exeter Robert Gordon Sunderland	5
Improved management practice	Aston Hertfordshire Nottingham Strathclyde Teeside	5
Improved methods of evaluating the impact of staff development	Exeter Sunderland Leeds Met. Wolverhampton	4
Helped with outcomes of external scrutiny	Central Lancashire L'pool John Moores Sunderland Leeds Met.	4
Improved staff relations/morale	Nottingham Robert Gordon Wolverhampton	3
Greater understanding of organisational goals	Bradford Exeter	2
Framework for change management	Bradford Glamorgan	2

Appendix 3.1 Interview protocol

Introduction

Thank you

1. Purpose of interview: **To explore staff views about the adoption of IiP in HE**

2. Conducted under BPS guidelines: Confidential, research purposes only, comments will not be attributable in any way, can with draw at any time.

Standards

1. Role of QA standards in HE?

2. Role of IiP in HE?

IiP

3. Advantages to HEIs?

4. Disadvantages to HEIs?

At Summertown

5. Why did Summertown decide to commit?

6. How was the decision made?

7. What are the benefits to Summertown?

8. What are the disadvantages?

9. What have been the mile stone events in terms of the preparation process?

10. What have been the major problems?

11. How have these been addressed?

12. Can you see any major stumbling blocks in the future?

Adoption

13. Whole institution achievement very much post 1992 % & Colleges, whereas part-achievement mainly pre 1992 non academic departments, views on this?

14. Academic departments mainly business schools and health studies departments views on this?

15. Any other comments like to make?
THANKS
Reconfirm confidentiality and the right to withdraw

Appendix 3.2 (i) - Partially ordered meta-matrix: Table A - Senior Managers

Themes	SMGR1	SMGR2	SMGR3
Investors in People	• IiP stands for good practice in some aspects of managing people and all aspects of communication and career development • IiP is about how the operation runs, when it is running in reasonably normal mode • IiP is different enough and distinctive enough that it is not trespassing into areas that are covered by other Standards • It is ironic that IiP strongest supporters are those that have gone through it – bit of a chicken and egg problem • Many HEIs are behind in terms of human resource practice, IiP can provide a focus • Many of our HR practices are informal and probably not good practice • Going for IiP focuses your mind on the issues e.g. communication, staff development, how people perceive their role in the organisation	• IiP is a pattern of organised development which seeks to ensure better communication of business objectives and a more systematic training of staff to meet those objectives • In practical terms it means a higher understanding of quality targets, and a clearer sense for the individual of what they are doing and why they are working where they are • A good supporting framework for all staff including appraisal, general monitoring and checking • IiP is a systematic approach to recognising, supporting and rewarding the work of staff.	• Staff are an important resource and it is necessary to invest in them to get the best

Process	• There are lots of groups in the university who are focussed on their output e.g. research teams, teaching teams etc, but not on the institutional outcomes, unlike some organisations
	• It did not require too much additional documentation
	• It identify gaps in the universities communication, it focussed management effort on people management issues
	• It takes along time to start
	• There is the burden of accountability
	• Someone needs to act as a catalyst to make things happen
	• If there is no mechanism for delivering against the Standard then organisations should not commit
		• If forces evaluation of human resource processes like– induction / appraisal/ staff development
		• It is easy to see HR processes as separate, rather than running parallel
		• The university has not been that successful in working with IiP as distinct initiative, but has been successful with the building blocks which we did for reasons unconnected with IiP
		• Hopefully the university will have all the processes in place so just have to say department Y is like department X
		• It is notoriously difficult for universities to achieve the high level of structured systematic process and communication that IiP requires
		• There now appears to be a readiness to accommodate universities into requirements of the Standard – It is a bit more relaxed
		• It is easier to get things sorted at department level, but more complicated at University level. Simple aggregation does not work
			• The IiP Process make organisations examine how they treat staff
			• Investors enhances practice because it involves things like
			  • Appraisal
			  • Staff development activities
			  • Treating staff equally

Themes	SMGR1	SMGR2	SMGR3
IiP in HE	- Investors is not directly focused on teaching or research activities, so it is applicable to academic and non academic parts of the university - Its role is to make organisations better in the resource management issues it covers – a fairly urgent need in HE - Academics are individuals who operate best as individuals rather than as corporate players - QAA are in favour of it, but do they have it? - Some places will think it is not worth the hassle. They may think it is too much effort or they are afraid of the answer - It is difficult selling IiP to an academic community - There is a lack of accountability of staff, you don't know what they will say or do.	- The State has exerted pressure both political and financial on HE in order to ensure a higher level of accountability - IiP should apply as much to Universities as to any large organisation - HEI's find it difficult to get a true picture of spend on staff development or even qualifications of staff - IiP ethos is contrary to the academic ethos, it implies a high level of corporate direction and management interference Vs individual autonomy for which academics have sacrifice income - Some departments seemed to have got it with out much effort, so they must have good systems in place which is encouraging - It is not inconceivable that some departments won't do it as they may feel it will damage the ethos – the whole institution will fail then - There would have been a time when it would have been difficult to bring departments into line, but that is changing - The expectations in institutional review relate closely to what needs to be achieved by investors - May be its off the government agenda because its be around so long - IiP has become more ordinary because every one has got it	- Yes, only system that checks we do things, reassurance sticking to general principles - It does overlap
Advantages	- It is a way of getting external evaluation of processes - Focuses attention on communication and people management issues - Belief that out of all the quality Standards Investors might actually do Summertown some good.	- Process of self review against IiP criteria is useful for any organisation - Getting staff together to discuss issues is useful and maybe unusual in Universities. By getting staff together it cut through some of the divisions, and creates higher levels of teamwork. - IiP can help promote reflective practice and professional evaluation - IiP is regarded well by organisations who may be customers of the university - It may help with some commercial contracts - There are no negative connotations, but only a small gain in HE, the value is more internal - No major disadvantages – staff haven't been overly distracted	- Image for general public and potential students - Way of showing university cares about it staff - Shows Summertown is a responsible employer - Offer structured approach to staff development - Shows Summertown seeks quality

Themes	SMGR1	SMGR2	SMGR3
Disadvantages	• IiP does not deal with the external relationships and communication. • It does not address difficult individual cases • The disadvantages are the advantages played wrong • Always a certain degree of cynicism	• Difficult to introduce in academic departments because of the nature of the academic psychological contract • IiP doesn't have any benefits in terms of marketing to students • HEI staff don't have any regard for yip • There are opportunity costs - level of time and effort • Academic allegiance is to their discipline • Universities are professional organisations, they do not need same badge as the local water works • Did not perceive any benefits or impact upon the university • Increases bureaucracy	• An attempt to turn education into the same as running a company and it is not • A monetarist approach to education
Other Standards important to HE	• Other national quality Standards include TQA & RAE, professional body accreditation, peer review • It is difficult to know which Standards to go for when there are so many that are required in the sector and so many national ones • Summertown reluctant to be saddle with too many 'Standards'	• ISO, but that has proved to be problematic • TQA, business excellence awards • Strong professional Standards, both tacit and explicit • Various implicit/unspoken professional Standards in HE e.g. plagiarism, sleeping with students. These Standards of behaviour are left understood between colleagues • HEFCE & QAA have developed fairly strong range of explicit expectations of requirements in relation to the HE experience • There is slowly emerging tighter formulation of the professional identify in the work of the ILT • Moving from situation where the codes and Standards of HE have been collegial, internal and implicit to increasingly being systematic, explicit and public.	• Fairness to students – subject review • Comparability of qualifications • Equal opportunities • Do not look at RAE as national Standard as only applicable to and understood by HE stakeholders
Why did this University commit?	• Do not why Summertown committed originally, but it was plainly without much thought	• Summertown committed because of substantial issues around human resources and the need for explicit strategic planning which meshes with yip	• Some thing to do with the new VC? • If committed by Old VC the probably aping industry, because old VC felt you could run a University like a Bank • New VC – more humanitarian approach to life (care about people) • National Standards in the way we behave towards each other, those who manage us and those we manage
Disadvantages to the University?	• It has cost us a substantial sum • Some staff will groan in the sort of over burden sense	• Investors is an intrusive framework upon something which staff ought to be trusted to do anyway – • It costs extra time and is not meaningful • There is resentment and frustration about the demands of quality systems, the additional accounting and reporting	• If doing to many thing, organisations over reach themselves, then the quality Standard processes gets in the way of doing a quality job • Need time and resources to do these things • Can divert resources away from core business and lower

Themes	SMGR1	SMGR2	SMGR3
Disadvantages to university cont.		destroys the trusting relationship, and belief in professional commitment of staff	quality of what is done
Milestones	• It was a helpful coincidence that the yip project manager was acting head of planning when Summertown rewrote the plan. It made the Directorate think whether they really wanted to do it or not • Summertown re-committed in 1997 and it went no where and again in 1999, third time lucky! • The project manager's natural enthusiasm convinced the VC that Summertown could and should do it. VC had confidence that she would always deliver.	• Most departments are aware of it now	• Preparation for subject review • Getting Heads of Departments to agree • Finding out why appraisal wasn't working • Including part time staff
Benefits to University	• Better shared understanding of what effective communication means and possibly a better understanding of broad staff development issues • Improving communication, staff development, career development strategy for support staff • IiP will help people to recognise from both sides what effective communication is and should be • It should lead to some realism about future skills needs and opportunities • IiP will help Summertown to focus on key HR processes • Should help ensure staff understand University's objectives, but it doesn't solve the problems of the world. • It is a way of bridging the gap between the university and the governors		• Provides opportunity / good reason to look at areas that are not performing well • Encourages people to take part in appraisal • Made SMGR3 appreciate that not every employee looks on appraisal positively
Further stumbling blocks	• Getting people to reflect in a reasonably open and honest way is difficult • Some staff in certain areas are just keeping their heads down and it will be extremely difficult to get them to do any thing		• Difficult for organisations to show they are investing in people when they might have to make people redundant • Equal opportunities may be a problem in one faculty • Some areas very protectionist and do not pull together • It is not the right time to go for it when there are deep rooted disagreements / resentments or fear of restructuring
Pre 1992 Universities	• Post-1992 are more managerial, • it came as a shock how much authority people though the VC had • Perhaps as a new university the feeling was it would make them more acceptable and respectable	• There are recognised differences between pre and post-1992 universities • Older Universities are more like a holding company model where each bit is separate and different	• Need to distinguish red brick from glass house • Oxbridge get into these things late but then does them well • Need to see it as a way of advancing

Themes	SMGR1	SMGR2	SMGR3
Post 1992 Universities	• Traditional universities more a confederation of occasionally present academics • Old universities operate a more devolved or disparate structure	• Post-1992 universities have a tradition of pragmatism and compliance in relation to external requirements • It is the corporate institutions like the post-1992 universities, which more easily fit into the investors' model.	• Status seeking
Support Dept achievements	• IiP would be a way for support departments to show they are as respectable as academics getting research grants	• Service areas have a stronger adherence to Quality systems e.g. finance, library, registry • Conference trade IiP fantastic asset	• Closer to other kinds of industry • More movement of staff – so more likely to be aware of IiP
Academic Dept achievements	• Business schools and health department will want to sell their services to organisations that know about IiP • Not surprised that it is popular with business and health schools but would have been surprised if it was popular with History departments	• Health department and business school are more likely to be working with people who would have investors and think it worth while	• Staff in business schools are likely to see Standards in the companies they deal with • Staff are more likely to have come from industry and have experience of the Standard • Students are more likely to get jobs with companies that have the Standard • Health schools – would have thought last to get it
Other comments	• Assessors need to understand the complexity of universities • It is easier if dealing with only one bit, or have experience of other large complex organisations like hospitals • Academic staff aren't motivated by internal reference points, but by external ones • Managing academic staff is like managing staff who run their own businesses except on pay day • Managing a university is different from managing a more institutionally focused organisation	• Schools appear to get easily but that may be a function that teachers are more compliant and schools are much smaller organisations.	• Once your organisation is involved you start to look for it • Some companies don't bother because they know they are good. If customers stop buying then know they have a quality problem. Same with other HEI – they know they are good, so they can't see the benefit • Rotten ones would say wrong stage of the cycle, too much to do

Appendix 3.2 (ii) - Partially ordered meta-matrix: Table B- staff with staff development responsibilities

Themes	SDEV1	SDEV2	SDEV3
Investors in People		• It is about investing in staff – making sure they have proper training and development. • It is also about communication, making sure institutions communicate well with it's staff • It is about making sure staff are given what they need to do their best in their job • It is more than staff development	• IiP imposes discipline, • It provides a framework and reinforces the need to do many of the things that should be done any way • It has an intrinsic value in drawing together staff initiatives e.g. appraisal, staff development, consultation etc. • The badge is 'nice', it does gives status to an organisation • Do notice organisations that have IiP and perhaps naively believe they have put effort into that • Have to know what it means for the Standard to be really be meaningful • IiP will have a shelf life • It about focusing on people, your relationship with them and you
Process	• Appraisal can be a positive process, but there is a tendency to blame the individuals if they don't want to be appraised, rather then think holistically – why don't individuals want to be appraised? What can be done to change the environment so that they do want to or are at least willing to be involved? • Need to think about each area and how IiP could fit it, rather than fitting the department to the IiP framework. This seems to be the best /most effective way of achieving IiP in an HEI. It also encourages an emphasis on the outcomes rather than the process • Once the Standard has been achieved there is a tendency to be on a short term high tend and 'back slide' or use it constructively to move forward • It is easy for it to become a process rather than embedding the concept of continuous improving staff development • The role of the manager/ leader is critical • At a micro level it really depends on the manager and whether they take it seriously - use it or think it is a waste of time and ignore it		• Summertown will have the problems of maintaining it and that shouldn't be taken for granted • Easily to approach from a discrete workgroup, where the communication lines are clearer, and staff know the context in which they are working • University briefed HTEC not to make Marwell presentation too commercial, but they did and it put a lot of people off • The building block approach has made it easier for HEIs, but not necessarily any more desirable • It is difficult to get the whole of a HEI at the same level of understanding at the same time. It is a scale and complexity issue. Different parts of the organisation need to work through their issues in their own way and time scales. • There is no one way of achieving the Standard

Themes	SDEV1	SDEV2	SDEV3
IiP in HE	• It could be very positive, but not if it is only concerned with the processes, as that is not a true investment in the people • There needs to be a clear improvement for everyone • It is good that IiP is not paper based like many of the other HE QA activities e.g. RAE, SQR, but it is then harder to for the assessor to make a judgement. The only 'evidence' is talking to people, not on paper. • It is the only quality Standard to relate to people	• Better now as adapted to be more flexible and more appropriate to HE • Quality label that can be effective	• When Summertown achieves the Standard it will not be special any more • IiP is a good Standard for HE because HE is an intensive people business • It is difficult for universities to get IiP because of the way HEIs are organised and operated. It is the combination of being large & complex • In the past the way the IiP Standard was promoted was not sympathetic to HE • It has changed now, it is more flexible and IiP is more user friendly and appropriate to HE • HEIs in the middle ground are going to need all the competitive advantage they can get and IiP is one of those • One Summertown governor mentioned that it now so common in FE, that there is a question mark around an FEI if it hasn't got the Standard. This could happen in HE but there are probably too many dissenters.
Advantages	• More people are beginning to talk about it at interviews., the Standard is becoming recognised • Whether it is a real benefit depends on why and how seriously the organisation is. It will only really benefit the organisation if they know why they did it and are committed. • Achievement can help areas, gives the manager confidence they are moving in the right direction. However it might also lead to complacency if that was present initially • Often people have a narrow view of staff development as just going on courses or conferences. IiP can broaden peoples views to include all sorts of things	• Going through process helps articulate what is good, identify the gaps, and develop new practices. • The diagnostic process is valuable • Accreditation means the gaps have to be filled • Awareness raising and development process is useful • Useful badge, a quality indicator	
Disadvantages Disadvantages	• It may not be applicable to all areas, • It does constrain people and this may not be appropriate in highly creative parts of organisations • Although IiP is now more flexible there is a tendency for organisations to use similar solutions & processes across all departments regardless of suitability • This is where Summertown's approach might be effective, as not trying to make departments do things in the same way and we need to check out how they are doing things already in order to find the best way.	• Students will not use it to decide on which University to attend • The process takes time and money • QAA say it is not worth the time, money effort involved.	

Themes	SDEV1	SDEV2	SDEV3
	- Preparing for it can be expensive, but this is an assumption - Organisations often don't think it is appropriate in periods of difficulty e.g. downsizing - Although Universities are about student development and learning they are not very good about their staff's development and learning. - There is still an attitude in some areas that staff development is 'remedial' for those not bright enough o work it out themselves - Having to commit as a whole organisation, rather than the bits that want too		
Other Standards important to HE	- There is a role for Standards, they defines what is acceptable and what can be expected for students / customers - Standards get people to think about level of performance - However there is a tendency to concentrate on what is measurable rather than actual quality - The usefulness of Standards depends on how they are used and measured - If Standards can become a habit, then people stop thinking about why they are doing things and you do not get the improvements	- In the past universities could take a 'connoisseur approach' - Now HE is complex, Standards are not clear, and need system to ensure quality - Key skills Standards - ILT accreditation - RAE	- In the past quality in HE has been self evident, but today's society has changed and is looking for explicit statements of a quality service - Not sure about the relevance of charter marks or ISO 9000 for HE
Why did this University commit?	- Response to 1994 Fender report – investing in people - Pressure from HTEC who wanted to meet their targets - General feeling among Directorate / Human Resources Committee it was a good thing, but there was not much understanding of what it meant or the costs of implementation	- Summertown is insecure, it was a leading Polytechnic, but since incorporation it has been trying to establish itself - Summertown is trying to be good at every thing - It wants all the quality indicators it can	- It was the health department and the commercial arm of the university that were interested in getting IiP first - It was seen as an marketing advantage - People wanted to commit for all sorts of different reasons - Some of the Directorate thought it would be a good thing for consultancy and revenue generation - The Directorate soon realised that the commercial unit could not do it on its own, it need wider involvement - Some members of the Directorate thought it would be a nice thing to have on the wall
Disadvantages to the University?	- Slow progress was made because the infrastructure was not in place, - It is problematic that everyone associates IiP with staff development and therefore it is some one else's	- Only if Summertown fails to get it. - Areas that have gone for it have not felt it was a great burden - The business school has found it hard from an ideology	- The biggest problems was the lack of appraisal and staff development arrangements, Summertown could not get of the starting blocks until those two things were sorted - There was some discussion that it was not going to cost

Themes	SDEV1	SDEV2	SDEV3
	responsibility ● Employees are not convinced because they can not see any direct changes or benefits to them, but they may not know what has changed and why	point of view , as many staff believe it is a business Standard not relevant to HE ● The Standard tends to hinder the traditional independence of academics ● Academic staff are attracted to institutions by this sort of thing	any real money which was pretty silly, although Summertown did get some funding from the local TEC ● It has never been a bone of contention with the unions

Milestones
 	
Milestones
	● After Human Resource Committee decision, not much was done until the staff survey in March '95.
	● There was a good response to the survey but the timing may have been poor as it was in the aftermath of the Vice Chancellor troubles.
	● The survey really highlighted the lack of infrastructure.
	● The task was so big that nothing really got done quickly. The Academic Appraisal Systems was revamped, but that took a long time. Support appraisal was introduced in 97
	● 1997 was really the turning point, the project manager had some time freed up, the appraisal schemes started being implemented, the TEC visited and new Vice Chancellor recommitted to a building block approach, the Strategic plan was up dated
	● Up until then the Summertown was committed to go as a whole institution at the TECs insistent (even though Southampton University had gone for partial recognition)
	● In 1997 four pilot areas were identified who were happy to volunteer or be volunteered
	   ● ADC
	   ● Personnel
	   ● Business School
	   ● Accommodation
	● The project managers move into planning certainly helped in terms of getting faculties to understand their responsibilities to responding to University initiatives as part of the action planning approach
	● At the end of the planning sabbatical the project manager was reconfirmed as the IiP co-ordinator and given some time to do it. This was very helpful.
	● The Science Faculty came on board in 2000. The faculty manager had strong staff development processes in place and the Dean was keen for people to know that scientists are 'real people'
			● Allocating a .5 project manager tasked to getting IiP implemented helped,
			● The science faculty showed by not being in the original pilot to getting it with a year it can be done without too much effort
			● When the TEC changed its attitude about the building block approach, this revitalised Summertown's enthusiasm

Themes	SDEV1	SDEV2	SDEV3
Benefits to University	• It allowed personnel and the academic development unit access to areas to address staffing issues, before Departments would not even acknowledge the problems • It provided guidelines for improving HR practice • It helped drive forward staff development activities e.g. appraisal for part hourly paid staff • It made people concentrate more on business objectives and re evaluate training needs e.g. the value sending secretaries on DMS courses		
Further stumbling blocks **Stumbling blocks cont.**	• Summertown is committed to being assessed as a whole in July 2002 • The circular nature of the academic year is a major problems as people's attention tend to be directed at the urgent thing now and it is hard to think strategically e.g. August its clearing/ September new semester etc. • It is easier to be enthusiastic towards the end of the academic year, but then every one disappears and nothing gets done. • People find it hard to do extra things on top of all the other things. • The institution is not in a good position in terms of recruitment and therefore financially. When budgets are getting cut and there is the threat of redundancy staff development is the first thing to get cut. • When there is considerable anxiety about security, staff are not in a staff development mode • Staff are cynical about the Standard as they do not see it having any impact • There is a belief that that the assessors don't understand the culture – it is as if Universities are too complex and a higher form of organisation. • Assessor did pick up issues in various areas in a very short space of time. • Academic are probably becoming less cynical as it becomes better known, and their professional bodies are thinking about becoming IiP accredited e.g. British Psychological Society, Civil Engineering. • Academic appraisal was in disarray • Staff development activities were fragmented	• Lack of interest and enthusiasm • Most academic do not think it is worth the effort, they can not see the value of it • Universities are large and complex, so it is more likely that assessors will find gaps • Finding the time and energy, • It is not likely to be given a high priority by many staff • Summertown is now left with areas that are not keen and do not wish to know • There may be a reluctance to be left behind • Summertown has always had problems with communication • Summertown traditionally stressed autonomy and independence rather than community • Things were developed behind closed doors and not communicated properly to others	• Lack of personnel focus and resource was an impediment • Some areas are keeping their heads down, hoping it is not going to effect them • Many areas have not thought about it or understood it • They have too many other things to worry about e.g. recruiting students, TQA • People are realising that IiP is much less demanding in terms of documentation, and there is a cross over with other QA processes • Always the problem of it not being the right time for IiP, e.g. restructuring • It could be argued that for Department X going through restructuring thinking about IiP might help, because IiP is about change • Some HEIs might want the discipline but without the badge • Implementation problems expand geometrically with scale

Themes	SDEV1	SDEV2	SDEV3
Pre 1992 Universities	• Pre-1992 Universities are more pluralistic, happy to do things in bits and have more rotation of staff in management posts • Do not like to look managerial or corporate, although many VCs are very autocratic. • Acceptance and achievement of IiP can depend on the individuals in a HEIs. E.g. if the HR director and VC against the Standard it does not stand much of a chance. Really both these individuals have to be keen	• Pre-1992 Universities don't feel the need for the IiP label • They have a greater sense of independence and autonomy • They do not have such strong steers from the centre	• Pre -1992 Universities tend to be more fragmented • The process of decision making and communication is complex in Universities; Decisions are not made in one place then transmitted seamlessly, the process is obscure
Post 1992 Universities	• Post-1992 Universities are more corporate, probably their CNAA inheritance	• Post-1992 universities are insecurity, • New Universities want as many quality stamps as they can achieve • Post-1992 universities have more contact with the local community and industry, where IiP is more appreciated	• Pre-1992 universities think it is below them • Pre-1992 Universities see it as a commercial /business thing and sceptical of its relevance • Post-1992 universities probably got into to IiP earlier, as they are more market orientated. They have had to compete harder to get students and saw IiP as a competitive advantage • Post 1992 universities are more managerial in style, and the culture perhaps lends itself more readily to the whole institution approach.
Support Dept achievements	• It is easier to do staff development planning for service areas, as training needs are more obvious • There is also some snobbery here, support staff are seen as cheaper to train.	• Support departments are linked to wider community where IiP is seen as a useful badge.	• There is not an obvious Universal quality Standard in the non academic departments – IiP provides this • Non-academic departments have an outside local comparatives – peer equity thing
Academic Dept achievements	• Health departments are usually dominated by ex-NHS staff who are more usedto a managerial culture • Business schools either tend to be pro – we teach therefore we should do it, or anti – we teach it, but its is to do with business not us.	• Closer ties with the outside world	• Business schools have links with the business community, • More of a marketing badge • Its about credibility and recognition within the field they are working in • The same is probably true for health departments
Other comments **Other comments**	• There are more IiP logos on the job adverts and the companies that academics work with have it, so it is becoming more accepted. • In academic areas it is hard to identify the outcomes and to evaluate the effectiveness of any training • There was a hint of competition creeping in between faculties. Now there is a feeling among some faculties that they don't want to be last and this is helping with the	• People pay lip-service to IiP, but there is not great deal of support for it • Some support staff have very little understanding of academic life • There has been poor attendance at the information workshops run by Summertown • External people tend to have certain expectations of behaviour patterns in universities	• Internal competitive spirit might be part of it of the success in some areas

Themes	SDEV1	SDEV2	SDEV3
	preparation • The building block approach can encourage and discourage e.g. If X has got it, it can not be worth having or if X failed to get it, it must be too hard and we should not bother • On the whole some areas getting it does seem to encourage others, but only if they recognise the other department as a 'rival' in some way. • The building block approach is easier to achieve, as it is easier to demonstrate that it is not some bureaucratic, machiavellian government plot, just good (not necessarily best) practice • It does not have to cost lots of money, or time and does not require 'tons of paperwork'	• There is not competition between faculties, more indifference and lack of interest	

Appendix 3.2 (iii)- Partially ordered meta-matrix: Table C - Heads of academic departments

Themes	HOD1	HOD2	HOD3
Investors in People		• It is one of a number of ways of enhancing practice and meeting Standards • IiP is not about quality but about Standards – difference is between measuring performance against the norm and actually encouraging people to review what they are doing and blossoming • Something business do to impress their customers or where they want to get their procedures right	
Process	• Investors could be viewed as formalising the more top down managerial processes in HE • Administrative burden wasn't as great as I thought it would be	• Quality is about self questioning not working to norms – the best bit is debating what we are thinking about, not filling in the form • Some colleagues feel quality is what a quality officer does and not some thing they do, or it is something the management is responsible for. • Processes must not stifle the ability of people to improve themselves and that is tricky • IiP seems to be about process and procedure and the way people do their job, it is	
IiP in HE		• When I was FHQA I looked at IiP as a possible way of improving quality and rejected it • IiP has very little to do with HE and more to do with personnel issues • It is something a library could do but not an academic department • I have never heard any one ask if the University has got IiP, but they do want to know RAE and TQA scores	
Advantages	• Some of the aims are appropriate to HE • Issues of communication, representation and consultation are key		• It leads to some thing tangible • It is a mechanism to ensure you are doing your job properly • Means your organisation is meeting national criteria for staff development • Useful for recruiting staff and for marketing

Themes	HOD1	HOD2	HOD3
Advantages			• It is evidence that an organisation does things properly • Probably more important for support staff – academic staff motivated by other things • As a manager it makes you revisit things, rethink , re-evaluate • It genuinely helped me be a better manager
Disadvantages	• Some of the aims are not easily dealt with in terms of HE • It does not take into account the diversity of staff and objectives • Time spent on the initiative and processes is not time on the core business • It is a diversion of resources, including intellectual effort • A student has never phoned up and ask about investors, but they have asked about external examiners and QAA scores	• It is a huge amount of time and effort to meet the kite mark • Better off investing time and effort into the core business • Yip is not attractive to students • IiP tells you that you have a cracking admin system, but it does not tell you much about the quality of student experience or achieving your objectives • If you are established with your customer base you do not need a kitemark to sell your product • It is not about teaching, learning and reflection • It is all the additional tasks needed	• May be able to identify the needs and have the correct processes in place but you also need the money to be able to resource it • IiP and processes like appraisal raises expectations you can not meet • Most of the benefits are managerial, staff are pretty cynical about it • Some organisations do not see what is in it for them • Rumour has it takes a lot of resource • Few if any students will have heard of it • It is like collecting 'gongs' • There is no obvious benefits for core business of recruiting and teaching students • It will have no impact on individual students
Other Standards important to HE	• External examiners are suppose to be one mechanism for assuring the maintenance of academic Standards • Professional bodies • QAA • There are standards for aspects of administration and finance, but these indirect impact on academic departments	• Quality Standards includes benchmarks, TQA, person specifications and employment reports, transcripts, peer review, external examiners • Why should we employ some one to make sure that our documents are consistent with a national Standard? • QA systems are only good if they lead to necessary change • Some see a 'Standards approach' as way of making people understand the rules and whether they are meeting them or it can be seen as stifling individual flare	• Professional body accreditation • ISO 9000 • Have to see Standards as essential to core activities, as going for them costs time, money and diverts resources • RAE, TQA • Have to be careful not to spend all your time maintaining Standards and not doing the core business
Why did this University commit?		• The University committed at the time we had just been criticised as part of the institutional review for the appraisal system not being linked to staff development and for EO • Because it saw the need for a kite mark • It was a robust response to outside criticism of how we organised our affairs	

Themes	HOD1	HOD2	HOD3
Disadvantages to the University?	• Looks like a qualification gaining exercise • People do not buy products because of the Logo • The staff development plans were too vague to be of any use, because individual needs are too vague or generic • Not sure how you measure what you have done has had any impact. • Timescales can be very long before there is any noticeable difference • HE business needs are both vague and contradictory • Professional updating is important for academics but the university will not allow the use staff development money to send staff to conferences – it doesn't make sense		
Milestones			
Benefits to University	• The analysis highlighted all kinds of inadequacies in the departmental current processes		
Further stumbling blocks	• Academic departments & faculties not bringing staff on board to meet objectives • Directorate keep antagonising staff • Its management by dictate and post hoc reasoning. There is not a credible philosophy behind investors • A number of things are done on a hand to mouth basis and are ad hoc basis, which does not fit the Standard • The informal approach to many aspects of man management at the university will be a stumbling block. • There is an urgent need to differentiate between communication and data, some times there is too much data • The Directorate ignore messages from staff they do not like, but then do not give clear message 'this is what we have decided', or they make out that staff views are wrong • Staff do not feel listened to	• Major stumbling block would be the amount of work	
Pre 1992 Universities			• Quality indicators are more transparent • They really do not need to bother because this is where the money is
Post 1992 Universities	• New universities, because of their CNNA / LEA backgrounds are more used to formalised procedures • More VCs are likely to think it is a good idea, as they may	• For post 1992 universities it is about credibility and marketing	• Desperate need and struggle to demonstrate quality

Themes	HOD1	HOD2	HOD3
	see it as a way to solve some of there staffing problems • Under the old system there was a degree of protection (sector wide planning), now new universities are on there own and in competition • Element of badge collection		
Support Dept achievements	• In traditional universities there is a much stronger sense that service departments provide a service to a clearly defined customer base, and this is line with investors. The history and tradition is there, investors is the mechanism for judging how well you are doing • In new Universities, service department more likely to tell academics what they can have	• Serviced Departments have clear processes, it is observable with beginning and ends	
Academic Dept Achievements	• Business schools would know about it and be more in tune with Investors • Health department are recruited heavily from the NHS who have a history of investors and other initiatives •	• Business schools might go for it because their customers have it and would expect it. • Health department because there customers might expect it also	
Other comments	• Investors encourages you to communicate with your staff and this side lines traditional mechanisms like academic council • IiP managerial focus undermines the traditional University values and culture • Given the problems of the university, spending time on this is going to be perceived as a waste of time, even if it isn't. • Some of the processes implemented in order to get the badge (e.g. appraisal of hourly paid staff) it is hard to see any real benefit.	• The quality circle approach to quality enhancement, actually changed things • Peer review is wonderful, but it goes nowhere • View in our profession is that people are professional and will change • Universities have been known to set things up for reviewers to get the badge then dismantled them, but keep the badge • If things have been circulated about IiP I have probably been pressing delete • Its not in my perception a high priority, I had rather hoped it would fade away	• What is the point of appraisal if it is not a merit indicator? • There are some staff for whom staff development is not an appropriate concept • Staff development is not an open ended right • When resources are tight you can not take risks in terms of staff development

Appendix 3.2 (iv) - Partially ordered meta- matrix: Table D – Heads of service departments

Themes	HOS1	HOS2
Investors in People	• IiP is about matching your business objectives to the training and development of your staff in a cyclic fashion in order to feedback into your business objectives for continuous improvement • It is about satisfying your customer needs • IiP is a vehicle to check processes and planning	• New Standard uses less business language, • Version 3 is more of a learning approach/ outcomes based and less process • The nationally agreed Standard for training and staff development • New Standard doesn't stress business but learning so more applicable
Process	• Staff development and training are a very fortunate bye-product of the process • Need to try to take people way from the idea that its just about training and development, then you can implement planning more appropriately • Feedback and communication are absolutely critical • The way IiP is presented is that people only see it as about processes, people, and developing. They don't see the whole issues about how you improve your processes, how it feeds back, how you communicate. It is not just the processes, but the whole of your business objectives and people's place in the organisation • IiP doesn't cover all the areas with the same emphasis that a department might want to examine in a review of its business • It is a reasonable vehicle, which allows inspection of all of the areas of the business • It is the process not the badge that is attractive • Need to find a variety of measurable criteria that suggest the impact of the various initiatives, but since lots of things are happening at once, it is hard to distinguish the impact of one activity • Staff were not told initially that the department was committed to the Standard. In the past staff have been bombarded with one initiative after another and nothing ever seemed to come of it • If staff put a lot work in to some thing and it doesn't happen they get very cynical • IiP has helped develop a structured business framework that has pushed the department ahead leaps and bounds • It is not clear how the building-block approach can ensure that every one meets the same Standards • It is easier to measure outcomes in some services, where as in other areas/ departments this might not be true • People may not understand the benefits or the costs	• Service failed assessment because it was unclear what skills managers needed, mangers appeared to be reluctant managers and there was a lack of consistent feedback on performance • How do we know we have improved things? • See changes but these are subjective – can't measure them • Not satisfied with process, too much subjectively, poor sampling
IiP in HE	• There is nothing wrong with it being a goal for an university • Many of the benefits of IiP are intangible especially in HE where it is difficult to measure benefits	• HE should measure itself against some sort of Standards • Dearing says IiP is good • There are problems in HE over the business orientation of the Standard

Themes	HOS1	HOS2
IiP in HE	• HEIs probably think they have other mechanisms with which to check there systems	• There is a role in it for HE - HE should take training more seriously
Advantages		• By going for IiP it demonstrates to staff the department is doing things • It does have outside recognition • Staff were given a briefing on IiP, which gave us a chance to refocus and remind staff of our objectives • It helped us identify some gaps in our processes • It was the chance to look at the big picture and remind staff of what had been achieved • It is a good way to reflect on the service and staff
Disadvantages	• The name is a barrier	• Big commitment for department to make • Departments are initiative tired, it just another hurdle. They are more concerned with getting students • It will make the university more attractive to work for. You have only got to see the adverts in the evening news to see the competition
Other Standards important to HE	• In some service areas there are external Standards like 'Hospitality Assured', which concentrates more on customer feedback. • ISO 9002 is a similar, but a more mechanical vehicle to check all planning processes & Standards through the business • Its possible that IiP will compliment ISO 9002	• ISO 9002 is a real paper trial
Why did this University commit?	• Do not know	
Disadvantages to the University	• The department made adequate provision, so nothing came as a surprise, but the expectations of the staff have increased – far more people going to college now and doing things externally • Department does far more things internally as well, it costs money, but we were previously doing these things with no plan which probably cost even more money	
Milestones	• When the university was looking for volunteers and willing to pay some of the costs department volunteered about 2 yeas ago (1998) • Department was 9/10 of the way there before staff were told, because the managers wanted to do those things any way. Otherwise staff cynicism would have been a big barrier • Plus at the same time action planning became a lot stronger in the university so we had a process, format & timetable that we were expected to adhere to • The other big mile stone was when appraisal system for APT&C staff was implemented • Investors uncovered untold deficiencies that the department had been able to start improving, on a much wider scale than originally thought • There was no support what ever from the TEC, the department did it alone, inventing	

Themes	HOS1	HOS2
	everything as we went along	
Benefits to University		
Further stumbling blocks	• Now other areas have got it and project manager is in place, new areas will not have to waste time making it up as they go along, they should be able to shoot through it very much easier than we did • The main difficulty is keeping it all going • Staff from other areas seem to be under the impression that is a one off event, rather than an embedded process • Some staff think it is just about training and development • Planing, communication and customer feedback will be big issues • Staff have the wrong end of the stick and don't understand what it is about • Where there isn't strong line management, it is going to be hard to keep people using the systems	
Pre 1992 Universities	• In pre-1992 universities where academic staff have traditionally had more freedom and individual responsibility and less corporate responsibility, it is less likely that it managers can all be pulled together • It is hard to implement things unless people go long with it and can see the benefits. • Many people do not see that IiP will have any direct impact or benefit for them	• Traditional universities know they are good – so they do not need things like IiP
Post 1992 Universities		• New universities are more in tune with ethos of Standard, because of their CNNA background
Support Dept Achievements	• Hospitality is one of the few area in Universities that has a ring fenced approach to business – a stand alone trading unit • In non-academic professional areas you have far clearer lines of responsibility and accountability. There is an expectation that you do as you boss says • The drivers are more commercial, the managers are aware of the external factors that effect business • Service departments competitors are local and not departments in other universities • Support staff are far more loyal to the university than academics, where as academics tend to be more loyal to their professional body or subject area	• Support departments in old universities are often treated as separate trading companies
Academic Dept achievements	• In academic departments, academics are aware of their subject area, but may be totally unaware of what is happening in the sector or in other parts of the university • Academics can see themselves as independent beings and can say whatever they feel like saying	
Other comments	• In FE Standards impose by other areas like qualifications bodies, or councils or what ever • How can the top managers of an organisation achieve IiP if they ca not prove that they have	• It will become meaningless once every one has got it. • People have learnt the tricks of looking good to the assessors, so the novelty has warned off

Themes	HOS1	HOS2
Other comments	communicated all those planning, activities and objectives throughout the whole organisations? • As a sub sector in HE the department swaps benchmarking information e.g. staff turnover, maintenance costs • Students don't recognise the logo • New uniforms and image can have as much an impact as a training course on service delivery	• A number of services have gone through' the process and it's a bit tired • It is not good enough to be doing it – got to be seen to be doing it • Service performance indicators tend to be input rather than outcomes

Appendix 3.2 (v) - Partially ordered meta – matrix: Table E – Investors in People consultants

Themes	IiP1	IiP2	IiP3
Investors in People	• It has achieve more than it was originally conceived too • It was originally conceived to encourage UK organisations to develop the skills of their people • Investors is applicable to all organisations • It was seen initially as a training and development tool • What has emerged is that it is far more of organisation/ business development tool • Realisation that you can't actually identify training and development needs unless you understand what the organisation is trying to achieve • Investors is a useful tool for looking at the planning process, culture and the communication process	• The Standard is a very noble attempt to provide a generic framework, which is applicable in all organisational contexts • The extent to which the Standard is useful, helpful & supportive depends to a large extent on the intelligence and know-how of the people trying to use it. • The things the Standard is saying are relatively simple • What the standard aspires to be is a fairly simple aide memoir about some of the key issues that people need keep in mind if they wish to manage change effectively in relation to training and development • IiP is like any other management tool, it is fairly crude because it is multi-context, and it's only as good as the person using it.	• It was originally seen as a tool for managing businesses, not for managing organisations per se • IiP isn't prescriptive, its about doing what is right for the organisation • The new Standard is all about culture • It is rare for large organisations to achieve accreditation in one go • Basic principles apply to any type of organisation • IiP is about culture, values and beliefs, it not about being driven by process; HE still thinks it is about process • Investors is about change management
Process	• For a number of organisations the starting point for the IiP is business planning, particularly in smaller organisations • A clear picture of what an organisation trying to achieve is needed before you can understand what the skills your people need in terms of business planning • People can not be trained and developed unless they understand the role they play in the organisation, what the organisation is trying to achieve, why they need to be trained and developed and what there training will achieve as a result. • Organisations need to understand the value of training and development • Evaluation is the most difficult thing to do, • Training is a good thing to do, but companies were not sure what value they got out of it. Investors helps them be clearer • The latest version switches from process based to focus to an outcomes based focus • The change was about being more flexible, acknowledging that organisations operate in different ways • It was to make sure that when organisation went down the	• There are enviably going be difficulties of fit with because it is trying to make something fit all organisations. Clearly it is not going to fit all readily • It is designed to help support people do things that they have not previously. • It is a Standard that represents basic good practice, but it is an entirely different thing to actually put it to use, so you are immediately into all these issues about the management of change • The Standard is capable, when used intelligently, of providing a robust set of reminders about key things that people need to keep in mind, keeping focus on. It requires people to bring those key issues into a connection, to link strategic planning to development of people, to what outcomes they are actually achieving, to what they are offering and keeping all those under review • Work with a Standard which requires organisations to think of the whole work force • Large organisations are very diverse in that they have people within them working on a range of very different thing in which their main focus is external to the	• Some people see investors as a process to promote activity – put in a system rather than look at the nature and values of the organisation – they don't get the link. • Universities are just too big, and too unmanageable to do it in one go – big organisations lose sight of what they are trying to achieve • The building block approach sets smaller targets to manage and monitor • There is a lack of understanding of achievements and how you measure them • Professional people don't see the people management aspects – they see themselves as professional not managers, therefore they can not see the need for a lot of the management stuff • Getting the balance right between organisation looking after you (traditional approach) and looking after yourself (modern approach), but there still needs to be a link with the organisational objectives. • Lack of skills in middle managers to manage – promote people on their technical/professional skills

Themes	IiP1	IiP2	IiP3

Process	route of Investors they were genuinely achieving things as a result
	
	• The building block approach was responding to the needs of organisations, making it more accessible, responding to the needs of organisations rather than the requirement of the Standard.
		university.
		• They are also diverse in the sense that they have a lot of highly specialist expertise. You get the sense of little groups looking at their own training & development issues and not necessarily feeling they have to engage in the University imperatives
		• Processes needed for investors include:
		  • Appraisal (personal review support) really about reviewing individual achievement, how appropriate has it been, how much has it enriched individual / organisation
		  • Defining and communicating some sort of strategic direction for the organisation as whole, or for the constituent parts for large complex organisations.
		  • Enabling individuals to have a good understanding of how their work contributes to good of the whole (academics tend not to be interested)
		  • Linking development of skills, knowledge and capability to corporate needs
		  • Evaluating the extent to which what has happened has produced the desired outcomes
		• There is an underlying assumption in the investors framework that knowing how your work contributes to good of the whole is a key motivating factor
		• If the university wants to do X, people will have to be able to do Y.
		• The successful implementation of the processes requires an engagement between the organisation and the individual and it is posited on there being a dialogue between the university and the staff member
		• The evaluation can be very mechanistic if attempt to show X produced Y.
		• There is a tendency for the assessors to be mechanistic
		• The Standard asks for evaluation, not to prove the effectiveness of development
		• It is fascinating to the extent to which people say it is hard, because it should be so much part of what they are doing any way.	

Themes	IiP1	IiP2	IiP3
IiP in HE	• In HEI the culture is more individualist approaches then team working, Investors can be used to tackle this • There are no disadvantages for HEIs • There is a need to raise awareness among decision-makers – many universities view IiP as business tool or as a government based thing, which they would not necessarily want to get involved in. • Within business schools, IiP (UK) hopes to get Investors much more into the curriculum, recognising that investors is a fairly significant business development tool • Baroness Blackstone views investors in the HEI sector as a priority, IiP will be embarking on a sector development activities – identifying needs – but this is not likely before April 2001	• The word business was never in the Standard; it was people's perceptions • The traditional concept is of a university is community of scholars, a community in the sense that it is a group of people who are roughly connected, they certainly do not regard themselves as bound together in the same way as employees of commercial organisations. It is all individual pursuit. • The HE sector is in a state of flux and has been for some time. It feels very beleaguered because it feels under pressure to change in response to demands from outside the sector. • Universities claim to be organisations which have democratic decision-making processes, while a large proportion of the workforce are left out of those systems and are not really considered part of this supposed community. • Academics have the notion that their development is up to them and is some thing that is not accountable to the organisation • The concept of management within HE is regarded as contestable. So anything that smacks of managerialism is going to be is likely to be challenged and investors is heavily dependent on management. • IiP is part of a battery of measures • HE has very little professional management and is suspicious of management • Appraisal in HE is not linked to corporate needs, for many people it is not happening. • In HE you need to look at outcomes over a period of time, really a package of experience that you need to make a judgement on • It is appropriate to implement the Standard in departments under pressure • The sector has shown a lack of imagination in relation to investors. • In HE often development is not one thing, it is a complicated set that happen over a period of time • Need to be clear what you are looking for in terms of overall achievement and have debated what performance indicators you will use	• Very few HE institutions go as a whole, they tend to use the building block approach. • HEI do not see themselves as businesses • HE is resistant because universities can not see the relevance of business tools to managing HE • HE does not use the same language as business e.g. unique selling point, and assume they are different • HEI's are run by government steer, they are not market led • There is a strong resistant to manageralism • HEIs do not want to lose their individuality; they want to do it our own way • For academic staff HE, is about individually driven outcomes not about corporate outcomes • Usually start at top with investors, thinking about strategy and objectives etc. but in HEI a lot is bottom up • There is expertise inside the University, but it is not used

Themes	IiP1	IiP2	IiP3
Advantages	• The advantages for HEI's are the same as for any organisation: improved motivation, better understanding between support and professional staff and a more unified approach.		• It is easier to pilot in non-academic departments
Disadvantages			• Lack of interest and understanding of what investors is, especially at the top of HEIs
Other Standards important to HE			
Why did this University commit?			• Portsmouth didn't know why they were doing it
Disadvantages to the University?			
Milestones			
Benefits to University			
Further stumbling blocks			• Business schools try to analyse the Standard to last letter than accept it as general good practice • Nursing very much tied into CPD, but don't always make the link with corporate objectives • Same with Business schools, there should be an understanding about CPD
Pre 1992 Universities	• Traditional universities have not come to the conclusion it is some thing that they need to do • They do not view themselves as an organisation • The major reason for not going for it is the culture – many old universities have a traditional approach to the way people see their role in the organisation. Academics see their role in terms of academic needs not organisational needs. View role as an individual, and don't view role as making a contribution to the University		
Post 1992 Universities	• New universities in terms of planning are more strongly business focussed and therefore more likely to be ready to embark on investors • They may be under more pressure to deliver the goods		• New Universities are less research focussed and more market focussed

Themes	IiP1	IiP2	IiP3
Support Dept achievements	• More likely to have modern business practices in those areas • Support areas more likely to be contracted out		• It was easier to get involvement in service departments of the NHS then clinical departments
Academic Dept Achievements			
Other comments	• Investors about continuous improvement, the first change, was to make to ensure the Standard was still working, still relevant • Version 2 reflected 4-5 years experience. It was really a tweaking, ironing out some of the issues • The number of indicators went down from 24 to 23. This was viewed as a tweaking • The review to produce version 3 was more of a fundamental review. It took into account a number of issues. The Standard was nearly 10 years old. It needed to continue to reflect good practice and be a tool for organisations • There is a move away from the traditional hierarchical structures (command and control) to flatter, matrix (chaos and complexity).This is not true of all organisations but a number of the larger ones and there was a need to make sure the Standard could cope with these organisations • At the same time, there was a priority to target smaller organisations. The Standard was perhaps to rigid in terms of the pressures it was putting on smaller organisations e.g. the requirements for explicit training plans and budgets		• IiP (UK) hold the database on all accreditation's, but it does need cleaning up, as there is confusion as to what belongs to each sector • Bob Fry, At New College is interested as he used Investors as change tool in his last place

Appendix 4.1 (i): Higher Education Institutions included in sample

Pre-1992 Universities	Post – 1992 Universities
Russell Group	Anglia Polytechnic University
Birmingham	Bournemouth University
Bristol	Brighton - University of
Cambridge	Cardiff - University of Wales Institute
Edinburgh	Central England - University of
Glasgow	Central Lancashire - University of
Imperial College	Coventry University
Leeds	De Montford University
Liverpool	Derby - University of
Manchester	East London - University of
Newcastle	Glamorgan – University of
Nottingham	Glasgow Caledonian - University of
Oxford	Greenwich - University of
Sheffield	Hertfordshire - University of
Southampton	Hudderfield - University of
University College, London	Kingston University
Warwick	Leeds Metropolitan University
The 94 group	Lincolnshire & Humberside
Bath	Liverpool John Moores University
Birkbeck College	London Guildhall University
Durham	Luton - University of
East Anglia	Manchester Metropolitan University
Essex	Napier University
Exeter	Middlesex - University of
Lancaster	North London - University of
Reading	Northumbria - University of
Sussex	Nottingham Trent University
York	Oxford Brookes University
Other pre-1992 Universities	Paisley - University of
Aberdeen	Plymouth - University of
Aberystwyth	Portsmouth - University of
Aston	Robert Gordon University
Bangor	Sheffield Hallam University
Bradford	South Bank University
Brunel	Staffordshire University
Cardiff	Sunderland - University of
City	Teesside - University of
Dundee	Thames Valley University
Goldsmiths	West of England - University of
Heriot Watt	Westminster - University of
Hull	Wolverhampton - University of
Keele	

Appendix 4.1 Higher Education Institutions included in sample

Pre-1992 Universities		Post – 1992 Universities	
Kent			
Kings			
Leicester			
Loughborough			
Newcastle			
Queens			
Royal Hollaway			
Salford			
St. Andrews			
Stirling			
Strathclyde			
Surrey			
Swansea			
Ulster			
UMIST			
Total	53		41

Source: adapted from Court (1998)

Appendix 4.1 (ii): Historical typography of pre-1992 universities

Ancient foundations	Civic Universities	Plate glass – Post Robins
Aberdeen	Queens, Belfast	East Anglia
Cambridge	Birmingham	Sussex
Edinburgh	Leeds	Ulster
Glasgow	Manchester	Warwick
Oxford	Sheffield	York
St Andrews	Federal University of London	Lancaster
	Bristol	
	Federal University of Wales	Stirling
	Durham	Kent
	Liverpool	Sussex
	Dundee	Essex
	New civic universities	**Ex CATS**
	Nottingham	Aston
	Southampton	Bath
	Hull	Bradford
	Exeter	Brunel
	Leicester	City
	Newcastle	Heriot-Watt
	Keele	Loughborough
	UMIST	Salford
	Reading	Strathclyde
	Dundee	Surrey

Source: NISS (2001)

Appendix 4.1(iii): Breakdown of pre-1992 universities by IiP stage

By date of foundation

Status	Frequency			
	Ancient	Civics	Robbins	N
Considering a commitment	1	5	0	6
Formal commitment	0	3	2	5
Action plan prepared	1	1	0	2
Recognised as institution	0	0	1	1
Part recognised	1	10	6	17
Re – accredited	0	0	0	0
Not under consideration	1	3	6	10
No information posted on WEB	2	6	4	12
Total	6	28	19	53

By self-selected grouping

Status	Frequency			
	Russell group	94 group	others	N
Considering a commitment	1	2	3	6
Formal commitment	1	2	2	5
Action plan prepared	0	1	1	2
Recognised as institution	0	0	1	1
Part recognised	8	0	9	17
Re – accredited	0	0	0	0
Not under consideration	3	3	4	10
No information posted on WEB	2	2	8	12
Total	16	10	27	53

Appendix 4.2 Institution by Investors in People status

Considering	Committed	Action plan	Recognised
Pre 1992 Universities	*Pre 1992 Universities*	*Pre 1992 Universities*	*Pre 1992 Universities*
Birkbeck College, University of London	Durham - University of	Aberdeen - University of	Strathclyde - University of
Glasgow - University of [2]	Goldsmiths College - University of London	Exeter - University of	
Keele University	Salford - University of		
Newcastle - University of	Southampton - University of		
Reading - University of	York - University of		
Swansea - University of Wales			

---

[2] The case study on Glasgow University in HESDA (2001) states that by merging with St Andrews College of Education, the university has gained recognition for its new faculty of education. It has decided to take on the standard in an informal way, using the building block approach. Since the HESDA database reports the University as thinking of committing, it is this status that has been used.

Considering	Committed	Action plan	Recognised
Post 1992 Universities	**Post 1992 Universities**	**Post 1992 universities**	**Post 1992 universities**
Bournemouth University	Lincolnshire & Humberside	Anglia Polytechnic University	Glamorgan - University of
Brighton - University of	Northumbria - University of	Derby - University of	Hertfordshire - University of
Glasgow Caledonian - University of		Greenwich - University of	Hudderfield - University of
Oxford Brookes University		North London - University of	Leeds Metropolitan University
		Nottingham Trent University	Middlesex - University of
		Paisley - University of	Napier University
		South Bank University	Teesside - University of
		Thames Valley University	Wolverhampton - University of
Total 10	7	10	9

Part recognised	Re- accredited	Not under consideration	No information on web
Pre 1992 Universities	**Pre 1992 Universities**	**Pre 1992 Universities**	**Pre 1992 Universities**
Aston		Bath	Aberystwyth
Bangor		Birmingham	Cardiff
Bradford		Brunel	Edinburgh
Bristol		Cambridge	Heriot Watt
Hull		City	Kings College
Imperial College of Science		Dundee	Lancaster
Kent		East Anglia	Oxford
Leeds		Essex	Royal Hollaway
Leicester		Ulster	Surrey
Liverpool		University College	Queens
Loughborough			Sussex
Manchester			UWIST
Nottingham			
St. Andrews			
Sheffield			
Stirling			
Warwick			

Part recognised	Re- accredited	Not under consideration	No information on web
Post 1992 Universities	Post 1992 Universities	Post 1992 universities	Post 1992 universities
Central England	Central Lancashire	Cardiff Institute	Manchester Metropolitan
Coventry	Luton	West of England	East London
De Montford	Robert Gordon		London Guildhall
Kingston	Sunderland		Plymouth
Portsmouth			
Liverpool John Moores			
Sheffield Hallam			
Staffordshire			
Westminster			
Total 26	4	12	16

Based on August 2001 updated figures

Appendix 4.3: Departments achieving Investors in People status

Institution	Residential & catering	Library	Commercial/ research unit	Staff Dev./ personnel	Other non Academic	Bus. Sch.	Health Sch.	Other academic	Total	%
Pre 1992										
Aston			1						1	1
Bangor				1					1	1
Bradford							1		1	3
Bristol		1	1					1	3	1
Hull	1								1	1
Imperial College of Science					1				1	1
Kent			1						1	1
Leeds	1						1		2	2
Leicester	3		1						4	5
Liverpool	1				1		1	1	4	5
Loughborough	2	1			2				5	6
Manchester			1		1			1	3	3
Nottingham	1								1	1
Sheffield	1								1	1
St Andrews	1								1	1
Stirling			1						1	1

Institution	Residential & catering	Library	Commercial/ research unit	Staff Dev./ personnel	Other non Academic	Bus. Sch.	Health Sch.	Other academic	Total	%
Warwick	3								3	3
Sub total	14	2	6	1	5	0	3	3	34	
% Sub total	41	6	18	3	15	0	9	9	100	39%
Post 1992										
Central England			1						1	1
Coventry		1		1	7	1	1	4	15	17
De Montford			1		1	1		1	4	5
Kingston		1		1	4	1	1	4	12	14
Portsmouth	1				2			1	4	5
Sheffield Hallam				1					5	6
Staffordshire			1	1	2			1	5	6
Liverpool John Moores	1		1		4		1		7	8
Westminster						1			1	1
Sub total	2	2	4	4	24	4	3	11	54	61%
% Sub Total	4	4	7	7	44	7	6	20	100	
Total	**16**	**4**	**10**	**5**	**29**	**4**	**6**	**14**	**88**	
% Total	18	5	11	7	33	5	7	16	100	

Based on August 2001 updated data

Appendix 4.4 (i): Institutional data for the academic year 1997/8

Institution	Students								Ac. Staff	SSR	UK%	PT%	EU%	OS%	FE%
	UK	F/T	P/T	EU	O/S	HE	FE	Total							
Aberdeen - University of	9746	8050	1249	890	1047	11683	0	11683	1285	9.1	83	11	8	9	0
Aberystwyth, University of Wales	8013	6137	1876	585	490	9088	10	9098	536	17.0	88	21	6	5	0
Anglia Polytechnic University	15901	9071	6830	1368	662	17931	180	18111	743	24.4	88	38	8	4	1
Aston University	5205	4398	455	421	314	5940	0	5940	386	15.4	88	8	7	5	0
Bangor - University of Wales	7461	5647	1798	486	753	8700	0	8700	673	12.9	86	21	6	9	0
Bath - University of	6662	5215	1012	563	1218	8443	0	8443	806	10.5	79	12	7	14	0
Birkbeck College, University of London	12789	272	12517	144	117	13050	0	13050	398	32.8	98	96	1	1	0
Birmingham - University of	19818	13714	4804	1016	2423	23257	0	23257	2461	9.5	85	21	4	10	0
Bournemouth University	9933	7842	2069	303	254	10490	0	10490	498	21.1	95	20	3	2	0
Bradford- University of	9588	6272	2679	807	1279	11674	0	11674	621	18.8	82	23	7	11	0
Brighton - University of	13365	9117	4248	996	778	15139	0	15139	764	19.8	88	28	7	5	0
Bristol - University of	16186	9739	5198	904	1647	18737	0	18737	2004	9.3	86	28	5	9	0
Brunel University	12181	9170	2376	645	707	13533	184	13717	796	17.2	89	17	5	5	1
Cambridge - University of	15672	11574	3645	1193	2841	19706	0	19706	4057	4.9	80	18	6	14	0
Cardiff - University of Wales	15943	11525	3977	957	1569	18469	0	18469	1470	12.6	86	22	5	8	0
Cardiff - University of Wales Institute	7150	5207	1824	251	212	7613	473	8086	373	21.7	88	23	3	3	6
Central England - University of	17310	9704	7604	549	610	18469	1201	19670	885	22.2	88	39	3	3	6
Central Lancashire - University of	19480	11007	8473	888	652	21020	177	21197	749	28.3	92	40	4	3	1
Cheltenham & Gloucester College of HE	7770	5332	2385	103	98	7971	235	8206	306	26.8	95	29	1	1	3
City University	10737	4847	4490	1161	1277	13175	0	13175	688	19.1	81	34	9	10	0
Coventry University	13222	9387	3819	1558	1121	15901	154	16055	893	18.0	82	24	10	7	1
De Montford University	20766	15452	5314	860	805	22431	6435	28866	1328	21.7	72	18	3	3	22
Derby - University of	11561	8639	2882	361	204	12126	357	12443	556	22.4	93	23	3	2	3
Dundee - University of	9789	7226	2119	554	709	11052	0	11052	1310	8.4	89	19	5	6	0
Durham - University of	10738	8742	1788	501	679	11918	0	11918	945	12.6	90	15	4	6	0
East Anglia - University of	10256	6381	3630	716	954	11926	0	11926	865	13.8	86	30	6	8	0

Institution	Students														
East London - University of	9700	6645	3055	697	1147	11544	886	11630	626	18.6	83	26	6	10	8
Edinburgh - University of	15724	13668	1482	1278	1803	18805	68	18873	2684	7.0	83	8	7	10	0
Essex - University of	4977	3130	1726	1465	1278	7720	0	7720	572	13.5	64	22	19	17	0
Exeter - University of	9987	7635	2025	567	853	11407	0	11407	856	13.3	88	18	5	7	0
Glamorgan - University of	12999	8498	4501	1012	577	14588	0	14588	578	25.2	89	31	7	4	0
Glasgow - University of	18749	13927	4494	969	1280	20998	0	20998	2246	9.3	89	21	5	6	0
Glasgow Caledonian - University of	13596	10224	3372	448	472	14516	0	14516	800	18.1	94	23	3	3	0
Goldsmiths College - University of London	5859	3804	2026	428	648	6935	397	7332	449	16.3	80	28	6	9	5
Greenwich - University of	15029	9555	5434	1184	757	16970	116	17086	1049	16.3	88	32	7	4	1
Heriot Watt University	5103	3812	957	575	601	6279	0	6279	636	9.9	81	15	9	10	0
Hertfordshire - University of	15069	10352	4524	950	1211	17230	838	18068	874	20.7	83	25	5	7	5
Huddersfield - University of	15423	9738	5654	449	368	16240	661	16901	621	27.2	91	33	3	2	4
Hull - University of	9642	6730	3866	630	861	11133	0	11133	885	12.6	87	35	6	8	0
Imperial College of Science	6921	6175	738	1143	1870	9934	0	9934	3210	3.1	70	7	12	19	0
Keele University	11699	4959	6419	422	771	12892	0	12892	548	23.5	91	50	3	6	0
Kent at Canterbury - University of	8553	5053	2940	1348	1177	11078	0	11078	707	15.7	77	27	12	11	0
Kings College, University of London	11990	8478	2958	1192	1447	14629	0	14629	2093	7.0	82	20	8	10	0
Kingston University	12906	9648	3246	1152	351	14409	80	14489	880	16.5	89	22	8	2	1
Lancaster University	8989	6702	1917	698	1167	10854	257	11111	834	13.3	81	17	6	11	2
Leeds - University of :	22355	16935	4919	887	2434	25676	0	25676	2646	9.7	87	19	3	9	0
Leeds Metropolitan University	17453	10898	6555	491	643	18587	1965	20552	764	26.9	85	32	2	3	10
Leicester - University of	13031	7754	4997	595	1480	15106	0	15106	1388	10.9	86	33	4	10	0
Lincolnshire & Humberside	10317	7795	2522	748	919	11984	0	11984	421	28.5	86	21	6	8	0
Liverpool - University of	16040	10508	4581	726	1544	18310	0	18310	1912	9.6	88	25	4	8	0
Liverpool John Moores University	18421	12008	6307	1003	833	20257	169	20426	1116	18.3	90	31	5	4	1
London Guildhall University	10770	6765	3853	949	541	12260	1508	13768	489	28.2	78	28	7	4	11
Loughborough - University of	9726	8233	1407	435	968	11129	0	11129	1051	10.6	87	13	4	9	0
Luton - University of	10785	7134	3635	946	1360	13091	186	13277	636	20.9	81	27	7	10	1
Manchester - University of	20717	16361	4007	1058	2554	24329	0	24329	3436	7.1	85	16	4	10	0
Manchester Metropolitan University	26795	18463	8332	1131	640	28566	331	28897	1389	20.8	93	29	4	2	1

Institution	Students													
Middlesex - University of	16682	13265	3414	2233	1755	20670	605	21275	989	21.5	78	16	10	8	3
Napier University	9750	7659	2049	636	239	10625	0	10625	699	15.2	92	19	6	2	0
Newcastle - University of	14232	10184	3802	782	1364	16378	0	16378	2071	7.9	87	23	5	8	0
North London - University of	12389	8242	4147	1117	582	14088	1247	15335	616	24.9	81	27	7	4	8
Northumbria - University of	17581	11976	5519	1017	1074	19672	564	20236	1158	17.5	87	27	5	5	3
Nottingham - University of	19323	12084	6350	744	2246	22313	0	22313	2052	10.9	87	28	3	10	0
Nottingham Trent University	21824	16615	5150	640	705	23169	109	23278	1015	22.9	94	22	3	3	0
Oxford - University of	15920	12158	3471	1378	3088	20386	0	20386	3926	5.2	78	17	7	15	0
Oxford Brookes University	10258	6819	3310	893	1326	12477	167	12644	732	17.3	81	26	7	10	1
Paisley - University of	8666	5858	2600	350	66	9082	0	9082	497	18.3	95	29	4	1	0
Plymouth - University of	18580	13992	4514	1105	455	20140	0	20140	1431	14.1	92	22	5	2	0
Portsmouth - University of	14169	10418	3637	1311	1306	16786	2549	19335	1047	18.5	73	19	7	7	13
Queens University Belfast	19315	12791	6155	2038	663	22016	0	22016	1472	15.0	88	28	9	3	0
Reading - University of	11470	7426	3789	1002	1392	13864	0	13864	1282	10.8	83	27	7	10	0
Robert Gordon University	8500	6230	2006	362	474	9336	41	9377	559	16.8	91	21	4	5	0
Royal Hollaway, University of London	4662	4131	269	593	744	5999	0	5999	583	10.3	78	4	10	12	0
Salford - University of	15629	10797	4016	894	1190	17713	884	18597	740	25.1	84	22	5	6	5
Sheffield - University of	20434	15006	4823	994	2447	23875	0	23875	2273	10.5	86	20	4	10	0
Sheffield Hallam University	20931	14789	6078	700	751	22382	86	22468	1130	19.9	93	27	3	3	0
South Bank University	17567	10186	7381	1336	1218	20121	156	20277	1041	19.5	87	36	7	6	1
Southampton - University of	17818	12133	4697	974	1030	19822	131	19953	2059	9.7	89	24	5	5	1
St Andrews - University of	4869	4489	244	393	567	5829	0	5829	721	8.1	84	4	7	10	0
Staffordshire University	13807	10238	3569	712	556	15075	134	15209	778	19.5	91	23	5	4	1
Stirling - University of	6865	5482	1291	566	650	8081	144	8135	594	13.7	84	16	7	8	2
Strathclyde - University of	18071	12255	4484	1184	2625	21880	0	21880	1431	15.3	83	20	5	12	0
Sunderland - University of	12513	8950	3473	1019	457	13989	594	14583	1213	12.0	86	24	7	3	4
Surrey - University of	9820	4593	4545	1215	1362	12397	0	12397	970	12.8	79	37	10	11	0
Sussex - University of	9493	6310	2904	1307	1177	11977	0	11977	924	13.0	79	24	11	10	0
Swansea - University of Wales	10042	7490	1868	908	784	11734	393	12127	866	14.0	83	15	7	6	3
Teesside - University of	11749	7402	4242	351	232	12332	162	12494	590	21.2	94	34	3	2	1

Institution	Students														
Thames Valley University	11868	6584	5284	1742	2093	15703	3470	19173	501	38.3	62	28	9	11	18
Ulster - University of	17206	10935	6081	2918	267	20391	0	20391	1227	16.6	84	30	14	1	0
UMIST, Manchester	4671	4482	181	720	1658	7049	0	7049	956	7.4	66	3	10	24	0
University College - London	12803	10153	1668	1628	2554	16985	0	16985	2809	6.0	75	10	10	15	0
Warwick - University of	13815	8131	5288	1017	2397	17229	0	17229	1488	11.6	80	31	6	14	0
West of England - University of	21004	14364	6640	811	542	22357	173	22530	1193	18.9	93	29	4	2	1
Westminster - University of	17186	8152	9033	1274	1093	19553	8	19561	1027	19.0	88	46	7	6	0
Wolverhampton - University of	19482	12393	7089	1339	2374	23195	0	23195	1034	22.4	84	31	6	10	0
York - University of	6873	5498	1087	513	644	8030	0	8030	950	8.5	86	14	6	8	0

Data source: HESA (2000)

Key to columns

UK	United Kingdom	EU	Other European students	FE	Further Education
F/T	Full time students	O/S	Non EU students	Ac.	Academic Staff
P/T	Part time students	HE	Higher Education	SSR	Staff student ratio

Appendix 4. 4 (ii): Pre and post-1992 universities and the University of Summertown

The category in which the University of Summertown falls is highlighted in bolded italics.

Table A: Size of higher education institutions

No. of Students	Frequency			
	Pre-1992	Post-1992	Total	%
5000 - 9999	13	3	16	17
10000 - 14999	19	13	32	34
15000 - 19999	*11*	*12*	*23*	*25*
20000 - 24999	9	11	20	21
25000+	1	2	3	3
Total	53	41	94	100
Mean	14,113	17,001		

Table B: Number of Further Education students

FE students	Frequency			
	Pre-1992	Post-1992	Total	%
0	44	9	53	56
1-500	8	19	27	29
500 – 1000	1	6	7	7
1000 - 1500	0	2	2	2
1500 – 2000	0	2	2	2
2000 – 2500	0	0	0	0
2500 – 3000	*0*	*1*	*1*	*1*
3000+	0	2	2	2
Total	53	41	94	100
Mean	47	629		

Table C: Number of part time students

No. of P/T Students	Frequency			
	Pre-1992	Post-1992	Total	%
1- 999	6	0	6	6
1000 – 1999	13	1	14	15
2000 – 2999	8	6	14	15
3000 – 3999	*7*	*11*	**18**	**19**
4000 – 4999	12	6	18	19
5000 – 5999	2	6	8	9
6000 – 6999	4	5	9	10
7000 – 7999	0	3	3	3
8000 +	1	3	4	4
Total	53	41	94	100
Mean	3,247	4,712		

Table D: Number of overseas students

No. of overseas students	Frequency			
	Pre-1992	Post- 1992	Total	%
1 – 499	4	12	16	17
500 – 999	17	17	34	36
1000 – 1499	*16*	*9*	25	27
1500 – 1999	6	1	7	7
2000 - 2499	5	2	7	7
2500 - 2999	4	0	4	4
3000 - 3500	1	0	1	1
Total	53	41	94	100
Mean	1313	791		

Table E: Number of academic staff

Academic staff	Frequency			
	Pre-1992	Post-1992	Total	%
0 - 499	3	5	8	9
500 - 999	24	22	46	49
1000 - 1499	*10*	*14*	*24*	*26*
1500 - 1999	1	0	1	1
2000 – 2499	8	0	8	9
2500 – 2999	3	0	3	3
3000 – 3499	2	0	2	2
3500+	2	0	2	2
Total	53	41	94	
Mean	1,412	836		

Table F: Staff student ratio

SSR	Frequency			
	Pre-1992	Post-1992	Total	%
0 - 5	2	0	2	2
5 - 10	18	1	19	20
10 - 15	21	3	24	26
15 – 20	*9*	*17*	*26*	*28*
20 – 25	1	13	14	15
25 – 30	1	6	7	8
30 - 35	1	0	1	1
35 +	0	1	1	1
Total	53	41	94	
Mean	12.2	21.1		

Appendix 4.5 Investor in People status over time

UNIVERSITY	TYPE	JUN. 95	SEPT. 99	AUG. 01	Updated
Aberdeen	1	7	3	3	3
Aberystwyth	1	8	8	8	8
Anglia Polytechnic University	2	3	3	3	3
Aston	1	1	3	3	5
Bangor	1	8	5	5	5
Bath	1	7	7	7	7
Birkbeck College	1	7	1	1	1
Birmingham	1	7	7	7	7
Bournemouth	2	2	7	1	1
Bradford	1	1	5	5	5
Brighton	2	1	1	1	1
Bristol	1	1	5	5	5
Brunel	1	7	7	7	7
Cambridge	1	8	7	7	7
Cardiff	1	8	8	8	8
Cardiff Institute	2	7	7	7	7
Central England	2	8	5	8	5
Central Lancashire	2	8	4	6	6
City	1	7	7	7	7
Coventry	2	3	3	5	5
De Montford	2	5	5	5	5
Derby	2	3	3	3	3
Dundee	1	7	7	7	7
Durham	1	1	1	2	2
East Anglia	1	8	8	7	7
East London	2	1	1	8	8
Edinburgh	1	7	8	8	8
Essex	1	8	7	7	7
Exeter	1	3	3	3	3
Glamorgan	2	1	4	4	4
Glasgow	1	7	1	1	1
Glasgow Caledonian	2	1	1	1	1
Goldsmiths College	1	3	2	2	2
Greenwich	2	3	3	3	3
Heriot Watt Un	1	7	8	8	8
Hertfordshire	2	3	4	4	4
Hudderfield	2	3	4	4	4
Hull	1	3	5	5	5
Imperial College of Science	1	1	5	5	5
Keele	1	1	1	1	1

UNIVERSITY	TYPE	JUN. 95	SEPT. 99	AUG. 01	Updated
Kent at Canterbury	1	8	3	5	5
Kings College	1	2	8	8	8
Kingston	2	3	3	5	5
Lancaster	1	5	8	8	8
Leeds	1	3	5	5	5
Leeds Metropolitan	2	3	4	4	4
Leicester	1	7	3	3	5
Lincolnshire & Humberside	2	3	2	2	2
Liverpool	1	5	5	5	5
Liverpool John Moores	2	3	5	5	5
London Guildhall	2	1	8	8	8
Loughborough	1	3	5	5	5
Luton	2	4	6	6	6
Manchester	1	8	5	5	5
Manchester Metropolitan	2	1	8	8	8
Middlesex	2	3	4	4	4
Napier	2	8	3	4	4
Newcastle	1	7	1	1	1
North London	2	1	3	3	3
Northumbria	2	1	2	2	2
Nottingham	1	2	5	5	5
Nottingham Trent	2	3	3	3	3
Oxford	1	7	8	8	8
Oxford Brookes	2	1	1	1	1
Paisley	2	1	3	3	3
Plymouth	2	7	8	8	8
Portsmouth	2	3	2	5	5
Queens	1	8	8	8	8
Reading	1	1	1	1	1
Robert Gordon	2	3	4	6	6
Royal Hollaway	1	7	8	8	8
Salford	1	1	2	2	2
Sheffield	1	8	5	5	5
Sheffield Hallam	2	3	8	5	5
South Bank	2	3	3	3	3
Southampton	1	2	2	2	2
St Andrews	1	7	5	5	5
Staffordshire	2	8	2	3	5
Stirling	1	5	5	5	5
Strathclyde	1	2	4	4	4
Sunderland	2	3	6	6	6
Surrey	1	7	8	8	8
Sussex	1	1	8	8	8
Swansea	1	8	1	1	1

UNIVERSITY	TYPE	JUN. 95	SEPT. 99	AUG. 01	Updated
Teesside	2	1	3	4	4
Thames Valley	2	2	3	3	3
Ulster	1	1	7	7	7
University College	1	7	8	7	7
UWIST	1	3	8	8	8
Warwick	1	8	5	5	5
West of England	2	7	7	7	7
Westminster	2	1	5	5	5
Wolverhampton	2	3	4	4	4
York	1	3	2	2	2

Source: http://www.shef.ac.uk/hesda/nation/recogn.htm (20/07/01) and http://www.shef.ac.uk/hesda/nation/tables.htm (21/07/01)

Inconsistency noticed between tables and summary: Updated column - grey boxes show details in summary not in table and bold shows details in tables and not in summary.

References and Bibliography

1. A new training initiative: a programme for action. 1981. London: Department of Employment, HMSO.

2. Adams, D. (1998). Examining the fabric of academic life: an analysis of three decades of research on the perceptions of Australian academics about their roles. *Higher Education, 36,* 421-435.

3. Adams, J. C. (1997). *Championing investors in people in higher education.* Sheffield: UCoSDA, Briefing Paper 46.

4. Adelman, C., Kemmis, S., & Jenkins, D. (1980). Rethinking case study: notes from the second Cambridge conference. In H. Simons (Ed.), *Towards the science of the singular* (pp. 45-61). Norwich: CARE, UEA.

5. Ainley, P. (1998). Higher education in a right state: professionalising the proletariat or proletarianising the professions. In D. Jary & M. Parker (Eds.), *The new higher education: issues and directions for the post-Dearing university* (pp. 133-150). Stoke-on-Trent: Stafford University Press.

6. Alberga, T., Tyson, S., & Parsons, D. (1997). An evaluation of the investors in people standard. *Human Resource Management, 7*(2), 47-60.

7. Anderson, G. (1990). *Fundamentals of educational research.* Brighton: Falmer Press.

8. Anon. (1997). *Achieving investors in people recognitions: factors affecting conversions from commitments to recognitions.* London: Department for Education and Employment, HMSO.

9. Arkey, H., & Knight, P. (Eds.). (1999). *Interviewing for social scientists.* London: Sage.

10. Ashcroft, K. (1995). *The Lecturer's guide to quality and standards in colleges and universities.* Chichester: Falmer Press.

11. Atkinson, J. M., & Heritage, J. (1984). *Structures of social action.* Cambridge: Cambridge University Press.

12. Atkinson, P., & Delamont, S. (1985). Bread and dreams or bread and circuses? A critique of 'case study' research in education. In M. Shipman (Ed.), *Educational research: principles, policies and practices* (pp. 26-45). London: Falmer.

13. Bailey, A., & Jones, M. (1995). *Investors in People: a survey of experience in the engineering manufacturing industry.* London: Engineering Employers Federation.

14. Balderson, S. (1997). *Investing in people: an individual perspective on a collective commitment and achievement.* Sheffield: UCoSDA, Briefing Paper 51.

15. Baldridge, J. V. (1971). *Power and conflict in the university: research into the sociology of complex organizations.* New York: John Wiley & Sons Inc.

16. Banister, P., Burman, E., Parker, I., Taylor, M., & Tindall, C. (1998). *Qualitative methods in Psychology: a research guide.* Buckingham, UK: Open University Press.

17. Bargh, C., Bocock, J., Scott, P., & Smith, D. (2000). *University leadership.* Buckingham, UK: Society for Research into Higher Education and Open University Press.

18. Barnett, R. (1992). *Improving higher education: total quality care.* Buckingham, UK: Society for Research into Higher Education and Open University Press.

19. Barnett, S., & Richert, A. (1998). Trustworthy. *People Management, 28 May,* 46-47.

20. Bassey. (1999). *Case study research in educational settings.* Buckingham, UK: Open University Press.

21. Beardwell, I., & Holden, L. (1994). *Human resource management: a contemporary perspective.* London: Pitman.

22. Becher, T. (1988). Principles and politics: an interpretative framework for university management. In A. Westoby (Ed.), *Culture and power in educational organisations* (pp. 317-327). Buckingham, UK: Open University Press.

23. Becher, T. (1989). *Academic tribes and territories.* Buckingham, UK: Society for Research into Higher Education and Open University Press.

24. Beech, I. (1995). *Quality programme costs in further education* (MP081). Bristol: Further Education Development Agency, HMSO.

25. Bell, C., & Newby, H. (1977). *Doing sociological research.* New York: Macmillan.

26. Bell, J. (1999). *Doing your research project: a guide for first-time researchers in education and social science* (3rd ed.). Buckingham: Open University Press.

27. Benmore, G. (2001). Precepts of the contemporary academic employment relationship. *Education-line.* Available from: http://leeds.ac.uk/educol/documents/00001751.htm (19/9/02) 1-18.

28. Bergquist, W. H. (1992). *The four cultures of the academy.* San Francisco: Jossey-Bass Inc.

29.　Bett, M. (1999). *Independent review of higher education pay and conditions.* London: The Stationery Office.

30.　Bligh, D. (1990). *Higher education.* London: Cassell.

31.　Boden, R. (2001, 20 April). Corporate crackdown. *The Times Higher Educational Supplement.* 14.

32.　Boulton, D., & Hammersley, M. (1996). Analysis of unstructured data. In R. Sapsford & V. Jupp (Eds.), *Data collection and analysis.* London: Sage.

33.　Briggs, D. P. (2000). *The University of Strathclyde and the Robert Gordon University: the IiP experience.* The Universities Personnel Association, Annual Conference: Stirling.

34.　British Psychological Society. (1991) *Code of conduct.* Leicester: British Psychological Society.

35.　Brookes, J. (1995). *Training and development competence: a practical guide.* London: Kogan Page.

36.　Bull, I. (1990). *Appraisal in Universities: a progress report on the introduction of appraisal into universities in the UK.* Sheffield: Universities' Staff Development and Training Unit.

37.　Burman, E. (1998). Interviewing. In P. Banister & E. Burman & I. Parker & M. Taylor & C. Tindall (Eds.), *Qualitative methods in Psychology: a research guide* (pp. 49 - 71). Buckingham: Open University Press.

38.　Burton, N. (1995). Investing in people investing in education: is staff potential being met? *International Journal of Educational Management, 9*(2), 18-26

39.　Caldwell, B., & Spinks, J. (1992). *Leading the self-managing school.* Bristol: Falmer Press.

40.　Clark, B. R. (1983). *The higher education system.* Berkeley: University of California Press.

41.　Collins, J. (1997). *Notes from meeting with head of personnel.* Unpublished.

42.　Collins, J. (1998). *Notes from the IiP in HE Network.* Unpublished.

43.　Constable, J., & McCormick, R. (1987). *The making of British managers.* London: BIM/CBI.

44.　Coolican, H. (1994). *Research methods and statistics in psychology* (2nd ed.). London: Hodder & Stoughton.

45.   Cooper and Lybrand. (1985). *Challenge to complacency - changing attitudes to training*. London: Manpower Service Commission, HMSO.

46.   Cooper and Lybrand. (1996). *Making people your business*. London: Coopers & Lybrand, Investors in People (UK).

47.   Cooper and Lybrand and Investors in People UK. (1996). *Making people your business: a joint report*. London: Coopers and Lybrand and Investors in People UK.

48.   Committee of Higher Education. (1963). *Report (Chair Lord Robbins)*. London: HMSO.

49.   Court, S. (1998). The research assessment exercise: the basis for a new gold standard in higher education? In D. Jary & M. Parker (Eds.), *The new higher education: issues and directions for the post Dearing university*. Stoke-on Trent, UK: Staffordshire University Press.

50.   Crabtree, B., & Miller, W. (1992). A template approach to text analysis: developing and using codebooks. In B. Crabtree & W. Miller (Eds.), *Doing Qualitative Research*. London: Sage.

51.   Creswell, J. W. (1998). *Qualitative inquiry and research design: choosing among five traditions*. London: Sage.

52.   Critten, P. (1993). *Investing in people: towards corporate capability*. Oxford: Butterworth Heinemann.

53.   Crosthwaite, E. (1993). *Investors in People: Report on a project conducted by the Higher Education Quality Council*. London: Higher Education Quality Council.

54.   Crosthwaite, E., & Thackwray, B. (1996). *Investors in People Directory*. London: Higher Education Quality Council.

55.   Crosthwaite, E., & Warner, D. (1995). Setting the scene. In E. Crosthwaite & D. Warner (Eds.), *Human resource management in higher and further education* (pp. 1-6). Buckingham, UK: Society for Research into Higher Education and Open University Press.

56.   Crosthwaite, E., & Woollard, D. (1995). Investors in People for higher education: report on a project conducted by the Higher Education Quality Council. London: Higher Education Quality Council and Investors in People UK.

57.   Crozier, F., Sharp, N., Swan, J., Adams, J., Daniel, M., Gordon, G., & Thackwray, B. (2000). *Academic review and investors in people: a differential intensity of scrutiny.*: USoSDA, Briefing Paper 83.

58. Cryer, P. (1993). *Preparing for quality assessment and audit.* Sheffield: Universities' Staff Development and Training Unit.

59. Culbert, R. (1996). *Working in higher education.* Buckingham: Society for Research into Higher Education and Open University press.

60. CVCP. (1997). *The impact of universities and colleges on the UK economy.* London: Committee of Vice Chancellors and Principals.

61. CVCP. (2000). *Investors in People Status* (No. 119). London: Committee of Vice Chancellors and Principals

62. Damrosch, D. (1997). *We scholars: Changing the culture of the university.* Cambridge, Mass.: Harvard University Press.

63. Daniel, M. J. (1997). In-house evaluation against the investors in people standard: some pointers for self -regulation in higher education. *Quality Assurance in Education, 5*(4), 225-230.

64. Data Protection Act 1998. London: HMSO.

65. Davies, R. (1994). *Coming to terms with research: an introduction to the language for research degree students.* Norwich: Centre for Applied Research in Education.

66. Dearlove, J. (1998). The deadly dull issue of university 'administration'? Good governance, managerialism and organising academic work. *Higher education policy, 11*(1), 59-79.

67. Deem, R. (1998). New managerialism and higher education: the management of performance and cultures in universities in the United Kingdom. *International studies in sociology of education, 8*(1), 47-70.

68. Deem, R. (2001). Globalism, new managerialism, academic capitalism and entrepreneurialism in Universities: is the local dimension still important? *Comparative education, 37*(1), 7-20.

69. Delamont, S. (1996). Just like the novels? Researching the occupational culture(s) of higher education. In R. Cuthbert (Ed.), *Working in higher education* (pp. 145-156). Buckingham, UK: Society for Research into Higher Education and Open University Press.

70. DfEE. (2000). *National training organisations strategic guidance 2000-2001.* London: Department of Education and Employment.

71. Dodd, M., Cutter, J., Rodger, J., Shaw, N., Owens, J., Cowen, G., & Lawless, M. (2001). *Research on the costs of investors in people and related activities* (274). Available from: Http://www.iipuk.co.uk/researchdirectory (21/01/02)

72. Doidge, J. (1995). Provision for allied staff. In A. Brew (Ed.), *Directions in staff development* (pp. 133-145). Buckingham: Society for Research into Higher Education and Open University Press.

73. Doidge, J., Hardwick, B., & Wilkinson, J. (1998). Towards the millennium and beyond. In J. Doidge & B. Hardwick & Wilkinson (Eds.), *Developing support and allied staff in higher education*. London: Kogan Page.

74. Doidge, J., Hardwick, B., & Wilkinson, J. (1998). Developing support and allied staff in higher education. London: Kogan Page.

75. Donaldson, L. (1995). Local heroes. *Personnel today, 25 October*, 43-49.

76. Dopson, S., & McNey, I. (2000). Organisational culture. In D. Palfreyman & D. Warner (Eds.), *Higher education management* (pp. 16 - 32). Buckingham, UK: Society for Research into Higher Education.

77. Douglas, A., Kirk, D., Brennan, C., & Ingram, A. (1999). The impact of Investors in People on Scottish local government services. *Journal of Workplace Learning, 11*(5), 164-169.

78. Down, S., & Smith, D. (1998). It pays to be nice to people, investors in people: the search for measurable benefits. *Personnel Review, 27*(2), 143-155.

79. Duke, C. (1992). *The learning university: towards a new paradigm*. London: Taylor and Francis.

80. Education Reform Act 1988. London: HMSO

81. Education and Training for the 21st century 1991. London: Department of Education and Science, HMSO.

82. Edward, T., & Miller, H. (1998). Change in mass higher education: university, state and economy. In D. Jary & M. Parker (Eds.), *The new higher education: issues and directions for the post-dearing university* (pp. 41-61). Stoke-on Trent: Staffordshire University Press.

83. Eisenhardt, K. M. (1989). Building theories from case study research. *Academy of Management Review, 14*(4), 532-550.

84. Elms, A. (1998). Investors in people accreditation: one large organisations's journey to IiP status. *Training and management development methods, 12*(2), 15-24.

85. Elton, L. (1995). An institutional framework. In A. Brew (Ed.), *Directions in staff development* (pp. 177-185). Buckingham: Society for Research into Higher Education and Open University Press.

86. Employment and Training Act 1973. London: HMSO.

87.   Employment and Training Act 1981. London: HMSO.

88.   Employment for the 1990's 1988. London: Department of Employment, HMSO.

89.   Falconer, H. (1995). Investors Chronicle. *Personnel today, 6 June*, 19-37.

90.   Farnham, D. (1999). The Untied Kingdom: end of donnish dominion? In D. Farnham (Ed.), *Managing academic staff in changing university systems: international trends and comparison* (pp. 209-236). Buckingham, UK: Society for Research into Higher Education.

91.   Farnham, D. (1999b). Managing universities and regulating academic labour markets. In D. Farnham (Ed.), *Managing academic staff in changing university systems: international trends and comparisons.* (pp. 3-31). Buckingham, UK: Society for Research into Higher Education.

92.   Fender, B. (1993). *Promoting people: a strategic framework for the management and development of staff in UK universities.* London: CVCP.

93.   Fender, B. (1995). *Investing In People.* London: Committee of Vice Chancellors and Principles.

94.   Fenton-O'Creevy, M., & Nicholson, N. (1994). *Middle managers: their contribution to employee involvement* (Research Series No. 28). Sheffield: Employment Department.

95.   Flick, U. (1998). *An introduction to qualitative research.* London: Sage.

96.   Fontana, A., & Fry, J. (1998). Interviewing: the art of science. In N. Denzin & Y. Lincoln (Eds.), *Collecting and interpreting qualitative materials.* London: Sage.

97.   Fulton, O. (1996). Which profession are you in? In R. Culbert (Ed.), *Working in higher education* (pp. 157-169). Buckingham, UK: Society for Research into Higher Education.

98.   Gabriel, Y. (1998). The use of stories. In G. Symon & C. Cassell(Eds.), *Qualitative methods and analysis in organizational research.* London: Sage.

99.   Gill, J., & Johnson, P. (1997). *Research methods for managers* (2nd ed.). London: Paul Chapman Publishing Ltd.

100.   Gledhill, J. (1999). The modern English Universities. In D. Warner & D. Palfreyman (Eds.), *The state of UK higher education: managing change and diversity* (pp. 95-102). Buckingham: Society for Research into Higher Education.

101.   Glendon, A. I. (1992). Radical change within a British University. In D. M. Hosking & N. Anderson (Eds.), *Organizational changes and innovation: perspectives and practices in Europe.* (pp. 49-70). London: Routledge.

102.   Gordon, G. (2000). *The Strathclyde journey to recognition: linking mission and strategic objectives to individual views and aspirations.*. Sheffield: UCoSDA briefing paper 80.

103.   Graham, H. T., & Bennett, R. (1998). *Human resource management.* London: Pitman Publishing.

104.   Greenaway, H., & Harding, A. (1978). *The growth of policies for staff development.* Buckingham, UK: Society for Research into Higher Education and Open University Press.

105.   Haines, C., & Ketteridge, S. (2002). Managing the human resource function. In S. Ketteridge & S. Marshall & H. Fry (Eds.), *The effective academic: a handbook for enhanced academic practice* (pp. 103 -124). London: Kogan Page.

106.   Hall, A. (2000). Personnel Management. In D. Palfreyman & D. Warner (Eds.), *Higher education management: the key elements* (pp. 90-102). Buckingham, UK: Society for Research into Higher Education.

107.   Hambly, A., & Howard, U. (1995). We don't need the language of business here: Introducing investors in people into a college. *Adult Learning* (December), 25-26.

108.   Hamilton, D. (1980). Some contrasting assumptions about case study research and survey analysis. In H. Simons (Ed.), *Towards a science of the singular* (Vol. 10, pp. 78-93). Norwich: CARE, UEA.

109.   Hammond, D. (2001, 19 April, 2001). IiP companies 'fail to implement best practice'. *People Management,* 6.

110.   Hampshire Training and Enterprise Council. (1995). Authority and autonomy guidance. Fareham, UK: HTEC.

111.   Hampshire Training and Enterprise Council. (1999). Investors in people: the education experience (Vol. HTEC114/9.99). Fareham: Hampshire Training and Enterprise Council Ltd.

112.   Hampshire Training and Enterprise Council. (1999). Investors in people: the large business experience. Fareham: Hampshire Training and Enterprise Council.

113.   Handy, C. (1987). *The making of managers. A report on management education, training and development in the USA, West Germany, France, Japan and the UK.* London: National Economic Development Council.

114.   Handy, C. (1988). *Understanding voluntary organisations*. London: Penguin.

115.   Handy, C. (1993). *Understanding organisations* (4th ed.). London: Penguin.

116.   Hardy, C., Langley, A., Mintzberg, H., & Rose, J. (1988). Strategy formation in the University setting. In A. Westoby (Ed.), *Culture and power in educational organizations* (pp. 345-382). Milton Keynes: Open University Press.

117.   Harrison, C. (2000). Academic support services. In D. Palfreyman & D. Warner (Eds.), *Higher education management: the key issues* (pp. 192-204). Buckingham, UK: Society for Research into Higher Education.

118.   Harrison, J., & Lord, P. (1992). *Investors in People and the accreditation of training in SMEs*. Paper presented at the 15th National small firms policy and research conference, Southampton.

119.   Harrison, R. (1998). *Employee Development*. London: Institute of Personnel and Development.

120.   Hartley, D. (1997). The new managerialism in education: a mission impossible? *Cambridge Journal of Education, 27*(1), 47-57.

121.   Hartley, J. (1994). Case studies in organizational research. In C. Cassell & G. Symon (Eds.), *Qualitative methods in organizational research: a practical guide* (pp. 208-229). London: Sage.

122.   Harvey, L., & Knight, P. T. (1996). *Transforming higher education*. Buckingham: SHRE and Open University Press.

123.   Hayes, N. (Ed.). (1998). *Doing qualitative analysis in psychology*. Hove, UK: Psychological Press.

124.   Hayes, N. (2000). *Doing psychological research*. Buckingham, UK: Open University Press.

125.   HEFCE (1995). *Review of higher education: submission by the higher education funding council for England.*: Higher Education Funding Council for England.

126.   HEFCE. (2000a). Rewarding and developing staff in higher education: consultation, 00/56. London: Higher Education Funding Council for England.

127.   HEFCE. (2000B). Fund for the development of good management practice: invitation to bid 2000-01. London: Higher Education Funding Council for England.

128.   HEFCE. (2001). Rewarding and developing staff in higher education: invitation to apply. HEFCE 01/16. London: Higher Education Funding Council for England.

129. HEFCE. (2002). Rewarding and developing staff in higher education: outcome of phase two, HEFCE 2002/45. London: Higher Education Funding Council for England.

130. Henkel, M. (2002). Emerging concepts of academic leadership and their implications for intra-institutional roles and relationships in higher education. *European journal of education, 37*(1), 29-41.

131. HEQC. (1993). Investors in People survey. London: Higher Education Quality Council.

132. HEQC. (1994). *University of 'Summertown' Quality Audit Report.* London: Higher Education Quality Council.

133. HEQC. (1994). *Guidelines on quality assurance.* London: Higher Education Quality Council.

134. HEQC. (1994). Investors in People network directory. London: Higher Education Quality Council.

135. HEQC. (1995). *University of 'Summertown' Quality Audit Report: Collaborative Provision.* London: Higher Education Quality Council.

136. Heritage, J. (1984). *Garfinkel and enthomethodology.* Cambridge: Polity.

137. HESA. (2000). *Table 1 all students at UK HE institutions by domicile, level of course, mode of study and institution 1997/98.* London: Higher Education Statistical Agency.

138. HESA. (2001). *1999/00 Higher education finance and staff figures.* London: Higher Education Statistical Agency.

139. HESDA. (2001a). *Higher Education Staff Development Agency.* Available form: http://www.shef.ac.uk/hesda/nation/iipsup.html (20/07/01).

140. HESDA. (2001b). *Investors in People in HE: HESDA support and services for UK Higher Education 2001.* http://www.shef.ac.uk.ucosda/pages/iip/iipsup.html (16/03/01)

141. HESDA. (2001c). *Current HESDA members.* Available from: http://www.hesda.org.uk/about/hesdam.html (11/12/01).

142. HESDA. (2001d). *Higher education: sector workforce development plan.* Sheffield: HESDA.

143. HESDA. (2001e). *Investors in people in HE - Directory.* Available from: http://www.shef.ac.uk/hesda/nation/tables.htm (21/07/01).

144.   HESDA. (2001f). *Higher education recognition.* Available from :
       http://www.shef.ac.uk/hesda/nation/recogn.htm (20/07/01).

145.   HESDA. (2001g). *Investors in people in higher education* (2nd ed.). Sheffield:
       Higher Education Staff Development Agency.

146.   Hill, R., & Stewart, J. (1999). Investors in People in small organisations:
       learning to stay the course? *Journal of European Industrial Training, 23*(6), 286-
       299.

147.   Hillage, J. (1996). Investing in people. *Modern Management, 10*(1), 12-14.

148.   Hobby, J. (1995, 6 June). Investor's chronicle. *Personnel today, 35.*

149.   Hodder, A. (1998). The interpretation of documents and material culture. In N.
       Denzin & Y. Lincoln (Eds.), *Collecting and interpreting qualitative materials*
       (pp. 110-129). London: Sage.

150.   Holloway, I. (1997). *Basic concepts for qualitative research.* London: Blackwell
       Science.

151.   Hoque, K. (2001, 30th of March, 2001). *All in all, it's just another plaque on the
       wall. The incidence and impact of the Investors in People standard.* Paper
       presented at the WERS98 User group.

152.   House, D., & Watson, D. (1995). Managing change. In E. Crosthwaite & D.
       Warner (Eds.), *Human resource management in higher and further education*
       (pp. 7-19). Buckingham, UK: Society for Research into Higher Education.

153.   Hughes, D. (1997). *Appraisal in UK Universities and Colleges UCoSDA's 1997
       survey.*: UCoSDA Briefing paper 52.

154.   Industrial Relations Services. (1994). *Industrial relations employee development
       bulletin* (Vol. Bulletin no.52). London: The industrial relations services.

155.   Industrial Relations Services. (1998). *Investors in people - the employee view.*
       London: Industrial Relations Services.

156.   Industrial Relations Services. (2000). Investors in People: more process than
       profit. *Employee Development Bulletin, 127,* 5-16.

157.   Investors in People UK. (1996). *The revised indicators: advice and guidance for
       practitioners* (IIP91). London: Investors in people (UK).

158.   Investors in People UK. (1998). *Organisation recognition strategies: guidance
       notes.* London: Investors in People UK.

159.   Investors in People UK. (1999). *Draft revised investors in people standard.*
       http//www.iipuk.co.uk/iip/stad.htm (30/05/00).

160. Investors in People UK. (2000). *An introduction to Investors in people (IIP64D)*. London: Investors in People UK.

161. Investors in People UK. (2001a). *Investors in People UK- Management Report*. Http://www.iipuk.co.uk/mediainformation/pressreleases (20/01/02).

162. Investors in People UK. (2001b). Benefits of being an investor in people. http://iipuk.co.uk/thestandard/benefits.asp (19/01/02).

163. Investors in People UK. (2001c). The development of investors in people. http://iip.co.uk/library/development (19/01/02).

164. Investors in People UK. (2001d, December). Investors in people: where it came from. *Raising the Standard, 1*, 11.

165. Investors in People UK. (2001e). *Raising the Standard*. London: IiP UK.

166. Investors in People UK. (2001f). *The investors in people standard*. Available from: http://iipuk.co.uk/thestandard/default.htm (8/28/01)

167. Investors in People UK. (2002). *Investors in people fast facts*. Available from: http://www.iipuk.co.uk/mediainformation/fastfacts (19/01/02).

168. Irving, A. (1997). *Is the Science Faculty ready for the award of IiP?* Unpublished MSc, University of Summertown, Summertown.

169. Irving, A. (1999). *Policy decision making at the University of Summertown*. Unpublished manuscript, Southampton.

170. Jarratt, A. (1985). *Report of the steering committee on efficiency studies in Universities*. London: CVCP.

171. Jary, D., & Parker, M. (1998). The new higher education - dilemmas and directions for the post -dearing university. In D. Jary & M. Parker (Eds.), *The new higher education: issues and directions for the post-dearing university* (pp. 3-26). Stoke -on-Trent: Staffordford University Press.

172. Keep, E., & Sisson, K. (1992). Owning the problem: personnel isues in higher education policy-making in the 1990s. *Oxford Review of Economic Policy, 8*(2), 67-78.

173. Kelle, U. (1995). Introduction: An overview of computer-aided methods in qualitative research. In U. P. Kelle, G. & Bird, K. (Ed.), *Computer-aided qualitative data analysis: theory, methods and practice* (pp. 1-17). London: Sage.

174. Kelly, U., Marsh, R., & McNicoll, I. (2002). *The impact of higher education on the UK economy*. London: Universities UK.

175. Knowles, D. (2001). Secretary of state highlights critical value of investors in people for UK productivity. *Investors in people UK press release*.

176. Kvale, S. (1996). *Interviews: an introduction to qualitative research interviewing*. Thousand Oaks, Cal., USA: Sage.

177. Latchem, C., & Hanna, D. (2001). Developing an enterpreneurial culture. In C. Latchem & D. Hanna (Eds.), *Leadership for the 21st century learning: global perspectives for educational innovators*. London: Kogan Page.

178. Librarian, T. (1998). *Bibliographic references: APA format*. Portsmouth: University of Portsmouth.

179. Littlefield, D. (1995). New campaign to raise profile of IiP standard. *People Management, 1*(19), 13.

180. Lumby, J., & Tomlinson, H. (2000). Principals speaking: managerialism and leadership in further education. *Research in post compulsory education, 5*(2), 139-151.

181. Lynne, D. (2001). Robert Gordon University, *Investing in people in higher education*. Sheffield: Higher Education Staff Development Agency.

182. MacDonald, B., & Walker, R. (1975). Case study and the social philosophy of educational research. *Cambridge Journal of Education, 5*, 2-11.

183. MacFarlane, A. (1995). Future patterns of teaching and learning. In T. Schuller (Ed.), *The changing university?* (pp. 52-65). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

184. Mackie, D. (1990). Personnel's role on campus. *Personnel Management, May*, 54-59.

185. Mahoney, C. (2000). Firms fail to see how IIP boosts profits. *People Management* (3 August), 8-9.

186. Manpower Commission. (1984). *Competence and competition*. London: HMSO.

187. Marchington, M., & Wilkinson, A. (1996). *Core personnel and development*. London: Institute of Personnel and Development.

188. Mason, D. (1995). *Investors in People: a guide to achieving the standard*. Hitchen, UK: Technical Communications (Publishing) Ltd.

189. Matheson, C. (1981). *Staff development matters: academic staff training and development in universities of the United Kingdom 1961-1981*. London: Co-ordinating Committee for the Training of University Teachers.

190. McCall, A., & Bayne, K. (2002). *The Sunday Times University Guide.* Available from: http://www.sunday-times.co.uk/universityguide (15/09/02).

191. McGoldrick, J., Stewart, J., & Watson, S. (2000). *Understanding human resource development: a research approach.* London: Routledge

192. McNay, I. (1996). From the collegial academy to corporate enterprise: the changing cultures of universities. In T. Schuller (Ed.), *The changing university?* (pp. 105 - 115). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

193. McVicar, M. (1995). Staff development plan. Unpublished: University of Summertown.

194. McVicar, M. (1996). University Strategic Plan: Further Education. Unpublished: University of Summertown.

195. McVicar, M. (1996). University Strategic Plan. Unpublished: University of Summertown.

196. McVicar, M. (1996). Further Education Strategy. Unpublished: University of Summertown.

197. Merriam, S. J. (1988). *Case study research in education.* San Francisco: Jossey Bass.

198. Middlehurst, R. (1993). *Leading academics.* Buckingham: Society for Research into Higher Education and the Open University Press.

199. Middlehurst, R. (1995). Changing leadership in universities. In T. Schuller (Ed.), *The changing university.* Buckingham: Society for Research in Higher Education and the Open University Press.

200. Miles, M., & Huberman, A. M. (1994). *Qualitative data analysis.* Thousand Oaks, Cal.: Sage.

201. Miller, A., Bradford, I., & Cox, K. (1998). *Student assessment in higher education.* London: Kogan Page.

202. Miller, H. (1998). Managing academics in Canada and the United Kingdom. *International studies in sociology of education.* 8(1), 3-24.

203. Miller, P. (1991). A strategic look at management development. *Personnel Management*(August), 45-47.

204. Mintzberg, H., & Quinn, J. M. (1991). *The strategy process: concepts, contexts, cases.* New Jersey: Prentice-Hall.

205. Morris, E. (2001). Press release: secretary of state highlights critical value of investors in people for UK productivity. http://www.iipuk.co.uk/mediainformation/pressreleases2001/30102001.asp (25/01/02).

206. Murdoch, J., & Barnes, J. A. (1974). *Statistical tables: for science, engineering, management and business studies* (2nd ed.). London: Macmillan.

207. Murlis, H., & Hartle, F. (1996). Does it pay to work in universities? In R. Cuthbert (Ed.), *Working in higher education* (pp. 46-57). Buckingham, UK: Society for Research into Higher Education and Open University Press.

208. National Committee Of Inquiry Into Higher Education (NCIHE). (1997). *Higher education in the learning society*. London: HMSO.

209. Nicholson, B. (1989). *Towards a skills revolution*. London: Confederation of British Industry.

210. NISS. (2001). *UK HE Institutions*. Available from: Http://www.niss.ac.uk/sites/he-cis.html (13/11/01).

211. NIST. (2002). *Frequently asked questions and answers about the Malcolm Baldridge national quality awards*. Available from: Http://www.nist.gov/public_affairs/factsheet/baldfaqa.htm (25/04/02).

212. NOP World. (2001). *People and productivity*. Available from: http//www.iipuk.co.uk/library/researchdirectory (20/01/01)

213. Office for Public Management. (2002). *Rewarding and developing staff in higher education: a guide to good practice*. London: HEFCE

214. Owen, M. (1997). Merits of investors in people debated. *People Management, Feb.*, 69.

215. P A Consulting. (2000). Better accountability for higher education. London: PA Consulting and HEFCE.

216. Palfreyman, D., & Warner, D. (2000a). *Higher education management: the key elements*. Buckingham, UK: Society for Research into Higher Education.

217. Palfreyman, D., & Warner, D. (2000b). Setting the scene. In D. Palfreyman & D. Warner (Eds.), *Higher education management: the key elements* (pp. 1-15). Buckingham, UK: Society for Research into Higher Education.

218. Parker, E. G. (1994). *Investors in people- higher education*. Portsmouth: University of Portsmouth.

219. Parlett, M. (1980). Training for case-study research and evaluation. In H. Simons (Ed.), *Towards the science of the singular* (Vol. 10, pp. 240-251). Norwich: CARE, UEA.

220. Paterson, A. (1998). Investors in people: the Exeter experience. *SCONUL Newsletter, 13*(Spring), 24-28.

221. Peart, M. (1999). *Understanding investors in people in a week*. Abingdon, UK: Hodder & Stoughton.

222. Pickard, J. (1992). IIP status - is it a wise investment? *Personnel Management, 10,* 63-67.

223. Porteous, M. (1997). *Occupational psychology*. Hemel Hampstead: Prentice Hall.

224. Potter, J., & Wetherell, M. (1987). *Discourse and Social Psychology*. London: Sage.

225. Prais, S., & Steedman, H. (1986). Vocational training in France and Britain. *National Institute Economic Review, 116*(May), 45-56.

226. Prais, S., & Wagner, K. (1988). Productivity and management: the training of foreman in Britain and Germany. *National Institute Economic Review, 123,* 34-47.

227. Presdee, M. (2001). Heart of academic continues to beat. *The Times Higher,* pp. 14.

228. Punch, K. (1998). *Introduction to social research: quantitative and qualitative approaches*. London: Sage.

229. QAA. (1998). Investors in people in higher education. *Higher Quality, 1*(3), 24.

230. Rainbird. (2000). *Training in the workplace*. Basingstoke: Macmillan.

231. Rajun, A., Chapple, K., & Eupen, P. v. (1999). *Building Capability for the 21st Century*. London: Centre for research in employment and technology in Europe and Investors in People UK.

232. Ram, M. (2000). Investors in people in small firms: case study evidence from the business sector. *Personnel review, 29*(1), 69-91.

233. Ramsden, B. (1996). Acadmic staff: information and data. In R. Cuthbert (Ed.), *Working in higher education* (pp. 23-33). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

234. Read, T. (1997). Minutes of Academic Policy Committee. Unpublished: University of Summertown.

235. Reid, M. A., & Barrington, H. (1999). *Training interventions: promoting learning opportunities* (6th ed.). London: Institute of Personnel and Development.

236. Remenyi, D., Williams, B., Money, A., & Swartz, E. (1998). *Doing research in business and management: an introduction to process and method.* London: Sage.

237. Richardson, J. (Ed.). (1996). *Handbook of qualitative research methods for psychology and social sciences.* Leicester, UK: British Psychological Society.

238. Riessman, C. (1993). *Narrative analysis.* Newbury Park: Sage.

239. Rigby, G. (1996). Funding a changing system. In T. Schuller (Ed.), *The Changing University* (pp. 139 - 149). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

240. Rix, A., Parkinson, R., & Gaunt, R. (1994). *Investors in people: a qualitative study of employers.* Sheffield: Research Management Branch, Employment Department, HMSO.

241. Robson, C. (1993). *Real world research: a resource for social scientists and practitioner researchers.* Oxford: Blackwell.

242. Rogers, A. (1996). Must try harder. *Training* (June), 13-14.

243. Rossman, G., & Wilson, B. (1985). Numbers and words: combining quantitative and qualitative methods in a single largescale evaluation study. *Evaluation Review, 9*(5), 627-643.

244. Rossman, G. B., & Wilson, B. L. (1991). Numbers and words revisited: being "shamelessly eclectic". *Evaluation Review, 9*(5), 627-643.

245. Royal Society. (1998). *Technical and research support in the modern laboratory.* London: Royal Society.

246. Rubin, H. J., & Rubin, I. S. (1995). *Qualitative Interviewing: the art of hearing data.* Thousand Oaks, Cal., USA: Sage.

247. Russian, P. (2001). *Investors in People - what next?* London: Investors in People UK.

248. Sale, J. (1998). Investors in people: a tool for improvement. *Managing schools today* (October), 38-39.

249. Sale, J. (1998). The interrogation principle: how investors in people really works. *Managing schools today* (November/December), 48-49.

250.   Sawbridge, M. (1996). *The Politics and organisational complexity of staff development for academics: a discussion paper*. Sheffield: UCoSDA, Occasional Green Paper No. 14.

251.   Schuller, T. (1991). Reassessing the future. In T. Schuller (Ed.), *The future of higher education* (pp. 1-21). Buckingham, UK: Society for Research in Higher Education and Open University Press.

252.   Seidel, J., & Kelle, U. (1995). Different functions of coding in the analysis of textual data. In U. Kelle (Ed.), *Computer-aided qualative data analysis: theory methods and practice* (pp. 52-79). London: Sage.

253.   Seidel, J. K., U. (1995). Different functions of coding in the analysis of textual data. In U. Kelle (Ed.), *Computer-aided qualitative data analysis: theory, methods and practice* (pp. 52-79). London: Sage.

254.   Shattock, M., & Williams, G. (2001, 23 February). Why we ... believe higher edcuation needs better management. *Times Higher Educational Supplement*, 12.

255.   Siegel, S., & Castellan Jr., N. J. (1988). *Non parametric statistics for the behavioural sciences* (2nd ed.). Singapore: McGraw-Hill International.

256.   Silverman, D. (1995). *Interpreting qualitative data: methods for analysing talk, text and interaction*. London: Sage.

257.   Simons, H. (1980). Case study in the context of educational research and evaluation. In H. Simons (Ed.), *Towards a science of the singular* (Vol. 10, pp. 1-14). Norwich: CARE, UEA.

258.   Simons, H. (1996). The paradox of the case study. *Cambridge Journal of Education, 26*(2), 225-240.

259.   Smith, P. (2000). Implementing investors in people: a case study from the NHS. *Journal of European Industrial Training, 24*(5), 275-280.

260.   Society, B. P. (1991). *Code of conduct, ethical principles and guidelines* (vol. 29). Leicester: BPS (mimeo). 29.

261.   Southern, L. (1986). Government-University relations: IMB or no IMB? a Comparative view of Alberta and British Columbia. *Canadian Journal of Higher Education, 15*(2), 75-89.

262.   Spilsbury, M., Moralee, J., Frost, D., & Hillage, J. (1995). *Evaluation of Investors in People in England and Wales*. Research report 263. Sheffield: Brighton: Institute of Employment Studies.

263.   Sporn, B. (1996). Managing university culture: an analysis of the relationship between institutional culture and management approaches. *Higher Education, 32*, 41-61.

264. Stake, R. (1980). The case study method in social inquiry. In H. Simons (Ed.), *Towards the science of the singular* (Vol. 10, pp. 64-75). Norwich: CARE, UEA.

265. Stake, R. (1994). Case studies. In N. Denzin & Y. Lincoln (Eds.), *Handbook of qualitative research* (pp. 236-247). London: Sage.

266. Stake, R. (1995). *The art of case study research*. London: Sage.

267. Steedman, H., & Wagner, K. (1987). A second look at productivity. machinery and skills in Britain and Germany. *National Institute Economic Review, 122*(December), 84-95.

268. Stenhouse, L. (1988). Case study methods. In J. P. Keeves (Ed.), *Educational research, methodology and measurement: an international handbook* (pp. 49-53). Oxford: Peramon.

269. Stratton, P. (1998). Attributional coding of interview data: meeting the needs of long haul passengers. In N. Hayes (Ed.), *Doing qualitative analysis in psychology*. Hove, UK: Psychology Press.

270. Stubbs, W. (1991). Governance and sectoral differentiation. In T. Schuller (Ed.), *The future of higher education*. Buckingham: Society for Research into Higher Education and Open University Press.

271. Tamkin, P., Hillage, J., Cummings, J., Bates, P., Barber, L., & Tackey, N. (1999). Doing business better: the long terms impact of investors in people. Brighton: Institute for employment studies.

272. Taylor, J., & Parkinson, S. T. (1998). An assessment and analysis of investors in people in Northern Ireland organisations. *Total Quality Management, 9*(2&3), 347-355.

273. Taylor, P., & Thackwray, B. (1996). *Investors in people explained*. London: Kogan Page.

274. Taylor, P., & Thackwray, B. (1999). *Investors in people maintained*. London: Kogan Page.

275. Thackwray, B. (1995). *Investors in People Network News*. Sheffield: UCoSDA.

276. Thackwray, B. (1996). *Investors in people: the revised indicators explained and guidance on issues of autonomy and authority*. Sheffield: UCoSDA, Briefing Paper 33.

277. Thackwray, B. (1998). The investors in people initiative and its implications for support staff in higher education. In J. Doidge & B. Hardwick & J. Wilkinson (Eds.), *Developing support and allied staff in higher education*. London: Kogan Page.

278. Thackwray, B. (1998a). *Investors in people in higher education: an update*. Sheffield: UCoSDA, Briefing Paper 59.

279. Thackwray, B. (1998b). *Investors in people in higher education: briefing*. Warwick: UCoSDA Conference.

280. Thackwray, B. (2000). *The 'new' national investors in people standard*. London: UCoSDA briefing paper 78.

281. Thackwray, B., & Hamblin, H. (1995). Investors in people in higher education: progress report. Sheffield: UCoSDA and HEQC.

282. The Further and Higher Education Act 1992. London: Department for Education, HMSO.

283. Thomson, A. (2002, 21 June). Dynamic sector demands respect. *The Times Higher Educational Supplement*. 7.

284. Thorne, M., & Cuthbert, R. (1996). Autonomy, bureaucracy and competition: the ABC of control in higher education. In R. Cuthbert (Ed.), *Working in higher education* (pp. 171-193). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

285. Torrington, D., & Hall, L. (1995). *Personnel management* (3rd ed.). Hemel Hampstead: Prentice Hall.

286. Training for Employment 1988. London: Department of Employment, HMSO.

287. Training in Britain: a study of funding, activity and attitudes 1989. London: Training Agency, HMSO.

288. Trow, M. (1989). The Robbins trap: British attitudes and the limits to expansion. *Higher Education Quarterly, 43*(1), 55-75.

289. Trowler, P. (1998). What managerialists forget: higher education credit framework s and management ideology. *International studies in sociology of education, 8*(1), 91-110.

290. UCoSDA. (1996). The professional development of academic staff in their role as teachers. Sheffield: Universities and Colleges Staff Development Agency with the University of Ulster.

291. UCoSDA. (2001). Investors in people in HE: HESDA support and services for UK Higher Education 2001. Available from: Http://www.shef.ac.uk/ucosda/pages/iip/iipsup.html (26/03/01).

292. UCoSDA Task Force Four. (1994a). *Approaches towards the improvement of support/allied staff development*. Occasional Green Paper No. 7. Sheffield: Universities Staff Development Unit.

293. UCoSDA Task Force Five. (1994b). Continuing professional development (CPD) for staff in higher education: informing strategic thinking. Occasional Green Paper No. 10. Sheffield: Universities Staff Development Unit.

294. UCoSDA Task Force One. (1994c). *Higher education and leadership: towards a national framework for preparation and development*. Occasional Green paper No. 9. Sheffield: Universities Staff Development Unit.

295. UCoSDA Task Force Two. (1994d). *Staff development for teaching and learning: towards a coherent and comprehensive approach. Occasional Green Paper No. 8*. Sheffield: Universities Staff Development Unit.

296. University of Southampton. (2001). *Doctorate in Education: 2001-2002 student handbook*. Southampton: University of Southampton.

297. University of Summertown. (1995). Staff development policy. Summertown: University of Summertown.

298. University of Summertown. (1997). Minutes of the January meeting of Academic Policy Committee. Unpublished: University of Summertown.

299. Utley, A. (2001, 20/7/01). Outbreak of 'new managerialism' infects faculties. *Times Higher Educational Supplement*, pp. 7.

300. Wagner, L. (1996). A thirty-year perspective: from the sixties to the nineties. In T. Schuller (Ed.), *The changing University?* (pp. 15 -24). Buckingham, UK: Society for Research into Higher Education and the Open University Press.

301. Walker, R. (1974). The conduct of educational case study: ethics, theory and procedures. In B. MacDonald (Ed.), *Safari: innovation, evaluation, research and the problem of control*. Norwich: CARE, University of East Anglia.

302. Walker, R. (1980). Making sense and losing meaning: problems of selection in doing case study. In H. Simons (Ed.), *Towards a science of the singular* (Vol. 10, pp. 224-235). Norwich: CARE, UEA.

303. Walker, R. (1983). Three good reasons or not doing case studies in curriculum research. *Journal of Curriculum Studies, 15*(2), 155-165.

304. Warner, D., & Crosthwaite, E. (1992). Human resource management in higher education. *Current Business Research, 1*(3), 48-70.

305. Watson, D. (1998). The limits to diversity. In D. Jary & M. Parker (Eds.), *The new higher education: issues and directions for the post-Dearing university* (pp. 65-81). Stoke-on-Trent: Staffordshire University Press.

306. Webb, G. (1996a). Theories of staff development: development and understanding. *The International Journal for Academic Development, 1*(1), 63-69.

307. Webb, G. (1996b). *Understanding staff development*. Buckingham, UK: Society for Research into Higher Education and Open University Press.

308. Webb, G. (1996c). Theories of staff development: progress and power. *The International Journal for Academic Development, 1*(2), 59-66.

309. Weick, K. (1976). Educational organisations as loosely-coupled systems. *Administrative Science Quarterly, 21*(1), 1-19.

310. West, M., Smith, H., Feng, W., & Lawthorn, R. (1998). Research excellence and departmental climate in British universities. *Journal of Occupational and Organizational Psychology, 71*, 261-281.

311. Whiteley, T. (1993). *Investors in people*. Sheffield: The Universities' Staff Development Unit.

312. Wilkinson, J. (1995). *Approaches towards the improvement of support / allied staff development*. Briefing paper 15 .Sheffield: UCoSDA.

313. Williams, D., & Triller, F. (2000). *Sharing experiences of IiP assessment*. Briefing paper 79, Sheffield: UCoSDA.

314. Wright, N. (2001). Leadership, 'bastard leadership' and managerialism. *Educational management and administration, 29*(3), 275-290.

315. Yin, R. K. (1981). The case study crisis: some answers. *Administrative Science Quarterly, 26*, 58-65.

316. Yin, R. K. (1993). *Applications of case study research*. London: Sage.

317. Yin, R. K. (1994). *Case study research: design and methods* (2nd ed.). Thousand Oaks, Cal.: Sage.