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UNIVERSITY OF SOUTHAMPTON

FACULTY OF LAW, ARTS AND SOCIAL SCIENCES

**CENTRE FOR HIGHER EDUCATION MANAGEMENT AND
POLICY AT SOUTHAMPTON**

School of Management

**Academic staff's career pathway design in English
pre-1992 Universities**

Contemporary evolution or systematic de-construction of Homo Academicus?

by

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Thesis for the Degree of Doctor of Philosophy

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UNIVERSITY OF SOUTHAMPTON

ABSTRACT

FACULTY OF LAW, ARTS AND SOCIAL SCIENCES SCHOOL OF MANAGEMENT

Doctor of Philosophy

ACADEMIC CAREER PATHWAY DESIGN IN ENGLISH PRE-1992
UNIVERSITIES

By Anthony John Strike

In twenty-first century England, the emerging knowledge economy requires educated workers and the creation of new knowledge to fuel economic growth. The extension of opportunities in higher education is critical to social equity. Pressures of marketisation, massification and globalisation add to an agenda for change. For Universities to succeed in this pressurised environment, the response of academic staff – the most important resource in any institution – is critical. Against this background, there has been an emphasis from policy bodies and Universities on the need to improve the management of human resources.

This research intended to describe what new academic career models were emerging, using field research through case studies. The research sought to examine a sample of higher education institutions' promotion procedures and interview the authors of those documents. Having understood the formal context, examine through interviews the social reality of academics following careers in higher education. Using this inductive data, it was intended to generate possible career models to extrapolate, deductively using a survey questionnaire, to all English pre-1992 universities, the usage of the emergent models. Finally, explanations were sought for the models using statistical analysis, including secondary data.

It was found that academic career models were localised, diversified and inclusive; differentially recognising variant contributions through new career routes. These career paths seemed to provide educationalists and researchers an opportunity to participate on equal terms with those following traditional careers.

This conclusion seemed attractive as it recognised the changes observed and viewed them as institutionally strategic and academically benign. However, the trend towards a management-led division of academic labour, basing jobs on elements of a work process, tended to fractionalise the academic role and did not correlate with rank. This specialisation may represent the de-construction, or de-mystification, of the craft of academia by managers without clear performance gains. If what was observed was a varied occupation being broken down into describable elements, then what this study observed was the start of the destruction, rather than the evolution, of the craft profession that was academia. It was not clear the observed fractionalisation of academic roles, breaking apart the research-teaching nexus, was beneficial to the profession.

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Authors Declaration

I, Anthony John Strike, declare that the following thesis entitled

‘Academic staff’s career pathway design in English pre-1992 Universities’

and the work presented in it are my own and have been generated by me as a result of my own original research. I confirm that:

- this work was conducted wholly while I was registered in candidature as a post-graduate student for a research degree at this University;
- no part of this thesis has previously been submitted for a degree or any other qualification at this University or any other institution;
- where I have consulted the published work of others, this is always clearly attributed;
- where I have quoted from the work of others, the source is always given;
- with the exception of such quotations, this thesis is entirely my own work;
- I have acknowledged all main sources of help;
- Work from this thesis has been accepted for publication as follows;
Strike,T. and Taylor, J. (April 2009) ‘The Career Perceptions of Academic Staff and Human Resource Discourses in English Higher Education’ *Higher Education Quarterly* and Strike,T. (2009) ‘Evolving English Academic Career Pathways’ in *Academic and Professional Identities in Higher Education: The Challenges of a Diversifying Workforce*, Ed. Gordon,G. and Whitchurch, C., Routledge (in print.)

Signed:

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I would like to thank the interviewees who spared the time to speak to me.

Dedication

To my dear friend, Juan Carlos Valer, who showed the way – as on the Camino.

To my wife Caroline, for patiently appreciating the many hours spent making only a little progress. Thank-you.

Index of Abbreviations Used

AUT	Association of University Teachers (now UCU)
CAE	College of Advanced Education
CEO	Chief Executive Officer
CETL	Centres for Excellence in Teaching and Learning
CVCP	Committee of Vice Chancellors and Principals (now Universities UK)
DES	Department for Education and Skills
ECU	Equality Challenge Unit
EU	European Union
FTE	Full Time Equivalent
HE	Higher Education
HEA	Higher Education Academy
HEI	Higher Education Institution
HEIF	Higher Education Innovation Funds
HEFC	Higher Education Funding Council
HEFCE	Higher Education Funding Council for England
HERA	Higher Education Role Analysis
HESA	Higher Education Statistics Agency
HR	Human Resources
HRD	Human Resources Director
HRM	Human Resources Management
JNCHES	Joint Negotiating Committee for Higher Education Staff
LFHE	Leadership Foundation for Higher Education
NHS	National Health Service
NISR	New Individualised Staff Return
NSS	National Student Survey
OECD	Organisation for Economic Cooperation and Development
PCFC	Polytechnics and Colleges Funding Council
PhD	Doctorate of Philosophy
RAE	Research Assessment Exercise
R&DS	Rewarding and Developing Staff
RDSI	Rewarding and Developing Staff Initiative

RC	Research Council
RG	Russell Group
SRIF	Strategic Research Infrastructure Fund
SPSS	Statistical Package for the Social Sciences
THES	Times Higher Educational Supplement
TQEF	Teaching Quality Enhancement Fund
UCEA	University and Colleges Employers Association
UCU	University and Colleges Union
UFC	University Funding Council
UGC	University Grants Committee
UK	United Kingdom
UPA	Universities Personnel Association
UUK	Universities UK
VC	Vice Chancellor

Chapter One

The Research Context

Chapter One

The Research Context

A Starting Point

Personal Perspective

The historical English National Policy Context for Human Resources Management

Evolutionary Differentiation in Academic Careers

A New Model Predicted

Points of Continuity

Academics as Rational Beings

The Impact outside of England

Field and Habitus

This chapter set out the author's frame of reference, explaining the professional world he occupied, his motivation for commencing this research, what he expected to find and its perceived importance.

Chapter One: The Research Context

'The structure of the university field is only, at any moment in time, the state of the power relations between the agents or, more precisely, between the powers they wield in their own right and above all through the institutions to which they belong; positions held in this structure are what motivate strategies aiming to transform it, or to preserve it by modifying or maintaining the relative forces of the different powers, that is, in other words, the systems of equivalence established between the different kinds of capital.'

(Bourdieu 1988, p. 128)

A Starting Point

This is a social study of English academics. More specifically, it is a study of academics' career structures in the elite universities where they work. The study is rhetorically sub-titled 'Contemporary evolution or systematic deconstruction of Homo Academicus?' This was done partly out of respect for the influence of Pierre Bourdieu, whose ideas in the book 'Homo Academicus' (Bourdieu 1988) echo through the thesis and partly because the answer to the question depends crucially on the point of view of the interested reader.

The author was, at the time the research was conducted, a practitioner in an occupation, human resources in higher education, and a part-time researcher (Tight 1991) in the same field of activity, higher education management. Being part-time meant the author was employed, had a young family to support and was committed to community activities (Tight 1991, p.2) which framed his attitude to the research programme as professional and developmental. The practitioner-researcher (Jarvis 1999) is also a particular kind of researcher. This research project was not, however, self-reflective on the author's own professional practice. This was not a reflective practice or action research project. Rather, it was research which intended to discover something new about the professional world of which the author was then a part, as experienced and inhabited by himself and others.

In the scientific hypothetico-deductive method, this thesis might have started with a hypothesis and proposed to seek facts to prove or disprove that hypothesis. If proven, the thesis might then have argued the proven hypothesis was a rule or convention capable of some level of generalisation. The intention of this study was, by contrast, in the first phase to collect information from a sample population, in depth, in a planned and systematic way and to analyse what was collected in order to observe what emerged from it. This was a process of discovery through exploration. Then it was intended to develop explanatory models or theories which appeared to fit the data. This approach defined the first phase of the research as inductive rather than deductive, from practice to theory rather than the other way around. Explanation and theory were fashioned from the research data and so it could be characterised as grounded theorising. Secondly, it was intended to test the validity of the emergent models or theories coming from the sample for their more general application to the whole population. The second phase was deductive and so the project was, therefore, mixed method by design. The first part was qualitative and inductive and the second following part was quantitative and deductive, seeking to corroborate what emerged from the first. Both phases were grounded in empirical data. This design is discussed in more detail in the research methodology in Chapter Three.

The aim was to carry out empirical work which hadn't been done before and to produce representational models of academic careers, which appeared not to exist, in order to describe the current reality. Without an understanding of the extant career paths academics were following, it was not possible for participant academics, institutions or national policy makers to have an informed debate about the desirability of the direction of change. The final chapter presents recommendations and conclusions intended to inform and prompt such a debate, based in research findings.

McInnis found, from the individual academic perspective in Australia, that 'the perceived importance attached to particular functions by the promotion reward system shapes everyday patterns of work, career planning, and, in turn, influences levels of satisfaction...' (McInnes 2000, p.126) Coaldrake and Steadman noted that institutions' capacity for greater performance was 'greatly

limited by the current practices of employment.’ (1999, p.24) Individuals, institutions and sector bodies should be concerned about academic career design if they are concerned about the performance of the nation’s engines of knowledge, our great universities.

Recognising there can be no such thing as unbiased observation; the author had to set out, at the outset, his expectations for the outcome and his motivation for choosing the particular study for research. This personal, starting expectation was not, however, intended to form the basis for later deductive argument. Exposing where the author was coming from was intended to be reflexive and not propositional, not trying to disown preconceived ideas developed while living the practitioner role, nor trying to prove them. It was accepted that the research results in phase one were going to be unpredictable. The following context, therefore, aimed to establish the starting frame of reference in which the author selected the research topic and what he expected to find. As Jarvis (1999, p.132) stated ‘...practitioners seem to have two forms of theory: espoused theory and theory in use.’ He suggested:

‘The point is that professionals’ way of knowing is a dialectical movement from action to reflection, in a continuing loop. It is a process of knowing, and what practitioners have learned is their own knowledge.’ (p. 133)

The following description provides the social construct within which the author started and his assumptions which led to the research proposal.

Personal Perspective

The author of this thesis was, at the outset of this research, a Human Resources Director in Higher Education and had in 2004 been implementing a new pay framework into the University in which he worked. This meant defining the number of grade levels, the titles and seniority criteria for academic staff. It had been said that such institutional strategies were impacting on academic roles and career paths (Gordon 2003), but this was suggested as adaptive and evolutionary

by Henkel (2002 p.144) as ‘the stabilities and continuities in academic identities remained strong.’

The author contributed to a Russell Group (RG) paper in 2003/4 on academic careers (see page 37 and Appendix One) and later presented a paper at an Organisation for Economic Development and Co-operation (OECD) Conference in Paris in 2005. He suggested that, in England, pre-1992 universities (defined later, on page 90) were witnessing the early stages of a step change towards greater diversification, fractionalisation, specialisation and differentiation of academic functions. This accelerated change was described by the author as the product of a booster effect created by the combination of national policy and employee relations agreements. He then received a Fellowship from the Leadership Foundation for Higher Education for 2006 to examine and map changing academic career pathways. It was intended in this study to demonstrate whether academic careers were changing (or not), and to find an understanding of these changes which, if found, went beyond simple description. It was this personal history which led to the research proposal for a PhD.

Studying academics was perceived as important. As Dreijmanis (2004) had stated:

‘...academics are a significant investment in any country’s human resources. They produce much of the research, knowledge and high level manpower on which any advanced society depends. Their activities have far reaching individual, socio-economic and political consequences.’ (p.59)

Understanding academic careers was, of course, important to academics themselves. Blaxter, Hughes and Tight (2001) stated:

‘To enjoy some success in any career, however success might be defined, requires a broad understanding of the working environment and a more detailed appreciation of particular aspects of it. This is doubly important at a time when careers are changing rapidly. Even in order to survive, academics require an awareness of trends and changing practices.’ (p. 3)

Through a deliberately varied sample of six English pre-1992 universities, it was intended to collect data to enable new understandings about emerging academic career paths which may have replaced the extant concept of a traditional linear and hierarchical academic career ladder (see Appendix One.) Pre-1992 University grading structures were a shared characteristic between the institutions; running through Lecturer A, Lecturer B, Senior Lecturer and Reader (except at Oxford) to Professor.

The author started out in agreement with Henkel (2002 p.137) that ‘the concept of identity has been of central symbolic and instrumental significance, both in the lives of individual academics and in the workings of the academic profession.’ The commonly held or socially asserted view of who was an academic and who was not, a shared sense of level and status and recognised titles allowed, for example, peer review reports for assessing promotion considerations internationally. This shared and so fixed view of what an academic career was, at least fixed in the collective understanding of the influential participants, came under pressure as institutions sought to adapt the profession to the requirements of their mission and because of changing pressures of context. If institutional policies were causal, then single institution adaptation was unlikely to succeed as it would not be universally recognised. The traditional career structures and their associated behaviour patterns would not be out-competed by any localised alternative. The present context in England was, therefore, interesting as all Higher Education institutions were required to introduce locally agreed new pay and grading structures including for academic staff by August 2006 (UCEA 2003). This was the task that the author of this thesis was professionally engaged in during 2004/5.

This implementation exercise produced many variants, not all of which would persist, but even as what emerged consolidated the picture did not appear to be one the participants could immediately recognise. The academic profession in England was at the beginning of a period of change without uniformity, at least not immediately, in the variations which emerged. The traditional academic career may not have become extinct but may, if the author’s conjecture was right,

have had to live alongside variations of its own species that academics may not immediately have recognised or have welcomed.

The historical English national policy context for human resources management

Effectiveness and Efficiency

After a period of expansion through to the late 1970's, post-Robbins (1963), higher education in the United Kingdom entered a period of contraction through the 1980's due to financial cut backs (Bryson & Barnes 2000b).

The University Grants Committee (UGC) imposed reductions in the unit of resource and absolute cuts in funding from the beginning of the 1980's. JNCHES (2008, p.31) reported that 'The financial health of the higher education sector went through a low point in the 1990s, due to a combination of falling public funding for teaching, rapid expansion of research which recovered less than its full costs, and inconsistent financing of capital infrastructure.'

Henkel (2000, p.36) reported 'The perceived imperatives to control public expenditure, to take a firmer central grip on government and in the longer term to reduce the scale of the public sector and its responsibilities were at the heart of the policies of the Conservative government, newly returned to power in 1979.'

A hardening of this direction toward effectiveness, efficiency and performance for English higher education was signalled in the report on efficiency in higher education produced by Sir Alex Jarratt for the CVCP (CVCP 1985). 'Jarrett called for stronger top-down university government, with a corporate-style emphasis on strategic planning, resource allocation and accountability.' (Smith 2008, p.345)

Following the Further and Higher Education Act 1992 'an interim Higher Education Funding Council (HEFC) replaced the former University Funding Council (UFC) and the Polytechnics and Colleges Funding Council (PCFC). The HEFC, in turn, was subsequently supplanted by three national higher education funding councils, for England, Scotland and Wales' (Farnham 1999a, p.211)

Universities in England following these changes could still be said to be autonomous self-governing institutions with their own Charter and a governing Council. These institutions still received public funding, to varying degrees, for both teaching and research and were subjected to public policy asserted either through legislation or through the Research Councils or by the Higher Education Funding Council for England (HEFCE). These bodies variously had strings or conditions associated with their funding.

Lord Dearing

From an HR policy perspective, the national Committee of Enquiry into Higher Education (in the UK) chaired by Lord Dearing (Dearing 1997) and the Independent Review of Higher Education Pay and Conditions chaired by Sir Michael Bett (1999), stated that improvements in Human Resource Management (HRM) within Higher Education Institutions (HEIs) were required.

The report of the National Committee of Inquiry into Higher Education (the Dearing Report) was published in July 1997. The Dearing Committee recommended that:

“...the higher education employers appoint, after consultation with staff representatives, an independent review committee to report by April 1998 on the framework for determining pay and conditions of service.” (Dearing Report, recommendation 50.)

Dearing was concerned in particular that the then current arrangements for determining pay and conditions were hindering the development of the sector. This conclusion may have been reflective of the wider ideological intent to introduce new forms of public management into Higher Education, which is further explored in the literature review in Chapter Two, see page 50.

The modernising review, proposed by Lord Dearing, was to cover the framework for negotiating pay and terms of service, whether pay levels needed adjustment, new ways of working, arrangements which respected the autonomy and diversity

of institutions and the need for each to ensure its own financial well-being and appropriate transitional arrangements.

Academic Tenure

Changes had already been made to university employment arrangements. In the pre-1992 universities, following the abolition of the University Grants Committee's restriction of a maximum ratio of 40 per cent senior (ie those staff holding posts at senior lecturer level and above) to junior academic teaching staff, universities had been able to recruit staff to suit their own institutional plans. Before the Education Reform Act 1988, tenure in UK universities was governed by each university's charter and (internal) statutes. Mostly, staff in pre-1992 or chartered universities enjoyed a form of so called 'tenure' or protection against dismissal except for good cause, but degrees of tenure differed between universities. The older universities had particularly strong tenure rules. The Act (Section 203) required universities to have internal statutes that allowed dismissal for redundancy or for good cause. Disciplinary and grievance procedures were also introduced with provisions for appeals by dismissed staff.

Dnes and Seaton (1998) argued that the Act softened tenure in the United Kingdom in pre-1992 universities in relation to redundancy because previously, unless a university closed, redundancy would have been difficult to establish. They stated that universities effectively had no option but to buy out post holders, presumably at the expected difference between their academic remuneration and their earnings in their next best available occupation. After passage of the Act, universities only needed to pay statutory redundancy pay or the pay agreed in a collective agreement, if higher. It was made much cheaper, at least in principle, for universities to create redundancies if they could meet the criteria specified in the Act.

More recently, UCEA and Universities UK produced a report (Universities UK & UCEA 2003), known as the Zellick report, that following consultation with the Privy Council, provided a further revised Model Statute. This model provided a template for institutions through which, by application to the Privy Council, further modernisation of a particular university's employment procedural

arrangements could be made so that they could be workable and sensible. The fact this was commended to HEIs but was voluntary and based on individual institutional application, rather than an Act, perhaps reflected the move to greater localisation and diversification in policy making.

In the same year as Zellick was recommending modernisation of academic employment terms, the Lambert report (Lambert 2003) observed that universities were still slow moving bureaucracies and wanted to further emphasise rapid decision making and so executive styles of management, in favour of committees and collegiality. This reflected a wider continuing ambivalence by the UK government towards university leadership (Smith 2008).

Sir M Bett

HEIs in England wholly, but not exclusively, voluntarily belonged by subscription to the Universities and Colleges Employers Association (UCEA), an employers association. UCEA had traditionally, through national collective bargaining, set the staff pay, grading and conditions rules for HEIs in the UK with their consent. UCEA took forward Recommendation 50 and, after consultation across the sector, constituted the Independent Review of Higher Education Pay and Conditions – with terms of reference as recommended by Dearing (see Appendix Four.)

One outcome of the so called Bett Report (1999) was the establishment of a new national Joint Negotiating Committee for Higher Education Staff (JNCHES) from June 2001. ‘JNCHES replaced ten separate bargaining arrangements with a single national bargaining forum for the whole of the UK HE sector’ (University and Colleges Employers Association 2008, p.12). The Bett report, as well as recommending a National Council to replace multi-table bargaining; also sought two closely linked pay spines, a national grading framework, job evaluation and institutional flexibility to reflect markets and performance.

This new negotiating body agreed a national Framework Agreement in 2004 (Sir Michael Bett 1999;UCEA 2003). The agreement allowed each HEI to design its own pay and grading arrangements, provided that they used a new single national

51 point pay spine (not the dual spine Bett had recommended and the Association of University Teachers (AUT) had supported) and they adhered to certain common agreed principles. This came about as a result of pressure from some larger HEIs who threatened to leave UCEA without more latitude to reflect their own, different priorities in their HRM policies. The 14 March 1997 THES Editorial asked:

‘Who gains what from having a national system for settling academic pay, and who stands to gain from a possible break up of the present arrangements? These questions arise from the debate on the future of the Universities and Colleges Employers Association, which carries out pay negotiations of behalf of all universities except the new Scottish ones, and for the colleges of higher education... It is not surprising that the Committee of Vice Chancellors and Principals feels the need to rethink of how it settles pay. Salaries make up over 60 per cent of university spending, too high a percentage to be handed over to an outside agency.’

Those UK institutions faced the challenge of attracting and retaining high quality faculty in a competitive national and international marketplace and so increasingly strained against national grades and pay scales. It had been claimed that ‘The Framework Agreement for the Modernisation of pay Structures in Higher Education has been the largest human resources exercise conducted in the sector for many decades’ (University and Colleges Employers Association 2008, p.6)

RDSI Funding

In the grant letter to HEFCE in 2000, the Secretary of State for Education (for England) made £330M of funding available for the three year period (2001/2 to 2003/4) to HEIs in England against certain objective criteria requiring each to produce and submit for assessment a Human Resources Strategy for the funds to be released; the so called Rewarding and Developing Staff initiative (R&DS) (HEFCE 2001).

The R&DS initiative applied only to HEIs funded by HEFCE; it did not extend to Wales or Scotland. An evaluation of the Rewarding and Developing Staff initiative, conducted for HEFCE by management consultants KPMG (2005), reported a systematic ‘booster’ effect occurring in HRM practices in HEIs in England not seen in the other countries making up the UK. The KPMG report stated:

‘It is important to remember that the R&DS initiative applied only to HEIs funded by HEFCE and did not extend to Wales or Scotland. Stakeholders with a UK-wide remit reported that there was evidence of a systematic “booster effect” occurring in HRM practices and HR functions within English HEIs, which was not seen in the other countries.’ (p.4)

The R&DS funding was paid directly to HEIs; that is, not through UCEA or JNCHES (see page 29) as national intermediaries, and one of HEFCE’s criteria (or strings) was that English HEIs achieve equal pay for equal work, using institution-wide systems of job evaluation (JE). This objective, combined with the resulting National Framework Agreement from JNCHES permitted members of UCEA to develop local pay structures and using the R&DS funding. This created a dynamic for local design of institution specific pay and grading structures. A model grading structure was provided by UCEA at the request of the academic Trades Unions, but this was described as only an illustrative model. HEIs were given a national mandate, freedom, financial resources and the competitive motivation to localise and improve HRM including pay structures. The Trades Unions through the national single pay spine, the requested model grading structure, a library of national job profiles (UCEA 2004) and their negotiating stance sought to get as much uniformity of outcome between HEIs as they could achieve.

Competition and Marketisation

The marketisation of higher education, competition between autonomous institutions for income and competition for high quality staff had driven a desire for differentiation and competitive advantage. This had been driven by ‘governmental policies to build up a market-like resource allocation system, as

well as efforts to strengthen competition between and within higher education institutions' (Enders 2000p. 13). HEIs now gained their funding from many sources. The six main income sources were publicly funded research (QR, RCs, SRIF), private research (Charities, NHS, business and the EU), public teaching (HEFCE Teaching grant, Home and EU fees, NHS), private teaching (overseas student fees, post-graduate taught courses, continuous professional development), academic enterprise (intellectual property, licensing, spin-outs) and other services (donations, accommodation charges, catering, events, publishing.) The mix of funding from these categories substantially varied from one institution to the next.

The introduction of the Research Assessment Exercise in 1986 and Institutional Audit in 1992 increased the accountability and audit burden on Universities and made their relative performance on certain factors both measurable and public.

These meant each University was concerned with market positioning, to maximise its income and prestige, in competition with all other universities, or at least those in the same market segment or geographical location. The diverse institutional responses to the perceived market position of each had workforce implications in terms of the numbers and types of jobs made available and the HEIs internal employment structures. If left unchecked the author conjectured that these forces would lead to the end of national pay bargaining and any national commonly agreed sense of what an academic was or how they progressed. PA Consulting (2008) significantly reported to HEFCE that:

“Higher Education in England is an extremely broad church, so broad and diverse that the concept of a single HE sector has meaning only at the highest level of generality. There is no such thing as a ‘typical’ university or HE institution, and considerations of workforce needs and responses accordingly need to be matched to the very different profiles and strategies adopted by individual institutions.”

(p.10)

This historical context showed a clear line of connected events, each one following the other, which had created the heterogeneity observed today as a

product of localisation and marketisation of HE. This timeline is illustrated in Table 1 below.

Year	Event
1985	Jarratt Report
1986	First RAE
1988	Education Reform Act
1992	Institutional Audit commenced
1992	Higher Education Funding Council formed
1997	Dearing Report
1999	Bett Report
2000	R&DSI Funding
2001	JNCHES formed
2003	Lambert Report
2004	National Framework Agreement

Table 1: Contextual timeline of key events

During this same period of structural employment reform the numbers of academic staff employed in English Higher Education were rising year on year, shown in Figure 1 below (on page 33.) From 1995/06 to 2004/05 there had been a nearly 20% increase in whole-time academic staff. While academic staff numbers had increased the rate of growth was not as steep as the rise in student numbers during a period of general expansion. While numbers of staff were growing it was also seen as a period of intensification in academic work (Court 2006, p.174) Structural change at the macro-level in bargaining machinery, a new national industrial relations agreement, ring-fenced funds, population growth and the passing of time were together bound to create dramatic changes.

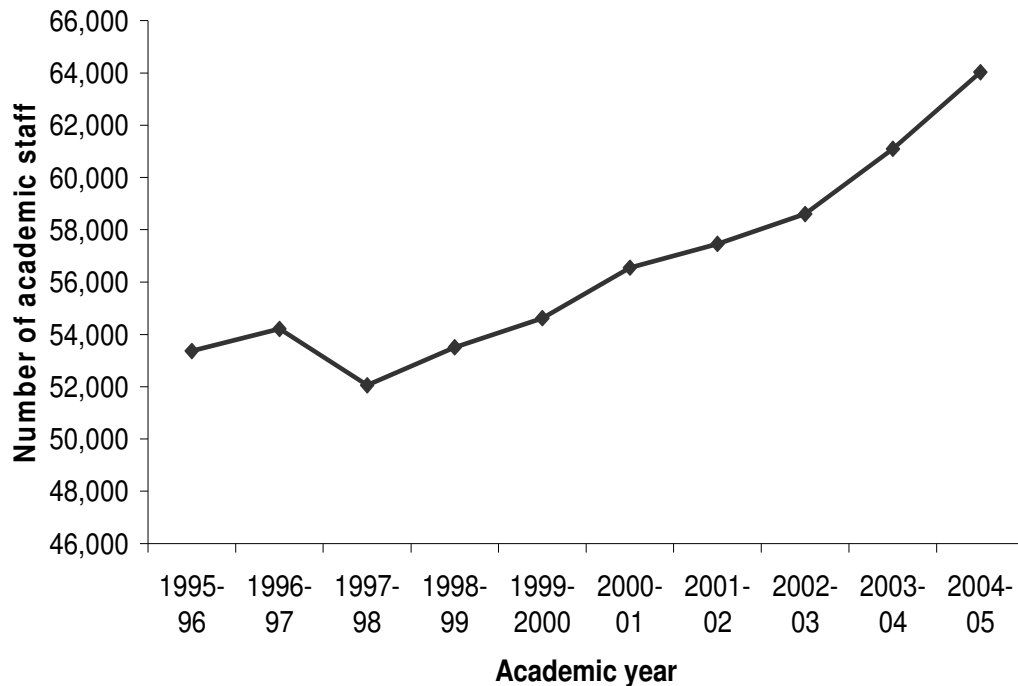


Figure 1: Numbers of permanent English academic staff from 1995/6 to 2004/5

(Source: HEFCE 2006, p.13)

The structural HR issues described above combined with wider changes in HE management, for example the assertion of Councils, the Vice Chancellor as CEO, and an increased emphasis on quality and assessment (the RAE and QAA) together represented a powerful mix of environmental factors for driving forced or adaptive evolution in the academic profession.

Evolutionary differentiation in Academic Careers

An academic career is given a fairly full description by Shaw (2008), as follows:

‘An academic career pathway refers to the general career process that academic professionals in a society or historical era move through in their life-long scholarly pursuits. It is specific to a society because scholars may follow different career paths in different social environments. It is specific to a historical era because academicians may take different career routes due to different historical forces. A typical career pathway in a particular society or era, however, is not necessarily universal for all academic practitioners therein.

Obviously, some academicians may deviate from the general pathway by passing through its stages in different sequences or by dropping off in the middle or beginning of the journey.’ (p.1)

Shaw recognised that careers were specific to a particular historical era and so evolved. The observed and seismic forces driving this apparent evolution could be explained, as above.

Since 1999, HEFCE had been supporting developments in learning and teaching in English Universities through a Teaching Quality Enhancement Fund (TQEF); making formula allocations to support the implementation of institutional learning and teaching strategies, introducing the Higher Education Academy (HEA), Centres for Excellence in Teaching and Learning (CETL’s) and promoting National Teaching Fellowships. From 2006/7, HEIs in England charged variable tuition fees for teaching to UK/EU students. Most charged the maximum permitted fee of £3K, offering differential bursaries or scholarships to attract students in the profiles sought. As HEIs competed for students and in a market that had tuition fees, the need to offer an integrated, high quality student experience was highlighted.

In September 2007 HEFCE announced the fourth round of Higher Education Innovation Funds (HEIF) designed to support and develop knowledge transfer activities which had economic benefit to business and the community. To different degrees, depending on their mission, HEI’s in England were pursuing research, enterprise and innovation agendas (developing science parks, incubator units for spin-out companies, licensing, patenting and offering consultancy services through companies to commercial clients.) Pre-1992 HEI’s in England continued to value and to be rewarded for research prowess, including through the Research Assessment Exercise. As Henkel stated (2002, p.140), these variant institutional missions were a product of strategic choice “largely in the name of income generation.”

It was assumed by the author that an increasing, variant breadth of purposes and income streams between HEI’s required the emergence, recognition and reward

of new localised roles and career pathways. These new pathways would need descriptive criteria equal in standard and status to traditional academic roles but appropriate to new, variant demands. While traditional, national academic career structures may have remained strong, they may differ between types of institution and between countries. The simple, vertical ladder of Lecturer, Senior Lecturer, Reader (within the UK) and Professor which was well recognised and understood may have become defunct. Despite uniform nomenclature, differences in academic roles and status were, it was believed by the author, now quickly emerging in England within and between institutions. These changes were being made to fit increasingly divergent missions and different market positions, given the provided freedom and external pressures.

Some consideration had been given by a few English Universities to adopting the American nomenclature of Assistant, Associate and full Professor. At the time of writing only Warwick (from 2006) had adopted this convention. If a few had moved in the same direction, it would have been interesting to observe whether and how quickly the rest felt would have it necessary to follow. The author speculated other HEIs would want to observe through time how and whether this variant benefited from such titling compared to them.

Kogan, Moses and El-Khawas reported (1994) that a new academic mandate was needed, explicitly marrying traditional scholarly values with changing demands on higher education. They noted, however, that academic staffing structures were diversifying without that new mandate, so causing tensions of status, reward, motivation and opportunity. By contrast, Henkel (2000) reported that academics had responded to widespread and powerful policy change in an evolutionary way retaining core components of their professional identity. This evolutionary metaphor was supported by Høstaker (2000) who suggested that, while he found important institutional differences in the relative influence of institution policies, the general and continuing trend was toward greater diversification of academic functions, which posed challenges for existing career paths.

When individual academics were allowed, or even encouraged, to reshape or reduce what was previously a composite bundle of roles, some differentiation or adaptation must arise. For example, if an outstanding academic researcher sought to buy themselves out of their teaching activity this rarely seemed to present problems in the future career path of such successful researchers. However, temporary grant funded researchers also did not teach but did not seem to have the same opportunities ahead of them. These differences caused tensions of status and reward, as highlighted by Kogan, Moses and El-Khawas (1994). Likewise, in England, research intensive universities, in seeking to optimise their staff profile for the HEFCE Research Assessment Exercises sought to exclude academic staff that did not have a high research profile from their submission of research active staff. Given that such staff would not then attract research funding, they in large part took on teaching or academic administrative activities, perhaps for negative reasons, in that they were escaping an area of weakness rather than exercising a strength. Academic staff who had positively chosen a career path based on educational excellence may have felt their choice de-valued as a result.

Tuition fees created a different environmental pressure to meet the needs of a diverse set of learners, to prepare academics for a teaching role and positively to select good educators or educational innovators for that role. Notwithstanding attempts by many institutions to revise their promotion criteria, Gordon (2003) suggested that excellence in teaching was still, in most pre-1992 institutions, perceived as attracting less prestige and reward than excellence in research. Women, excellent educators and contract researchers all potentially acted as forces inside institutions against the *status-quo*.

A new Model predicted

It was not clear to the researcher whether institutions would all adapt in their own way, producing localised role variants and titles of their own, or whether at least some sharing if not some new uniformity should be sought. The Higher Education Trades Unions in the UK were one force acting for a continued, national uniformity but in a way which was perceived unhelpfully as a defence of

the status-quo. The other force was competitive pressure, where each HEI must not be seen to be disadvantaged for staff recruitment against their peer institutions. The Russell Group is an Association of twenty leading UK research-intensive Universities. The Russell Group Vice-Chancellors discussed academic grades and titles on two occasions (in 2003 and 2005) on both occasions seeking some possible and continued commonality or uniformity. The Russell Group considered (see Appendix One) that it may be:

“helpful to identify common features of the arrangements for academic positions that might be adopted by at least a subset of RG institutions as meeting the needs of research-intensive institutions, taking account of the desirability of the use of academic titles that are recognisable internationally.”

This system behaviour was by nature comparative and competitive. Universities seemed to observe or allow an increasing array of academic roles and titles alongside the traditional pathway. Teaching and research assistants and fellows, research or teaching only academics, academic administrators, learning and teaching co-ordinators, academic consultants, enterprise fellows, directors of research and of education emerged alongside the more traditional professor. The simple ‘ladder’ image was, it was assumed, no longer enough to describe the plethora of academic roles and titles found in practice. However, prematurity meant no attempts had been made to develop a new map of academic staff careers. Clearly differences had emerged, UCEA found on it’s evaluation of the implementation of the framework agreement that ‘The median number of grades in the new pay structures is nine. The range is between four (agreement only covers academics) and 16 grades.’ (University and Colleges Employers Association 2008, p.9) The Russell Group discussions showed that not everyone was going happy with this growing sense of difference between institutions. A possible new sense of commonality, a new compact, was sought by some. This project will conclude with a suggestion that if a new, common, national, compact was sought then some concerted action would be required to (re-)create it.

Torrington, Hall, & Taylor (2002) defined career pathways thus:

‘A career path is a sequence of job roles or positions, related via work content or abilities required, through which an individual can move. Publicised pathways can help people to identify a realistic career goal within the organisation. Traditional pathways were normally presented as a vertical career ladder, emphasising upwards promotion within a function...’ (p.453)

In a higher education context, Enders (2000 p.22) said careers systems were ‘highly structured, uniform career tracks, characterised by differentiated ranks and a deeply embedded schedule for the positioning of various groups of academics and their moves within the career ladder.’ Following this model, the traditional academic career pathway in a research-led English University might have looked like a vertical ladder, as illustrated in Figure 2, as follows:

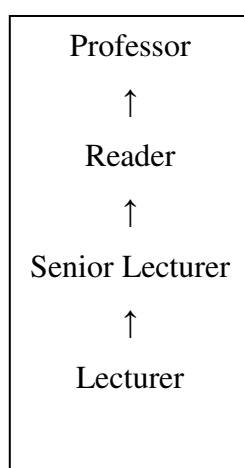


Figure 2: Assumed Traditional Academic Career Pathway

The structure of the academic profession is different between the ‘old’, pre-1992 and the ‘new’, post 1992 sectors. ‘In new Universities, the career structure of teachers is lecturer, senior lecturer, principal lecturer (or reader for researchers) and professor’ (Farnham 1999a, p.223). The Higher Education Pay and Data Review Report (JNCHES 2008, p.22) tried to maintain a simple and descriptive single hierarchy of academic career roles, recognising complexity between countries within the UK and institution type, with the addition of explanatory notes, shown in Figure 3, as follows.

Lecturer 1	Lecturers A from the pre-1992 universities and Lecturers from the post-1992 universities and colleges; and Lecturers (Scottish CSCFC scale).
Lecturer 2	Lecturers B from the pre-1992 universities, Senior Lecturers from the post-1992 universities and colleges; Senior Lecturers (Scottish CSCFC scale) and any locally determined lecturers.
Lecturer 3	Senior Lecturers and Readers from the pre-1992 universities and Principal Lecturers and Readers from the post-1992 universities and Colleges; and any locally determined lecturers.

Figure 3: Lecturer Grade Group Structure

Source: Higher Education Pay and Data Review Report

Others may exist, but such staff were not recognised as being within the formal career system as they were not perceived as academics or they were seen as intending to follow an academic career rather than as actually doing so. Kimber (2003, p.41) for example, talked about a two tiered academic workforce ‘the tenured core with security and good conditions and the tenuous periphery with insecurity and poor conditions.’

To talk about a career ‘ladder’ was obviously a chosen metaphor. Blaxter, Hughes and Tight (2001, p.23) noted that discussion about careers was often conducted in metaphorical terms. A career was seen as a social construct describing jobs one person held in a sequence with a sense of planned progression from one to the other. But a career was not necessarily a ladder. The word ‘ladder’ came from the world of physical labour. A ladder was a piece of equipment for climbing up in a straight line using established rungs. It suggested a task requiring hard work, work of a physical kind done for payment. It could be borrowed to suggest a hierarchical or graded route of advancement through jobs but it was nevertheless borrowed to generate this additional meaning. Using a ladder to suggest social advancement at work through job changes had understood weaknesses. The moves necessarily were upwards, the steps were to be seen as equally distant, the path narrow and it assumed a linear

hierarchy of individual job steps. Such a metaphor may have been useful but also potentially inaccurate in characterising the career progression of academics. The association with physical work may have contained a gender bias in the initial thought construction. The metaphor was not intended to demean manual labour or to suggest that women could not climb ladders but the potential for misunderstanding was obvious. Career ‘path’ may be a more appropriate metaphor, which avoided problematic connotations with class and gender.

Torrington, Hall, & Taylor (2002) went on to suggest that:

“There is now increasing use of alternative approaches, often designed in the form of a grid, with options at each point, so that upward, lateral, diagonal and even downwards moves can be made.” (p.454)

A grid showing what career paths it was assumed by the author, based on personal observation, might be emerging was more complicated and choice ridden, illustrated in Figure 4, as follows:

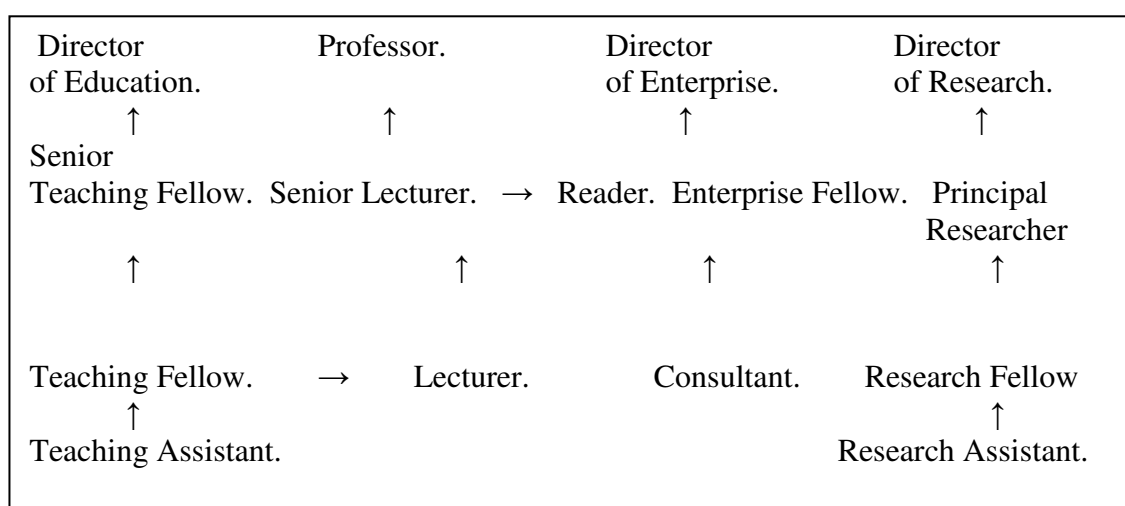


Figure 4: Assumed Emergent Academic Career Pathway

The researcher did not himself come up with the idea of pictorially representing found career paths or models. The Russell Group Vice Chancellors in their early deliberations in 2003 identified and drew four possible models (see Appendix One), which they designated as Models A to D. In suggesting these models they

had particular aims in mind. They wanted, for example, to allow for senior academic posts without an international reputation for research, to have titles which could be more widely understood abroad, to clarify the use of the title Reader and decide how many career steps an academic career should have. The group's assumption taken in these deliberations was that the sector had a relatively common starting point and would agree to move together in a common direction. The variables in the discussion even then suggested the initial 'ladder' metaphor, used to symbolically show the power or status distribution between academics, was too simplistic. However, the four models proposed in the RG paper were not grounded in any research, to show or explain what existed, but were drawn as propositions, to support the arguments being presented by them.

Points of Continuity

Within the range of emerging adaptations could there be any observable constants? Henkel (2002) reported that some academics, particularly in the context of their educational responsibilities, explicitly saw sustaining the discipline as an end in itself. Certainly, in the UK, the Research Assessment Exercise (RAE) had units of assessment organised around academic disciplines. However, these disciplines were not uniformly congruent with the variable institutional organisation of academics into Schools or Departments. Becher and Trowler (2001, p.42) said the concept of academic discipline was not straightforward. They suggested that, if discipline was examined through the lens of its organisational components in universities it was possible to observe 'variation in how academic institutions elect to draw the map of knowledge.' The emergence of big themes which transcended individual subjects, such as the environment or genetics, also challenged notions of discipline. As research projects became inter-disciplinary, increasing numbers of academics found themselves working in teams outside of their own sense of being an autonomous researcher and outside their own subject discipline to which they related or from which they came. Pioneers could shift their career path across the boundary but many found that they suffered the prior subject prejudices of value and esteem from either side. Many acted as specialist consultants who brought particular discipline skills to the project they were working on.

The next point of continuity may be a sense of being defined as an 'academic', regardless of discipline, which may itself have become unclear or at least a matter of choice for some people. The term 'academic' was problematic as it was not self-defining. It covered, or sought to cover, researchers, teachers, entrepreneurs, consultants and academic leaders. It seemed that academics could substitute research for teaching or *vice versa* and remain an academic. Those in academic leadership roles would sometimes surrender research and/or teaching duties. The question arose, for example, if someone did not teach or research but co-ordinated or developed the curriculum, the learning and teaching activity, ensured quality assurance methodologies existed, encouraged good teaching

practice and educational innovation, then were they an 'academic' or not? They were certainly closely involved in the academic endeavour and academics to a greater or lesser extent performed these roles but perhaps not exclusively. It was not obvious what an academic was in any specific sense.

It was suggested (Henkel 2004) that the idea of a nexus between research and teaching was influential and that students benefited by being taught by leading-edge researchers rather than educators. However, contemporary academic discourse may have suggested that research and teaching were not just distinct activities but that they made incompatible demands (Kyvik 2000, p.63). Henkel (2004 p.3) accepted that 'some regard themselves as essentially either researchers or teachers' while others 'describe the combination of research and teaching as important to them.' The correlation of RAE scores and teaching assessment scores in England arguably demonstrated that excellence in research led to teaching excellence but the data did not show whether it was the same people performing both roles. In the research intensive, as opposed to the vocation-led universities, this correlation may have existed because the objective was seen as to develop the students as researchers. Whether both activities had to exist in a single role for that role to properly be described as 'academic' was at least contested.

Defillippi and Arthur (1994) argued that, in a context in which the fixed lattices of job positions and stable career paths had been eliminated, such boundary-less careers were followed by exploiting core competencies which they defined as know-why, know-how and know-whom competencies. Certainly in producing descriptive criteria for an academic career pathway, at each level, the author was driven back from definitions or classifications to the competencies for role holders or standards of output as a differentiating measure.

Given the lack of certainty operating on several levels around academia itself, discipline, the place of teaching and research in an academic role and the relative value of each, it was not clear what the points of continuity might be.

Just because career structures were emerging at institutional level, contingent on local strategies, did not preclude convergent evolution through parallel adaptations converging on the same form as institutions adapted to similar problems. A new continuity may emerge. This point about whether a new continuity or divergence was emerging was considered through this research by looking across institutions.

Academics as rational beings.

It was not clear that, if an academic at the early stage of their career were presented with a modelled set of choices and consequences in relation to a future possible career pathway, they would be motivated only by seeking seniority. Career goals could be misconceived if it was believed ‘...first, that the career goal necessarily represents a particular target job that an employee is striving to attain; and second, that a career goal serves primarily as a stepping stone to attain higher-level jobs in the future’ (Greenhaus, Callanan, & Kaplan 1995, p.6). Academic staff, like others, have skills or the ability to develop them but they also had interests and values. So, even if it was clear that a particular career choice was limiting in the sense of lessening the chances of future seniority compared with another, it may still be taken based on beliefs about the value of that activity, the academic’s interest in it or the source of personal value gained from work as an activity. Even if universities could be clear about their career pathways as they emerged, this did not mean that staff would follow the routes expressed in the numbers required for each activity but may, as now, shape the career model through their lived out behaviour and choices. It was argued (Kaulisch & Enders 2005, p.133) that ‘the most important rewards academics receive are not given by the organisation...Accumulating reputation...is predominantly what keeps academics at work.’ Akerlind (2008, p.25) suggested that as well as the motivation to fulfil any role requirements placed on a researcher, they were also motivated to establish themselves, develop personally and enable changes flowing from their research outputs.

The impact outside of England

Academic career structures around the world were largely based on either the English (Lecturer, Senior Lecturer, Reader, Professor) or the American (Assistant, Associate and full Professor) models with some variety in mainland Europe. Farnham (1999c, p.344) put national systems of higher education into four groups based on their rate of change; ascribing Australia and the UK to group one, having had ‘substantial shifts in policy, funding, management systems and organisational structures, and the ways in which academic work is organised and the academic profession is managed.’ His general conclusion was that the reforms in these two countries had been far reaching, radical and probably irreversible. The combination of national government policy on tuition fees, the national framework agreement from JNCHES and the R&DS funding from HEFCE meant that academic career structures in England were as a result adapting or changing. This national specific ‘booster’ effect was causing, alongside the re-design of pay and grading structures, an acceleration in emerging forms of research, education, enterprise and academic management roles. Within these changes, academic staff were making their own career choices related to their own perception of their personal strengths and weaknesses in competency, but also based on their views of the emerging opportunities and likely future obstacles. England itself could let this evolution happen, observe it and share adaptations or seek to direct or report on the progress of change. More broadly, Europe and the world could see England as an island where career adaptation was taking its own curious and perhaps temporary evolutionary path or seek to more closely observe, evaluate or imitate the results. Like all evolutionary changes not all the resulting variations would survive and be successful and so reproduce elsewhere. The traditional academic ladder and titles may survive and resist novelty, especially if England was in a unique context with particular nationally specific stimuli.

Farnham (1999c, p.348) ascribed the different rates of change in different countries to ‘the interaction of a number of complex constitutional, legal, political and cultural forces in these countries.’ Interestingly, he said the size of

the country's population and the form of government may be factors as to whether the higher education system was conducive to changes in higher education policy and management systems. The Federal Government in the United States of America had never been able to impose comprehensive, uniform change in universities because of scale problems. The legalistic, formal, anonymous systems in other parts of Europe, North America and Japan had prevented change. However, in Ireland and Belgium (like the UK) with relatively small populations and smaller scale Higher Education systems, they were more likely to be influenced, or not, by personal networks between higher education policy makers and institutional leaders.

The above context set out where the author started from, the state of his knowledge, in selecting the research topic and the assumptions he made about possible findings.

Field and habitus.

This chapter opened with an extract from Bourdieu, which requires explanation. It described the notion of 'field' as applied to universities. 'Field' was described as 'the state of the power relations between the agents,' which could be seen in the relative positions held by those agents. It described a social system. The system was defined as dynamic, as the agents employed strategies to modify or maintain their relative position and this reached an equivalence or settlement at any one point in time (Bourdieu 1988). This notion could be applied to the HE sector, to individual institutions, to sub-groups such as disciplines, or to individuals. This notion helped the author design the research and to make sense of or objectify his observations. Bourdieu introduced a second useful notion of 'habitus,' defined as:

'a system of durable [...] principles which generate and organise practices and representations that can be objectively adapted to their outcomes without presupposing a conscious aiming at ends'

(Bourdieu 1990, p.53).

Using these notions, it suggested careers were shaped by both individual agency and organisational structure. The 'habitus' at each level offered an evolving framework which affected individuals behaviour as they acted within their understanding. Given the author sat within the English HE system, changing as described above, and was aware of an evolution in academic careers as a result of some of the structural changes described, the notion of 'field' was compelling. To try and describe the model(s) of career that were emerging looked like an attempt to describe a new 'habitus.' This required an examination of the social world of academics. But the properties of this social world, which could be used to construct its identity, included institutional, disciplinary and individual perspectives, written sources and individual points of view. Bourdieu's theory of practice offered a compelling intellectual framework.

The author began; therefore, from the broad context described here, by thinking that he wanted to develop a new framework for understanding academic careers in a changed context. It was thought that new practical understandings might help academics and institutions in academic career management. While the RG Vice Chancellors had attended to the idea of academic career models they were propositional rather than based in research and presumed the existing state. This starting position was far from the required set of coherent research questions and as yet contained no real sense of what form any research process or outputs might look like.

Chapter Two

Literature Review

Chapter Two

Literature Review

Introduction

New Public Management

Globalisation

Massification

Perspectives on Careers

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This chapter critically reviewed the relevant literature on the research subject to bring an understanding of the existing state of knowledge, to inform the research design and to provide a framework within which to understand or interpret the results.

Chapter Two: Literature Review

Introduction

Having set out the starting point from which the author approached the research project, the next stage was to become immersed in the literature. This was particularly interesting and at the same time problematic as in the main the literature had academics writing about academia. Research into higher education perhaps uniquely had the problem that (critical) examination was at the same time participant (self) examination which left it open to criticisms of self-interest, attachment and subjectivity.

As will be observed below, the literature made claims that the roles of universities, higher education and academics had been changing radically in the UK. The main external environmental stimuli causing this evolution were new managerialism, globalization, national government policy, differentiation in a competitive environment for research and education funds, internally changing values of academics about their identities, tendencies toward deconstruction and the fragmentation of the academic profession. The author used this scope to read what other people have written, of relevance to the planned research topic. In this Chapter the literature review results were set out, to bring an understanding of the existing state of knowledge, to inform the research design and to provide a framework within which to understand or interpret the results.

New Public Management

A new political and ideological intent for HE was set out by the government in 1985 with the publication of a Green Paper (DES 1985). This report according to Thorne and Cuthbert (1996, p. 173) ‘emphasized narrower utilitarian purposes for HE as a servant of the economy.’ The, so-called, Jarratt report (CVCP 1985) said institutional leaders should see themselves as Chief Executives and adopt new approaches to strategic institutional leadership. It was important, therefore, to examine the impact of new forms of management practice, or new public management, on University structures.

New public management has been described by Ferlie et al (1996) in terms of an efficiency drive, downsizing and de-centralisation, a search for excellence or a new public service orientation. They went on to suggest 'This raises the question of the changing role and autonomy of professional groups as they are faced with the process of increased managerialisation and marketisation as characteristic of new public management style reforms' (Ferlie et al. 1996, p.23)

Middlehurst (1995) writing on academic leadership exemplified the terminology of new public management trends, as follows:

'Thatcherite emphases on market values and competition as a means to improved performance have had an impact on universities and colleges. Maintaining a presence in the market (whether for consultancy or contract research) demands flexibility and responsiveness to new opportunities supported by flexible infrastructure for decision-taking and delivery to time and cost.' (p. 79)

Were new or changing career structures the inevitable outcome of a management emphasis on markets, targets, accountability, flexibility and performance?

Largely autonomous institutions were in transition through the 1980's and 1990's, towards a highly regulated, predominately state funded system facing an insistence on notions of better leadership (Smith 2008, p.343) There were many definitions of new public management. Farnham and Horton (1996, p. 24) stated Managerialism, as distinct from management, had three basic elements. The first was neo-Taylorism, the second was identification with business-centered practices imported from the private sector and the third, they said, was a goal to replace bureaucracy and paternalism with efficiency and consumerism. Trow (1994, p.11) suggested Managerialism became distinct when it became an ideology, stating 'its advocates argue that HE must be reshaped and reformed by the introduction of management systems which then become a continuing force ensuring the steady improvement in the provision of higher education.'

Managerialism had been perceived as a weapon to assert government control over higher education and institutional autonomy. Knight and Trowler (2001), for example, asserted that it was not clear that Managerialism was the way to bring about efficiency in Higher Education systems.

'It depends on a rather rationalist, reductionist and mechanistic view of how organizations operate, use resources and create value. There are good reasons for believing that even if it is a sustainable view of systems designed to do simple tasks, it is quite inappropriate to complex systems with multiple means for pursuing fuzzy goals.'

(p. 132)

This Taylorist philosophy (Taylor 1947) promoted, according to Thorne and Cuthbert (1996, p. 174), the maximization of throughput while retaining quality by 'breaking down tasks and limiting their complexity, so that the organization can develop well rehearsed routines and predictable processes to cope with high volume.' This suggested a clear potential link through to academic job design.

Braverman (1974) argued that an inevitable tendency existed toward the degradation and deskilling of work, as capitalists searched for profits in increasingly competitive environments. The obvious epitome of the fractionalisation and specialisation of work into its component parts, from what was a whole and skilled task, was the factory assembly line. Scientific management, or Taylorism (1947) , sought to systematise work, designing jobs in their most basic and simple manner. Handy (1993, p. 275) described the 'micro-division' of labour, the fractionalising of jobs into their smallest elements, so un-skilled people could do them with little training. Workers were less indispensable, individuals could not dictate to management, training times were lower and standardisation of jobs meant better control. Hales (1993, p.62) said:

'Detailed division of labour entails basing jobs on individual task elements of a work process. Employees are, therefore, allocated specific tasks for which they are selected, recruited and trained.' (p.62)

It was not clear at the outset to what degree this philosophy had impacted on academic role design in Higher Education. It was clear that by the 1960's, vice-chancellors in most universities were self-styled 'chief academic and administrative officers' (Smith 2008, p.344) demonstrating the increasing

salience of management in higher education institutions. Most of these senior leaders, however, had reached their positions at the top of their administrative career via a successful academic career (Bargh et al. 2000) .

Globalisation

The globalised landscape had fundamental consequences for HE as information and resources flowed along networks which transcended nation states (Becher & Trowler 2001, p.2). Marginson (2000) said the essential feature of the new global systems was more intensive contact between people:

“More intensive contact is sustained by cheaper, quicker, ‘thicker’ communications and transport. Communications are the most important element. At the heart of contemporary globalization lie email, telephones and the Internet. There are new capacities to manipulate common data sets from more than one location, to transfer text and visual image across any distance, and to speak instantaneously in a variety of ‘voices.’” (p.24)

UK academics were identified as being globally mobile (HEFCE 2006); careers were followed in more than one country, governments measured the in and out flow of academics and the brain drain of academics from the developing to the developed world was a source of debate and concern (HEPI 2005). Scientific discoveries in one country were implemented in another and academics communicated in global communities through email and the internet. The globalization of HE saw a ‘growing convergence between the UK and USA’ and the English language was becoming the dominant form of academic discourse globally, creating barriers of entry to developing countries (Becher & Trowler 2001, p.4). The degree to which national or institutional policies remained relevant or influential in a globalized profession was contestable. In contrast, some wanted to study the academic profession only in its national context (Clark 1987) believing that the state, funding regimes, modes of employment and the cultural context in particular nation states played an important influence. While it was believed that particular forces were at play creating change in England, an understanding of the wider international context remained important.

Massification

HE systems, according to Trow (1973), were either elite, mass or universal. According to his categorization, the UK became a mass participation system in 1988 when the age participation index passed 15%. Some argued the current government target for 50% of 18-23 year olds to have a higher education experience set HE toward being universal in character (Trow 2006;Wolf 2002). As a result of fiscal pressures on HEI's, and other changing demographic characteristics, staff student ratios had been growing and the students themselves were less well prepared for a higher education experience. These two features, taken together, led some to claim that higher education was engaged in a process of dumbing down (Fox 2002). Others said that the sector was becoming more differentiated or stratified and so more like the American system with a clear Ivy League (Marginson 2004). If true, this would suggest that what was to be an academic in one institution would not be the same as in another, given the stratified nature of the marketplace, with possible consequences for career strategies.

Clark (1983) developed a model, shown in Figure 5, for understanding higher education coordination, a triangle of governance which represented three powers operating in higher education: the state, the market and academics (academic oligarchy).

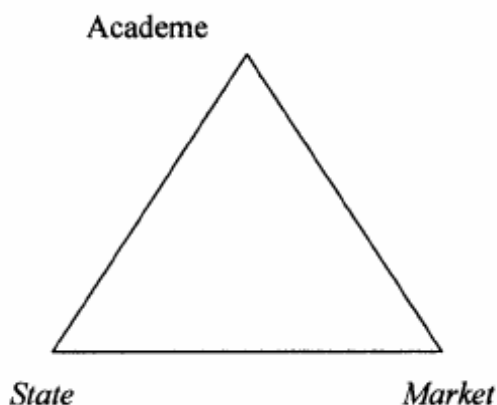


Figure 5: Clark (1983) The triangle of governance

He used the model to represent different forces of coordination in different countries and, in particular, the growth in influence of the market. Whether

HEI's were in a race for quality or a race for market share was not always clear but massification had been one result of market competition and government policy. From Bourdieu's perspective the diagram could be said to represent the state of power relations between the agents held in this structure.

Massification was not just a numbers game. New forms of courses, part-time and distance delivery for example, and more complexity, with modularization and choice, were a feature of growth in provision (Schuetze & Slowey 2002) . It was at least arguable that the pressure for more teaching and new forms of teaching had led to a split between teaching and research activities, with consequences for the academic profession (Henkel 2004).

Court (2006) suggested that the process of expansion in HE, given rising staff student ratio's, meant academic work had intensified and diversified. Court argued for example that 'Workload has increased in teaching. There are more students in lectures and seminars, there is more work to mark, more feedback to give' (p.176.) In relation to diversification Court was mainly concerned with the growing importance of business links and entrepreneurship to HE, which was a feature of the contextual changes observed but perhaps not directly linked to massification.

Perspective on Careers

Social groups spontaneously developed a hierarchical structure (Argyle 1983). Hierarchy was a relational, social construct and in a work based organisation it was founded on authority, time served or competence. Career progression or promotion through that hierarchy was a social activity conducted between people, where some achieved higher rank, earnings or status (Argyle 1983;Warr 1980). In formal, bureaucratic organisations this process of career management took the form of grades, titles, pay scales, definitions and a promotional process for determining progression. Handy (1993) said:

“Career development becomes a human hurdle race, the hurdles being different appointments or different levels of authority. Those who clear a hurdle can progress to the next, until there are no more.” (p.230)

In the above model, seniority was the reward for success or longevity and pay followed seniority and service. Kaulisch and Enders (2005, p.130) stated that ‘Like all working people academics went through a sequence of jobs, work roles and experiences; they went through a career.’ This literature made career management seem both formal and explicit. However, Schein (1986) stated:

‘We need to build concepts and models around what I call the “realities” of how things really work in organisations. We need more and better descriptive studies of how things work so that concepts and models mirror what really goes on. Being normative is very comfortable until one starts to take the concept of culture seriously. Then one discovers that the career field is shot through with cultural biases.’ (p. 317.)

The author accepted he was entering that relational social world. Rank existed in ordered societies such as work based organisations in which grade or title were attributed status. The researcher worked in a university and so would be perceived as having a place in the work based hierarchy. It was already clear from the ontological perspective taken that there could be no right or wrong career structure or path in absolute terms. Appropriateness depended on the view of the participants and the context. Perception was therefore contingent on place, time, organisation and discipline but also on the particular group of individuals involved. So this research had to hear and examine the opinions of the participants; those who created the formal career path and determined the rules for progression and from those who followed the process set down for them as subjects of it. It was important in this research to see the system through the eyes of those who were being studied as well as observing the formal structure.

Sonnenfield’s career systems typology (Sonnenfield & Peiperal 1988) was recognised as a prominent model in career theory (Baruch & Peiperl 2003). This typology of career systems separated supply flow from assignment flow. Supply flow was whether a career system was open (boundaryless) or closed (bounded) to the external labour market other than at entry level. On the second dimension, assignment flow, the criteria by which assignment and promotion decisions were

made, was divided into individual and team contributions (Sonnenfield & Peiperl 1988). The model is shown below in Figure 6.

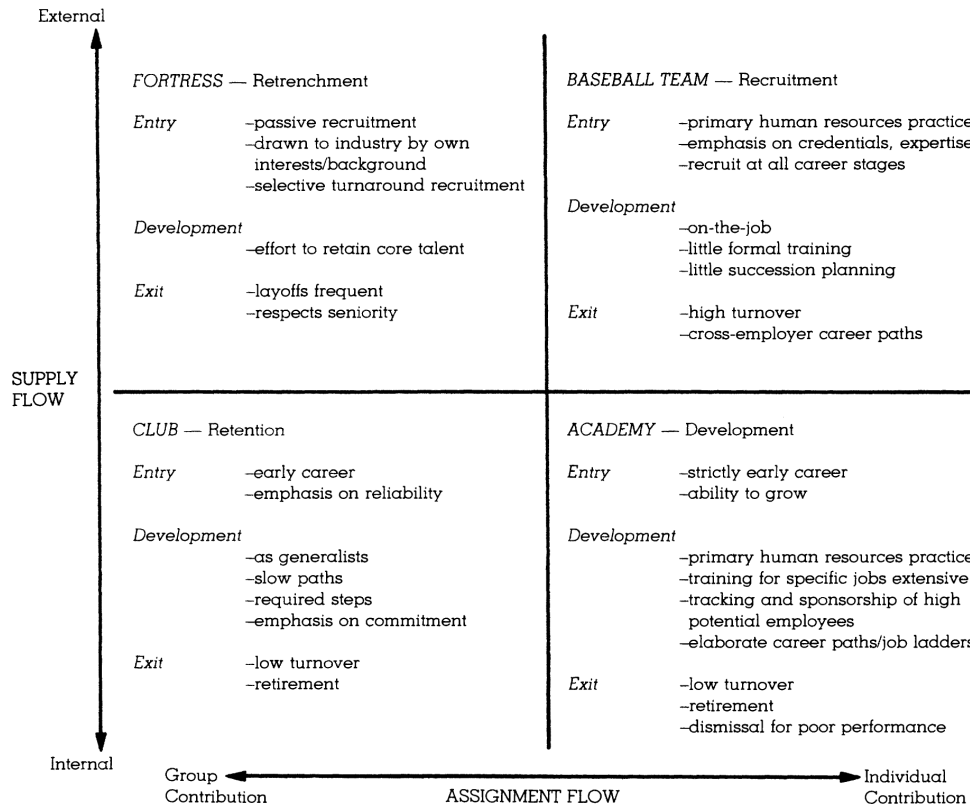


Figure 6: Sonnenfield's Model of Career Systems

(Source: Sonnenfield, J.A. & Peiperl, M.A. (1988))

Interestingly, Sonnenfield & Peiperl attributed the label 'Academy' (1988, p.591) to career systems in organisations which might be characterised as having an internal or supply flow (that is they were bounded) and which focused on individual contribution for their promotion criteria where professional growth was seen as a personal goal and a community obligation. One characteristic of Academies was described as the existence of 'elaborate career paths and job ladders' (Baruch & Peiperl 2003, p.1269).

While academics in English pre-1992 universities may have been in a bounded or closed career structure, with entry for most through a PhD, this was often not an organisational career where work was done for one institution for the duration of

a career. Inter-organisational career orientations were said to effect employees' career strategies as they build by moving from one organisation to another (Yamamoto 2006). An inter-organisational career was 'self-directed by the employees themselves' and required 'more self-control on the part of the employee than to develop an organisational career' (Yamamoto 2006, p.244). Defillippi and Arthur (1994) observed that careers characterised by inter-firm mobility caused behaviours characterised by a boundaryless career, challenging Sonnenfeld's typology (Sonnenfeld & Peiperl 1988), but they ascribed the behaviour to the elimination of intra-organisational career paths. Crawshaw (2006, p.98) concurred that 'many organisations were replacing the traditional, long-term, paternalistic career model with a new, more short-term, transactional 'deal.''

Academic Work

The Higher Education Statistics Agency (HESA) provided an occupational coding manual to enable the classification of job titles found within the HE sector to one of thirteen broad occupational categories.

The formal definition of an academic according to HESA was:

'Academic professionals are responsible for planning, directing and undertaking academic teaching and research within Higher Education Institutions. All academic staff are classified to this group regardless of their discipline (e.g. science, engineering, social sciences, humanities, languages). This group should also include medical practitioners, dentists, veterinarians and other health care professionals who undertake lecturing or research activities within higher education institutions.'

(Institute for Employment Research 2002)

While seemingly straight forward, this definition side stepped much of the identity complexity described above and could not be considered reliable or definitive by the author. The Higher Education Funding Council for England, when reporting in 2006 on the growth in academic staff numbers, said:

'The analyses here focus on the 'core' academic staff: that is, those on permanent contracts and graded as lecturer/senior lecturer or above, and who work at least 40 per cent of an FTE contract. These totalled just over 64,000 in 2004-05, an increase of 16 per cent since 1995-96, and account for 65 per cent of the total FTE for academic staff. (We have found some evidence that part of the growth in 2003-04 and 2005-06 may be due to the inclusion of existing staff who were not previously identified as academic. We cannot be sure therefore that the apparent increased growth rate in these years is real.)'
(HEFCE 2006, p.12)

Bold added for emphasis.

This suggested either organisational change at the institutional level or a change in definition by (some) institutions of what an academic was.

Kogan, Moses, & El-Khawas (1994, p.70) said the 'core functions of academic staff are teaching and research complemented by service to the institution, to the professions, and to society.' Houston, Meyer, & Paewai (2006, p.19) later supported this definition describing universities 'as concerned with advanced learning, where research and teaching are closely interdependent, and where most teaching is done by people active in advancing knowledge.' Blaxter, Hughes and Tight (1998, p.19) gave a more extended list of five roles academics have to fulfil in executing their work. The roles listed were teaching, researching, managing, writing and networking. These rather clinical descriptions were given a little more cultural bite by Coaldrake (2000, p.15) who described a different ideal which extolled:

'...individual independence and autonomy underpinned by secure full-time employment, authority derived from academic standing, local control over academic matters, linkage of research and teaching at the individual level, high status for original research and widespread disdain for what are seen as the lesser tasks of administration and management.' (p.15)

These definitions all went to suggest that research and teaching were naturally integrated, were not distinct and did not overlap. However, Clegg reported that ‘universities and academic life are becoming more complex and differentiated spaces’ (Clegg 2008, p.3).

It was a popular (mis-) conception in the literature that research and teaching were necessarily linked and enhanced each other. For example, Hattie and Marsh (1996, p.511) in presenting their study that no positive relationship could be found argued with those who said that relationship was ‘obvious’:

‘...based on the premise that the abilities underlying successful teaching and the abilities underlying successful research are similar’ (p. 512)

There were limitations with the assumption, in the UK, that high RAE scores and excellent subject review scores, in the Quality Assurance Agency’s assessment, could be used to indicate that this relationship existed. It was not clear they measured what they said with any purity or that they were independent variables (Coate, Barnett, & Williams 2001). This nexus between research and teaching was also subject to external pressures. Gordon (2003) reported that substantial pressures upon higher education systems and institutions were impacting upon individual roles and career paths. This same view was enunciated earlier by Dill and Sporn (1995, p.16) who said Universities were developing ‘more creative, adaptable and efficient means of organising academic work.’ Kogan, Moses, & El-Khawas (1994) described the nature of this impact:

‘There are changing balances and tensions between different tasks: teaching, scholarship, research, consultancy, community service and administration. Priorities have to be made, by academics and institutions. Differentiation of task is taking place between institutions and within them.’ (p.2)

This trend towards greater role differentiation led Henkel (2004) more latterly to explore whether the idea of a nexus between research and teaching was still influential or important to academic staff. The distinction or separation between research and teaching led to the idea that, to gain credibility as an academic an

individual needed to be a respected researcher (Asmar 2004, p.56). Teaching was viewed as an activity that could be out-sourced or delegated to part-time or junior lecturers or tutors and held lower status, value and significance (Serow et al. 2002). Time spent on teaching was blamed for a lack of research output; since in most universities teaching and research was said to be conducted by the same individuals (Ebong 2001; Vidal & Quintanilla 2000). This literature suggested that, far from being integrated, teaching had a negative impact on research.

Another issue which arose from the research-teaching nexus was the fact that universities were accountable for both, irrespective of how highly ranked they were in research. Teaching formed part of the core functions of Universities although they tended to hire and promote academics 'on the basis of scholarly distinction' (Serow, Van Dyk, McComb, & Harrold 2002, p.25). Taylor (2007, p.870) noted that 'In some cases, the inter-relationship of teaching and research is expressed explicitly in the University's mission statement and corporate strategy, and thus formed part of the underlying philosophy of the institution.' This assumed policy was said to tend to increase the institution's ability to produce greater research outputs but had unintended consequences for education. A third issue arose, that research and teaching were said to be rewarded differently. Coate *et al.*, (Coate, Barnett, & Williams 2001, p. 159) argued that universities repeatedly set themselves up to fail in education by linking promotion to research productivity, partly because it was easier to measure the outputs. Kerr had earlier noted that 'Society *hopes* that [university] teachers will not neglect their teaching responsibilities but *rewards* them almost entirely for research and publications...Consequently it is rational for University teachers to concentrate on research, even to the detriment of teaching and at the expense of their students.' (Kerr 1975, p.773; emphasis in original) . This suggests that research had a negative impact on teaching.

This was clearly a conflicted field. It was intended in the research project to discover, if possible, how institutions responded to the research and teaching debate in designing their academic career pathways, or at least to be aware of this seemingly important variable.

Scott (2003) more recently asserted that ‘New divisions of labour with new ‘systems’ of academic work have been created’ (p. 302.) He, however, observed that the new paradigm of academic work was different in being more collectivist than individual in nature, limited by the contribution of others, accountable to others and inter-professional. Rhoades (1998, p.4) had said, that while management prerogatives have grown and academic power had declined, he diminished the impact of this on individual academic staff members, describing them as ‘managed professionals’ but adding that ‘Many, if not most, faculty are unaware of the scope and significance of the restructuring that is going on in higher education...Many faculty still believe they are independent professionals. At least they act as such.’

Social Capital

The literature related to managerialism over collegiality (Trow 1994) or the importance of research in relation to teaching (Hattie & Marsh 1996) seemed to contest perceived values, often rejecting dominant models in a conflicted field. If it was true that to gain credibility as an academic an individual needed to be a respected researcher, then why was it true? Was managerialism a continuing force ensuring steady improvement in the provision of higher education or a weapon to assert control? The answer to these questions seemed to lie in the dominant social actor’s point of view.

*‘The field of power is a **field of forces** defined by the structure of the existing balance of forces between forms of power, or between different species of capital. It is also simultaneously a **field of struggles for power among the holders of different forms of power**. It is a space of play and competition in which social agents and institutions which all possess the determinate quality of specific capital (economic and cultural capital in particular) sufficient to occupy the dominant positions within their respective fields... confront one another in strategies aimed at preserving or transforming this balance of forces...This struggle for the imposition of the dominant principle leads, at every moment, to a balance in the sharing of power, that is, to what I call a **division of the work of domination**.’* (Bourdieu & Wacquant 1996, p.76) Bold added for emphasis.

This extract suggested a struggle by social actors, in this case academics and managers, to advance their own interests within the university system.

All academics were part of a community of scholars engaged in like work. Following the Bourdieuan principle above, they should have wanted to self-regulate their social space. Humboldt's (1970) second proposal for higher education institutions in Berlin, first published in German in 1810, was that research and teaching was to be practiced in loneliness and freedom. Halsey (1992, p.26) in a similar vein later suggested Mark Pattison as 'perhaps the most perfect exemplar of that new model of the inspired working tutor which has served ever since as an alternative to the professional and professorial hierarchy in the English idea of a University.' And the vision that Mark Patterson propounded in his evidence to a University Commission in 1850 was:

'the perfect idea of the Collegiate system proposed to take up the student from quite tender years, and conduct him through his life till death. A College was not divided into tutors and pupils but...all were students alike, only differing in being in different stages of their progress...who shared the same food, simple life, narrow economy, looking forward to no other life.'

(Rothblatt 1968, p.194)

This romantic portrait, giving emphasis to social egalitarianism, educational purpose and intellectual independence was echoed in Newman (Newman 1959) who argued a university was a place to teach universal knowledge. This picture of a sanctuary from the world for single minded scholars had (arguably) been retained in the collective memory but lost as a dominant contemporary discourse. Becher, for example, suggested academics needed to:

'...bridge the evident divisions [between them] and thus to promote that recognition of commonality which seems essential to the maintenance of some measure of collective independence.' (2001, p.205)

Collegiality, or democratic self-government, by equal citizens may be painted as a world of collaboration, mutual assistance and trust for mutual benefit, but

competition between disciplines, types of academics and individuals for changed recognition, resources and power perhaps made this vision itself naive. The model of academia put by Halsey may actually have represented the product of the most powerful voices within it or in Shattschneider's words: '...the flaw in the pluralist heaven is that the heavenly chorus sings with a strong upper class accent.' (1960, p.35)

Even ignoring outside forces such as managerialism, the domination of academia by academic leaders over the rank and file members suggested an internal power struggle. Shaw (2008, p.10) argued that 'The current evaluation system is controlled by the old guard to monitor, manipulate, and even torture newcomers. Members of the old guard feel free to do what they want.'

Bourdieu would, therefore, have repudiated the idealist portrayal painted by Halsey. 'What is at stake is the power to impose the definition of science...best suited to [the individual scientist's] specific interests.'(Bourdieu 1975, p.23) For example, it could be argued that the supremacy of the upper strata of the academic society in elite universities, rather than the Research Assessment Exercise, is what had produced a model which gave status to researchers. Halsey and Trow (1971, p.287), writing well before the RAE was conceived and in a world of only pre-1992 universities, said 'Research traditions and resources shape recruitment patterns, and these in turn reinforce the emphasis given to research.'

So we have to go back to Bourdieu (1988):

'In fact it is clear that the different properties chosen to construct the identity of different academics are very unequally used in ordinary experience to perceive and appreciate the pre-constructed individuality of these same agents, and above all very unequally objectified, therefore very unequally present in the written sources. The frontier between the institutionalised properties, which are therefore identifiable in official documents, and properties which are not objectified, or mostly not, is relatively fluid, and is bound to change according to situations and periods.' (p.8)

Any official documents collected could not be read as objective or neutral of themselves but needed to be read as a reflection of the pre-constructed reality, created through unequal power relations.

Frames of Reference

‘Academic staff’ was a term which, once given thought, quickly opened up into a diverse and complex world which as already observed defied easy definition or categorisation. The relative importance of the different features or characteristics of this society was hotly disputed in the literature, as will be shown. At this stage, it was enough though to be aware of the possible lines of analysis and the arguments which promoted the influence of one over the others in terms of their argued prominence in helping to explain the nature of academic Faculty. In a report written for the Council for Cultural Co-operation of the Council of Europe in 1966, on the Structure of University Staff, an assumption was made that while each European Countries academic staffs scheme of hierarchy would differ, within each nation state a uniform system would be found which was capable of description. However, on reporting their findings they had to say that individual Universities in some countries varied one from another and even used their own terminology for some posts (Committee for Higher Education and Research of the Council of Europe 1966). Academia seemed to be able to escape easy definition because it was fragmented along national, institutional and disciplinary lines.

Disciplinary Fragmentation

Becher (1987) argued that, while many studies viewed academics as belonging to one single homogeneous profession, they were wrong and that the differences between disciplines outweighed the similarities. Trowler (1987, p.309) emphatically stated ‘Disciplinary characteristics do shape academics’ attitudes...’ Thus, theoretically at least, we have to study the academic professions, one for each discipline. Becher (1987) accepted that disciplinary groupings may exist and cited the pure sciences, humanities, technologies and applied social sciences

as having clearly different natures of what knowledge was and how to work with it, but nevertheless held that the individual disciplines were engaged in distinctive intellectual tasks each with their own knowledge tradition. Jones (2009 , p.85) goes so far as to argue that even ‘generic skills or attributes are highly context-dependent, and are shaped by the disciplinary epistemology in which they are conceptualised and taught.’ This was important for the research design as it had to allow for the fact that Becher may be right and so recognise discipline and perhaps conclude that each was indeed a separate study.

This could not, however, be the whole story, as in a study of entrance into a career in academic science (Long, Allison, & McGinnis 1979), it was found that they could correlate the prestige of the hiring department with the prestige of the doctorate of the candidate but not with the contribution of the candidate as measured by publications. Their study concluded that this represented a departure from the norm of universalism in science. In their view this norm demanded that recognition and esteem accrue to those who had best fulfilled their roles. In another study (Crane 1970), it was similarly stated that because of the lack of correspondence between scientific productivity and status, the systems normative commitment to universalistic criteria were not utilised in practice. It was not clear what led these researchers to expect that one set of objective criteria should or did exist, which allocated seniority within science in a consistent and fair way. If Becher (1987) were right then at least within each discipline some agreement might be said to exist on academic careers within that disciplinary boundary, but their results did not show it. This literature seemed to affirm the view that politics and power were also at play.

Many Sectors

Ruscio (1987) argued that in America the tasks, attitudes and behaviours of academics and their sense of professionalism were functions of the institutions to which they were attached. He accepted that the institution was not the sole determinant, that the discipline also exerted an influence, but gave causal primacy to the institution. Ruscio did not argue that each institution compete to

subdue the others and until the academic became localised or cosmopolitan. He suggested that as academics moved across the same discipline in many institutions, each institution would have its own culture as a product of place. In his research he, therefore, viewed the American academic profession as a creature of its particular organisational setting. What distinguished academics were not the disciplinary genotype to which they belonged but more the organisational phenotype; characterised by an array of diverse organisational settings.

This recognised institutional diversity was given some order by a simple cultural model developed by McNay (1995, p.106) which laid out what he named as four cultures of universities (collegium, bureaucracy, corporation and enterprise) based on a matrix where ‘policy definition’ and ‘control of implementation’ were either ‘loose’ or ‘tight’ in a simple two axis, four quadrant model.

Long, Allison, & McGinnis (1979, p.823) argued there was a ‘trade off between the cosmopolitan reward of position in a prestigious Department and the local reward of high academic rank.’ Their view was that ‘downwards mobility in the prestige hierarchy (of institutions) was almost always accompanied by advancement in academic rank.’ Becher & Trowler (2001, p.81) later explained this phenomenon, as follows: ‘One of the striking features of academic life is that nearly everything is graded in more or less subtle ways. Leading researchers are quite clear about the most prestigious journals in their discipline...Established academics are also willing, when pressed, to list institutions and departments in order of intellectual precedence...’

This precedence seemed to be founded in objective peer review (Stromquist et al. 2007):

‘The prestige of a university and the quality of its education, the prestige of and demand for a particular field of study, levels of selectivity in admissions, and prospective financial returns from study all help define differentiation between institutions of higher education.’ (p.118)

Coaldrake (2000) would disagree this differentiation affected academics, suggesting that while Universities in Australia had been exhorted to specialise, to develop niches, in the education market, the fundamentals of university life and academic work remained unchanged by these variant institutional level mission statements. There was a high acceptance, Coaldrake claimed, in Australia of ‘common notions of academic work and similar aspirations for academic career paths’ (p.10) on which the Universities converged. In Australia, the binary system of tertiary education was abandoned in 1987 and the former Colleges of Advanced Education (CAEs) and Institutes of Technology acquired university status. Australia claimed to have a single unified system. Coaldrake suggested that academics, in this cross-institution insularity, protected academic standards and shielded themselves from the outside world.

Harman (2001, p.325 - 342) later directly contradicted Coaldrake, in research also conducted in Australia, when he compared institutional types to determine differences in academic characteristics. He found that pre-1987 Australian universities’ academics were better qualified, had better publication records, spent more time on research and were more committed to research than those in post-1987 institutions. Publication at pre-1987 institutions was emphasised and academics were placed under pressure to obtain research grants, where the post-1987 institutions had a greater emphasis on teaching. Institutional differentiation impacted on the academic profession in each part of the sector.

The suggestion of a known stratification between HEI’s, that all were not seen as equal, suggested that in the research design any sample frame needed to account for this variation.

Age as an issue for academic careers

Age could be used as a factor affecting the design of an ‘implicit career timetable’ (Lawrence 1984, p.23). It could be a criterion for people to show whether they were on or off schedule. Employees seemed concerned about whether their progress followed this timetable. It was also believed that the environment influenced people to form ideas and attitudes about the link between

age and their career. Strong expectations created the appropriate behavior. Some had, therefore, found it was necessary to categorize employees as those who were ahead of time, on time and off time against what had been internalized as typical, and to form judgments on this basis. Being behind schedule was found to create negative effects. It was, therefore, assumed that academics who believed they were ahead of time would have more positive attitudes towards work than those who were on time or behind time (Lawrence 1984, p.28). Archer (2008, p.388) found in her study that ‘all the younger academics who took part reported at least one instance of feeling (or being positioned as) ‘inauthentic’ within academia.’ It was necessary to examine individual perceptions about what age was appropriate for each level of the organization and the years of stay at a specific level of work.

Ageing and later retirement were relatively new issues and ‘there was limited research on the work experience of older academics’ (Koopman-Boyden & MacDonald 2007, p.29) . However, academics did seem to be part of a wider trend towards older aged employment.

According to Clark (2005) this:

“...rapid ageing of the faculty reflects past hiring patterns, turnover rates and retirement decisions....As a large cohort of older faculty approaches traditional retirement ages, many academic leaders have expressed concerns over the elimination of mandatory retirement policies a decade ago and the prospects that senior faculty will remain on the job into their 70’s.” (p. 3)

This concern seemed justified as Berberet, Brown, Bland, Ribey and Trotman (Berberet et al. 1995, p.82) in a survey of older academic staff in America found ‘a profile of highly productive, generally satisfied senior faculty who plan to retire well past age 65 and are anxious to play meaningful roles at their institutions...’

Gender as an issue in academic careers

HEFCE reported that:

‘We are seeing a positive increasing trend of more women in academic posts, with the proportion rising from 27 per cent to 36 per cent since 1995-96. The highest proportions are in subjects allied to medicine (62 per cent), law (43 per cent), languages (49 per cent) and education (58 per cent). The proportion of women professors has more than doubled over this period – although from a low starting point – from 9 per cent to 19 per cent.’

(HEFCE 2006, p.15)

In contrast to this report of positive progress from a low starting position, Waaldijk in the same year (2006, p.1) addressed emotively the ‘heartbreaking question of whether it was possible to combine a paid job with the joys and duties of non-commercial love, sex and care’ which she said was a problem not confined to higher education academics. She concluded that ‘men and women all over the world have – often long ago and often to their disadvantage – discovered the answer is a clear and resounding *no*.’

Female academics more typically than men had to deal with many issues that affected their performance. Women, more than men, had household and family responsibilities and had to resolve this multiple and conflicting workload at best without career detriment.

A common assumption was that it was easier for women academics, than other women, to balance duties and responsibilities due to the inherent flexibility of the academic job. Indeed, the work of the female academic could be done at home, on weekends and holidays and not necessarily in the university campus.

Morehead (2003) argued this very freedom was actually a disadvantage as other women, particularly where their work pattern was different from their spouses, had the power of absence from the home, which forcibly shifted the burden of domestic responsibility. The flexibility of academic work was counter-productive

as it made it more difficult to assert the power of their necessary work-related absence on their partners.

However, Probert (2005, p.51) found that the relative failure of women to progress to Reader or Chair positions were related to ‘high rates of separation and divorce, far higher rates of partnering among [academic] men than women and the impact of older children’s needs.’

Kurtz-Costes, Helmke and Ulku-Steiner (2006, p.152) argued that ‘academia continued to be traditionally male and patriarchal, in spite of growing numbers of women faculty and doctoral students...The majority of senior ranks and powerful positions at most universities are occupied by men...’ In other words, ‘merely allowing women faculty to meet the criteria for academic success, on terms which have been defined by men and represent their life experiences, does not necessarily guarantee equity.’ (Bailyn 2003, p. 140)

Similarly, Knights and Richards (2003, p. 233) asserted that women were less likely to be promoted because of their commitment to teaching based activity or disciplines (a feminine activity, even if it is socially constructed to be so) which was undervalued by male dominated promotion panels concerned with glamorous publication records. They also argued that male dominated promotion panels were more likely to privilege male (hard) academic disciplines over female (soft) disciplines ‘largely because they are made up of predominantly male senior academics.’ This view was later contradicted by Probert (2005, p.58) who asserted from quantitative data in the UK and Australia that ‘women [academics] are more likely to be successful than men when they apply for promotion’ but that they seemed less likely to attack the career structure as vigorously as men. Women were proportionately less likely to apply for promotion than men (although they were more successful when they did); and men applied with greater intensity, that was each man applied more often.

Part-Time, Temporary and Casual Staff

Contractually, academic staff could have worked on a fractional, permanent contract (part-time), or have a fixed term, whole time appointment (temporary), or have been hired on an hourly basis (casual), and each of these groups may have had their own network and sub-culture. Any of these categories may have represented functionally specialised appointments (teaching only or research only.) Such staff may have been retired returners (semi-retirees), aspirants to an academic career, freelancers (with more than one employer) or have been self-employed or have been pursuing a graduate degree. Gappa and Leslie (1993, p.46 - 63) identified four categories of casual academics: the ‘aspiring academic’ (who had recently finished a research degree), the ‘industry expert’ (who held a job elsewhere), the ‘career ender’ (who had recently retired) and the ‘freelancer’ (who chose to hold a variety of jobs.) The Higher Education Statistics Agency defined non-standard or atypical academics as ‘those whose working arrangements are not permanent, involve complex employment relationships and/or involve work away from the supervision of the normal work provider’ (HESA 2008).

The claimed growth of this group by the University and Colleges Union (UCU) was given as evidence of casualisation of UK academia (Court 2005). This study aimed to say something about the change in academic careers but did not attempt to address the controversial claims of casualisation or marginalisation. Handy (1993) described organisations, not just universities, as shamrocks with a shrinking core of professional permanent career employees, a growing pool of freelance professionals and technicians on temporary or *ad-hoc* contracts and an expanding group of contingent workers hired by the hour who lacked any discernable career track. Claims existed that Higher Education had ‘...a two-tiered academic workforce in which the tenured core has secure employment and conditions and the tenuous periphery experiences insecurity and poor conditions’ (Kimber 2003, p.44). With the effect that:

‘The University, consequently, is becoming an institution with two streams of professionals: a reduced and prestigious core of faculty represented by the regular professors, and a large set of less qualified, changing, just-in-time knowledge workers who enter degree programmes to fit specified tasks.’

(Stromquist, Gil-Anton, Smolentseva, & Balbachevsky 2007, p. 131)

This analysis seemed to paint non-standard academic staff as some kind of reluctant under-class. More recently, Brown and Gold (2007, p.439) found that ‘six out of ten chose their status and correspond in some way to the profile of a ‘portfolio worker’ (high level of qualifications, multiple job holding and a sense of independence.)’ This tended to correct a perception of such staff as mainly casual and disadvantaged.

While aware of this highly differentiated taxonomy and of complaints that these staff may be a disenfranchised ‘under-class’ in Universities (Kimber 2003, p.41) including from career promotion, any attempt to address this problem would be a different study from the one intended and which had been tackled by others (Brown & Gold 2007; Bryson & Barnes 2000a).

Colour, Race and Ethnicity

While gender could perhaps be treated in a homogeneous way, all women (contestably) experienced a similar kind of discrimination; this was said not to be true of different racial groups (Neal 1998). This issue was complex, as the factors overlaid and defied easy categorisation. Academics, like the population at large, could be non-white but British or white and non-British or hold British passports but have considered themselves as belonging to a particular ethnic group. A temptation would exist, if using a survey approach, to attempt to simplify the potentially infinite array of categories for the purposes of analysis. A methodological design should, however, be more sensitive to colour, race and ethnicity as a contextual issue and see how important it was perceived to be by the participants as an influencer on their reflection on their academic career. In

an analysis of the HESA data set in 1996-97 (Carter, Fenton, & Modood 1999), it was found that minorities were on average younger, had shorter lengths of service, allowing for age and length of service they were less likely to be in senior posts, more likely to be in research only posts and more likely to be fixed term. This study was less interested in the proportions of people who suffer but what being in a minority group was perceived to mean to those in it in relation to whether they could follow an academic career successfully.

Individualism

Becher and Trowler (2001) argued that an academic culture could not be read off from any one structural location, such as nation state or institution or discipline. Like all other social actors, academics were not a victims of circumstance, a 'homo sociologicus' (Dahrendorf 1973) completely driven by external forces. Academics were at least partly empowered to reconstruct their cultural environment. Becher and Trowler accepted that discipline and gender were relative and real forces but wanted to place the individuals, who inhabited the academic world, their careers and interactions, as *the* primary data source. In much qualitative research, people were seen as data sources in the sense they were repositories of knowledge, experiences or feelings which were relevant to research (Mason 2006a). Certainly Henkel (2002) ascribed understanding of identity primarily to a communitarian philosophy, where the mutually reinforcing ideas of the individual academics were distinctive and it was within that community of dialogue that members constructed their individual and collective identities.

Workload

Academics were said to be challenged by increased accountability and workload. Court (2006, p. 178) said 'Almost one half of respondents in 2004 [to an AUT members survey] said they had seriously considered leaving higher education, chiefly because of job insecurity, stress, work overload, excessive bureaucracy, limited prospects of promotion and poor work-life balance.' Leaving aside the grim picture this survey report painted and the agenda of the Union conducting it, workload was an issue. Coaldrake and Stedman (1999, p.9) had also noted that

as academic work expanded to meet growing expectations, universities and individual academics had responded through ‘accumulation and accretion’ rather than adaptation. Houston, Meyer and Paewai (2006) argued that:

‘Eventually, unless workloads are managed well and, for example, time is provided for scholarship and research as well as teaching and service – those things that are valued by academics attracted to university careers – the lifestyle of an academic will be affected and the original motivators for career choice may dissipate.’ (p.28)

Other studies had sought to explore any quantitative link between the relative prestige of an academic department and the relative career seniority of an academic by reference to their research outputs. Scott Long (1978, p.890) stated that two distinct explanations had been offered between ‘position and productivity.’ First, those more prestigious departments hired more productive staff; productivity was causally prior to position. Second, that being in a more prestigious department facilitated greater productivity; position was causally prior to productivity. He concluded that the prestige of the Doctoral origin was important as its effect continued, with productivity being more strongly correlated with the source than destination department, with this effect diminishing through time. People who had done well at the beginning of their career had a better chance of also doing well later.

Pulling the threads together.

The literature of relevance to this research fell into four broad categories:

- 1) contextual material on globalisation, massification and managerialism in Higher Education which set a background given the higher education focus.
- 2) literature on careers more generally, and on academic work in particular, was relevant as this was a human resource management topic.

3) writing on academia which covered whether discipline, institution or status was important as key influencers on work and careers.

4) from a participant perspective research had covered particular characteristics seen as important such as age, gender, race and contractual status.

Writing by personnel management researchers or practitioners on academic careers or research, conducted from an institutional rather than a participant academic perspective, was limited or non-existent. It was not possible to find a set of already proposed academic career models to test empirically in this research or to act as a point of comparison to what might emerge from this research. The unpublished Russell Group report (shown in Appendix One) was the only contemporary attempt found to produce representational career models. It seemed that representational models of academic careers, based on empirical research, did not exist. They certainly did not exist since the changes made as a result of the Framework Agreement. What the literature review had done was provide a set of contextual and specific matters which needed to be understood and accounted for in the research design.

The research design needed to be sensitive to the likely impact of managerialism on academic roles or on career design. It was necessary to understand the national characteristics of English Higher Education to explain the scope and the likely international relevance. As well as formal or official organisational constructs, social reality presented an important perspective on careers. Academic work was divided into sub-roles or identities, where the meaning of being an academic was contested, including the nature of the relationship between teaching and research. The dominance of one view over another may have been a reflection of the participant's relative social capital or power. Institutional and disciplinary differences suggested themselves as having a part to play in the design or results. Age, gender, race and employment type all seemed variously to aid or hinder career progress.

Chapter Three

Research Design

Chapter Three

Research Design

Identifying the Questions

The Research Questions

Active Reflexivity

Philosophical Considerations:

- Interpretivism and Positivism
- Inductive and Deductive Approaches
- Justification of mixed methods

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The relationship between documents and interviews

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Final Design Proposal

Design Summary

Applicability of the methodology outside England

Conclusion

This Chapter presented research questions and the design of the project aimed to answer those questions. The author needed to decide an approach after considering the available options. It would be seen that the research was intended to use mixed methods. The research was to begin with an exploratory stage, out of which the author would generate theory to be tested in a later deductive stage.

Chapter Three: Research Design

Identifying the Questions

The importance of the exploratory stage (Chapter One) and of the literature review (Chapter Two) was that it allowed the research boundaries to be established; within both the perceived social reality and the current state of knowledge. This process also systematised the relationship between the literature review content and the perceived topic or problem being considered. The author knew that more clearly defining the research question was going to be important for an in-depth understanding and for the required clarification of the research design. The context and the literature review, which were described in the previous two chapters, helped to discern the research problem to be faced.

The main themes from the literature are illustrated, as shown below in Figure 7.

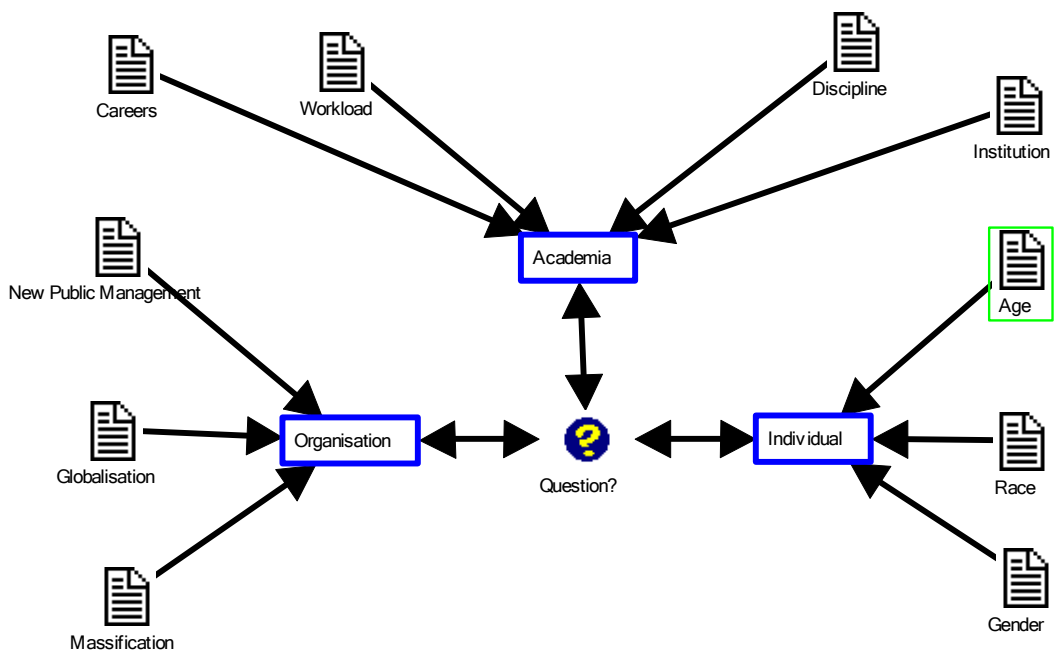


Figure 7: Diagram of the problem's literature review

The map of the literature (illustrated in Figure 7 above) suggested an individual and an organisational perspective on the problem of the organisation of academic

work. It also suggested a design which had to take into account institutional and disciplinary perspectives. In classifying different types of research in higher education Tight, (Tight 2003;Tight 2004) suggested eight key categories or themes of HE research, one of which was ‘Academic Work,’ and which included as further sub-categories ‘the changing nature of academic work’ and ‘academic careers.’ This taxonomy identified the category of concern in this project. Tight then suggested seven hierarchical levels of analysis (Tight 2003, p.10), which included the individual academic and the institution in which they worked. These two classification types; the eight categories of research and seven hierarchical levels of analysis, suggested fifty six different possible choices of location for a researcher from which to view and perceive the higher education world. In a Chapter dedicated to researching academic work, Tight (2003) then asked ‘What do academic careers look like?’ (p.153.) That question may well have been the primary research question for this study. While the research was being conducted by someone who at the time was an HR practitioner and the subject was careers, making it a (people) management study, this was also social research into higher education management and policy, given the sector and staff group chosen.

The first part of the study was primarily intended to explore what was going on with academic careers in Universities (an institutional level of analysis) to discover what academic career pathways existed (academic careers being the chosen category.) This was essentially a descriptive research goal, leading to a ‘What’ type question. However, given what had been learnt from the literature review, the author did not want to look only at what each institution had said or written about their formal position but also to understand what academics might say about their experienced reality (the individual academic as a level of analysis.) The descriptive or ‘What’ part of the research (later called Phase One), therefore, needed to be in two parts.

Secondly, assuming the found reality could be described or represented in some way, the author was interested in the proportion of Universities populating each pathway. In other words, was there a clustering around certain models?

The last question was thought likely to be relational. To attempt to look at the relationships between one or more of the variables, but in particular with institutional performance or ranking. These questions could be viewed as cumulative, as one had to first describe each of the variables, before one could count them and then try to relate them. In other words, if any clustering was found to exist, did it correlate with other factors? The above thinking led to the framing of particular research questions, set out below.

The Research Questions

The research questions were:

What representational career model(s) describe the career paths being utilised for academic staff in English pre-1992 Universities (since the RDSI initiative and the national pay framework agreement?)

What is the participant academic staffs perspective on following an academic career?

The research objectives were:

To describe the distribution of English pre-1992 Universities utilising the found model(s.)

To seek correlations between the variables within the representational model(s) and with the institutions research and teaching status.

This research was divided clearly, therefore, into two consecutive phases. Phase one of this research sought to **inductively** answer the two primary ‘what’ type research questions: what representational career models described the career paths being followed by academic staff in English pre-1992 Universities (since the RDSI initiative and the national pay framework agreement) and related to

this, what was the participant academic perspective on following an academic career (the social reality.) Phase two also answered two research objectives, which sought to go beyond simple ‘what’ descriptions and into explanation and so was more **deductive**. To find the number of Universities utilising the found models and to seek any correlation between the variables in the chosen model(s) and with the institutions research and teaching status.

These research questions drove the research design, and this is explored more fully below.

Active Reflexivity

Subjectivity was inevitable in this study, not least because it planned to utilise qualitative methods, and so the author had to recognise his position in relation to the research and how it shaped the enquiry and its outcomes. ‘We cannot rid ourselves of this subjectivity, nor should we wish to, but we ought, perhaps, to pay it very much more attention...’ (Cheater 1987, p.172) Pierre Bourdieu argued that a methodological problem existed in studying academics as one was turning an ‘instrument of analysis’ into an ‘object of analysis’ and this required the researcher to ‘objectify everything that links him to the subject’ (Bourdieu 1988, p.32). This section sought to offer that suggested objectification of the authors own position.

While it was important to see the situations in context and through the eyes of the participants in each place, the researcher in this case inevitably took a human resource management perspective. This had already influenced at least the choice of research topic. So the author, being at the commencement of the study, a Human Resources Director in Higher Education, found his occupation at the time provided a contextual practitioner motive for the choice of the research topic and provided the professional the drive to see it through. The personal motive was to satisfy a curiosity as to how the understood national changes, in which the author had been engaged as a practitioner, were impacting more broadly on academic work and careers. In November 2008, while writing up this thesis, the author

was appointed as University Secretary and was able to look back on the topic choice, reading, design, research and analysis phases of the project from other than only an HR orientation. This allowed a healthier disconnection from the results of the analysis than when professional (self-) interest was still engaged.

Having read research by academic staff about their own world, it was clear to a non-participant that they tended to take a participant point of view which was tainted by norms or attitudes held by academics. For example, that management or pejorative managerialism (see the literature review in Chapter Two) was bad (Deem 1998; Deem, Hillyard, & Reed 2007). Rhoades (1998, p. 3) encapsulated this view in stating 'Managerial efforts threaten faculty even in the most prestigious sectors of higher education.' Secondly, that academics were not like other employees but were in many respects unique (Becher & Trowler 2001; Clark 1987; Henkel 2000). Others may well, likewise, recognise in this writing, therefore, a (human resource) management perspective whether or not the author intended it. The challenge was to interpret objectively the subjective social construct, and to recognise the author could not leave behind a personal history as a human resource manager. The aim was to describe the socially invented reality which was there and interpret it as a living social process. The first two research questions, therefore, had their epistemological roots in interpretivism rather than in positivism. To find out what was happening it was assumed as necessary to see what people's opinions, thoughts and intentions were.

This raised another question; whether it was possible for a non-participant to understand the perspective of academics and their views on careers as someone from outside their world? The author was working in the Higher Education sector, partly engaged in the process of academic promotion as a human resource manager but not as a career academic whose future was dependent on this social process and its rules. Obviously any ability to sit in the context was limited. What observations were chosen or ignored in the process of intellectualisation, what was seen as unproblematic or taken for granted may actually have been important. It was important not to start out with expectations about the

expectations of academics and forced unfamiliarity was intended to help overcome this but it was clear that the research was not value free.

The author started out with a belief that academic careers, as understood within the social context of English pre-1992 universities, were changing. Further, that the change was being driven by particular competitive pressures on English universities which caused them to want to differentiate. This combined with the institutional implementation of the national pay framework agreement and RDSI monies created the chosen context (see Chapter One.) This suggested firstly that change would be found and secondly that it was the individual institutional procedures which were powerful and effective in changing the academic career path. Change was likely to be found simply through the passing of time and natural evolution but the combination of factors at play at present were creating, it was believed, a volatility which would have profound consequences. If this was found to be true then it may also be true that academic titles and criteria could no longer be discussed as a single, nationally understood concept. They would vary at least by institution, if not by discipline within institution, because a collective national sense of what it was to be an academic no longer existed or could not over-ride the institutional rules.

So the author had to recognise:

1. he was researching from a management perspective,
2. academic literature contained an academic perspective bias, so the same was likely to be true writing from a managerial viewpoint,
3. the author was a non-participant researcher,
4. the author anticipated finding diversity in the data.

Philosophical Considerations

Research was understood and applied differently in its various contexts. This was seen as a consequence of the varying nature and traditions of different academic disciplines. In addition, social science research could be approached from three different paradigms or meta-theories; positivism, interpretivism and critical theory (Cohen, Manion, & Morrison 2000; Gephart 1999; Neuman 2000). It was

not the purpose of this thesis to contribute to research methodology but to apply it and so provided definitions were accepted. The author did not start out with a philosophical label which dictated the approach but rather he thought through the best way to approach the research problem given the research questions (above) and in the process of seeking a methodological strategy found a coherent approach.

This research was **applied**, not basic or fundamental, and so was concerned with producing real world models that would be used, to inform debate and decision making. The research was concerned with people at work and in higher education and so its knowledge domain was broadly framed as social science and, more particularly, human resource management in higher education. The results would come not from theories or propositions but from empirical data.

Interpretivism and Positivism

In the first phase of this research, the approach was planned to be **interpretivist**. The assumption interpretivists made was that meaning was created amongst people who shared a context and therefore behaviour should only be interpreted according to the group's meaning system. Meaning, therefore, had prime value. As Blaikie (2000) put it, qualitative research used the social actors point of view:

“The chief characteristic is a commitment to viewing the social world – social action and events – from the viewpoint(s) of the people being studied. This commitment involves discovering their socially constructed reality and penetrating the frames of meaning within which they conduct their activities”
(p.251)

This was a relevant characteristic as in career theory it was said, for example, by Block (2005), that:

‘Given the actuality of life and the predisposition to seek order, individuals often experience their careers as illogical, having no clear relationship between

actions and reactions. They believe there is some sequence of work roles that they are expected to follow. They believe that others make career decisions based on logical links of past experience and that others expect this logic of them as well, but that is not most peoples experience. That is why many people seem to keep the real stories of their careers secret...In truth it is the secret career stories that reveal the reality.' (p. 198)

Given that the author might have had another meaning or reality of his own (explained above in Chapter One), interpretivists did not judge the behaviour of their research subjects but instead presented the data through thick description.

By contrast, as can be seen in the Phase Two design, positivism adhered to realism and rational choice, where the author remained detached, neutral and objective from that which was being investigated and was concerned more with facts and where elements of the research process could be tightly controlled (Hammersley 1992).

Positivism (Neuman 2000) relied on:

'...organised methods for combining deductive logic with precise empirical observations of individual behaviour in order to discover and conform to a set of probabilistic causal laws that can be used to predict general patterns of human activity.' (p. 66)

Hypotheses are, of course, conjectural statements of the relationship between variables. The scientific method began usually with the construction of a hypothesis, which was an imaginative preconception of what might be true. A hypothesis was an educated guess derived from study, reflective thinking and observation. In the process of research, it was exposed to criticism. Then, on the basis of the evidence, the hypothesis was either accepted or rejected. As research tools, hypotheses organised the efforts of researchers and provided them with a framework for collecting, analysing and interpreting data. Therefore, there was the possibility that a hypothesis, once confirmed and established, would become a law (Kerlinger 1999).

Some opponents of positivism rejected the belief that human behaviour was governed by generalisable laws and characterised by regularities, holding that the social world could only be understood from the standpoint of individuals, who were an important part of the ongoing action being investigated. Social science was often therefore seen as a subjective, rather than an objective undertaking, as a means of dealing with the direct experience of people in specific contexts. Social sciences cannot penetrate to what lies behind social reality. They must work directly with a human definition of reality and although they do not reveal an ultimate truth, they help humans make sense of their world (Cohen & Manion, 1994).

Positivist schools of thought considered that human behaviour consisted of responses, to either external or internal stimuli, that caused certain behaviours. Non-positivist approaches on the other hand focussed on action; intentional behaviour that was future oriented. Positivistic researchers tried to devise general theories of human behaviour and to validate them through the use of research methodologies; non-positivist researchers claimed that theory was always emergent and that it must arise from particular situations and be grounded in data generalised by the research. For them theory should not precede research but follow it (Cohen & Manion, 1994).

Inductive and Deductive Approaches

The second dimension to be introduced at this point was between inductive, deductive, abductive and retroductive research. Inductive reasoning demanded that the theory came last and was developed from or through data generation and analysis (Mason 2006a). The approach demanded an attempt to develop explanations, models or theories which fitted the data by scrutinising it. This was sometimes called grounded theorising in qualitative research and was associated with Glaser and Strauss(1967). Phase One commenced with this inductive exploration and discovery in mind, to answer the initial two ‘what’ questions.

In Phase Two, the researcher consciously switched tracks into deductive research, which by contrast, had the theory come first, before the empirical research or analysis, and it was tested on or measured against the data. The theory was not derived from the data in this method but the hypothesis was stated in advance based on the Phase One study and the task was to see if the data supported it. This was sometimes called deductive reasoning or the ‘hypothetico-deductive’ method (Blaikie 2000).

Given the author started this project with an assumption based on his experience as practitioner about what he might find, exposed in the introduction, it was possible to conclude this research was intended to be retroductive. That is, the intention was to discover and explain the practitioner observation by working from the data back to an explanation. But this approach had to be rejected as no intention existed to construct a hypothetical model and then to proceed to establish its existence. Instead, the research in Phase One was intended to operate inductively, to see what was found and to seek any regularity only from the data.

The first phase of the research was to be qualitative, interpretivist and inductive. The data was to be used to generate a theory or a model. However, the straightforward distinction between qualitative and quantitative research misrepresented the found basis on which research strategies were selected (Bryman 1992, p.52).

Justification of mixed methods

The different methods proposed above were to be used sequentially. ‘It is relatively common’ says Henn, Weinstein and Foard (2006, p.213) ‘to begin the research process with an inductive, exploratory stage, out of which we generate theory then to be tested in a deductive, explanatory stage.’ Indeed, they went on to give an example where ‘data collected in the initial exploratory stage is analysed and coded, and this then forms the basis for the design of the questionnaire.’

So the combining of qualitative and quantitative research did happen, since neither approach was forever rooted in its epistemological position. This led to a style of research where field (interpretivism) and survey (positivism) methods were integrated, as was proposed here. This style of research was called 'methodological complementarity' (Yolles 1998, p.527), 'multiple research strategies' (Brannen 1992, p.11) and 'triangulation' (Denzin 1970, p.310).

Mixing methods could be done according to Mason (2006b) to get a close up illustration of a bigger picture, for background to answer differently conceived questions, to ask questions about connecting parts or layers of a social whole, for triangulation or to answer distinctive but intersecting questions. In triangulation, a quantitative survey might be used deductively, for example, to pinpoint, improve, test or validate the accuracy of an explanation derived inductively from interpretative research. This version of triangulation according to Mason (2006b) draws on corroborative logic, where different forms of data were used to corroborate what they were measuring although she noted that the mixing of methods meant the data rarely corroborated each other straightforwardly.

The most commonly held notion of combining methodologies was where more than one method of investigation and so data type was used. This meant the data sets produced by each method were treated as complementary (Brannen 1992).

In this research, it was not intended to use a single research instrument to derive two sets of data, qualitative and quantitative. It was not meant either to combine quantitative and qualitative analysis of the same data set, or to combine two data sets derived from two research methods. Of importance, in excluding these options, was a recognition that the use of more than one method of collecting more than one data set may simply be tapping into different things while apparently investigating the same issue. As the approach taken here was sequential, 'analysis of the qualitative data from the interviews and document analysis does not represent a final stage in the research process, but a stepping stone between stages' (Henn, Weinstein, & Foard 2006, p.214).

The intention of Denzin's (1970) triangulation was to enhance the quality of the research by viewing the research problem from multiple perspectives. Further, May (2001, p.27) stated that a researcher who was aware of the paradigmatic differences, but acted 'reflexively, is more likely to produce an enhanced and systematic study of social life.' The next section explains the intentions that lay behind this research and so defends the choice of a two phase approach with mixed methods. The researcher's curiosity motive, however, suggested a research design that wanted to deductively test the relative institutional usage of any representational career paths or models inductively found in phase one.

Scope: The Choice of English Pre-1992's

At the time of this research the UK HE sector consisted of 169 individual HEIs, with a continuing trend for the merger of smaller institutions with larger ones. England had 133 of those HEIs, and the decision was made to restrict the scope to the 42 English pre-1992 universities. While the number of pre-1992 institutions seemed small in comparison to the total, over half the full time academic staff worked in pre-1992 HEIs. The numerical dominance of post-1992 academic staff numbers was because of a much higher use of part-time academic staff in those HEIs. This choice of scope excluded post-1992 HEI's and dominions outside England, although part of the United Kingdom, and required explanation.

Prior to 1992, Universities were (debatably private) institutions established by Royal Charter and received funding from the University Grants Committee (UGC), established in 1919. Expansion in higher education through the 1960's and later was largely achieved through converting it into binary system, creating a new public sector comprising Polytechnics. Polytechnics were (initially) local authority institutions, established to provide advanced technical and vocational education, which received no funding for research. In the context of careers, Fulton reported immediately before the legislation enabling Polytechnics to apply for University status was passed that 'fewer than 15% of University staff have worked in a non-University institution' (Fulton 1996, p.413) This divide

remained largely true to today; for example, 89% of permanent academic staff at pre-1992 universities in 2007 were research associated. This was true of only 26% of staff at other HEIs (PA Consulting 2008, p.42). The differential history, legal status, mission and funding of these two institution types meant academic staff in each had very different legal contracts, role expectations and grading structures.

It could be argued that debate about institutional diversity was ‘often trapped within an over-simplified prism that focuses on the distinction between ‘old’ (normally elite) and ‘new’ (often access based) universities’ (Garrod & Macfarlane 2006, p.1). While it was true that some higher education establishments had merged with further education colleges, community colleges or polytechnics to form dual sector institutions and some former polytechnics have made progress in the RAE, as the 2008 profiles showed, this assimilation was marginal. The crude dichotomy remained as a product of history, inheritance and the concentration of research funding. In a wide ranging survey of internal promotion criteria (looking below the numbers) in both pre-1992 and post-1992 universities, Parker (2008, p.246) suggested ‘a clear difference between pre- and post-1992 universities.’

There was a division between the universities that were established before and after 1992. In pre-1992 universities academics traditionally were expected to be research active, were promoted though personal re-grading based on personal merit and had a contract of employment which did not regulate hours. By comparison, in post-92 universities the national ex-local authority contract on which academics were employed was different, the focus had been on teaching hours and promotion was based on appointment to available posts with differentiated duties or responsibilities. While it may be true that both may be changing, to examine the case of academic staff in post-1992 universities or to make a survey for purposes of comparison would in effect be a different study with a different starting point.

The project had to examine the context of English universities. England had the benefit of R&DS monies from HEFCE which were not available in the

principalities and KPMG (2005) had already reported for HEFCE on the booster effect this had on English HEIs HRM practices (see page 29.) It was this, therefore, which justified restricting the study to England.

The total population was, therefore, forty two institutions, as follows:

Aston University

University of Bath

University of Birmingham

University of Bradford

University of Bristol

Brunel University

University of Cambridge

City University

Cranfield University

University of Durham

University of East Anglia

University of Essex

University of Exeter

University of Hull

Keele University

University of Kent at Canterbury

Lancaster University

University of Leeds

University of Leicester

University of Liverpool

University of London:

Birkbeck College

Goldsmiths College

Imperial College of Science, Technology and Medicine

King's College, London

London School of Economics and Political Science

Queen Mary and Westfield College

Royal Holloway

University College London

Loughborough University of Technology
University of Manchester
University of Newcastle
University of Nottingham
The Open University
University of Oxford
University of Reading
University of Salford
University of Sheffield
University of Southampton
University of Surrey
University of Sussex
University of Warwick
University of York

This whole population group would be involved in receiving the positivist survey questionnaire in the proposed Phase Two.

Methods: Investigating Existent Techniques

Research method, was a difficult concept to define. It referred to the process of managing data as well as the reflexive activity in which empirical material were carefully interpreted (Alvesson & Deetz 2001).

An important part of the research design was to decide the particular techniques that would be used to gather the data required. This decision should be made on the basis of what information the author needed and why, how the author was going to collect the information sought and, when obtained, what was going to be done with it (Bell 2001). There were many methods that could have been used for data collection in social science research: analysis of documentary evidence; questionnaires; diaries; observation and interviews (Bell 2001). The choices were assessed as follows:

- The analysis of documentary evidence could have been very useful in research studies where it was difficult to maintain direct contact with respondents. In longitudinal studies, for example, where members and employees of an organisation investigated no longer worked, documentary evidence was a valuable and often the only data source. Documentary evidence could also be used to check the validity of data obtained by other techniques.
- The use of questionnaires was mainly associated with quantitative approaches. It could provide the researcher with a chance to work with larger samples, which could produce more information, in a shorter period of time.
- The interview had the major advantage of adaptability. When interviewing, the researcher had the opportunity to pay attention to subtleties like the respondent's voice and movements. Moreover, it gave the opportunity to explore or clarify responses.
- Diaries were considered an attractive way to gather data concerning the way people spent their time. They were usually records or logs of professional activities, providing information about work patterns and activities. They were not highly recommended for people who were very busy, as it was problematic to have to stop work constantly to make an entry to a diary.
- Finally, observation was regarded as one of the more difficult options. It was a technique that could reveal characteristics and data that were very difficult -if not impossible- for the researcher to gain through other techniques. Direct observation was a more reliable approach to obtain what people do and say when interacting (Bell 2001).

This study was an investigation of career paths and models, the factors that changed them and individual perceptions around career routes and decisions. It accessed objective data concerning higher education in the UK, as well as active members of Higher Education who formed an accessible, extant sample.

Making Method Choices

To reach the individual academics and see the world from their disciplinary and institutional perspective, it was proposed to use a range of selected disciplines in a range of selected institutions which led to a case study approach (see page 98 below.)

Due to the nature of the study it was necessary to understand something about the particular case study institutions by way of general background (size, status etc), to have some contextual understanding of the academic discipline and then to obtain the present and immediate past promotion processes and criteria as described in documents obtained from the case study organisations.

These written procedures could show what career design choices were made, identifiable in official documents within the selected universities, and so the career system within which the participant academics operated. They would show what the present official career rules were but also by obtaining the superseded rules it should have been possible to observe the changes made and by interviewing the human resources directors seek to discover what motivated those changes to be made.

The project also needed the ideas of academics regarding the ways academic careers were experienced, as distinct from what was intended by designers.

Questionnaires could be useful for this reason, in the sense that they could help in gathering data from a large sample. Questionnaire responses could generally be taken at face value. Further exploration of beliefs and opinions would be impossible with questionnaires. A survey would give an overview or allow analysis to find an average position but would not allow discovery of specific views in context and in the participants own words, in such a way that allowed the building of particular concepts from the language used by the participants.

Observation of academics as candidates in selection or promotion interviews would have seen them in a particular and first-hand situation where they would

behave formally and in role, trying to present themselves in a way which would impress upon the panel their case for appointment or advancement. However, this would not have allowed those same academics to give their real thoughts about how they thought their career had gone to date, their expectations or ambitions for the future and they could not be stopped to explore particular points more fully. This study had a purpose, which was to raise data about academics careers from the view point of the participants and wanted those academics to attribute meaning to their experience rather than for the author to see the experience itself as data. Observation was rejected as a choice in this case.

Therefore, it was decided that the most appropriate type of data gathering techniques that could be applied in Phase One of this research was semi-structured qualitative interviews, which would be possible to arrange with individuals and would provide the opportunity to gain clear and complete information relevant to the research questions. The interview was the technique that should be preferred by researchers seeking information about knowledge, attitudes, preferences and beliefs (Tuckman 1972). The interview could be used in the process of verifying data collected by the other techniques or in testing hypotheses, in the cross-examination of unpredicted data (Kerlinger 1999) and in the process of valuing other research methods, or in a deeper analysis of the motives of given responses.

In combination with the interviews, diaries could have also provided information about individual career views and choices. Biography and narrative as research instruments have been used for that purpose. However, it was not obvious that the participants of the research, especially, would be keeping a diary noting their ideas around career choices (Cohen, Manion, & Morrison 1994). Academics did tend to keep an up to date *curriculum vitae*. These could be an important source of data on academic careers in a quantitative study. It was possible, for example, to collect large numbers of *curriculum vitae* for coding and analysis and from that database to build a theoretical mean academic career.

Taking the *curriculum vitae* from those interviewed and using those as an informative background source to support the interviews would, it was intended, create real stories about real academics which would allow a narrative which would be more recognisable and meaningful to those following an academic career and those who designed academic career structures than a quantitative or statistical model, which did not give voice to its participants.

There were various cases where triangulation seemed appropriate, if not required. While listening to an academic talk about their actual promotion or appointment, or their expectations of it, the promotion process and criteria in their University became an important context. As would hearing the Human Resources Director explain the intentions of that procedure. Views from the participants about their career to date and whether they were doing well and their future plans could be referenced against their *curriculum vitae*.

A combination of interviews with academics, supported by their *curriculum vitae*, combined with an interview of the human resources directors and documentary evidence in the form of internal procedures was thought to be suitable for Phase One this research.

In conclusion, the most appropriate data collection techniques that this study seemed to need in Phase one were qualitative, semi-structured interviews supported by the use of promotion documents within selected case studies.

In Phase Two, a questionnaire was proposed of the whole population (see Figure 8 below.). The questionnaire could not be designed until Phase One was complete given its intention was to draw on the findings from the initial inductive research.

The results of the questionnaire would allow the findings in Phase One to be tested against the whole population. By introducing secondary data on the rank of the HEI's in research and education it would be possible to try and relate the questionnaire responses to performance and so seek explanatory correlations.

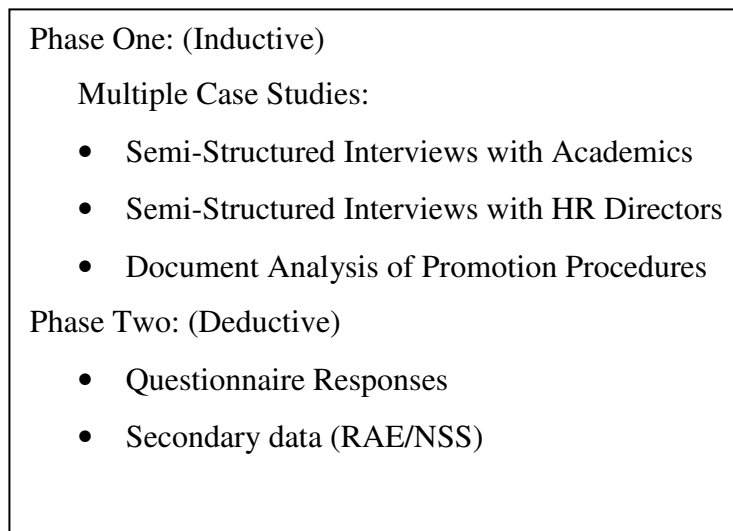


Figure 8 : Chosen Research Methods

What follows in the remainder of this Chapter is an examination of each element of these chosen research methods.

Exploring Multiple Case Studies as a research approach

The scope of the research was English, pre-1992, academic staffs career pathway design. As in England, career pathways were contingent on institutional authority so single institution's each represented a possible, single case. Yin (2003) says:

'First, case study research can be based on single or multiple case studies; second, whether single or multiple, the case can be exploratory, descriptive or explanatory.' p.3

The decision to explore more than one case and to adopt a collective case study approach was made to increase the potential for reaching broader, albeit tentative and contingent, theoretical generalisations, derived from the key characteristics of the cases. Eisenhardt (2002) said:

'The cases may be chosen to replicate previous cases or extend theory, or they may be chosen to fill theoretical categories and provide examples of polar

types...given the limited number of cases which can usually be studied, it makes sense to choose cases such as extreme situations and polar types in which the process of interest is transparently observable.’ (p.12-13)

The intention was not to emphasise the comparative aspects of the multiple cases but to pay attention to the particular, the detail and specifics in each. Case studies can be based on any mix of qualitative and quantitative evidence (Yin 2003, p.15).

The cases were intended to generate the data required to allow career models to be proposed, which could then be tested in the second Phase. This process might best be illustrated as in Figure 9 shown below:



Figure 9: Theorisation process from case studies in Phase One

Choosing Six Case Study Universities

Sampling as a process required attention, in the sense that the population of the research project had to be reliable (in terms of precision, sensitivity, resolution and consistency) and valid (in terms of accuracy and specificity). The population that composed the participants had to be relevant to the purpose of the project. Having in mind the structure of higher education in England, the most

appropriate sources of data would be academics and directors of human resources services.

In determining the Phase One study population for the field research, it was recognised that the dominant strategy in qualitative research was purposeful rather than random sampling. It sought information-rich cases which could be studied in depth. Several types of purposeful sampling had been identified and described and these included extreme or deviant case sampling, maximum variation sampling, snowball or chain sampling and convenience sampling (Patton 1990). For small samples, the most appropriate strategy for a phenomenological approach was considered to be maximum variation sampling (Lincoln.Y.S. & Guba 1985). This strategy aimed at capturing and describing the central themes or principal outcomes across program variation. In a heterogeneous population, where individual cases differed from each other, maximum variation sampling was appropriate. Any common patterns that emerged would be of particular interest and value in capturing the core experience and centrally shaped aspects or impact of a phenomenon (Patton, 1990).

For that reason, the author decided that six different universities were selected to participate in the research, which were chosen deliberately to be perceived as having different status in a stratified HE sector (see Chapter Five for the case profiles). Among them, three belonged to the research intensive ‘club’ who self elect themselves as the group of Russell Universities. These six universities acted as case studies, but case studies were not seen here as a methodology but as a means of determining and managing the sampling data.

Profiles of each case study are presented in Chapter Five. The designation of each institution was changed to a letter of the alphabet to protect the identity of the interviewees.

Case Study and Academic Discipline

Each of the six case studies included academics from different disciplines or faculties, potentially to allow comparison between the disciplines to see if disciplinary differences were significant. However, if it was to be possible to compare between Universities while controlling for disciplinary differences, it would be necessary to have academics from similar or same faculties or departments and schools from across the sample institutions (Blaxter, Hughes, & Tight 2001, p.13). Bearing in mind the divisions and categorisation of departments in the universities selected and to ensure a representative range, the following were selected:

- One department from disciplines of Arts: Languages
- One department from disciplines of Social Sciences: Economics
- One department from disciplines of Health Sciences: Medicine
- One department from disciplines of Engineering: Engineering.
- One department from disciplines of Sciences: Mathematics.

The intention was to include this spread of non-cognate disciplines, one from each major grouping of like disciplines, as they were likely to be common across the case study institutions. It was clear the choice was, in some way, arbitrary. It was possible that substantial differences may have existed between the disciplines and this could be discovered from the data, and if so the findings would have to be limited to those disciplines as five programme area case studies. Alternatively, even if discipline appeared to be unimportant, adding this control to the sample frame for the interviews ensured increased representativeness.

Individual academic participants were to be selected as recently recruited or promoted, who agreed to participate and came from the sample disciplines in each selected case study institution, so that across the set each grade and gender was appropriately represented.

Case Study Document Analysis of Promotion Procedures

Much of the work on academic careers was undertaken by academics and focused on individuals and groups of academic staff as the units of analysis and sources of data. However, the differences between institutions were felt to be increasingly significant in England and academic promotion was governed by formal written procedures produced and administered at the institutional level. The authors of these procedures were thought to be the institutional Human Resources Directors. As a result, this research enquiry took a personnel management, rather than a participant, perspective and used Higher Education institutions as the unit of analysis, treating its formal procedures and semi-structured interviews with the Human Resources Directors as sources of research data.

As described on page 90 above, pre-1992 Universities, unlike the post-1992's, tended to have an annual academic staff review governed by written procedures and criteria which set out the process for considering academic staff for promotion distinct from any concept of the post they held or the duties of that post. The staff review procedures set out criteria and these were usually authored in and administered by the Human Resources or Personnel Department. It was a pragmatic decision, therefore, to obtain these documents given they existed and were relevant. However, as this research was concerned with change, it had been decided to obtain the present procedures and the version they superseded in order to see how recent the present arrangements were. It might be concluded that by collecting sufficient numbers of academic promotions and careers procedures, and comparing them in document analysis, it would be possible to map the intended careers and how they had been changing and so answer the research questions.

This approach had arguable merit. Gilbert Ryle (Ryle 1990) described a visitor being shown around a College in Oxford and then asking, where is the University? The visitor, according to Ryle was making a category mistake about 'where' questions. Like a researcher asking, where is the academic career path?

Lindsay Prior (Prior 2003, p.60) however, suggested that the question was legitimate and the Charter of the university represented the only possible answer. In a document; as it named the university, provided the warrant for it to grant degrees and legitimized its officers. The university had buildings, staff, equipment and students but these were not sufficient to make the university. Only the Charter could define the organisation as a university. Prior (2003) went on to argue that in any organisation its documents – rather than people or artefacts – underpin its reality.

‘On a more specific level we might take the post of university lecturer....These posts only exist in the written (documented) job descriptions that brought them into existence....Posts, committees, and even organisational structures themselves (such as Department structures) exist and can be pointed to only in so far as they as they are documented.’ p.60

As academic promotion through a sequence of job roles, to make a career, was a documented organisational activity this research approach could be viable. This possible solution, however, while attractive, was an approach that had obvious problems given the researcher’s adopted social ontological perspective.

The assumed ontological position taken in this research was that the written words in these procedures were not necessarily of themselves meaningful constituents, in that they may neither cause nor reflect the social reality in the institution. The research had to be interested in the processes by which these documents were produced and consumed. If, for example, the academics that had recently been promoted or appointed were unaware of the written criteria set out by their institution, but they had a clear sense in their own mind of what they were required to do to gain further advancement, then the procedures were unlikely to be important. These procedures were, therefore, viewed as important adjuncts to the given reality in a particular institution. The textual evidence might be important but it would not be safe, however tempting, to conclude that they were *the* evidence. In academia, as elsewhere it may not be the formal procedures that were decisive, but the more informal subjective evaluations (Dreijmanis 2004). Employees are said to judge the fairness of organisational

decisions about their career progression through concepts of distributive (in)justice and procedural (in)justice (Crawshaw 2006, p.99) where ‘distributive justice focuses on employees perceptions of fairness in relation to outcomes of a decision’ and ‘procedural justice is concerned with employee perceptions concerning the fairness of the decision making procedures.’ In validation of this Scott Long, Allison, & McGinnis (1979, p.816 - 817) compared doctoral prestige, the prestige of the hiring Department, academic seniority and productivity measured by publications and complained at the unfairness (or distributive injustice) of ‘This lack of correspondence between scientific productivity and academic position’ which was ‘not simply a temporary inequity soon to be corrected by later mobility, but had lasting consequences for the individual scientist.’ This inequity did not, however, surprise Becher & Trowler (2001, p.54) who observed ‘Like any other tribal social formation academic tribes have internal divisions of power, status and labour organisation on a basis which is not only meritocratic.’

The advantage existed in this research that the authors of the documents and academic staffs, who had been promoted or appointed during the documents existence, existed as living witnesses to their intent and effect. It was intended, therefore, to ask the HR Directors and the participant academics about these documents and so to see them as living and interpretative rather than only in a literal sense.

The approach taken here was adopted from Tim May (1993 p. 133) who suggested the use of documents **alongside** observational data allowed comparisons to be made ‘between the observer’s interpretations of events and those recorded in relevant documents.’ This approach considered the ways in which the text attempted to stamp its authority on the social world it described. May suggested documents could ‘tell us a great deal about the way events were constructed at the time, the reasons employed, as well as providing materials upon which to base further investigations’(p. 133.)

Given the objective was to create representational career models, the researcher was interested in a structural analysis of the documents and their content. The

written documents were data in that they had been constructed and utilised in the particular contexts being case studied. It was thought by the researcher possible, by comparing the procedures in each place to see if and how they differed. It was possible to ask the HR Director, as author, why they were changed and what they sought to achieve. Then, by comparing the procedures across the case study institutions it was possible to say whether each institution had a common procedural starting point, whether or not the contents were broadly held in common or went in differential directions. So the question asked of the documents was what relationship the structure described in them had as a perceivable relationship to the other collected texts. Unlike Parker (2008, p.242) the study here was interested in the whole of the documented promotion process, not only the promotion criteria, and did not attempt to apply subjective categorisation to the descriptive criteria, preferring to deal with this choice making through a later questionnaire.

The participant academics could, through interview, say how influential the written institutional procedures were on the shape of their careers. This stage would allow the further investigations, described as Phase Two of the research.

Case Study Interview guide

Interviews were to be conducted with academic staff from each chosen discipline in each institution, whom had been recently been either promoted or appointed and so were, therefore, assumed to be knowledgeable about the specific formal or implicit or informal rules, to discover their perspective on their careers to date and their future expectations. This provided the cultural, subjective career perspective from the participant or actors viewpoint. It was intended to analytically separate the analysis of the formal written procedures and of the transcripts from the human actors as the relationship may have been recursive. By synthesizing the documentary analysis of changed promotion procedures and the intent of the HR Director, with the academics interviews and *curriculum vitae*, it was intended to get an ‘interplay between the institutional script and the personal story’ (Arthur, Inkson, & Pringle 1999, p.42).

The aim of the study was to talk about participant's experiences of their academic careers, so a face to face interview was considered the most appropriate vehicle as it allowed trust to be established, a relationship and the ability to connect with the participant academic and at their own institution.

Given the practicing academics who were interviewed were volunteers who agreed to be seen it was assumed that those who agreed to participate were interested in and had something to say in reflecting on their academic career and were willing to make their views known to the researcher. It was not intended to obtain personal data, as opposed to professional data, about the lives of those interviewed except where the respondent felt one has positively or negatively impacted on the other and then it would have been the nature of the impact that was of interest.

The nature of the research mitigated against a structured interview as the language used and issues raised should be given by the participant and so allow concepts to be built from what was offered. The intention was to give voice to the participants as a faithful reporter. However, the research did have subject categories and so the interview was semi-structured to the extent that it was a technique being used to raise data in scope which could later be analysed. So a general checklist of points to be raised existed but the respondents were able to raise their own interests and so shape the discussion. While it was not envisaged that the basic checklist would change it was accepted that new issues would arise from some respondents which could be introduced then into subsequent conversations to see if following testimonies corroborated or contradicted earlier witnesses.

In the interviews, with the HR Directors in each institution, the themes for discussion were planned as follows:

i) Motivation for making any changes made:

The HR Directors were asked whether their institution had changed the formal institutional process or criteria for judgements about academic career

advancement and if so what motivated those changes and what was it hoped to achieve by making any changes made.

ii) Academic awareness of institutional standard or criterion:

Secondly, the HR Directors were asked if they thought that decision making panels or participant academics seeking career advancement were familiar with the institutional criteria or whether their internalised sense of the criterion to be achieved came from disciplinary, national or international benchmarking between academics.

iii) Implicit Age Grading:

HR Directors were asked whether or not they thought that decision makers or participant academics had an implicit sense of the age at which certain grades or titles should be achieved so curriculum vitae would implicitly show whether they were ahead, on or behind schedule.

iv) Sector or Discipline Homogeneity:

HR Directors were asked whether they believed standardised academic criteria for seniority could be applied across institutions or across disciplines, like the UCEA national role profiles, or whether institutional or disciplinary differences were so great that attempts at standardised academic grade criteria were meaningless.

v) Dynamism or Stability:

HR Directors were asked whether the academic profession and its participants sense of their own structure, roles, status and purpose were strong enough to see off any external forces for change or whether the nature of academic careers were changing as a result of government policy (RAE, Fees, Widening Participation) or institutional strategy (pay framework, grading systems, localised grade criteria.)

This data once transcribed had personal identifiers removed and was coded by institution and by theme under an HR Director identifier, for example, data from

an HR Director from the first case study organisation would be named (Interview – HR Director: HEI (A), male) and so on.

The semi-structured interviews with the academic participants had the following themes.

i) Ethnography:

It was planned that the first part of the interview be biographical in that the participants were asked to talk about their reflections or their feelings about their academic career to date, the researcher having obtained their curriculum vitae, so the meaning given as oral history could be joined with the facts given in the CV as a written history.

ii) Future Expectations or Plans:

Respondents were asked to talk about their future plans or expectations including whether they have a particular occupational destination in mind and what barriers or open doors they might have encountered on the way.

iii) Awareness of the procedural context:

Thirdly, respondents were asked whether they were aware of and had any views on their employing institutions formal written promotions process and criteria

iv) Boosters and Barriers:

Respondents were asked to reflect in turn on whether their age, gender, academic discipline or employing institution or other factors have had or were likely to have had any special impact on their own career compared to that of other academics in other contexts than theirs.

v) Reputation and Rewards:

The respondents were asked what they perceived as the criteria for professional recognition or advancement and how that recognition or reward was demonstrated; whether through titles, grades, salary or other marks of distinction.

A note to this effect was sent in advance to the respondents to allow them to reflect on the issues to be raised prior to the interview.

Because of the flexible nature of the research, there were no predetermined responses but predetermined inquiry areas within which it was possible to probe and explore, to focus attention on areas of particular importance to the participant or to exclude questions that proved to be unproductive for the study goals (Lofland & Loftland 1984).

All these helped the process of data interpretation. The material gathered from the interviews was not only the result of the interaction between the participant and the interviewer. It was also the result of the interplay between the interview process and the participants experience, intentions and values (Alvesson & Deetz 2001).

The transcriptions from the interviews were to be coded so that each segment of contribution identified the institution, the gender and the interview theme. By coding the text in this way individual identifiers would be removed and it was intended then to allow the data to be grouped to see what similarities and contradictions existed through the changing frames of reference. It was intended to obtain, learn and use specialised software called Nvivo to code the transcripts from the semi-structured interviews into topics for analysis.

The relationship between the documents and interviews

To look only at previous and new promotions procedures and criteria as published schemes would be to accept that the reality of academic careers was institutionally defined through ordered procedures and rules which the participants understood, accepted and operated within. While this might have been a sound ontological perspective in some instances of qualitative research, it was possible, in this case, that the sense of what an academic was and what make for seniority was so embedded in the minds of individual academics nationally or internationally that the particular written procedures of particular institutions had

little or no influence. Academics would in this perspective, through the power of the collective, impose or create a reality which overcame the particular bureaucratic rules of any one place. This required an interpretation of individual academics understandings or interpretations, views or beliefs about their career. It was not clear at the beginning of the research whether these two ontological perspectives were complementary or competing. However, the distinction between written rules and the understandings and perceptions of individual academics in those same institutions would give a different view on the same problem.

So, the aim of the first phase of this research was to produce a rounded and contextualized understanding on the basis of rich, nuanced and detailed data (Mason 2006a).

Survey Questionnaire

Baruch and Peiperl (2003) conducted an empirical assessment of Sonnenfeld's career systems typology (Sonnenfeld & Peiperl 1988). In phase two of this research into academic career models, it was similarly intended to develop, describe or draw out the particular characteristics of the qualitative or metaphorical model, theory or explanation which emerged from the phase one qualitative data. This would allow the development of a paper questionnaire survey for Human Resources Directors in all English pre-1992 universities, the whole institutional population. Such a survey would serve to test empirically the validity or recognition of what had emerged, at least from their perspective as the architects of the formal career processes being examined. This would potentially allow the transforming of the product of the qualitative research into a typification. This secondary device would not prove or validate the results from phase one, as it was to be a different tool collecting different data from a wider set of people, who represented but one part of the social interaction. It was hoped, however, that at least some element of the emergent model(s) or explanation could be 'translated into measures that can facilitate positivist methods of data collection and analysis to better understand the managerial

processes' (Baruch & Peiperl 2003, p.1281). This different method was not being used at the same time as the first phase, in order to combine them, but instead at a different and secondary stage of the research project, allowing the results to be interpreted in the light of the earlier phase.

Having conducted the inductive research through the case study institutions it was aimed to have produced representative models of academic careers. The aim was to see if the representational theory or models produced held water when faced with the test of extrapolation to the whole population. From the models it was intended to produce hypotheses. It was necessary, therefore, to look at the representational models and to operationalise the concepts in them, so they could be subject to a survey. That is, to translate the concepts into variables or attributes suitable for a questionnaire (shown in Appendix Two.)

This was not intended as an experiment, in the traditional sense of having a control group and manipulating the other group and making comparisons. Rather, the whole population would be surveyed on the variables and attributes selected, data on the variables would be simultaneously collected in one questionnaire and the distribution of the variables and any correlations between them would be analysed.

It was intended to use SPSS (Statistical Package for Social Sciences) to enable the scoring and analysis of the questionnaire data. This had the advantage of not having to work out the statistics through carrying out involved calculations. However, it was still necessary to discover the appropriate statistical technique to use and to obtain and learn how to run the programme.

Final Design Proposal

Phase one of this research, it was decided, would necessarily have to be qualitative and interpretive; based on fieldwork in selected case study institutions so as to be sensitive to the disciplinary and institutional context. Within each case study institution, the same representative academic disciplines were examined to allow disciplinary and institutional differences to be independently analyzed if

significant. The research data in each case study came firstly from using document analysis of present and superceded promotion procedures and criteria, followed by semi-structured qualitative face to face interviews with the institutional HR Directors on what motivated the documentary changes made. This element provided the structural, organizational career perspective from the institutional viewpoint. Then interviews with academic staff, having obtained their curriculum vitae, were intended to gain an insight into the social reality of academics following the careers described in the institutional context.

From this interplay, it was intended to find a representational model (or models) which described and so helped understanding, which perhaps was capable of going beyond mere explanation. The model (or models) would not be presented as abstract or ideal types but as conceptual representations of the found reality. From this empirical work, the model (or models) would, in Phase two, be tested to see if they could be reliably generalized to or presented as a typification of academic career design in all English pre-1992 universities.

Design Summary

The model of research chosen here was sequential (Gill & Johnson 1997, p.3) and could be described as the *research then theory* approach. In this model the research process took a ‘relatively fixed, linear path, with a clear start and end’ (Henn, Weinstein, & Foard 2006, p.47). This design is illustrated below in Figure 10 on page 113.

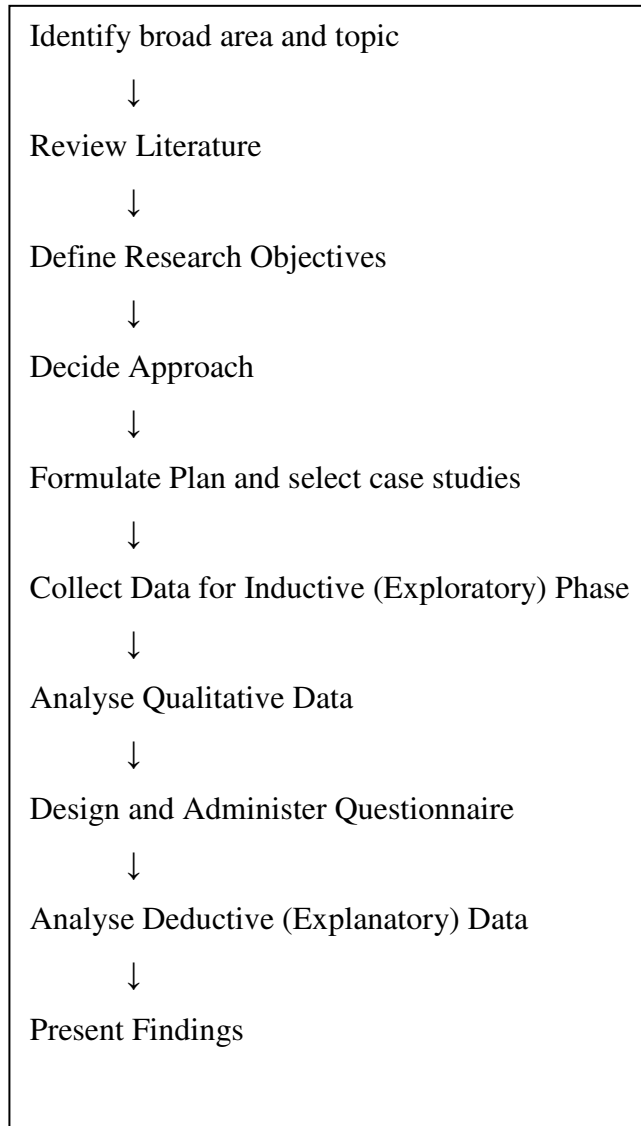


Figure 10 Sequential Model of the Research Design

The data for this study included, in Phase One:

- 1) Data from participant (promoted or appointed) academics obtained through semi-structured interviews, having read their *curriculum vitae*, to explore their perceptions of the career they are attempting to follow and the processes and rules they feel they engage with;
- 2) Interview data from the Director of HR in the case study Universities which are under investigation on their intentions in designing the career path and criteria they have;

- 3) Data from documentary evidence concerning the present and superseded academic staff promotional criteria and processes, that was in use in the six specific case universities;

And in Phase Two;

- 4) Primary data collected through a structured questionnaire addressed to all the English pre-1992 universities;
- 5) Secondary data from the RAE and NSS for correlations.

Applicability of the case methodology outside England

In the United Kingdom, Canada, the United States of America and Australia each University was an autonomous employer and could determine the terms of employment of its academic staff and so one University could differ from another in relation to the particular mission of the University. The ability to create difference did not however mean that difference would exist. In mainland Europe, academic staff were often public or civil servants of the state, whether regional level (Spain) or national level (Italy.) The universities on mainland Europe therefore did not have independent freedom of action to determine the number, type, role description, selection or appointment criteria of their academic staff which was externally determined by regulation or law. The process of promotion was often divided into accreditation to participate in the process through technical appraisal and then national competition having qualified to compete.

In Ireland, the Netherlands and Sweden, the University was the employer but the categories of academic staff and their pay were defined by public law and the universities were not permitted to be creative in developing further novel categories or types. The Netherlands, for example, had a Higher Education and Research Act 1992, which sought national homogeneity by defining the academic role. Evolution in such circumstances was not possible at institutional level but only through external regulation.

The important factor here was the source of authority. Human Resources regulation could have a variety of sources; for example, national or regional law, ministerial or civil service order or regulation, employment contract or individual agreement. Clearly, research could only observe differences between Universities where the freedom to differ, whether deliberately or accidentally (by making copying errors), existed and was used. If the source of regulation or authority came from out with the particular University and was effective then one would only observe a homogeneity between Universities.

Competition may have been one factor driving differentiation, where freedom and authority, existed but it was not a necessary condition for diversity. Human Resources practices may be products of history, culture, strategy, mission or accident, each of which may drive difference.

So the three conditions which needed to apply in a nation state to translate this research proposition and methodology to other countries were:

1. the University was the employer,
2. the University was autonomous in that employing role to define the type, criteria and titles of their academic staff if not their numbers, pay and choice of individuals for posts,
3. the capability to differentiate had to some extent been exploited.

Conclusion

Having identified the research questions and objectives, informed by the author's own experience and the literature review, it was possible to consider the research design. The research was divided into two parts. The first was an exploratory stage, inductively seeking to discover something about the formal career models and the perceived social reality of academics following a career. This was intended to inform a second deductive stage. It was not thought possible to design the questionnaire first and then use case studies to explore interesting or typical results as the questions were not clear. The author felt he needed to explore the world first in order to generate theory from which he could design an

appropriate questionnaire tool, which would have meaning to the respondents and to him. This made the research mixed method, using qualitative and quantitative research techniques sequentially. The scope was restricted to England and to pre-1992 HEI's. The research was designed to take a linear path from the beginning to the end. It was considered possible to conduct a similar study in other countries where universities were the employer, had freedom to act in employment and that capability to differentiate had been exploited to some extent.

Chapter Four

Research Execution

Chapter Four

Research Execution

Phase One

Phase Two

Data
Methods

Connections between the research steps

This chapter described what happened in the process of conducting the planned research.

Chapter Four: Research Execution

Phase One

Data collection in the case study phase of this research project (Phase One) commenced late in 2006, through the selection of six institutions (see page 99.) The author then approached the Human Resources Directors employed in each case, to obtain permission to gain access to the University and to be sent the relevant information materials. The Human Resources Directors needed to agree to provide their present and superseded academic promotions procedures, to be interviewed themselves, to provide the email addresses of academic staff who had recently been appointed or promoted in the selected disciplines. Permission was required to allow the author to contact those academics identified and then to interview them on site if they volunteered.

All six Higher Education Institutions initially selected and approached agreed to participate. The author requested a list of all recently appointed or promoted academic staff in the selected disciplines from each institution and then emailed them individually to invite them to participate, asking for their *curriculum vitae*. The author then saw all the positive respondents. The funnelling caused by being interested only in recently appointed or promoted academics in specified disciplines in particular case institutions made the available sample frame smaller than was intended and the author had no choice but to see all the positive respondents, even if that meant more than one visit to the particular HEI.

At each interview, the purpose of the interview was explained and permission requested to record the interview and to use the data in a report for the Leadership Foundation for Higher Education and for a PhD thesis. At no stage in any interview did the interviewee ask for the voice recorder to be shut off. Subjects were introduced in turn without necessarily asking a question and where questions for clarification were asked they tended to be open ended so the interviewees were not guided to foregone conclusions.

Six Human Resources Directors and twenty-one academics were interviewed. The interviews were arranged, voice recorded and then transcribed into MS Word format, between January and April 2007. Then they were converted to text only files, one file for each of the interviewees, with line breaks between the interviewers and interviewees speech and transferred from MS Word to computer-assisted qualitative data analysis software (Nvivo) for later analysis and coding as primary documents. Each data file was attributed, with the number of the interview, gender of the participant, academic discipline and institution of the interviewee, or for the Human Resources Director with their job title, institution and gender.

Each interview was concluded by thanking the participant for his or her time and the offer was made to send transcripts back, although only one interviewee sought this service.

All twelve sets of promotions procedures were received (six present and six superseded.)

Case study narrative descriptions were written by the author of this research as an early analysis of sorts, in that they involved some working with the data, data reduction, display and synthesis (see Chapter Five.) The case study descriptions were not meant to be a direct means of conclusion drawing, verification or searching for patterns and were not presented in that sense as data. The descriptions of each case study allowed an institutional context, essential to understanding the career models as something other than simply theoretical abstractions.

The interview transcripts were listened to, typed and transferred to Nvivo. In Nvivo the transcript text was coded against the subject matter of the speech. This required the generation of a coding structure suitable to the content. This was an iterative process that required an initial coding structure and several false starts and re-coding as the final coding structure emerged, adapted to the text (see page 176.)

The individual case studies were presented (Chapter Five), followed by the analysis of the documentary data (Chapter Six), then the academic interviews were analysed (Chapter Seven) followed by the HR Directors interviews (Chapter Eight.) Taken together these represented phase one of the research (see page 98.)

Phase Two

Data

The Phase Two analysis used primary data collected through a structured questionnaire addressed to all the English pre-1992 universities (the questionnaire can be seen in Appendix Two). A total of 42 pre-1992 universities were approached (listed above at page 92) and responses were received from 27 of those universities. The questionnaire collected information on:

- 1) How the promotion criteria and procedures adopted by a university evolved. The predefined categories chosen, as identified from the HR Director interviews in the qualitative research, were; a) collegial (bottom-up) and b) managerial (top-down),
- 2) The process of implementing the promotion criteria in individual cases. The predefined categories chosen from the qualitative research promotion procedure documents were: a) by job evaluation and b) by an academic committee.
- 3) Recognition of researcher's activities in the academic promotion criteria. The predefined categories were: a) cannot be promoted, b) have special criteria, c) have separate career track, and d) can progress to higher grade and be similarly titled to others (integrated).

4) Recognition of teacher's activities in the academic promotion criteria.

The predefined categories were: a) cannot be promoted, b) have special criteria, c) have separate career track, and d) can progress to higher grade and be similarly titled to others (integrated).

The draft questionnaire was piloted on a group of pre-1992 Human Resources Directors who were meeting in Newcastle. It was intended to check that the individuals understood the questions and that their responses differed to an extent as to make their responses meaningful for analysis. Given the questionnaire intended to provide for only categoric responses, it was important to check that the options presented included the likely responses the intended participants wanted to be able to provide. The text of the questions was re-drafted, in some cases quite substantially, following feedback from the pilot institutions Human Resources Directors.

One possible motive for or cause of any changes to academic careers was the management of academic staff to enhance institutional performance. Did a research intensive University recognise research prowess for promotion and education led Universities recognise excellence in teaching for promotion?

To try and answer these questions, the analysis also used secondary information; the ranking of student satisfaction and research assessment rank of the universities in 2008 and 2009 (see Appendix V.) Any number of possible secondary variables could have been selected. As Universities may have varied their academic career procedures to promote the performance criteria they sought, the test of the models should primarily have been the visible ranking of the institution against publicly available secondary measures.

Student satisfaction with their education was measured as a descending rank order of responding universities based on the average score of the first four sections of the National Student Survey 2007, which measured satisfaction with the learning experience. This measure had been used in league tables and was a clear and available secondary measure. It might have been assumed that universities which had a high ranking in the National Student Survey for their

learning experience would be more likely to recognise and promote teaching in their academic promotions criteria. Likewise, research assessment was measured as a descending rank order of responding universities based on the average research assessment score per member of staff in the Research Assessment Exercise 2001. Again this was a widely available public measure used in league tables. All staff were counted, with non-submitted staff assumed to be working at a level two below that of the institutional average. It might have been assumed that universities which had a high ranking in research assessment would have been more likely to recognise and promote research in their academic promotion criteria.

Methods

The survey questionnaire used contained forced choices between discrete categorical responses. That is, the answers were either in one category or another, rather than being scored on a continuous or rating scale. That meant it was possible to observe the frequency with which each category was selected, without necessarily assuming a normal distribution in the responses. It was also possible to look for any relationship between the choice in one category and whether that was likely to make the responses to other category choices more or less likely. Further, it was possible to see whether any significant relationship existed between the category responses in the questions on models and the secondary rank order data.

The questionnaire data had to be put into SPSS data files in a format that was appropriate for the analysis described. This meant attending training in SPSS, firstly to learn how to use the software and secondly, how to conduct the chosen tests given the data structure. Translating the questionnaire data and secondary data into a set of useable codes and ranks for analysis was problematic (see below) and assistance was sought by the author in this task. Secondly, the author had to find out what statistical tests to meaningfully ask SPSS to perform, that would give answers to the research questions.

The responses were analysed by frequency distribution and cross tabulation analyses. Chi-square tests were conducted to identify any significant association between the different categorical variables. This will be described more specifically below.

The author did not have a statistical background. It was discoverable that, for example, the basic approach to a chi-squared test (χ^2) was to find the difference between the expected and observed frequencies of response. These differences were squared. Each difference was divided by its expected frequency and these quotients were added together to give a single statistic, that was tested for significance. However, this calculation was done by the statistical software (SPSS) rather than by manual calculation. The author only needed to know which test to apply and how to interpret the result. For example, in Chi-squared, it was used to measure how well a given set of categorical observations from the questionnaire fitted a hypothetical observation determined by the hypothesis. If the observed and expected frequencies exactly agreed then the result would be zero so the test looked for results greater than zero which were unlikely to have occurred by chance (Caswell 1989, p.252). In the chi-square tests performed, it was hypothesised (null hypothesis) that there was no association between the two chosen variables.

For some specific analyses, the categories of each variable were assigned with values 1, 2, 3, and 4 corresponding to a, b, c, and d as numbered in the questionnaire to allow the calculation to be performed. In retrospect the author would have numbered the possible responses in the questionnaire in advance, rather than initially use letters, to save this translation.

Correlation analyses were also made, to measure the strength of the linear relationship between two quantitative variables. Two types of correlation coefficients, namely Pearson correlation and Spearman's rho, were calculated.

Pearson product moment correlation co-efficient was a measure of the linear association between the two sets of variables; giving a measure of the linear relationship between them. Pearson's correlation can be small (and so mis-

leading) where the relationship was non-linear and so a non-parametric measure, such as Spearman's Rho was also appropriate.

Spearman's rank correlation co-efficient or Spearman's Rho was a non-parametric measure of correlation; it did not assume a standard distribution in the samples but looked for a relationship between the two sets of random variables.

The former used the original values and the latter considered the rank orders to calculate the coefficients. Pearson's product moment correlation coefficient was needed as the two populations tested were not using the same values, so a dimensionless measure was needed which did not depend on the units of measurement (Caswell 1989, p.134). Spearman's rho was used to compare the ranks from the secondary data to the category responses from the questionnaire.

The significance of the correlation coefficients, from the above, were tested using t-tests for correlation.

A t-test is a hypothesis test for answering questions about the mean, where the data are collected from two random samples of observations, each from a normal distribution. In the t-test for correlation, it was hypothesised (null hypothesis) that there was no linear relationship between the two variables.

The *p*-value used was the probability value of the hypothesis test. It expressed the probability of a getting a value of the test statistic as extreme or more extreme than that observed by chance alone. Small *p*-values would suggest that the null hypothesis was unlikely to be true. *p*-values were given where appropriate to show the significance of a test. *p*-values less than .01, .05 and .10 indicated that the results were significant at 1%, 5% and 10% level respectively.

A significant result meant that the null hypothesis under the test was rejected and the alternative hypothesis (statement) should be accepted.

These test analysis were done using SPSS 16.0 software following a two day training course and the results shown in Chapter Nine. Some of the results were

presented as diagrams in Microsoft Office Excel 2003 and then imported to Word. The tabulations generated from SPSS were shown in Appendix Three.

Connections between the research steps

While the interview analysis, document analysis and data analysis phases had to work individually and independently it was also important to be able to move across from one phase of the analysis to another. Converting the results from the promotions procedures analysis in Chapter 6 and HR Director interviews analysis in Chapter 8 into questions, for the Phase two questionnaire, was problematic but possible. Characteristics did emerge from the inductive data which could be shown as categories for the questionnaire. Equally, the inductive data suggested possible hypothesis to deductively test using the questionnaire data. Much more problematic to the research process was finding a satisfactory way of pictorially representing the questionnaire results as career models. The questionnaire responses were clear, in that they were categorical, but they did not immediately suggest a means of illustrating themselves as drawings. Using different research methods did bring the added complexity of moving from one to the other, in the linear research design chosen, in a logical progression.

Conclusion

The research design was capable of practical implementation, in that six case study institutions were successfully recruited and the HR Directors were happy to be interviewed, provided the requested internal documentation and provided contact details for the academics in the provided sample frame. The academics were interviewed where they positively responded. The choice of academic participants was limited by the choice of sample frame by more than was comfortable.

The inductive phase suggested possible career models and relationships in the data and so also a questionnaire design and hypothesis to be tested, once the

questionnaire results were available. Transcribing interviews into Nvivo and coding the text as data was time consuming, but illuminating. SPSS, once it had data files which were properly constructed, did its requested calculations instantly compared to the more laborious textual analysis, and so required confidence that the author was asking the right questions. The documentary analysis of the structure and context of the promotion procedures was done without recourse to software.

Each research stage was completed and as intended.

Chapter Five

Individual Case Study Profiles

Chapter Five

Individual Case Study Profiles

Introduction

Institution 'A' Case Study Profile

Institution 'A' Staffing Data

Institution 'A' Promotion Procedures

Institution 'A' Head of Personnel

Institution 'B' Case Study Profile

Institution 'B' Staffing Data

Institution 'B' Promotion Procedures

Institution 'B' Head of Personnel

Institution 'C' Case Study Profile

Institution 'C' Staffing Data

Institution 'C' Promotion Procedures

Institution 'C' Head of Personnel

Institution 'D' Case Study Profile

Institution 'D' Staffing Data

Institution 'D' Promotion Procedures

Institution 'D' Head of Personnel

Institution 'E' Case Study Profile

Institution 'E' Staffing Data

Institution 'E' Promotion Procedures

Institution 'E' Head of Personnel

Institution 'F' Case Study Profile

Institution 'F' Staffing Data

Institution 'F' Promotion Procedures

Institution 'F' Head of Personnel

This chapter contained an integrative description of each case study site in turn, paying attention to the particular in each to capture a sense of place. This context framed the later analytical, rather than descriptive, Chapters which followed and which looked at particular sources of data from across the six sites individually characterised here.

Chapter Five: Individual Case Study Profiles

Introduction

Each case study site was visited and then profiled soon after the trip, using both numerical and narrative description and having listened to the interview recordings. No attempt was made at that early stage to code the inputs or define a coding or other structure. The intention was to create an immediate, descriptive picture for the author of what was observed about the particular place. Later Chapters provided an analytical, comparative analysis across the selected case HEI's, having looked at each data source in turn in a structured way. The subsequent Chapters each took a single data source and conducted an analysis of them, across the individual case studies, and so did not contain the integrative picture of the particular place which was initially provided here. It was not clear at the outset whether the case descriptions given below would be included as an output of the research project. However, it was later decided that without the individual profiles, giving the character of each place, the later cross case analysis by thematic data source lacked an important institutional context for the reader.

The scope of the research was English, pre-1992, academic staffs career pathway design and it was decided to use multiple case studies to collect data, choosing them for maximum variation and to provide a descriptive picture of what was happening. The sought variation can be clearly seen in the profiles which follow.

The decision was made to explore more than one case to increase the potential for reaching broader, albeit tentative and contingent, theoretical generalisations, derived from the key characteristics of the cases.

The intention in this Chapter was not, therefore, to emphasise the comparative aspects of the multiple cases but to pay attention to the particular in each and so to capture the sense of place.

The institutions were attributed letters to designate them, and the letter designation was then used consistently throughout this thesis in later analysis. This designating of institutions by letter assisted in preserving the anonymity of the academic participants in particular.

To contextualise the case study interviews and document analysis it was thought to be important to have a picture of the academic staffing profile in each of the case study institutions by type, grade and work activity.

Secondary numerical staffing data was requested from HESA for each case study institution compared to the sum of the other case studies, to provide a normative reference point. This numerical data provided information on all staff included in the HESA New Individualised Staff Return (NISR) in 2005/06, by HESA activity field. The Higher Education Statistics Agency (HESA) is the official agency for the collection, analysis and dissemination of quantitative information about higher education in the UK. The data shown was requested from HESA using their customised data enquiry service.

Tables below show the number (FTE) and percentage of staff within each work activity as defined by HESA.

The grade data tables provided information on all staff included in the HESA New Individualised Staff Return (NISR) 2005/06, by grade. Those tables show the number (FTE) and % of staff within each grade.

The data tables which split teaching and research staff provided information on all staff included in the HESA New Individualised Staff Return (NISR) 2005/06, by the HESA employment type field. The tables showed the number (FTE) and percentage of staff within each employment type.

Institution 'A' Case Study Profile

The first University visited was relatively prestigious in the traditional definition of the term and could be said to represent elite, world class, higher education. The University belonged to the Russell Group as well as other national and international University affiliations. It was one of the oldest, most prestigious universities in England, with a history dating back to the 13th century. It was a typical collegiate University where the functions were divided between the central administration of the University and a number of constituent colleges or institutes that had a substantial amount of responsibility and autonomy.

As with most of the old English Universities, it had a number of research departments and teaching facilities in most of the disciplines. The study opportunities it offered covered most of the existent disciplines across universities, if not all.

There were c.11,000 undergraduates (typical A level entry points: c.500) and c.5000 post-graduates. Three quarters of its academics were in subjects rated as internationally outstanding in the 2001 RAE. The results of the 2008 RAE were not known at the time of the visit.

Institution 'A' Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case A	All	Case A	All
Academic Professional	3785.66	11601.36	3782.94	11640.74
Other Staff	3824.34	13128.89	3862.58	13396.45

Table 2 : Academic/Other Staff FTE's at HEI 'A'

The academic staff numbers in Institution A were almost twice that of the average of the sample and so as a single institution it held nearly a third of the academics in the case studies selected (see Table 2 above.)

ACTIVITY (%)	2003/04		2005/06	
	Case A	All	Case A	All
Academic Professional	50%	47%	49%	46%
Other Staff	50%	53%	51%	54%

Table 3 : Academic/Other Staff percentages at HEI 'A'

Table 3 showed Academic staff in Case A represented approximately half of the total staff in the HEI and this proportion was slightly higher than the mean average.

GRADE (FTE)	2003/04		2005/06	
	Case A	All	Case A	All
Clinical Professor	47.82	179.08	47.65	202.80
Clinical Senior Lecturer/Reader	11.13	190.32	18.26	250.06
Clinical Lecturer	42.31	367.16	39.48	287.54
Professor	405.22	1393.26	432.00	1516.14
Senior Lecturer/Reader/Senior Researcher	471.21	1742.02	478.73	1726.07
Lecturer	452.94	1893.62	368.70	1856.41
Researcher	2240.93	5352.28	2249.92	5301.04
Other	114.10	484.30	135.32	378.12

Table 4 : Academic staff FTE's by Grade at HEI 'A'

GRADE (%)	2003/04		2005/06	
	Case A	All	Case A	All
Clinical Professor	1%	2%	1%	2%
Clinical Senior Lecturer/Reader	0%	2%	0%	2%
Clinical Lecturer	1%	3%	1%	2%
Professor	11%	12%	11%	13%
Senior Lecturer/Reader/Senior Researcher	12%	15%	13%	15%
Lecturer	12%	16%	10%	16%
Researcher	59%	46%	60%	46%
Other	4%	4%	4%	3%

Table 5 : Percentages of academic staff by Grade at HEI 'A'

The HEI had proportionately more researchers than was typical in the sample, and the proportion was increasing. Conversely, it has fewer Lecturers relative to the sample and the proportion was decreasing.

TYPE (FTE)	2003/04		2005/06	
	Case A	All	Case A	All
Teaching only	33.76	358.04	36.65	475.47
Research only	2236.35	5776.59	2287.21	5791.19
Teaching and research	1513.13	5338.97	1441.05	5199.37
TYPE (%)	2003/04		2005/06	
	Case A	All	Case A	All
Teaching only	1%	3%	1%	4%
Research only	59%	50%	61%	51%
Teaching and research	40%	47%	38%	45%

Table 6 : Academic staff FTE and percentages by activity type at HEI 'A'

Looking at employment activity, it was again clear that ‘research only’ staff were more highly represented (see Table 6), in turn reducing the number of teaching only posts to almost zero.

Institution ‘A’ Promotion procedures

The promotion procedure documents provided were lengthy, bureaucratic and complex. Two sets were provided, as requested, the present version and the last revision. The superseded version was dated the previous year, but the changes between it and the current version were observed to be minor and procedural rather than substantive. The Director of Personnel Services described this process of annual, minor, procedural change as typical. The rate of change was slow and incremental rather than ever dramatic. The number of procedural steps and the time taken to process them at each level in the procedure made promotion appear to be a lengthy, bureaucratic and uncertain process.

Three senior academic titles were offered for promotion; Senior Lecturer, Reader and Professor. Three assessment headings were given at each of these levels – research, teaching and general contribution. For the research heading, the term utilised to describe the standard sought was “international leadership.” Under the teaching and general contribution headings, the corresponding key phrase seemed to be “effective contribution” suggesting a certain, official prioritisation. General contribution as a category seemed to be about administration and contribution to the life of the University.

The Director of Personnel Services was keen to say that while his Department supported the administration of the academic promotion process the academic division ran academic appointments and discussions about the procedure or criteria were an academic debate. The General Board and not the Personnel Services Department was the custodian of the documents provided, although they were titled as if from Personnel Services. Without the interview this important ownership point would have been missed, if the document had been taken at face value.

The criteria, as was noted above, tended to stress research excellence and this was reinforced in the interview.

“I mean yes, some do want to teach but usually that is not to the expense of their research.” (Interview - HR Director: HEI (A), male)

Teaching was seen as an activity pursued at the expense of research, something to be kept to a minimum and which diminished in importance for academics as their seniority increased.

Research-only and teaching-only posts existed (the latter only in very small numbers, as the data tables showed) but neither type was considered to be academic but rather as ‘academic-related.’ Such posts sat outside the formal academic career structures, tended to be junior and could not be promoted.

It was interesting that the number of applications for promotion that it was possible for the academics to approve in a particular year was influenced by the University’s general financial situation, causing a need to rank and queue applicants. The process was not only based on merit but was in that sense cash limited and so internally competitive.

In evaluating applications the various Committees involved had regard, where applicable, to evidence of achievement and contribution since any previous

promotion. Committees expected to see a rising research trajectory, particularly for promotion to Readerships and Professorships.

More specifically, for Professorships or Readerships to be awarded, as far as research and scholarship was concerned, applicants needed to show evidence of established international leadership in their particular subject with reference to originality, contribution to the advancement of knowledge and international reputation.

For teaching it was stated that there should be evaluation of existing evidence of an effective contribution to undergraduate or postgraduate teaching, or both. It should be noted however that this criterion did not apply to those whose duties did not include teaching or who had been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications. This procedural allowance reinforced the second class, optional view of teaching activity.

Finally, under 'general contribution', applicants it was said should present evidence of effective contribution to their subject other than in teaching and research, such as administration and management of research groups or the creation and management of multi-institutional, national or international research facilities. It may also have included, for example, contributions to the subject made outside the University, editorial work, and clinical work, where appropriate.

Applications were graded, as follows:

- Clear Evidence (C)
- Satisfactory Evidence (S)
- Doubt (D)

'C', 'S' and 'D' were to be regarded as a convenient notation for summarizing the description of achievement in relation to each of the criteria.

Institution ‘A’ Director of Personnel Services

In explaining the motivations for seeking reform, the Director of Personnel Services at the University started by explaining that his departments’ role was limited to administration and translation of the academic requirement.

He explained in different parts of the interview that there was a concern about developing careers for academics, who were more focused in education, rather than research, although he feared that:

“... we introduce senior lectureships [for teaching] in this notion that somehow it’s a dead-end for the teachers”. (Interview - HR Director: HEI (A), male)

He explained that it was part of the academic Committees’ mission to seek ways to improve the procedures of promotion and in particular he explained that they were focused on examining not only the procedures but also the documents describing them, whether there was need for improvement or clarification. He also explained that they were concerned about how to:

“...address the issue of ... I mean, you know we are a particularly very research intensive University where publications is all. Well, what about career breaks, women who are bringing up families and things like these?” (Interview - HR Director: HEI (A), male)

He also mentioned that even though the promotions committee tended to evaluate only the documents provided about the individual academics’ work, personal communication was involved in the process, since the committee was informed by colleagues of the candidate about their position and esteem.

No particular topic or issue was mentioned to cause more disagreement in comparison to others. For example, when discussing the issue of teaching-oriented academic careers he mentioned that:

“...we do recognise that there will be particularly these sorts of educationalist types... But someone will always say at some point that ‘we must recognise what makes this University what it is’ and at the end of the day it is the research”.

(Interview - HR Director: HEI (A), male)

As far as the topic of academic awareness of the standards which were applied was concerned, he considered that all academics in the University were ‘*fairly well guided*’, (Interview - HR Director: HEI (A), male)

He explained that the academics received the relevant guide every year, which gave them the opportunity to learn what criteria they had to satisfy in order to be promoted. Additionally, he explained that there were other people within each department as personnel consultants who were responsible to provide advice to any person interested in promotion. He said though, that it was possible for confusion to emerge in some very borderline cases where the committee struggled in the evaluation of the candidates’ work.

When speaking about the issues of external forces, policies or initiatives affecting the University, his view was that effort was made by academics and all kinds of employees to reduce such kinds of outside influences, since:

“... this goes beyond just a governments’ point but ... I mean this University still is very much the academics still running it, and ... it was the academics, saying, ‘this is what defines our University and an academic in our University’ ...’ and they do believe that there is this sense of place in the universe and wanting to maintain that...” (Interview - HR Director: HEI (A), male)

However, a point that came out during the interview was the financial bar that emerged every year during the processes of promotion, which has to be taken into careful consideration by the Promotions Committee. This bar frequently acted as a barrier to some individuals’ careers and, consequently, the functions of the University.

According to one of academic participants:

“... there is still the rigour of course of where is the bar and there are a number of cases here that simply fall ...” (Interviewee No.2: HEI (A), male)

Institution ‘B’ Case Study Profile

This University was located in London and was a constituent part of the University of London. It was founded in c.1900 as a result of the merger of different constituent colleges that had already existed for fifty years or so.

This University also belonged to the Russell Group and other national and international affiliations. It had been consistently ranked in the top five Universities in the UK by newspaper league tables.

The University had c.7500 undergraduates (A level entry points c.470) and 3000 post-graduates. Thirteen of its departments were rated at 5* or above in the 2001 RAE.

Institution ‘B’ Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case B	All	Case B	All
Academic Professional	2962.99	11601.36	2966.40	11640.74
Other Staff	3094.25	13128.89	2967.07	13396.45

Table 7 : Academic/Other Staff FTE's at HEI 'B'

Table 7 (above) showed HEI ‘B’ had a third more academic staff than the average mean for the sample.

ACTIVITY (%)	2003/04		2005/06	
	Case B	All	Case B	All
Academic Professional	49%	47%	50%	46%
Other Staff	51%	53%	50%	54%

Table 8 : Academic/Other Staff percentages at HEI 'B'

Table 8 (page 140) showed Academic staff numbers as a proportion of other staff in HEI 'B' were slightly above the average of the sample.

GRADE (FTE)	2003/04		2005/06	
	Case B	All	Case B	All
Clinical Professor	102.40	179.08	95.70	202.80
Clinical Senior Lecturer/Reader	127.26	190.32	120.46	250.06
Clinical Lecturer	231.68	367.16	213.13	287.54
Professor	350.74	1393.26	401.82	1516.14
Senior Lecturer/Reader/Senior Researcher	381.89	1742.02	360.50	1726.07
Lecturer	203.56	1893.62	202.12	1856.41
Researcher	1511.97	5352.28	1515.12	5301.04
Other	53.49	484.30	54.05	378.12

Table 9 : FTE's by Grade at HEI 'B'

GRADE (%)	2003/04		2005/06	
	Case B	All	Case B	All
Clinical Professor	3%	2%	3%	2%
Clinical Senior Lecturer/Reader	4%	2%	4%	2%
Clinical Lecturer	8%	3%	7%	2%
Professor	12%	12%	14%	13%
Senior Lecturer/Reader/Senior Researcher	13%	15%	12%	15%
Lecturer	7%	16%	7%	16%
Researcher	51%	46%	51%	46%
Other	2%	4%	2%	3%

Table 10 : Percentages of academic staff by Grade at HEI 'B'

Reflecting the disciplinary balance within this HEI a higher proportion of its academics were clinical lecturers rather than lecturers.

TYPE (FTE)	2003/04		2005/06	
	Case B	All	Case B	All
Teaching only	4.52	358.04	11.13	475.47
Research only	1775.72	5776.59	1757.53	5791.19
Teaching and research	1181.76	5338.97	1194.23	5199.37
TYPE (%)	2003/04		2005/06	
	Case B	All	Case B	All
Teaching only	0%	3%	0%	4%
Research only	60%	50%	59%	51%
Teaching and research	40%	47%	41%	45%

Table 11 : Academic staff FTE and percentages by activity type at HEI 'B'

HEI 'B' had no teaching only staff (see Table 11 on page 141) and a higher proportion of research only staff, although the representation of researchers was falling, while increasing across the rest of the sample.

Institution 'B' Promotion procedures

According to the promotions procedures, there were four levels of academic roles in a job family or staff category titled as the Research and Education Job Family. The levels were Lecturer, Senior Lecturer, Reader and Professor. Each one required a different, and increasing, level of contribution. The University said it judged each individual case on its merits.

It was also said that as individuals careers developed, they could be promoted from Lecturer to Senior Lecturer, from Senior Lecturer to Reader, and from Reader to Professor. It was also possible for Senior Lecturers to be promoted to Professors without going through a Readership, or for Lecturers to be promoted to Readers without going through Senior Lectureship or, even, to Professorships, should their development have been rapid and they met the criteria. This suggested a ladder was an inappropriate metaphor, as in this institution rungs could be skipped.

The title of Professor was said to be reserved for individuals who had achieved international standing and demonstrated international leadership in their field of study or profession by demonstrating outstanding contributions to its advancement.

In research, there needed to be a sustained, international reputation based on an extensive track record. The research had to have a major influence on the discipline or profession. Contributions were measured through the quality and volume of seminal research work (usually communicated by peer reviewed publications), other creative and original scholarly work that had a significant, international impact, and significant success at securing research income.

In education, specialists at this level had made a significant, international impact and had published creative and scholarly work. There should be evidence of effective and innovative academic leadership in education and/or management within the University and outside. Examples of international recognition evidence could include international prizes, plenary lectureships at international conferences, or leadership of established and internationally respected bodies within the field. There should also be evidence of commitment to, and involvement in, management development, staff development and equal opportunities activities, particularly in those programs that are compulsory.

The title of Reader was appropriate to those who had achieved national standing in the relevant subject or profession by significant contributions to its advancement.

In research, contributions were measured through the quality and volume of original research work (again as judged by peer-reviewed publications), other creative and original scholarly work that had a national impact in the relevant academic field, through effective and innovative leadership in education (including publications on educational research, teaching, research student supervision and course development), and effective management within the Department/Division/Faculty or College and outside. Examples of national recognition could be national prizes, invited lectures in national conferences, a leading position in national learned societies or membership of respected international bodies within the field. The criteria for managerial skills were similar to those of the Professorship.

The title of Senior Lecturer was appropriate for those individuals who had significantly contributed to the Department/Division/Faculty, and the relevant subject or profession through education, research, administration and other forms of scholarship. Contributions were measured through effective and innovative inputs to education (including teaching, research student supervision and course development), effective management within the Department/Division/Faculty and outside, and through the quality and volume of original research work (as judged by peer-reviewed publications), and other creative and original scholarly

work relevant to the subject or profession. Managerial skills, similar to those of readers and professors were also required and evaluated.

Institution ‘B’ Human Resources Director

During the interview the Human Resources Director mentioned that the most significant change to have taken place in the particular University was the creation of new academic career paths. Alongside the traditional path that kept existing titles (Lecturer, Senior Lecturer, Reader, Professor) there was a new path for those willing to emphasize more in research with separate titles, as Research Lecturer and Professorial Researcher. However, the participant explained that the previously existing path was still considered as ‘superior’ and additionally made the comment that:

“There is quite a paradox here. ...This is... this is a research institution. There is also difference for research criteria for the research career strand and mainstream academia. The paradox comes in the fact that mainstream academic strand has teaching elements. And this is the superior stream. The fact that there is both some teaching and research is important”. (Interview - HR Director: HEI (B), male)

The researcher was told that something equivalent had been introduced for academics that were more focused on teaching, who according to the participant, in the past were given no appreciation for that work. The absence of any academic staff whose employment activity was given as ‘teaching only’ in the HESA data from this HEI reinforced this point. It was remarked that teaching-oriented individuals were still encouraged to be involved in some kind of research, even focused on teaching rather than the particular disciplinary issues and studies.

“So they’re the person who ... who really organises all the teaching... and ... comes up with innovations... all the changes... contributes to... national teaching issues, writes a textbook. You know... syllabus work. But they still say ‘you should do some research,’ they still have to be on

paper. Cause, obviously, we need to submit them in the RAE, or they won't be here for much longer". (Interview - HR Director: HEI (B), male)

These innovations were described in annexes or appendices to the mainstream procedure, highlighting perhaps their new, novel and uncertain status.

Institution 'C' Case Study Profile

This University had a history of 50 plus years as an independent University and c.150 years as an educational institution. Institution C belonged to the Russell Group and was included in other University affiliations such as the Worldwide Universities Network. It aspired to be one of the top ten research-led Universities in the United Kingdom. Collaboration with industry and inter-disciplinary cooperation was a major aspect of this Universities' mission with a science park and close links with private venture capital companies.

It had c.13,000 undergraduates (A Level entry standards of c.380) and 3,500 post-graduates. Eight disciplines scored at 5* in the 2001 RAE.

Institution 'C' Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case C	All	Case C	All
Academic Professional	2075.91	11601.36	2130.89	11640.74
Other Staff	2260.01	13128.89	2690.69	13396.45

Table 12 : Academic/Other Staff FTE's at HEI 'C'

HEI 'C' represented the modal size of University in the sample (see Table 12.)

ACTIVITY (%)	2003/04		2005/06	
	Case C	All	Case C	All
Academic Professional	48%	47%	44%	46%
Other Staff	52%	53%	56%	54%

Table 13 : Academic/Other Staff percentages at HEI 'C'

The proportion of staff in HEI 'C' that were classified as 'Academic Professional' was slightly higher than the sample average mean, but over the period it fell (see Table 13 on page 145.)

GRADE (FTE)	2003/04		2005/06	
	Case C	All	Case C	All
Clinical Professor	24.95	179.08	23.20	202.80
Clinical Senior Lecturer/Reader	39.13	190.32	34.65	250.06
Clinical Lecturer	37.80	367.16	24.71	287.54
Professor	253.65	1393.26	289.02	1516.14
Senior Lecturer/Reader/Senior Researcher	365.94	1742.02	348.37	1726.07
Lecturer	400.88	1893.62	455.46	1856.41
Researcher	825.65	5352.28	819.81	5301.04
Other	127.92	484.30	90.27	378.12

Table 14 : Academic Staff FTE's by Grade at HEI 'C'

GRADE (%)	2003/04		2005/06	
	Case C	All	Case C	All
Clinical Professor	1%	2%	1%	2%
Clinical Senior Lecturer/Reader	2%	2%	2%	2%
Clinical Lecturer	2%	3%	1%	2%
Professor	12%	12%	14%	13%
Senior Lecturer/Reader/Senior Researcher	18%	15%	17%	15%
Lecturer	19%	16%	22%	16%
Researcher	40%	46%	39%	46%
Other	6%	4%	4%	3%

Table 15 : Percentages of academic staff by Grade at HEI 'C'

This University had less slightly fewer Researchers and proportionately more Lecturers and Senior Lecturers than the average mean of the sample, but could be described as modal in its grade distribution.

TYPE (FTE)	2003/04		2005/06	
	Case C	All	Case C	All
Teaching only	42.88	358.04	100.23	475.47
Research only	889.18	5776.59	889.24	5791.19
Teaching and research	1087.88	5338.97	1083.98	5199.37
TYPE (%)	2003/04		2005/06	
	Case C	All	Case C	All
Teaching only	2%	3%	5%	4%
Research only	44%	50%	43%	51%
Teaching and research	54%	47%	52%	45%

Table 16 : Academic Staff FTE and percentages by activity type at HEI 'C'

Reflecting the grade mix described earlier, this HEI had proportionally slightly fewer 'research only' academics and more 'Teaching and Research' academics (see Table 16.)

Institution 'C' Promotion Procedures

Although there was still the traditional linear model in evidence (lecturer, senior lecturer, reader, professor) there were some differentiations arising, as there were posts as research/teaching assistants, research/teaching fellows, Directors of Research and of Education. Academics appeared to be able to have academic careers based on a balance between research and teaching and by focusing predominately on one or the other. There was an effort to provide opportunities for mainly research or mainly teaching oriented careers.

Evidence was evaluated, unusually alongside a face to face candidate interview, against specific criteria, which differed according to the desired level and the chosen pathway. Academics who wished to follow a research-focused or a teaching-focused career had to satisfy more research or teaching criteria equivalently, in comparison to those who wished to follow a 'balanced' teaching and research career.

Institution 'C' Human Resources Head

When starting the interview the Head of Human Resources at the University started explaining the differences between the new and the previous promotion procedures and criteria, which were in use in the year 2000 and explained the reasons for these changes.

The first main difference mentioned was the introduction of criterion for potential in the candidate as part of the promotion process. No longer was promotion focused solely on a proven track record, as before, but partly on predicted trajectory. The main reason for the particular change was that:

“...when you go for an interview outside your own institution, the panel that were interviewing you look not for proven track record but for potential.”

(Interview - HR Director: HEI (C), male)

The second difference that came as a supplement to the previous one was the introduction of the interview, which was considered as a means to examine and evaluate this desired potential.

The third major difference between the previous and the current process was that up until the year 2000 academics who wished to be promoted to senior positions had to achieve a ‘threshold’ standard at all three dimensions of the academic work: research, teaching and administration.. With the current promotion criteria:

“...you can follow essentially ... a balanced portfolio, research led, teaching led or enterprise led without needing to show ... activity at a normal or threshold level across all of those domains” (Interview - HR Director: HEI (C), male)

When explaining the motivations that led to these changes he attributed them to the appointment of a new Vice-Chancellor, who seemed willing to focus on finding innovative ways to tackle those issues.

“And if the previous strategy for the university was research, research, research, that being everything, and the population who were educationally strong in University feeling that they didn’t count, or they were disfranchised or that they

were in the wrong university or not on mission” (Interview - HR Director: HEI (C), male)

Later on, when asked whether there was consensus or conflict around these changes he explained that he had observed a sense of disagreement to have arisen. With regards to the first two major changes, the introduction of the criterion of potential, he explained that:

“There are of course those who would say that the earlier promotion of people on potential could be seen as a dilution of the academic standards in... an elite university” (Interview - HR Director: HEI (C), male)

As far as the third area of change was concerned, there seemed to be a sense of dissatisfaction that came from the education-led academics. Even though they were now given the opportunity to follow their preferred career path, they felt this was a differentiated, a second class type of career.

Moreover, the research-led academics were sometimes negative about that new work division, since they claimed that good education could only be delivered in a research-led context.

Institution ‘D’ Case Study Profile

This University gained its Charter in the 1960’s from being a former Polytechnic and had clearly retained a strong vocational element to its programmes which led to it performing well in the employability of its students.

The University had c. 7000 undergraduates (average A level entry points of c.320) and c.2,500 post-graduates. Three subjects gained the top rating in the 2001 RAE.

Institution D Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case D	All	Case D	All
Academic Professional	878.56	11601.36	944.49	11640.74
Other Staff	1230.18	13128.89	1235.80	13396.45

Table 17 : Academic/Other Staff FTE's at HEI 'D'

HEI 'D' was noticeable smaller than those described so far (see Table 17), with less than half the number of academics of the modal average HEI in the sample, but was growing substantially in numbers in a way that the sample was typically not.

ACTIVITY (%)	2003/04		2005/06	
	Case D	All	Case D	All
Academic Professional	42%	47%	43%	46%
Other Staff	58%	53%	57%	54%

Table 18 : Academic/Other Staff percentages at HEI 'D'

This was the first institution visited where academic staff had represented a dominant minority of the total staffing, but were growing both numerically and in proportion to the whole.

GRADE (FTE)	2003/04		2005/06	
	Case D	All	Case D	All
Clinical Professor	0.00	179.08	0.00	202.80
Clinical Senior Lecturer/Reader	0.00	190.32	0.00	250.06
Clinical Lecturer	0.00	367.16	0.00	287.54
Professor	143.57	1393.26	154.12	1516.14
Senior Lecturer/Reader/Senior Researcher	177.35	1742.02	195.33	1726.07
Lecturer	264.05	1893.62	249.27	1856.41
Researcher	261.61	5352.28	329.22	5301.04
Other	32.25	484.30	13.13	378.12

Table 19 : Academic Staff FTE's by Grade at HEI 'D'

GRADE (%)	2003/04		2005/06	
	Case D	All	Case D	All
Clinical Professor	0%	2%	0%	2%
Clinical Senior Lecturer/Reader	0%	2%	0%	2%
Clinical Lecturer	0%	3%	0%	2%
Professor	16%	12%	16%	13%
Senior Lecturer/Reader/Senior Researcher	20%	15%	21%	15%
Lecturer	30%	16%	26%	16%
Researcher	30%	46%	35%	46%
Other	4%	4%	1%	3%

Table 20 : Percentage of academic staff by Grade at HEI 'D'

The grade table (see Table 20) showed the academic staff growth was proportionately more evident in the Researcher grade.

TYPE (FTE)	2003/04		2005/06	
	Case D	All	Case D	All
Teaching only	122.24	358.04	125.79	475.47
Research only	281.98	5776.59	338.35	5791.19
Teaching and research	474.62	5338.97	476.92	5199.37
TYPE (%)	2003/04		2005/06	
	Case D	All	Case D	All
Teaching only	14%	3%	13%	4%
Research only	32%	50%	36%	51%
Teaching and research	54%	47%	51%	45%

Table 21 : Academic Staff FTE and percentages by activity type at HEI 'D'

The HEI had a much higher representation of teaching only academics in their employment type than the sample. It was reducing the proportion of its academic staff who were classified as 'Teaching and Research,' replacing them with 'Research only' staff. As a result all three academic staff employment types were represented in numbers in this case study site.

Institution 'D' Promotion Procedures

The promotion procedure described criteria for promotion to Senior Lecturer, Senior Tutor, Senior Research Fellow and Reader or to the more senior post of Professor. Candidates had to be clear on their application form which of these

four choices available they were seeking advancement to at the middle grade level. The criteria and information collected differed by the choice made. The superseded 2003/4 version of the same procedures also included additional title choices of University Director of Education and Professorial Research Fellow alongside that of Professor at the senior level, which were absent from the 2006/7 version.

Institution ‘D’ Director of Personnel

The Director of Personnel expressed his Vice-Chancellors’ view was that the Institution ought to provide an outlet for rewarding people who had made major contributions to teaching but whose research portfolio was not good enough to be a Professor in the traditional model. Initially the title of University Director of Education was introduced. The successful candidates didn’t like the title but they liked the grade seniority and the associated money. Problems arose with obtaining references from other HEI’s as the referee would ask ‘What is a University Director’ in an academic sense? At one time it was reported that five or six people in the University were so ascribed by title.

Equally, the so-called Professorial Research Fellows were seen as a bit of an anachronism. They were research excellent and funded and didn’t do any class teaching. Eventually the decision was made to *‘be brave enough’* (Interview - HR Director: HEI (D), male) to call people holding these new titles as Professors.

The Human Resource Director predicted that in a couple of years time the University would have converted the presently titled Senior Tutors to Senior Lecturers, dropping the differentiating titles by type of achievement at that level too. The new titles of Senior Tutor and Senior Research Fellow were not defined as academic staff in the University Statutes and so were not protected in the same way, for example by the academic freedom provision in contract. Only Lecturer, Senior Lecturer, Reader and Professorial appointments were defined as ‘academic,’ despite the rhetoric of equality of status and contribution.

Institution 'E' Case Study Profile

This University was a member of the 1994 Group of Universities and other national or international affiliations. It performed consistently strongly in the national student satisfaction survey and had a large distance learning population. Rising demand for places had led to entry requirements in many subjects increasing. It had c.8500 undergraduates (A level entry points of c.350) and 2000 post-graduates. One discipline gained a 5* in the 2001 RAE.

Institution E Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case E	All	Case E	All
Academic Professional	1234.39	11601.36	1211.76	11640.74
Other Staff	1585.65	13128.89	1613.87	13396.45

Table 22 : Academic/Other Staff FTE's at HEI 'E'

HEI 'E' was larger again, representing its growing student numbers and distance learning population (see Table 22.)

ACTIVITY (%)	2003/04		2005/06	
	Case E	All	Case E	All
Academic Professional	44%	47%	43%	46%
Other Staff	56%	53%	57%	54%

Table 23 : Academic/Other Staff percentages at HEI 'E'

The proportion of staff who were academic professionals compared to other staff was, relative to the sample, slightly low and falling.

GRADE (FTE)	2003/04		2005/06	
	Case E	All	Case E	All
Clinical Professor	3.92	179.08	36.26	202.80
Clinical Senior Lecturer/Reader	12.80	190.32	76.69	250.06
Clinical Lecturer	55.37	367.16	10.23	287.54
Professor	157.87	1393.26	157.52	1516.14
Senior Lecturer/Reader/Senior Researcher	174.45	1742.02	168.59	1726.07
Lecturer	299.15	1893.62	308.33	1856.41
Researcher	401.74	5352.28	345.33	5301.04
Other	129.09	484.30	78.41	378.12

Table 24 : Academic Staff FTE's by Grade at HEI 'E'

GRADE (%)	2003/04		2005/06	
	Case E	All	Case E	All
Clinical Professor	0%	2%	3%	2%
Clinical Senior Lecturer/Reader	1%	2%	6%	2%
Clinical Lecturer	4%	3%	1%	2%
Professor	13%	12%	13%	13%
Senior Lecturer/Reader/Senior Researcher	14%	15%	14%	15%
Lecturer	24%	16%	26%	16%
Researcher	33%	46%	29%	46%
Other	10%	4%	7%	3%

Table 25 : Percentages of academic staff by Grade at HEI 'E'

This HEI had a low and falling number of researchers compared to the sample frame. It had a higher number of Lecturers than the sample group, reflecting perhaps its business strategy and success.

TYPE (FTE)	2003/04		2005/06	
	Case E	All	Case E	All
Teaching only	23.40	358.04	89.90	475.47
Research only	450.37	5776.59	395.74	5791.19
Teaching and research	721.10	5338.97	673.98	5199.37
TYPE (%)	2003/04		2005/06	
	Case E	All	Case E	All
Teaching only	2%	3%	8%	4%
Research only	38%	50%	34%	51%
Teaching and research	60%	47%	58%	45%

Table 26 : Academic Staff FTE and percentages by activity type at HEI 'E'

The number of teaching only academic staff had increased substantially at HEI 'E' between the two staff censuses, while the number of research only academic staff had fallen by equal measure (see Table 26 on page 154.)

Institution 'E' Promotion Procedures

The University promotion procedures expressed very traditional career routes for academics which started from Lecturer A, to Lecturer B, Senior Lecturer, Reader and finally Professor.

Again, in this traditional model, the title of Reader was be awarded by the University as a personal distinction to a member of academic staff who has made an exceptional contribution to scholarship and advancement a specific field of study.

The title of the Senior Lecturer was awarded to academics that showed exceptional achievement and performance in at least two of the three main areas of research (including published research), teaching, and management/administration, depending on their choice.

The language of career routes, also known as 'job families,' was used to describe the previous nationally defined Research and Analogous Grade scales which had been maintained. As the data showed, use of these separate research grades was reducing.

Institution 'E' Human Resources Head

The Head of Human Resources explained the new kinds of academic careers in different 'job families', and 'career strands'. The teaching and research family, in particular, encompassed three different strands: teaching & research; research-oriented; and teaching-oriented (matching the HESA definitions.) The last one, according to the Head of HR was designed to address only a '*very small minority*' of the employees of this University since the HEI was a '*research*

intensive institution. And all academic staff are expected to be research active..'
(Interview - HR Director: HEI (E), male)

This rhetoric did not immediately match the changing staff profile shown in the data, which suggested given the number of teachers that teaching should be more prominent in the career system than it apparently was.

An academic interviewee said:

"...unless you do something really dramatic in terms of teaching, I don't know come up with a whole new course or... come up with an entirely new way of teaching.... It's very hard to see how you can distinguish yourself from everybody else, in that area" (Interviewee No 5: HEI (E), male.)

Institution 'F' Case Study Profile

The sixth University chosen as a case study was formed in the late 1960's from a former technical college and was in a region with low participation rates in Higher Education and so through alliances with local further education institutions it was trying to widen participation. Mature students made up a third of all under-graduates, almost a third of its offering was health related and this combined with a generally vocational programme offering made its employability record good.

This University had c.7000 undergraduates (A level entry points of c. 260) and c.1000 post-graduates. It had one discipline graded 5* in the 2001 RAE.

Institution 'F' Staffing Data

ACTIVITY (FTE)	2003/04		2005/06	
	Case F	All	Case F	All
Academic Professional	663.85	11601.36	604.26	11640.74
Other Staff	1134.45	13128.89	1026.46	13396.45

Table 27 : Academic/Other Staff FTE's at HEI 'F'

HEI 'F' was a relatively small HEI compared with the others in the sample (see Table 27 on page 156.)

ACTIVITY (%)	2003/04		2005/06	
	Case F	All	Case F	All
Academic Professional	37%	47%	37%	46%
Other Staff	63%	53%	63%	54%

Table 28 : Academic/Other Staff percentages at HEI 'F'

Academic staff made up a very small proportion of the total staff, perhaps representing the critical mass of administrative and facilities staff required to sustain an independent organisation. However, numbers of other staff had fallen as academic numbers also fell, to hold their relative representation.

GRADE (FTE)	2003/04		2005/06	
	Case F	All	Case F	All
Clinical Professor	0.00	179.08	0.00	202.80
Clinical Senior Lecturer/Reader	0.00	190.32	0.00	250.06
Clinical Lecturer	0.00	367.16	0.00	287.54
Professor	82.21	1393.26	81.68	1516.14
Senior Lecturer/Reader/Senior Researcher	171.18	1742.02	174.55	1726.07
Lecturer	273.04	1893.62	272.54	1856.41
Researcher	110.38	5352.28	41.64	5301.04
Other	27.45	484.30	6.95	378.12

Table 29 : Academic Staff FTE's by Grade at HEI 'F'

GRADE (%)	2003/04		2005/06	
	Case F	All	Case F	All
Clinical Professor	0%	2%	0%	2%
Clinical Senior Lecturer/Reader	0%	2%	0%	2%
Clinical Lecturer	0%	3%	0%	2%
Professor	12%	12%	14%	13%
Senior Lecturer/Reader/Senior Researcher	26%	15%	30%	15%
Lecturer	41%	16%	47%	16%
Researcher	17%	46%	7%	46%
Other	4%	4%	1%	3%

Table 30 : Percentages of academic staff by Grade at HEI 'F'

The number of researchers in this HEI collapsed over the two years shown here. Other staff numbers did not change in real terms, but increased proportionally as the researchers disappeared.

TYPE (FTE)	2003/04		2005/06	
	Case F	All	Case F	All
Teaching only	131.24	358.04	111.78	475.47
Research only	142.99	5776.59	123.13	5791.19
Teaching and research	360.49	5338.97	329.22	5199.37

TYPE (%)	2003/04		2005/06	
	Case F	All	Case F	All
Teaching only	21%	3%	20%	4%
Research only	23%	50%	22%	51%
Teaching and research	57%	47%	58%	45%

Table 31 : Academic Staff FTE and percentages by activity type at HEI 'F'

Institution 'F' Promotion Procedures

The promotions policy and process of the University had been recently agreed and included Role Descriptions for all roles in grades 1 to 10 and on points 1 to 52 on the national single pay spine. The criteria for promotion were heavily influenced by an external job evaluation scheme called Higher Education Role Analysis (HERA.)

The first stage of consideration of any application, concerned “Performance Review & Reviewing of the Job Description”. A manager, the role holder and others formed a Panel to try and describe as clearly as possible the duties of the role, always bearing in mind the HERA scheme criteria.

The second stage was “Consideration of Job Description Using HERA Role Descriptors”. During that phase, trained staff within Human Resources with the Dean and members of the School or of the Planning Unit, working in cooperation, evaluated the post.

The third stage was the “Consideration of Cases by the University Promotions Committee”. That Promotions committee was formed by: the Vice-Chancellor; the Deans or Heads of Schools, with up to three other members and representatives from the Human Resources Department.

The official procedure documents of the University provided extensive and detailed descriptions for each of the possible roles in grades 1 to 10 in accordance with HERA instructions.

Institution ‘F’ Human Resources Head

The Human Resources Head said HERA was a single grading tool, designed for Higher Education, which graded all posts in a University using job evaluation against weighted criteria in a standardised way:

“we...brought all posts together. So it’s the same process, regardless whether you’re a cleaner trying to get from grade 1 to 2, or whether you’re an academic going from Lecturer to Senior Lecturer. So the process is the same....” (Interview – HR Director: HEI (F), female.)

One academic interviewee expressed particularly negative attitudes towards this system as:

“for the last two years the... efforts and energies of Human Resources have been fully concentrated on transferring everybody of the HERA single pay-scale....This has meant that although the Senior Promotions Exercise, which is the Exercise by which the Readers and Professors get promoted, has continued on an annual basis, there hasn’t there hasn’t been a promotion exercise for the other levels, since the one that was run on April 2005....And that has been absolutely terrible.... There wasn’t a procedure by which to apply for promotion” (Interviewee No 1: HEI (F), female)

Conclusion

This chapter intended to provide a portrait of each institution. It was clear from this analysis that while the case studies had been selected from an arguably narrow band of English pre-1992 Universities, the attempt to gain maximum variation in the sampling by esteem had produced a set of organisations with very different profiles. Secondly, the staff numbers and promotions policies in each placed differed by more than the author had initially anticipated. The degree of divergence in the underlying career management practices of each would become clearer in the more detailed data analysis of promotion procedures, given in the next Chapter.

Chapter Six

Analysis of Promotion Procedures

Chapter Six

Analysis of Promotion Procedures

Frequency of procedural updating

The length of the written academic promotions procedures

The stages a promotion application goes through to decision

Lapse time from application to decision

Information available to the decision makers to determine the application

Titles and assessment criteria

This Chapter presented an analysis of the content and structure of the internal academic promotion documents collected from the six Case Study institutions, profiled above in Chapter 5.

Chapter Six: Analysis of Promotion Procedures

All six case study institutions Human Resources Directors were able to provide copies of present (and superseded) written, academic promotions procedures; twelve documents in all. It was assumed given their source that they were reliable and authentic.

Having set out above, on page 102 in Chapter Three, an intention to analyse the structural content of the documents, the researcher initially felt he should review and analyse the documents through some strictly defined set of pre-set procedures. This would, it was hoped, produce reliable and robust conclusions about their content. This led to a search for what might be called a systematic review methodology.

It quickly became apparent that it was not going to be possible to lift a systematic review template off the shelf and apply it to documentary data in qualitative work. Instead, observations had to be recorded in a series of tabulations which were capable of being validated or repeated by others and so were meaningful as reliable data, in a way which was particular to the structural content of these documents.

Frequency of procedural updating

The Human Resource Directors were asked to provide the present procedure, which when it arrived was in each case dated 2006/07. They also provided a copy of the procedure it superseded. The dates on the superseded procedures varied and the table below showed this variation in the age of the superseded procedure. This suggested that in most institutions the academic promotions procedures were not stable but changing, although this tabulation (see Table 32 on page 164) did not show the rate or degree of change between versions.

Institution Code	A	B	C	D	E	F
Date of Superseded Procedure	05/06	03/04	00/01	03/04	05/06	05/06
Date of Present Procedure	06/07	06/07	06/07	06/07	06/07	06/07
Difference in years	1	3	6	3	1	1

Table 32: The frequency with which promotion procedures change

The length of the written academic promotions procedures

The next difference observed was the varying length and complexity of the procedures provided, which could be illustrated by a simple page count. Apart from noticing a tendency toward wordiness in some of the case study HEI's this variation was the first suggestion that these procedures would differ one from the other in more than their detail. A simple page count did not, on its own, tell the observer anything about the complexity of the process described, only the number of pages used to describe it. McNay (1995, p.106) suggested that this observed 'loose' or 'tight' policy definition, on an axis, would be one factor (the other being 'control of implementation') in determining whether a university was a collegium, an enterprise, a bureaucracy or a corporation. This is further discussed when looking at the making of the formal procedures (page 207) and the qualitative career models (page 257.)

Institution Code	Page Count
A	48 pages
B	42 pages
C	19 pages
D	19 pages
E	7 pages
F	103 pages

Table 33 : Page count of academic promotion procedures in the case HEI's

The stages a promotion application goes through to decision

To establish the level of process complexity within each procedure the number of decision or process steps were counted from the applicant making his or her promotion submission to the university to the final decision point. The need to apply was common, by contrast to say a nomination system. In each procedure the names of the particular committees or groups changed but it was possible in every case to name and count the described, distinct stages an individual's application would go through, as shown below.

Institution A – six stages

Faculty Committee Meeting 1
Faculty Committee Meeting 2
General Board sub-committee
General Board main committee
General Board
Appeal

Institution B – five stages

Department/Division Review Board
Faculty Dean Review
Promotion Interview Board
Academic Promotions Committee
Appeal

Institution C – four stages

School Promotion Panel
University Promotion Panel interviews
Academic and Research Staff Committee ratification
Appeal

Institution D – three stages

School Review Panel
Promotions Committee
Appeal

Institution E – two stages

Promotions Committee
Appeal

Institution F – four stages

Job Description reviewed and evaluated in Human Resources
School/Directorate Promotions Panel
University Promotions Panel
Appeal

The variation seen in the documents can be illustrated in a simple bar graph, see figure 11 on page 167 below, which visually demonstrated the divergence between the different case study institutions.

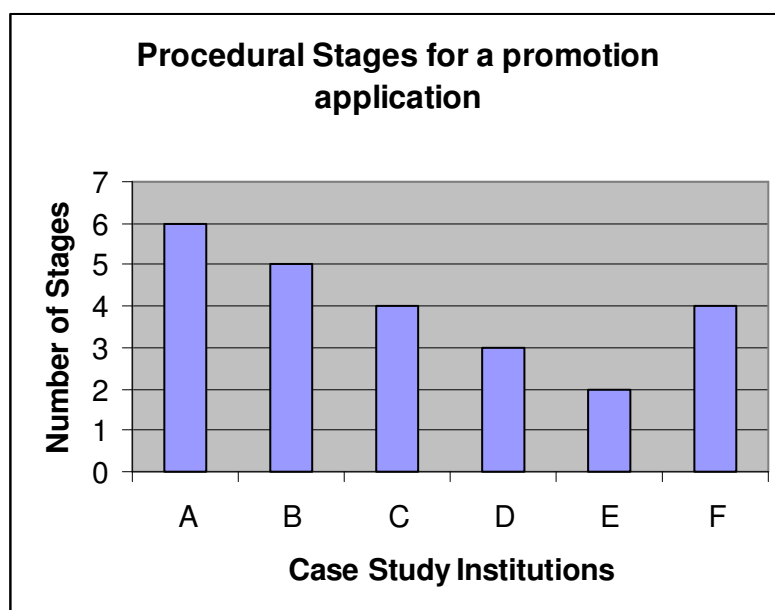


Figure 11: Procedural Stages for a promotion application

While this analysis showed a considerable variety in the number and types of steps, the use of applications and committees was common.

Lapse time from application to decision

Given each procedure had a date by which applications had to be submitted and a date on which the final decision making body, pre-appeal, would meet to determine the outcome it was possible to show the elapsed time from application to decision (see table 34 below.)

Institution Code	A	B	C	D	E	F
Application Deadline	13 Oct	8 Jan	7 Nov	29 Sept	19 Jan	16 Feb
Decision Communicated	9 May	31 July	29 Feb	7 Mar	13 Mar	20 April
Lapse time to decision (wks)	30 wks	29 wks	16 wks	23 wks	9 wks	9 wks

Table 34 : Lapse time from promotion application deadline to decision

Each case study institution had an annual timetable. The time of the year in which the procedures commenced or completed was not uniform. The time taken to process applications to a decision was non-uniform. For example, institutions A and B appeared to have lengthy procedures, with several stages and which took many weeks to complete compared to the others.

Information available to the decision makers to determine the application

The information about each candidate, available to the institutional decision makers, in each case study, was also observed to differ (as can be seen in Table 35 below.)

Institution Code	A	B	C	D	E	F
Applicant Statement	X	X	X	X	X	
Curriculum Vitae	X		X	X		
Academic Referees Reports	X	X	X	X	X	
Faculty/Department management report	X	X	X	X	X	
Academic Interview		X	X			
Appraisal Records				X		
Job Description						X
HR Evaluation Report						X

Table 35 : Candidate information available to the decision makers

It was clear from this analysis that something very different was operating in institution F as the basis of their decision making, compared to the other cases. Leaving institution F aside, candidate reports, academic referees and a management report seemed to be common requirements. The use of interviews or appraisal records was variable and not a majority practice.

Titles and Assessment Criteria

The procedures each annunciated a set of written criteria for titles sought, which applications should be judged against to determine the particular outcome.

Institution A

Three academic titles were offered in Institution A's promotion procedure; Senior Lecturer, Professor and Reader. Three assessment headings were given – research, teaching and general contribution. For the research heading, the key term utilised to describe the standard sought was “international leadership.” By contrast, under the teaching and general contribution headings, the corresponding key phrase seemed to be “effective contribution.”

Institution B

In the substantive or primary documentation, institution B similarly offered the titles of Professor, Reader and Senior Lecturer. It had criteria under headings titled ‘research’, ‘teaching’ and ‘administration.’ Under the research heading the key determining phrase seemed to be “international standing.” Under the teaching heading, the criteria sought a “substantial contribution” to a “reasonable standard.” This promotions procedure, though, had several appendices and one of these was headed ‘Research and analogous grades’ for those who “work almost exclusively on original or applied research”, which appeared to negate the need for these staff to meet the ‘teaching’ or ‘administration’ requirements in the main procedure. Different titles, of Research Fellow and Principal Research Fellow, were offered in this appendix.

Institution C

This institution's procedure offered a range of possible titles under different potential career paths. At the first career level, the choices seemed to be Teaching Fellow, Lecturer or Research Fellow. At the next, more senior level, Senior or Principal Teaching or Research Fellows or Senior Lecturers and finally Directors of Education, of Research or Professors. The assessment headings were still ‘Research’, ‘Education’ and ‘Management’ but they contained sub-sets described as being for those “in more research-focussed roles” or “in more

education focussed roles” where those criteria took the place of the education or research criteria respectively.

Institution D

In the promotion procedure for institution D, the titles offered at the first level were separated into two; Senior Lecturer and Senior Tutor. At the next two levels Reader and Professor were offered without any further type distinction. Three categories of assessment were described; ‘teaching’, ‘research’ and ‘management/administration’ given in that order. Under the teaching heading what was sought was “evidence of a leadership development role on high quality teaching.” Under the research heading what was sought was “evidence of scholarship and research at national level.”

Institution E

This procedure addressed firstly “Chair, Reader and Research Grade” staff and then “Other Academic Staff.” Titles were not directly addressed and it was difficult to find which were available or in use from the document itself. A section titled ‘Promotions to Senior Lecturer’ said the title required “extensive professional experience” and further stated “cases based on excellence in teaching should include sufficient objective evidence to enable the relevant committee to reach an informed conclusion”, and went on to give examples of evidence types. In a footnote the procedure stated “specific roles which focus on research will involve an established international reputation and a clear record of impact.”

Institution F

This procedure described nine numbered grades, with sub-options of ‘managerial’ or ‘specialist’, as identifiers and stated “the criteria for promotion are embedded in the role descriptors that have been developed in alignment with HERA job evaluation scheme.” The focus was on the role being performed, as given in a job description or questionnaire, and not the standing of the particular

person in that role being assessed. The procedure stated “Promotion of an individual occurs...as a result of the role being re-graded or as a result of a move to a higher graded role.” The role of the Committee seemed to be to accept the evaluation of the role conducted by the Human Resources Department or to seek a “full HERA analysis.” The procedure said “HERA analyses roles using a questionnaire, which contains 14 elements and 50 questions.”

The promotion procedures were all silent in relation to academic discipline, age and gender.

Conclusion

What was surprising to the author was the larger than expected differences between the documented procedures for promoting academic staff. It was anticipated that some common core procedure or practice would be found from which it would be possible to observe interesting developments and differences. In the event, while it was common to have a written procedure, for academics to be asked to apply, for an annual timetable to exist, and for the process to have linear stages of approval, the similarities stopped at that point. In other respects, such as the information required, the titles available, the time taken, the criteria used to judge, the evidence collected and the number of stages involved, the institutions differed.

Chapter Seven

Analysis of the Academic Interviews

Chapter Seven

Analysis of the Academic Interviews

Life Impacts

- Age
- Gender
- Race

Career Goals

- Seniority
- Peer Recognition
- Furtherance of Research

Academic Work

- The relation between research and teaching
- Subject/discipline
- Insecurity
- Workload
- Institutional impact

Promotions Procedures

- Criteria
- Fairness
- Peer Advice
- Promotions Applications

This Chapter aimed to present, in detail, the results obtained from the twenty one academic participant interviews. The intention was to provide a social reality, given from the perspective of those who lived and worked within the cases and so within the representational models sought.

Chapter Seven: Analysis of the Academic Interviews

For this part of the study, twenty one academics were interviewed. The interviewees were all employed in one of the six selected case study English pre-1992 HEI's profiled in Chapter Five. The academics interviewed were selected to represent as much variation as possible, being from the six different HEI's, from varied disciplines and with a sought balance of gender. Interviews were semi-structured (see the interview guide above at page 105) and were recorded and transcribed verbatim.

The institutional spread of the academic participants, across the six case study sites, and the five subject disciplines, is shown in Table 36, as follows:

<u>HEI:</u>	<u>A</u>	<u>B</u>	<u>C</u>	<u>D</u>	<u>E</u>	<u>F</u>	<u>Total</u>
Subject:							
Medicine	1	5	1	1		1	9
Languages	1		3	1	1	1	7
Engineering					1		1
Economics			1		1		2
Mathematics			1		1		2
Total	2	5	6	2	4	2	21

Table 36 : Numbers of Academic Interview Participants by HEI by Subject

The academic staff sample included eight women and thirteen men.

After reading the interview transcripts, looking at their content, an initial set of categories of description emerged which was used to start a coding structure for the interview narratives. Initial coding categories were set up.

It soon became clear through the iterative coding process that sub-codes or categories existed under each of the initial primary headings. This process led to the emergence of new categories and sub-categories until the final coding template for the analysis of the interview data was reached. The narrative was then re-coded from the initial coding categories into these fifteen inductively generated sub-codes, as follows (the number in brackets is the number of text segments coded to each value):

Life Impacts:

- Age (28)
- Gender (47)
- Race (10)

Career Goals:

- Grade/Rank Seniority (24)
- Peer Recognition (9)
- Furtherance of Research (9)

Academic Work:

- The relation between research and teaching (31)
- Subject/Discipline (25)
- Work Insecurity (13)
- Workloads (4)
- Institutional Impact (7)

Promotions procedures:

- Criteria (19)
- Fairness (11)
- Peer Advice (8)
- Promotion application process (7)

The topics spoken about by the participants, coded as above, did not directly reflect the subject structure developed for the interviews by the author and so demonstrated the value of a semi-structured interview. As the transcripts were coded first time through a diagrammatic representation of the developing coding structure was recorded and found to be helpful to the categorizing and connecting of the academic participant's interview transcript data, as given in Figure 12 on page 176, as follows:

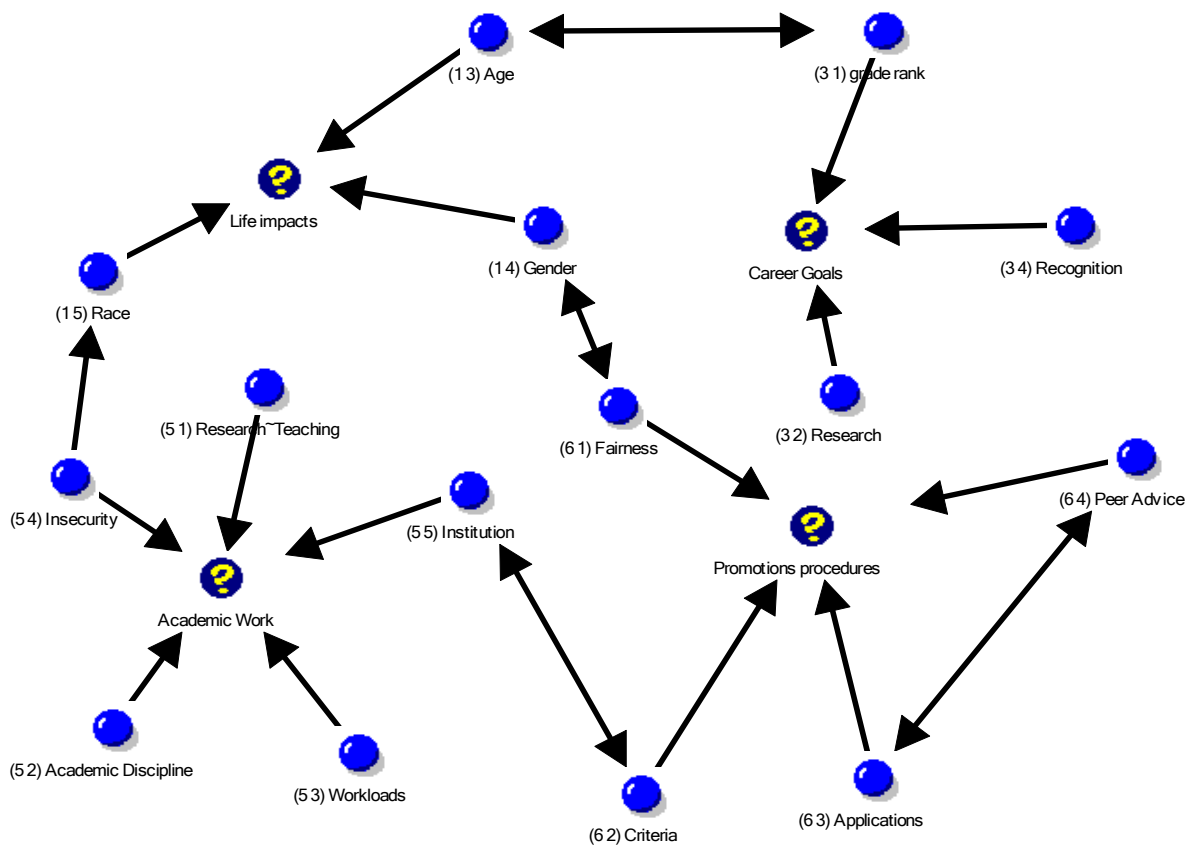


Figure 12: Diagrammatic Representation of codes for the academic interviews

Code: Life Impacts – Age

Code Name: AGE

Number of quotations linked to this code: 28

Code Comment: Codes indicating various opinions about the impact of biological age on following an academic career

The evidence under this code was initially confusing as the participants said that age discrimination was illegal or undesirable when asked to comment directly on age as a factor in academic careers. However, in other parts of the same semi-structured interviews age was cited as being important as a career factor. For example, one of the participants said:

‘My first response at that is that I don’t think it should matter. I don’t think the criterion of age should be ... an obstacle. Nor do I think that it should be ... put forward as a... a mean of getting on. I think different people at different ages, at different stages of their career have different things to bring to the post.’

(Interviewee No.6: HEI (E), male)

But, this initial instinct was then qualified as follows:

‘So emphatically age should not matter. Does it matter, in the sense of...does it seem to influence in an unspoken way...decisions that are made about appointments and about promotions. Well, I can’t give evidence obviously. But I very strongly suggest that it does.’

Interviewee No.13: HEI (C), male)

Being behind schedule was found to create negative effects.

For example, one of the participants said:

‘If you stay very long in one position then your chances of being promoted, kind of diminish because ... then subjectively people start thinking, if you stay so long in one position, you’re not good enough.’

(Interviewee No.7: HEI (E), male)

The academic participants interviewed carried a strong sense of an implicit age related career timetable. For example, three typical interview extracts are provided below:

‘It’s certainly hard I think to get a chair early you know. I am sure there is a sort of a... not a minimum age limit, but there are ages below which I think you have to be really, really exceptional to get... to get a chair.’

(Interviewee No. 5: HEI (E), male)

‘You can put it like this. I know of colleagues in the sciences and hearing them, so ... on... who... are professors by 40 or early 40s. That’s pretty unusual in Humanities disciplines. 50 if you’re very lucky.’

(Interviewee No.2: HEI (A), male)

‘I think if you’re 45 and you’re still senior lecturer, it looks a bit funny.’

(Interviewee No.3: HEI (A), female)

This clear internalised sense of an age to seniority timetable seemed to have a disciplinary context in setting the peer expectation, as follows:

‘...the worst thing that you could do, would be to say...I am disgruntled because I didn’t get promoted to a Chair until my age, which is now 42. Whereas this guy in Engineering got promoted at 28...but then you can turn around and see some guy in History or something, say suppose he gets promoted at 60. And he can make the same statement about me.’

(Interviewee No. 21: HEI (D), male)

Academics seemed to want to continue working beyond their normal contractual retirement date, capitalising on the accumulated body of work and reputation they had developed, as follows:

‘I am 60. I don’t regard it in that way, as what’s left. Because, I have a lot of professional things to do. I feel like I am in the prime of my career. I’m in the height of my career. I am not reaching the end of my career. I think I’m in the most active stage in my career.’

(Interviewee No.10: HEI (C), female)

The scale for measurement or judgement used by interviewees was always biological age. None of the interviewees measured their or others rate of progress against a timetable in elapsed working time in an academic career. This seems to have obvious difficulties for women, because of maternity leave and career breaks, and career changers, who came into academia from a professional background.

Code: Life Impacts – Gender

Code Name: GENDER

Number of quotations linked to this code: 47

Code Comment: Codes indicating various opinions about the impact of gender on following an academic career

Gender in academia produced the most numerical and emotional contributions from the academic participants in the research. All those interviewed, male and female, expressed a view that being female in gender impacted negatively on successfully following an academic career, or at least presented a clear sacrifice to be made.

Female interviewees described having household and family responsibilities and having to resolve multiple and conflicting demands, at best without career detriment. Some said this practical impediment alone explained their career dilemma, for example:

‘I believe that women that do not have families and men have the same opportunities in academia.’

(Interviewee No.1: HEI (F), female)

The same interviewee went on to describe how she had avoided partnering and child care responsibilities, so also the conflict that she perceived would have damaged her academic career:

‘If I had made the decision of having a family, I would have not been able to work the hours that I work. If I don’t work the hours that I work I would not be in the position in which I am. I am very successful in applying for external

funding... in running, I mean I have quite a lot of research activity going on. But that is done in a way... because I work. I mean what I do religiously, when I do the transparency review I actually write down what I work. I then take out the time I spent going to the toilet, so it's really the time that I work. And I work anything from 45 to 70 hours a week. Now I know very well that if I had a family I would not be willing to do that.'

(Interviewee No.1: HEI (F), female)

She then explained why men with partners or children did not suffer the same perceived difficulties or choices as women:

'I don't really think that a woman who has a family would be able to do it. What I see is that my male colleagues, in many cases have a very traditional wife. That supports the household and the family. So they have a family, but they're still able to work a very high number of hours. So that's the reality of academia.'

(Interviewee No.1: HEI (F), female)

A male interviewee reported exactly that:

'My wife you know has stayed at home to look after of our children while I worked.'

(Interviewee No.18: HEI (B), male.)

A female interviewee, who had chosen to have a family, reported on the career effect the interviewee above had tried to avoid:

'Once I got beyond when my children were basically in high school, secondary school, I paid much more attention to my career and it flourished.'

(Interviewee No.10: HEI (C), female)

Another female interviewee described how she had by contrast chosen to have a family and so accepted the impact on her career, as if again it was a clear choice between two conflicting, mutually exclusive options:

‘I have absolutely no desire to be a professor. And even less so, having spoken to my friends who are professors. I think it’s one of the worst jobs in the world. It seems a very stressful job, where people have absolutely no life outside their work. I really do not want that. I want to have a life... you know.... I really want to have a life as well as work.... A home life and a work life. And I think, in order to get that, I have to forget going for a chair. And so... I have made that as an active decision. Not because I am lazy or anything... is just that I really don’t want to compromise my own life.’

(Interviewee No.14: HEI (D), female)

A male participant supported the above analysis, that family responsibility alone can explain the perceived career difficulty that women suffered:

‘I suppose ... men tend to be more ambitious particularly if they’re the main breadwinner and want to increase their income. Promotion is how you do it. Women may well have other responsibilities, which limit ...the time, they can spend on their research. And it’s not necessarily, you know, their first priority.’

(Interviewee No.2: HEI (A), male.)

Others, though, did not think that partnering and family responsibilities were the only issue leading to the gender discrimination they felt, suggesting other structural factors also had a part to play.

They argued, for example, that male dominated promotion panels were more likely to privilege males over females, for example:

‘Very intimidating, if you are interviewed by a whole group of males. So there’s something... there’s something about our system, which does not permit women ... it does not allow women ... apparently to go as far, a career path as men do.’

(Interviewee No.9: HEI (C), female.)

Looking back further into the selection process it was also suggested that men applied for promotion or recognition earlier, as they were encouraged to do so by peers and that this same encouragement was not provided to female academics:

‘I don’t think there’ll ever be a committee that says something like ‘she’s a woman, so she’s not good enough’ but I think that people who actually apply for this...whether the selection is made much earlier... so it’s who gets encouraged and who’s been... you know, proposed for prizes, or promotion or special teaching courses or whatever...

(Interviewee No.3: HEI (A), female.)

Another female academic led on the same theme:

‘...if there’s any encouragement to be given, it might be given to the men. That would make them tend to apply earlier. But that encouragement in some cases may be too soon.’

(Interviewee No.10: HEI (C), female.)

The idea given above, that the predominance of men in academia could be an impediment to women, was reinforced by the comments from a female interviewee reporting positively on her own situation:

‘...this department is very woman friendly. In fact, this department is fantastic about that. There’s no... I have no complaint about that in this department...I think that there’s very much gender equality and sensitivity. But I think in the larger University ... I think my understanding is... it’s quite a male-dominated world out there...in every University I’ve ever worked at, the very highest levels have been male dominated. It’s not just a question of men versus women. It’s a question of a sort of masculinist culture. A masculinist work culture.’

(Interviewee No.10: HEI (C), female.)

It was interesting listening to a man struggle to try to describe that same male or female work culture:

‘...there’s often a kind of rather intangible element, which is really important that has to do with...it is not unrelated to gender, which we’ve just been discussing. It’s not exclusively in any way determined by that. But ... I can certainly, speaking from personal experience, say that... in a very heavily... in a discipline where there are significantly more women than men, both as students

and as numbers of the staff, either academic or administrative or whatever ... there's an ... atmosphere of personal support and solidarity and so on, if you like...'

(Interviewee No.13: HEI (C), male.)

Code: Life Impacts – Race

Code Name: RACE

Number of quotations linked to this code: 10

Code Comment: Codes indicating various opinions about the impact of race on following an academic career

An assumption ran through the interviews when race was mentioned as a topic that that this was an issue of nationality, rather than colour. Secondly, overseas applicants for academic roles were assumed to be of better quality than UK applicants. This claim was clearly stated:

'You get much better applications from overseas people.'

(Interviewee No.7: HEI (E), male.)

'...across the UK you will see that there is a fairly high fraction from people from outside the UK. Now I believe that it mainly due to the fact that the UK education is lower quality and has been for a long time, than... in many other European countries.'

(Interviewee No.21: HEI (D), male.)

Once hired to the UK, however, problems were reported by those hires in getting a substantive foothold on the English academic career ladder:

'I can speak from my own personal experience that as somebody who wasn't born in this country, but who is a resident of this country I have felt some sort of institutional racism sometimes... Basically, because a lot of people felt that there

were great minds from all over the world coming, visiting and yet, there were very few non-British residents who were permanent employees. There were very few permanent employees there. So to a certain extent there was an exploitation of the fact that it was a centre of excellence to a certain extent, I would say.'

(Interviewee No.4: HEI (B), male.)

The reason for this may have to do with orientation and reputation building in the UK once appointed:

'We have very distinguished professor, who is extremely good. But because he came... he was discovered by the West, not so long ago he has a little bit of difficulty establishing his reputation here. You know, people just don't know his work. And somebody who has been through all this culture here, they have much easier time. Even though they... the significance of their results may not be as such.'

(Interviewee No.7: HEI (E), male.)

The other impediment reported is language or accent acting as a barrier:

'Sometimes you wonder whether academics who are coming from different countries, where English may not be the first language, if their standard of English is below a certain level, even though academically they may be at the top. There may be some consideration, given to whether they could kind of manage a class of undergrads or whether there may be some problems with just teaching, especially at the lower levels.'

(Interviewee No.5: HEI (E), male.)

One interviewee related this issue not to movement of academics of different nationalities but directly to colour:

'Blacks have overcome it in the US much more than in Britain. In Britain, people of African descent.... I think the issue of people of Asian descent in Britain and... again... I think there's more mobility now. But people of African descent in Britain, I think there's a lot of discrimination.'

(Interviewee No.10: HEI (C), female.)

Code: Career Goals – Seniority

Code Name: SENIORITY

Number of quotations linked to this code: 24

Code Comment: Codes indicating various opinions about the goal of achieving seniority being the participants aim in following an academic career.

The predominant issue raised by the academic interviewees, thirteen of the twenty one interviewed, in relation to what they wanted to achieve from their academic career, was grade seniority through promotion. That goal was most frequently defined as an aspiration to be a Professor. Expression of this target was usually accompanied by a timetable. The academic interviewees who did not state this career goal instead explicitly stated denial of the same. Peer recognition and furtherance of research were also mentioned but as secondary goals. The interviewee below explained the functional relationship between their seniority goal and what secondary goals had to be met to achieve the primary aim:

‘I want to try to get promoted to Reader... and then probably go for a chair. That’s the sort of ... natural plan. I think that ... promotion is the....the major thing that people are interested in. But you won’t get promotion, without getting research grants. That is a pre-requisite. But... that’s fine by me. I think.... you know....every journal paper that you get to publish is a sort of achievement. And certainly having research grants, you’re getting... these things are an achievement and those... then are recognised via promotion.’

(Interviewee No.5: HEI (E), female.)

The following extract was typical, in relation to the main goal:

‘I am personally expecting to have a personal chair within five years.’

The importance of this goal seemed to be related to title rather than salary as the same interviewee explained:

‘ I suppose the title of professor and ... is... you know, it’s there to be seen. You could put on the bottom of your email on your CV and so on...’

(Interviewee No.1: HEI (F), female.)

There also seemed to be an element of self-actualising what it was to be an academic:

‘When you’re starting ...when you’re finishing your PhD and... you’re thinking about working in academia... after finishing that hurdle of the dissertation, you know that the next problem would be getting tenure and having a secure position and ... getting promoted ... through the ranks of assistant, associate and full professor. So when I reached that in September... in this University I got satisfied and... achieved... my goals.’

(Interviewee No.12: HEI (C), male.)

This expectation seemed to be so strong that others had to explicitly deny it as a goal:

‘I do not wish to be a professor.’

(Interviewee No.14: HEI (D), female.)

This same interviewee’s refusal was reported by her as problematic to her colleagues as it flew against the expected competitive, group norm:

‘Now that creates a bit of a problem. Because everybody else wants me to aspire to go further and I am constantly pushed to go further and I constantly resist. So there is a bit of a conflict there. Because obviously any head of school will want me to be what they consider to be more ambitious.’

(Interviewee No.14: HEI (D), female.)

Code: Career Goals – Peer Recognition

Code Name: PEER RECOGNITION

Number of quotations linked to this code: 9

Code Comment: Codes indicating various opinions about the goal of achieving peer recognition being the participants aim in following an academic career.

Although less cited as a career goal, six of the twenty one contributors did also point to peer recognition, although when doing so it came contextualised by the issue of promotion and title expressed already above in half the cases. For example:

‘And obviously a promotion to Readership is recognition by peers. But I am thinking here of... you know, if my book is well received. If it’s talked about, if it’s talked by... if people think that... I made... a presentation well or if an article is well-cited. Those things mean a lot.’

(Interviewee No.8: HEI (E), male.)

The other related issues which were introduced were facilities within the University, recognition in the academic community and public recognition, as follows:

‘You know... I think the most important thing ... this is really sad... I think is to have an office where I can work. That is ever so important. My own personal space so that I can actually do the job I am here to do.’

(Interviewee No 14: HEI (D), female.)

‘I’m very well known in my field.’

(Interviewee No 10: HEI (C), female.)

‘I got invited to be on radio. On national public radio in the US. To talk about my research.’ (Interviewee No 12: HEI (C), male.)

Code: Career Goals – Furtherance of Research

Code Name: FURTHERANCE OF RESEARCH

Number of quotations linked to this code: 9

Code Comment: Codes indicating various opinions about the goal of achieving research goals as being the participants aim in following an academic career.

Six of the twenty one academics interviewed mentioned furtherance of their research as being important to them as a career goal. This was introduced almost evangelically by those who spoke about it, as their passion or obsession, assuming all academics thought the same way.

For example:

‘Because we all believe intensively that the kind of little bit of research that we do, is very important. If we didn’t believe that, we wouldn’t do it. There is no way that people spend ... I don’t know 50-60 hours a week, researching some area that you know.... Is not really....In all cases, in the sciences, it’s not necessarily leading to some big fame or fortune. It’s just some little problem you know. And still. You have to believe that this is very, very important. I mean in that sense we are all crazy and deluded. But if you didn’t have that, you wouldn’t push science forward.’

(Interviewee No 21: HEI (D), male.)

This theme was in three cases linked to the freedom to pursue that goal, for example:

‘I would say the most important thing is to be able to do scientifically what you want to do.’

(Interviewee No 3: HEI (A), female.)

‘It’s the autonomy I suppose. You do what you want to do. You explore the things that you want to explore. If they take that away there is very little left.’

(Interviewee No 14: HEI (D), female.)

Code: Academic Work – The relation between research and teaching

Code Name: The relation between research and teaching

Number of quotations linked to this code: 31

Code Comment: Codes indicating various opinions about the relationship between research and teaching activities within an academic job

The commonly held received wisdom from the participant academic staff from the case studies was clear; that research was more important than teaching, research outputs were measurable and teaching less so, research got you promoted and teaching did not. Those that valued teaching did so from an internalised sense of duty and not because it gained them any recognition. Below was a good example of how this held wisdom was communicated:

‘I think there is a game to be played in terms of academic promotion and career development. Which is ... relatively.... The rules were... have always seemed relatively clear and cut to me. But, I have seen other... other academics who ... sort haven’t... clearly haven’t understood, of the game well and ... or were unable to play by the rules of the game and didn’t come out so well as a result. A classic sort of mistake is... when you start as an early Lecturer to go ... to really focus on your teaching. To spend your time and effort ... on getting your teaching right and optimise your teaching. Whereas in reality ... in reality... as long as you’re not messing things up horrendously on the teaching side, nobody really cares.’

(Interviewee No 5: HEI (E), male.)

The same point was put more starkly, as follows:

‘If you’re a lousy teacher and a lousy administrator, but your research is excellent. You’re in. No.... you’re fine. If you’re a superb teacher and you do lots of administration but your research is mediocre then you’ll be in trouble. It’s up to you.’

(Interviewee No 17: HEI (B), male.)

An interviewee who had a high teaching load and worked to support her students recognised the parable, given above:

‘My students evaluate me quite well, on the whole. And... I mark their work methodically. I give them enormous amount of support and feedback. And they all rate that highly. And I don’t think this is particularly recognised. What I am counted for is purely the outputs of the papers that I publish and the research income that I bring in. Or the amount of students that I bring in. Never mind what I do to them.’

(Interviewee No 14: HEI (D), female.)

Another, also recognising research got promotion, commented on the quality of his teaching as coming from a personal rather than organisational motive:

‘Although I was promoted, I think in terms of research, I am a committed teacher and something I am passionate about. So I like to know the student experience with me is as good as it can be.’

(Interviewee No 8: HEI (E), male.)

The effect of this realisation, and without an internal drive for teaching, is what led some of the interviewees to say they tried try to minimise their teaching:

‘And that leads to everybody doing... as little teaching as possible, as little preparation as possible. And I think that in the long-term, students and the quality of teaching... will suffer from that.’

(Interviewee No 19: HEI (B), male.)

Why was this important, because:

‘...if you have a heavy teaching load, it’s extremely difficult to get promotion. And ... what then... one then ... has to do is to... everyone now is fighting to reduce their teaching as much as possible.’

(Interviewee No 19: HEI (B), male.)

Code: Academic Work – Subject/Discipline

Code Name: The relation between research and teaching
Number of quotations linked to this code: 25

Code Comment: Codes indicating various opinions about the participant’s particular academic subject or discipline in relation to others

Fourteen of the twenty one participants talked about the impact of subject discipline on academic work and all who did so assumed that each discipline or group of disciplines were different from each other. They seemed to disagree about the nature of the difference; whether it was that some subjects were easier than others, the standards were different or the measured outputs were different but the standards applied similar. However, the idea that one University policy could fit all the disciplines was not taken as acceptable or practical.

On the disciplines being different the proposition was simply put:

‘Of course these disciplines are different.’

(Interviewee No 21: HEI (D), male.)

This was put as a known policy difficulty:

‘And there are things as the RAE exercise and the Teaching Quality Assessment, have this problem of dealing with each discipline, because it is never, one rule fits all.’

(Interviewee No 1: HEI (F), female.)

The disagreement arose when the interviewees went on to discuss the nature of the difference.

Some considered that the disciplines were different in their nature, and so in a sense, incomparable:

‘And I’m in a field, where you’re expected to produce two to three high quality journals a year to be considered research active. Now in other fields you are expected to produce much bigger pieces of work over a long period of time. You know.... So yes, I think the discipline factor influence hugely. It also influences what you teach and how different subjects are taught. You know it’s a very different teaching philosophy classes through seminars to not more than 20 students than teaching 120 students basic optics and physics...’

(Interviewee No 1: HEI (F), female.)

In another category some disciplines were perceived to be comparable but easier or harder than others in which to progress as the standards differed:

‘Well..., where I am for instance... it’s an interesting place to be, in terms of academic progress, because one can progress really quite quickly,... compared to, say Sociology. And the reason I give that example is that I have a very good friend, colleague in Sociology, who I think is, you know... just as good as, if not better than many senior people in my department.’

(Interviewee No 8: HEI (E), male.)

Others considered it to be a matter of prejudice or unfairness based in the ability of the hard disciplines to raise grants and teams:

‘But I still think it’s ... people in subjects like mine are disadvantaged, compared with scientists who can wave their research grants around. You know ‘I’ve got several millions for doing it’. It looks good. Fair. And... they have great

responsibility. I think scientists on the whole get promoted at a younger age than people in the humanities.’

(Interviewee No 2: HEI (A), male.)

Someone in science viewed this same effect as a lack of pressure in the Humanities which he almost envied:

‘In Humanities there seems to be a very different situation in the sense that there is not such pressure to get ... large amounts of research funding, and a have large research team. Therefore... it is all sort of the individual scholar and type of route where you write your own books and you do your research. Which I guess is probably rather different than us.’

(Interviewee No 5: HEI (E), male.)

Lastly, the discipline difference problem was seen to be simply a numbers game:

‘You know because in Physics it could be ten publications, in particular journals. In Economics it could be three publications three particular journals. So that... that has to vary widely across discipline. There is not formula... that ...I don’t... that you know, could be university-wide. It would have to be ... the criteria in a particular department. And that ... those criteria would change overtime. But within a particular time range, within that department, what are the criteria that the junior researchers should know.’

(Interviewee No 12: HEI (C), male.)

Code: Academic Work – Insecurity

Code Name: Insecurity

Number of quotations linked to this code: 13

Code Comment: Codes indicating various opinions about work insecurity

The interviewees, when asked to talk about their academic career, wanted to get across the early career insecurity they had experienced. How positions and money were hard to come by and that they alone were responsible for finding or fighting for that first position on the career ladder, typically as follows:

‘I suppose, the key moments were starting to do a PhD, finishing the PhD, applying for a post-doc here... towards the end of my PhD and being offered that post-doc. That post-doc was just for one year originally and it was in 1996. So I didn’t come... expecting to stay very long. But then a few different things happened. The project got extended, by six months I think and then after it I got a one year temporary Lectureship, just at the right time and I got that and then I think a second year. A post-doc position came up in managing a research network. Half-time. And so the department organised a half-time lecturing post and half-time RA. And then when that finished I got a permanent office. I think I had been a Lecturer then for a sufficient number of years that the post became permanent.’

(Interviewee No 5: HEI (E), male.)

This temporary status sometimes continued for a long period:

‘My first part of my academic career was in the United States. I worked in the United States, until I was ... about 44 I think. But I didn’t have a permanent job. I had these temporary jobs, one year contracts, you know, or hourly paid, all these business, for about 10 years.’

(Interviewee No 10: HEI (C), female.)

With this common early career experience gaining a foothold on the academic career ladder was said to require tenacity or luck:

‘I was very, very lucky. It was pure luck.’

(Interviewee No 13: HEI (C), male.)

‘I think tenacity... it’s probably the most important... It is extremely difficult when you are starting out to be on short-term contracts. And ... I don’t have a

family and if I did ... I think it would have been almost impossible to justify what I did. I think I would have dropped out.'

(Interviewee No 20: HEI (B), female.)

This insecurity, as cited above, caused some to believe that they would not succeed:

'At some point you have to face the reality, you're probably not going to get an academic job. So you're applying for something else.'

(Interviewee No 2: HEI (A), male.)

Code: Academic Work – Workload

Code Name: Workload

Number of quotations linked to this code: 4

Code Comment: Codes indicating various opinions about the pressures of increased workload

When workload was mentioned, by four of the interviewees, it was always in the context of increased workload. The comment below comes from an interviewee whose workloads caused her doubts about whether she would stay in academia:

'I talk to colleagues in other Universities. And we're all in a similar situation, where there are more things for us to do and less time for us to do and less resources. So I don't think that that is unique. And so... I wouldn't ... I wouldn't... that's why I would not go from this academic job necessarily to another one. Because I think such problems will arise. It's not the job I had hoped it would be I think. I think it's become increasingly difficult. And a lot of my colleagues, who... have come into academia late, which is what I've done obviously, have felt much the same, should they just get out and go into other jobs. And I think that's what a number of people will end up doing.'

(Interviewee No 14: HEI (D), female.)

Another also complained of increased workload, attributing this specifically to teaching administration and suggesting it was teaching itself which suffered as a result:

‘I think the one thing that has influenced and changed academic career a lot, is... the increase in teaching loads. And this is... the increase in teaching-related administration. There is a huge amount of accountability about teaching, you have to keep a huge track of what you teach, how you interact with the students, what you do, what you offer them, what they have done, so all that added, which I am not convinced, in all cases makes for better teaching. But it makes for less time available to do anything, including teaching.’

(Interviewee No 1: HEI (F), female.)

Code: Academic Work – Institutional Impact

Code Name: Institutional Impact

Number of quotations linked to this code: 7

Code Comment: Codes indicating various opinions about how working in one higher education institution, as opposed to another, impacts on work and career

The interviewees who talked to this theme had a strong sense of an institutional pecking order which was, in their mind, widely understood. They suggested that career decisions were made not only in relation to grade seniority but also for institutional status and even that one may be traded for the other.

This analysis starts with the view that the interviewees were mobile between institutions and were not locked for career purposes to one place:

‘The normal thing is to move from place to place and to work in different institutions and in some ways it is remarkable.’

(Interviewee No 13: HEI (C), male.)

It was clear that the pecking order of higher education institutions impacted early career decisions:

‘So I was offered a fellowship to stay at the University of X, working in that research group and I was also offered a Lectureship here in Y. Obviously everyone was... kept reminding that X was not as good as a University as Y.’
(Interviewee No 1: HEI (F), female.)

Then that similarly titled academic grades did not have equivalence between different institutions of different perceived status:

‘The impression I get is certainly that a reader in X is a Chair everywhere else, except Y and maybe Z. And the chair in X doesn’t have any equivalence outside X except maybe Y. I think most universities see it that way.’
(Interviewee No 3: HEI (A), female.)

For this reason, moving from one institution to another, at a similar grade or title, could be perceived as a substantial step up in personal prestige:

‘When I moved from the University of X to the University of Y... I felt that for myself that was a big leap. Because I was moving from a new University to an old one.’
(Interviewee No 6: HEI (E), female.)

Code: Promotions Procedures - Criteria

Code Name: Criteria

Number of quotations linked to this code: 19

Code Comment: Codes indicating various opinions about institutional promotion criteria

Awareness of the existence of formalised written promotions criteria was inconsistent amongst those interviewed. Some were not aware of and did not seek out the criteria:

‘To be honest, I just kind of downloaded the form and filled and hoped that I was doing the right thing. I didn’t have a clue about what they were looking for.’

(Interviewee No.14 HEI (D), female.)

Others knew about and found the existence of written criteria helpful:

‘I am glad the University has this explicitly written down. That they’re looking for evidence.’

(Interviewee No.5 HEI (E), male.)

But the criteria could also be known about and found to be unhelpful:

‘I mean they were available if you wanted to look ... they were very vague, brief and not always very helpful. So that when you applied for promotion and were unsuccessful, you got very little feedback ... references were always made to the criteria. But in very vague and general ways.’

(Interviewee No.13 HEI (C), male.)

Views also differed on acceptance by the reader about what they read as being the criteria which would in fact operate. The first quote shows the criteria being taken at face value, as follows:

‘They all seem perfectly valid, in the sense that for Senior Lecturer there are three sort of criteria, which are research, teaching and admin. And you need to demonstrate excellence in two out of the three, which sort of makes sense.’

(Interviewee No.5 HEI (E), male.)

Others were less willing to accept the operability of the formalised statements and replaced what they read with a different view, acquired from peers:

‘And you know again part of the ritual part of what you hear about promotions at that level, is that well they say they take into account teaching and administration

at very senior levels. But in reality they only care about whether or not you've got these five star journal articles or an international figure.'

(Interviewee No.8 HEI (E), male.)

Collecting information on what was required to be promoted from sources other than the formalised procedures was not uncommon, for example:

'I learn a lot of my ... I get a lot of my information just by discussions with others. And also experience of the promotion process it self... sitting on committees. Hiring committees and speaking with the other professors in the department about... who should be promoted, who shouldn't be promoted, what are the criteria.'

(Interviewee No.12 HEI (C), male.)

Code: Promotions Procedures - Fairness

Code Name: Fairness

Number of quotations linked to this code: 11

Code Comment: Codes indicating various opinions about the fairness of institutional promotion procedures (excluding gender related fairness)

Where this issue was raised the first discriminator was whether the interviewee thought the procedure was fair or not. The first quotation, below, was from someone who explained at some length their view that the promotions process was fair:

'The whole process is completely open and transparent. And I think... everyone is told what the criteria are and ... and I think that... the feedback within the department is sufficient. Yes.... I think that the procedure is fairly transparent... and it's quite open. I guess one of the things that make it ... that makes it seem fair is that, when you're competing, if you like to be promoted to Senior Lecturer or Reader or whatever, you're competing on a University-wide basis.'

(Interviewee No.5 HEI (E), male.)

Others recognised the presence of subjectivity in a human process. The interviewee below, for example, wanted to illustrate the problem as they saw it:

‘There is a lack of transparency because it is still not clear why one candidate would be put forward and another not. When both of them to some degree, on some significant degree, meet the criteria.’

(Interviewee No.13 HEI (C), male.)

The solution to this same problem was seen by another as being to tighten up the formalised criteria to remove the unintentional subjectivity:

‘I think that... there’s a lot of subjectivity involved and that’s unavoidable. However, if ... there needs to be greater effort. Not just in this university. In Universities everywhere. To make... to really pin down what those criteria are.’

(Interviewee No.8 HEI (E), male.)

However, it was also possible that the perceived unfairness was not due to a lack of clarity in the criterion, which permitted or created different possible outcomes, but that other forces were at play. For example, the interviewee below suggested a strong, unspoken, financial constraint:

‘Because it is not clear to me and I think to some other people, whether the new system is... entirely led by these criteria or whether there is some kind of unspoken... I mean there has to be I think. You know. There’s got to be some kind of unspoken financial constraint in the sense that... I am far from convinced that... all the people who... in fairness could be said to meet the criteria for promotion from one level to another are being put forward for consideration to University level. And I am quite sure that there must be pressure coming down from the top to say ‘we can of course only afford to examine the promotions and so on... therefore you must interpret the criteria in very strict sort of way’.

(Interviewee No.13 HEI (C), male.)

Another suggested the different outcomes in relation to similar individuals were due to power play amongst the decision makers, who were not held to account:

‘There tends to be a problem of concentration of power in departments. Where by... very few individuals, really have decision making powers. And those few individuals, it could be even only one individual in many, in many cases, in university... one or two in the department. And those individuals are very rarely ... questioned about their decisions at the next level... and that’s understandable because, you know at the higher level up, you have a lot of responsibilities. And to get into the detailed decision making process of the particular department is not an easy task. And ... it’s also liable to, lots of, to say, misrepresentation. And so the... it’s difficult to really... control and to... check those decisions that were made. But I think this happens quite often. That’s where, in universities throughout the world, that’s where things ... fall. It’s the concentration of power and lack oversight.’

(Interviewee No.12 HEI (C), male.)

Code: Promotions Procedures – Peer Advice

Code Name: Peer Advice

Number of quotations linked to this code: 8

Code Comment: Codes indicating various opinions about the importance of obtaining advice from peers in relation to academic career decisions

This code showed the sense in which academics sought advice while considering making a promotion application or in putting the application together. The source of the advice sought differed and the purpose seemed to vary between obtaining information, gaining confidence and shaping the content.

The five extracts below each example the use of a differently categorised human source for aid in career decision making and for different motives:

‘I was encouraged by my **PGCE tutor**, who was in another university, to apply.’

(Interviewee No.13 HEI (C), male.)

‘I contacted a **friend** of mine whom I’ve known for years and years ago, who works in the University and said to him ‘what must I be doing with this?’

(Interviewee No.14 HEI (D), female.)

‘I had been given the full support of the **Dean**. So I had a number of interviews with him. He... practically, he was involved in reading my file my CV, the statements and so on, giving me his best opinion related to my file actually.’

(Interviewee No.16 HEI (F), male.)

‘I think with all the things in academia, you don’t get actively informed. Your job is to go and find out...the information is certainly out there, if you want to find it, you can talk to **colleagues**.’

(Interviewee No.20 HEI (B), female.)

‘When the **Head of Department** approached me and asked me, ‘Why don’t you go for it?’ I said, ‘Yes.’

(Interviewee No.7 HEI (E), male.)

Code: Promotions Procedures – Promotion Applications

Code Name: Promotion Applications
Number of quotations linked to this code: 7

Code Comment: Codes indicating various opinions about the promotion applications process

The first sense about the application process that existed was that the candidate needed to be guided rather than operate independently:

‘I wasn’t going through the formal route... I ‘m not... I don’t know exactly... the exact formal documents, what I understood is that the University wants to see

two out of three key areas. So research, teaching and administration. Something that is... outstanding, which is helping perform in promotion. And... our Head of Department is very good in terms of ... you know, promoting, working through the promotion process with us. He knows the system better.'

(Interviewee No.7 HEI (E), male.)

Secondly, and linked to the above perhaps, that it was a game (or ritual) one had to go through:

'Cause what I am thinking here is ... you hear stories of the ritualistic nature of moving on to a chair. In the sense that you have to apply once and then... they just say 'no' and then you go back, again and then the second time you'll be successful, even if perhaps there isn't a huge difference in those cases.'

(Interviewee No.8 HEI (E), male.)

This guided game was perceived to be drawn out through time:

'I have to say very, very nerve-wracking and drawn out-process. It took about a year from start to finish. So I found that ... really hard. It was a very difficult year. You know... it felt like almost being scrutinised. Of course you weren't, but for the whole year having discussed and submitted a CV.'

(Interviewee No.11 HEI (C), female.)

One participant asked for the rules of the game to be made clearer so that he could make rational decisions:

'There needs to be greater effort. Not just in this university. In Universities everywhere. To make... to really pin down what those criteria are...To create certainty in an environment, which... which people could then make rational decisions about what to do. Should I leave? Should I stay? What are my chances? Should I push or... harder and harder, because I do meet those criteria? Or I'm so far away that would be useless to keep pushing?'

(Interviewee No.12 HEI (C), male.)

Conclusion

The academics interviewed seemed to be creatures of their discipline. They moved between institutions, which they perceived as having different relative status, to build a career in that discipline. In doing so, the participants seemed to be conscious of both their career rank and their institutional seniority.

Academics careers appeared often to have an insecure beginning as individuals self-managed their progress through short-term or casual appointments on to the career ladder (perhaps hindered by gender or ethnicity.) They seemed to be aware of an implicit age-to-grade timetable they must meet to be perceived as on track. This career construct combined with greater accountability and workload had caused doubts about career choice in some.

Chapter Eight

Analysis of the HR Director Interviews

Chapter Eight

Analysis of the HR Director Interviews

The making of the formal HR procedures

- Strategic Construction
- Collegial Construction

Emergent Career Models

- The Slippery Pole
- The Ladder
- Parallel Ladders
- The Climbing Frame

Delivered from a box

The making and the Model

This Chapter analysed the HR Director Interview transcripts to generate possible constructs for career models. The intention was to generate empirical models with identifiable characteristics, which could act as a basis for constructing the later deductive research questionnaire.

Chapter Eight: Analysis of the HR Director Interviews

This Chapter looked at the HR Directors interviews; as they were the owners, authors or translators of the internal, institutional, academic promotion procedures. The formal documentation had already been examined in Chapter Six. These documents were not written as purely descriptive accounts of how to get promoted; they contained an underlying policy, decisions as to what would be allowed or encouraged and what not, and those decisions came from a controlling mind. That controlling mind may have been the HR Director themselves or some other person or body whose requirements were then met by the HR Director. The intention here was to expose the controlling mind and the possible underlying policy models which the HR Directors written procedures were attempting to describe.

The Making of Formal HR Procedures

'At all events, it appears that the one important aspect of adaptation to expansion is indeed the gradual proletarianisation of the academic professions...Managerialism gradually comes to dominate collegiate co-operation in the organisation of both teaching and research.'
(Halsey 1992, p.136)

The first outcome of note was, HR professionals appeared to have one of two means by which they generated their institutions formal academic career structures. For the sake of simplicity, called here 'strategic' and 'collegial' constructions. However, this was overly simplistic, as in both cases one was determinative and the other still consulted. The choice of which driver had primacy in holding the determinative authority; the 'top down' strategy makers or the 'bottom up' collegial body, appeared to influence or was related to the choice of model and this hypothesis was pursued further in the questionnaire. McNay (1995, p.105) described the 'classical collegial academy with significant academic autonomy, or professional self determination' and recognised a trend

toward tightening of policy definition and managerial control which moved universities more towards corporate enterprises in their characteristics.

Strategic Construction

Where university management operated as an authority structure, they took policy decisions and implemented executive actions to achieve the best use of resources and to achieve organisational goals. To illustrate, one participant HR Director, for example, said of strategy driving change:

“We had a new vice-Chancellor start and he introduced a new *strategy* to the University. And if the previous strategy for the university was research, research, research, that being everything, the population who were educationally strong in the University were feeling they didn’t count, or they were disfranchised or that they were in the wrong university or not on mission. What he was saying is that the University has three mission domains. Research, we are a research led university but we also have education, we need to be strong in education and also in enterprise. And following a career in any one of those three business streams was legitimate and that people ought to be able to see a clear career pathway through to demonstrate distinctiveness or success or competence in any one of those streams. And it was really that *strategic intent* of his that *drove* the changes to the academic promotion criteria.”

(Interview - HR Director: HEI (C), male)

In this strategic model the organisational strategy, whether written or advanced by the Vice Chancellor/President directly influenced the HR Strategy as developed by the HR Director and caused the production of a new academic career structure. This product was then subject to consultation with and applied to the academic population. In short, policy makers adopted a specific new policy, processed it aided by HR and introduced it. This model is presented (in figure 13 on page 209) as follows:

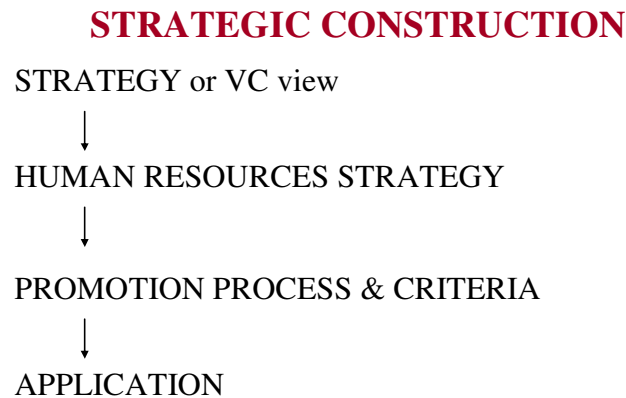


Figure 13: Strategic Construction of promotion procedures generation

Collegial Construction

Farnham (1999b, p.18) said ‘The model of university management that best represents the interests of academic staff is the ‘collegial’ University, which combines high levels of professional autonomy with high levels of staff participation in management. It is a bottom-up ‘person’-based organisation in which the focal point of the institution is the collegium of scholars focussed around their academic disciplines.’

Illustrating this, and by contrast to the model above, another HR Director in another University talked about the collegial debate driving change:

“Every year, the promotion process culminates in a meeting, what’s called the main committee on academic promotions. And it is that body which has as part of its agenda, having to consider the cases coming through for the year. They also spend a bit of time and typically perhaps, talking about how the process works, how it is going in the current year and what changes might be beneficial. So it tends to be continuous improvement, if you will, but a learning from the

process, rather than anything that is particularly dramatic. The academic division still runs professorial appointments. I think, that ... you know, the way it's been done over the last few years, there is a fair degree of *consensus* now, and indeed I mean, particularly the externals are quite complementary about both the procedure as written but also the way it actually is managed in practice. We do get lively debates in the main committee, sometimes about particular issues and you know, it is not unusual to hear somebody say after about 10 minutes, when you just think the plans have been put to rest, you know someone suddenly says 'Well, I don't agree with that'. But that's in the nature of *academic debate*.'"

(Interview - HR Director: HEI (A), male)

In the second model change followed academic debate. The role of HR Departments was to capture the consensus and then to administer the process that had come from the collegial body. In short, the academics proposed a self-definition and HR officially recorded and so sustained and administered that self-proposition. This model is presented (in figure 14) as follows:

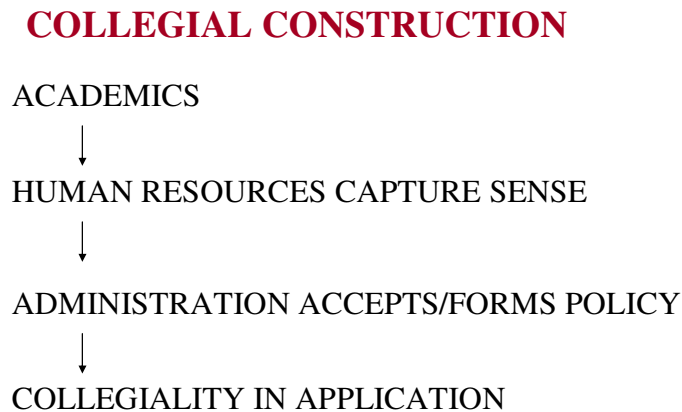


Figure 14 : Collegial construction of promotion procedure generation

Emergent Career Models

The empirical research identified four academic career models which operated within UK Higher Education institutions. These four representational models of schemes of academic hierarchy were given names by the author, as follows:

- Slippery Pole (Unitary, Exclusive and Linear)
- Ladder (Fragmented and Exclusive)
- Parallel Ladders (Inclusive and Segregated)
- Climbing Frame (Integrated and Fractionalised)

As yet untested by the questionnaire phase of the research, these were presented as strategic archetypes which illustrated what was being adopted in the case study institutions. They implied considerable divergence of found practice. In summary, the characteristics of each hierarchy model were described as follows:

Slippery Pole: Unitary, Exclusive and Linear

This was the traditional and in many senses instantly recognisable academic career structure in a UK research-intensive University; with titles running from Lecturer to Professor. There was only one career route, so it was unitary. It focused on research excellence to the exclusion of other academic attributes and so was exclusive. As one HR Director explained:

“We must recognise what makes this University what it is and at the end of the day it is the research. So that’s what tends to inevitably win out, the research. I mean yes, some do want to teach but usually that is not to the expense of their research. So to keep it to a fairest minimum we do not have very, at the moment anyway, draconian requirements for teaching, and in fact, as you go up the ladder, the amount of teaching you are expected to do decreases all the time. We are research oriented that’s not to make any secret about it at all. And you know a small amount of teaching is fine, but it’s recognition in practice of course. Some people do very little at all and others do middling amount and some may and ... you know... they may in career terms if their University teaching dominates may not in all probability get above senior lecturer.”

(Interview - HR Director: HEI (A), male)

Research only and teaching only posts may have existed but were not considered to be academic. Such posts sat outside the formal career structures, absent from the formal definitional and promotions procedures and could not be promoted. They would be called 'academic related' or similar to define their exclusion. This could be shown pictorially (see figure 15) as follows:

1st Career Model: UNITARY, EXCLUSIVE, LINEAR

Traditional career model

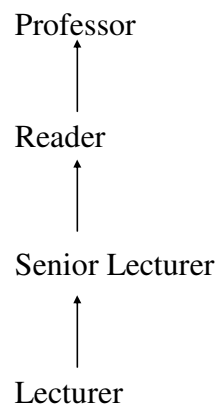


Figure 15 : Representational Model of the 'Slippery Pole'

The Ladder: Fragmented and Exclusive

This second model recognised, but had not yet fully assimilated, other forms of academic work to the formal procedures and titling conventions. They were included usually by way of an annex or parallel set of arrangements to the mainstream procedures or conventions. Exclusivity remained as the dominant mode but the required recognition of different types of academic staff or legitimate contribution caused a sometimes confusing fragmentation.

An HR Director struggled to explain this fragmentation of his procedure into research and teaching criteria while arguing for the continued primacy of research as the real career, as follows:

“There is quite a paradox here. It’s.... on the one hand... the primacy of research. This is a research institution. There are also different research criteria for research in a career strand for researchers and for the mainstream academic. The paradox comes in the fact that in the mainstream academic strand we have teaching elements. And this is the superior stream. Despite the fact there is some teaching element. The fact that there is both some teaching and research is important. Which is a kind of inconsistency. It’s peculiar But such is the case. So research is the fuel for the ‘real’ kind... what the culture defines as the mainstream academic career limits. You can’t leave behind research in the mainstream academic career.”

(Interview - HR Director: HEI (B), male)

Research and teaching-led (or only) posts were considered to be academics but still enjoyed less status and respect from academics in the so-called ‘mainstream.’ The distinction between being research or teaching only or led was interesting and informed the models developed later in this research. Here the definitional criteria or promotions procedures may have contained special, additional annexes or sections referring to or conditionally acknowledging these peripheral staff groups (see figure 16 on page 214.)

2nd Career Model: FRAGMENTED & EXCLUSIVE

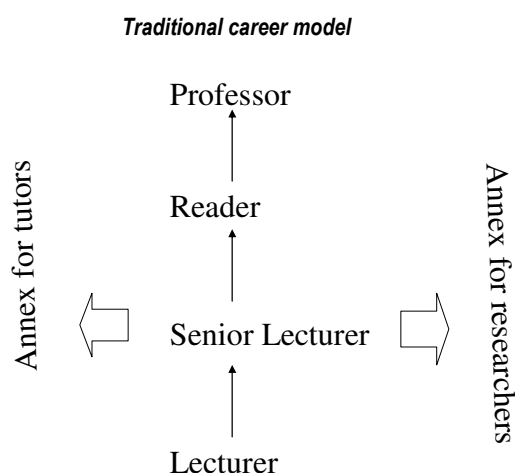


Figure 16 : Representational Model of the 'Ladder'

Parallel Ladders: Inclusive and Segregated

This third academic career model accepted and assimilated within itself the different types of academic staff described above in a coherent framework of what were sometimes called career pathways or job families. Each different or separate career path was presented as being equally legitimate as a contribution to the success of the enterprise. Each had different criteria but was equal or equivalent in the standards required. However, a clear public distinction or separation was maintained by title or pay scale or promotion process between the different although parallel tracks (see figure 17 on page 215 below.)

For example, an HR Director said:

Those people who were following education career paths were in the main happy with these changes but they were concerned that the process they go through and the standards they have to achieve in the education pathway are seen as being equally rigorous to those that you would have to achieve in the research pathway in order to get the same level of seniority. In other words, what the people in the education career pathway are doing... are two things, they say 'Yes, it is good,

we like this pathway' but secondly, it is not going to be seen to be as a sort of second class, second status, not so good pathway; it has to be seen as demanding, rigorous, you know equally, equally difficult, to carry that equal status.'

(Interview - HR Director: HEI (C), male)

3rd Career Model: INCLUSIVE & SEGREGATED

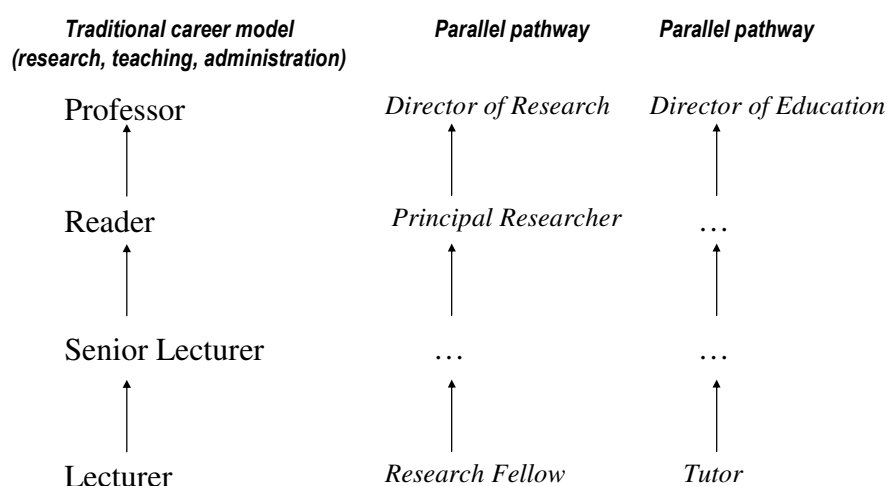


Figure 17 : Representational Model of 'Parallel Ladders'

The Climbing Frame: Integrated and Fractionalised

The fourth model found joined research or teaching or consultancy or leadership roles as part of an integrated career path. Any visible status labels had been removed so titles and scales and processes were held in common (see figure 18 on page 216 below.)

An HR Director explained it, as follows:

“The last Vice-Chancellors’ view was that we ought to provide an outlet for rewarding people who had made major contributions to teaching and administration but whose research portfolio was not good enough to be a Professor. And, therefore, we dreamed up this title of University Director of Education. People didn’t like the title but they liked the money. We looked for

national and international contributions to teaching and all sorts of things. We dressed it up. But whatever happened they all still felt that they were not called Professors. Professorial Research Fellows were probably a bit of an anachronism at one level in the sense that, it is another research line and didn't do any teaching. Although actually arguably a few of them teach. Let just rationalise this. Let's be brave enough to call people Professors who are good at research and teaching and good at administration and good corporate citizens. Let's accept that. So you come to the conclusion that you've got to bite the bullet and you've got to make them Professors."

(Interview - HR Director: HEI (D), male)

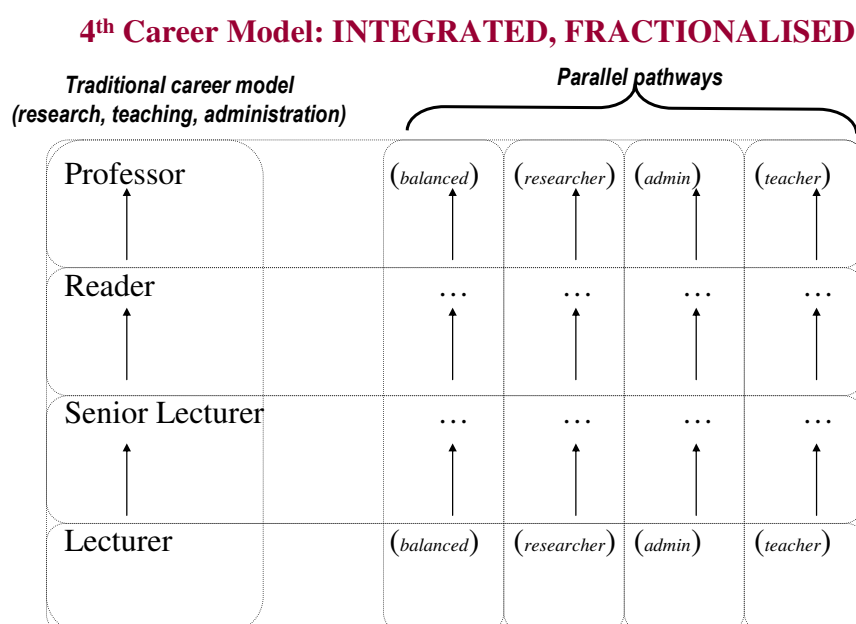


Figure 18 : Representational Model of the 'Climbing Frame'

Delivered from a Box: Outsourced

In this last case, the institution passed control of academic seniority outcomes to a selected and purchased job grading or evaluation package (such as HERA in the UK for example.) HERA stood for Higher Education Role Analysis. It was used to systematically and objectively analyse roles. The way in which the profile was compiled was from the results of a structured interview. The interview would be conducted by a trained role analyst, usually from HR, who would gather evidence from the role holder. A questionnaire would be

completed on the basis of the evidence and the resultant scores entered into a database. This chosen tool contained within it the criteria and weightings which ranked and graded academic staff and so this became fixed and no longer the subject of internal management or academic debate. Also, as the weightings were job weightings, this replaced any sense of the volume or quality of academic outputs creating seniority. The tool purported to measure the job specification divorced from the qualities or the performance of the actual post-holder, so separating role performance from job specification.

An HR Director explained:

“The first stage is to write a job description. And that job description is then looked at by the specialist HR staff that are familiar with HERA. They look at that job description and they match it to the HERA roles. And decide whether the job, the role itself, justifies the higher grade. And they would give feedback then to the School. Managers had staff engaged in the assimilation process. So there were a lot of people exposed to that sort of new way of doing things, matching the job related evidence to role profiles. So it’s not as though we’re starting from scratch in the promotion exercise. And since then I’ve been very open to say that we’ve got to maintain the integrity of the HERA scheme and all that work that we’ve done. Because the last thing we want to do is to have gone through that major assimilation process and then let it all sort of unravelled during the promotions exercise.”

(Interview - HR Director: HEI (F), female)

The HR Director described this difference of approach, as follows:

“The issue is that under the [previous] academic promotions procedures members of staff had to satisfy effectively competence criteria for promotion. Typically this is excellence in teaching, research, admin. Decisions certainly aren’t based on just job size or a job evaluation. Now we have the onset of staff using primarily the job description route to secure promotion which sets a very uncomfortable precedent. On the one hand we have job evaluation which measures job size or competences (if you use HERA) and on the other we have

our traditional academic promotions procedures which recognise merit, outcomes and competence.”

(Interview - HR Director: HEI (F), female)

This appeared to the author not to be so much a fifth representational model for academic careers as much a means by which promotions decisions were made, changing the object of the decision from the post holder to the role occupied, the evidence source from the achievements of the person to the attributes of the role and moving the decision making authority from academics in committee to trained role evaluators in the Human Resources Department.

The Making and the Model

When comparing the method of making the promotion procedure and criteria; strategic or collegial, with the resulting career model, the results within the case study population were as follows:

Mapping Methods to Models:

Collegial Construction – Bottom Up:

- UNITARY, EXCLUSIVE, LINEAR
- FRAGMENTED & EXCLUSIVE

Strategic Construction – Top Down:

- INCLUSIVE & SEGREGATED
- INTEGRATED, FRACTIONALISED

Figure 19 : Mapping Methods to Models

Figure 19 (above) suggested that a strategic, ‘top-down,’ managerial initiative was more likely to generate an innovative change in the institutional formalisation of what an academic career looked like and how roles were

described. Figure 20 (below) showed that these managerial initiatives may be more likely to be pursued where the University found itself subject to, or less able to resist, competitive pressure. By contrast, where the design of procedures, titles and criteria were the product of the collegium the results were more likely to sustain or defend existing definitions of the academic profession. Recognition of the collective will of the collegium seemed to be found in University's whose relatively high position in the status hierarchy of institutions allowed for either complacency or the resistance of managerialism and so the gradual proletarianisation of the academic profession.

Deliberate or Evolutionary

- **UNITARY, EXCLUSIVE LINEAR** **Traditional ancient redbrick**
- **FRAGMENTED & EXCLUSIVE** **Top 10 pre-1992**
- **INCLUSIVE & SEGREGATED** **Top 20**
- **INTEGRATED, FRACTIONALISED** **Up and coming**

Figure 20 : Competitive Pressure and Organisational Rank

These probable relationships drawn from the case studies could be tested statistically through inclusion of appropriate questions in the questionnaire phase of the research (see page 223 below.)

Conclusion

The HR Directors interviewed were clearly opinionated and able to talk about their institutions academic promotion procedures and in many cases as if they owned that procedure or at least had influenced its contents. This raised

interesting questions about the professional role of HR Directors in HE institutions as bureaucratic administrators of academic policy or as policy makers themselves. Academic promotion procedures seemed on their face to be academic documents and a self-regulating profession would want to control the rules of progression to seniority of its own members. This did not; however, seem to be entirely the position found. Secondly, the field work had produced obviously different career models, which gave clues to the issues required to be raised in the questionnaire and suggested a found heterogeneity.

Chapter Nine

Questionnaire Analysis

Chapter Nine: Questionnaire Analysis

Introduction

Quality of data and representativeness

Analysis

This Chapter presents the results of statistical analysis of the questionnaire responses. The questionnaire (see Appendix II) was distributed to the HR Directors of all 42 English pre-1992 Universities (see page 92 for the list.)

Chapter Nine: Questionnaire Analysis

Introduction

The qualitative research suggested that every pre-1992 university had its own academic promotions criteria and procedures, which were formulated either by a collegial or by a managerial approach. There was not a single, rigid or uniform promotion scheme. The differing schemes of academic hierarchy had been implemented using one of the two approaches above. The outcomes for individual academics were determined through some formal evaluative process; either by job evaluation or academic peer review. It had also been shown that different universities had different sets of rules for promotion for their academics; teachers and researchers, from one level to the other in the chosen institutional hierarchy. In some universities, those who may predominantly have defined themselves as teachers may have been required to do some research activities to gain seniority and those self-defined as researchers may have been required to do some teaching activities to get promoted. Sometimes career tracks for teachers and researchers may have influenced each other. Obviously these career tracks would be different under different criteria and under the different decision making processes through which they were implemented.

Taking the above factors into account four career models, which existed among the universities, had been identified with the aid of six case studies selected from English pre-1992 universities. These models allowed a questionnaire to be developed which asked about the formation process of the procedure used, the determination process for individual cases and the career paths designed for teachers and researchers. Given the models used, which allowed characteristics to be identified, and access to a pilot group of respondents, the questionnaire could be forced choice, with categorical responses.

As a result of the qualitative work, it was believed by the author that, whatever the selected career model was, the performance of academics in it would be reflected in a relationship with the relative assessment of the sample universities

in research and education. This was hypothesised to be true either because more successful research universities were more likely to integrate the promotion of researchers or because in making that career model choice research success would follow and likewise with teachers. Cause and effect were not examined but a correlation was assumed and sought. This study aimed to identify the distribution of the different career models and evaluate the relationship of different career models with the formulation process and with the relative rank of those HEI's in the NSS and RAE assessment of the universities (see page 122.)

Quality of data and representativeness

The sample, consisting of 60% of the entire population, offered a good representation of the population. However, the presence of any systematic pattern in the non-responses had to be investigated. The mean scores of student satisfaction and research assessment (see Appendix V) between the sample and the non-response universities had been calculated. The equality of the two means had been tested using a t-test (see Table 37). The results showed that there was no significant difference between the arithmetic means of the two groups. A further check (chi-square test) was done, by testing the association of the universities' change in ranks between 2008 and 2009 in a league table (see Appendix V) with their response to the survey questions. The results showed no significant association between the two groups changed positions (see Table 38 on page 225). Hence, the sample (as well as the results) could be regarded as representative of the whole population.

Test of significance for equality of means between sample and non-response group

	N	Mean	t-value	p-value
Student satisfaction				
Sample	26	3.80	0.932	0.357
Non-response	16	3.76		
Research assessment				
Sample	26	5.49	1.640	0.109
Non-response	16	5.19		

Table 37 : Test of significance for equality of means between the sample and non-response group

Association between change in ranks and response pattern (count)

Response pattern ($p=0.147$)	Change in ranks between 2008 and 2009		
	Went down	Same as before	Improved
Sample	11	3	12
Non-response	10	0	6

Note: p -values are based on likelihood ratio chi-square tests.

Table 38 : Association between the change in ranks and response pattern

Analysis

Formulation of academic promotions criteria and procedures

Most, but not all, of the universities who participated in the survey responded that they followed a top-down processes of managerial determination (77.8%) to formulate their academic promotions criteria and procedures. These criteria and procedures were then affirmed through consultation with the academic or collegial body. The remaining 22.2% of the universities formulated the promotion criteria and procedures through the academic or collegial process, which was adopted by the university management afterwards (Table 39). The fact that this question generated different responses and the majority response was managerial rather than collegial was itself interesting. It suggested non-uniformity and a surprising tendency to managerialism (see page 50 and Table 39 below.)

Formulation of academic promotions criteria and procedures adopted by the university

	N	%
Collegial	6	22.2
Top-down	21	77.8
Total	27	100.0

Table 39 : Formulation of academic promotions criteria and procedures adopted by the University

Impact of formulation process of the promotions criteria and procedures

Figure 21 (below on page 227) showed the formulation process of promotions criteria and procedures (top down or collegial) by the process of implementing the promotion criteria to individual academics to determine seniority (academic committee or job evaluation.) The initial assumption was that a managerial, 'top down' approach, might be more likely to produce a decision making process based on job evaluation rather than academic committee.

This seemed likely as all the universities that formulated their promotion criteria by collegial process decided their grades for individuals by an academic committee. However, 95.2% of the universities that formulated their promotion criteria by a top-down managerial process also set their academics grades by an academic committee. The use of job evaluation was extremely limited. No significant impact of the formulation process of promotion criteria on choice of method for the implementation process of these criteria was, therefore, found in the analyses. The number of institutions using job evaluation was too small overall and in those institutions setting their career paths in a managerial way. Having a case study in the qualitative stage which used job evaluation as the determining process allowed maximum variation in the study, but it was clearly over represented in the sample of six case studies other than where maximum variation was the goal. The analyses were done in terms of association test (chi-square test) and correlation test (Spearman's rho) (for SPSS Cross Tabulations see Appendix Three, page 275).

Figure 22 showed that among universities adopting the collegial method to formulate their promotion criteria, most of them offered either a special case procedure (33.3%) or integrated (33.3%) career tracks for their teachers' promotion. By contrast, a separate career track (33.3%) was offered most, followed by an integrated career track (28.6%), among universities following a top-down managerial method to formulate their promotion criteria (Figure 22 on page 228). This reflected the finding from the case studies (see page 219.) However, no statistically significant impact of formulation process of promotion

criteria (collegial and top-down) was found (chi-square test and Spearman's rho correlation test) on the institutions' chosen career track design for teachers (see Appendix Three, on page 276 for *Teach).

Figure 23 showed that for both the methods of formulating promotion criteria (collegial and top-down) most of the universities (66.7% in both the cases) offered separate career tracks for their researchers' promotion (Figure 23 on page 228). No relationship was found between formulation of promotion criteria and researchers' career tracks in chi-square test. But a significant positive relationship **was** found in Spearman's rho correlation test ($p < .10$), which meant that universities following the top-down managerial method of formulating their promotion criteria were more likely to offer higher weighted (namely separate) career tracks to promote their researchers (see Appendix Three, on page 276).

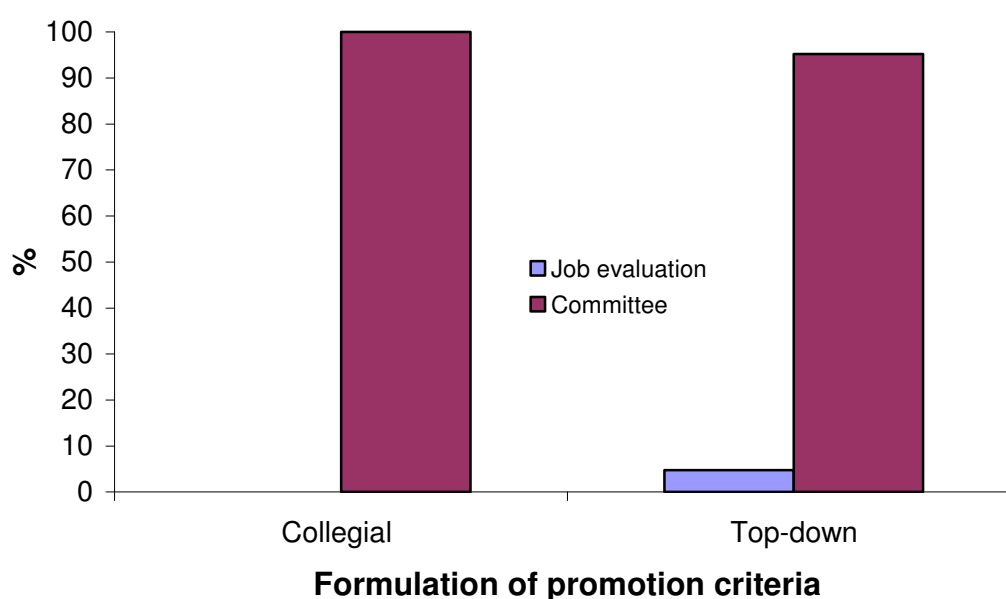


Figure 21: Formulation of promotions criteria by the process of implementing the promotion

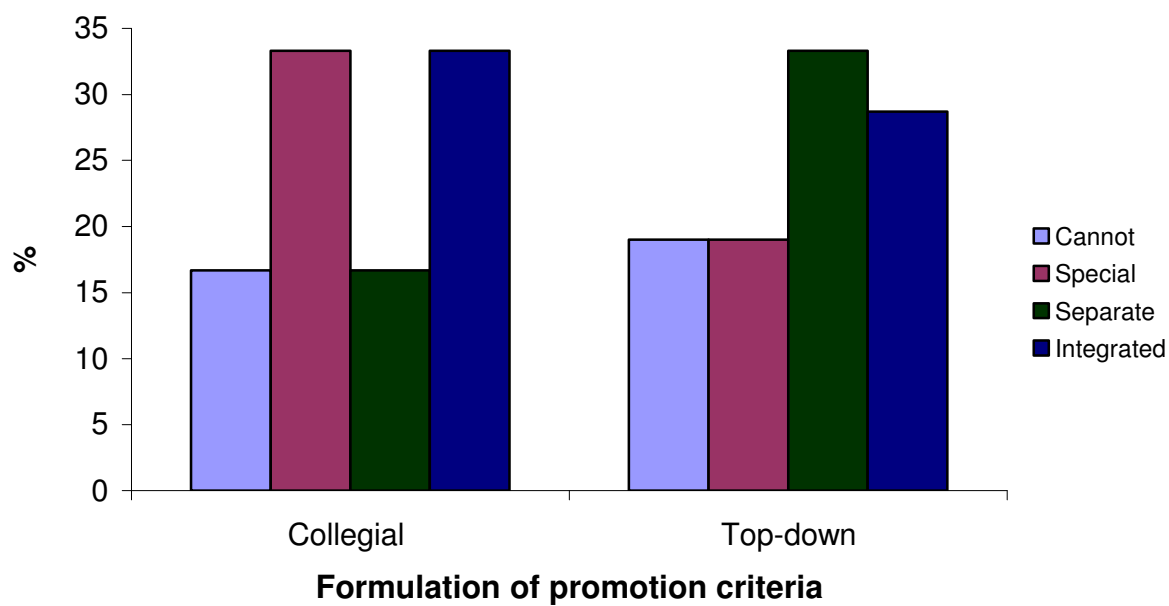


Figure 22: Formulation of promotions criteria and procedures by teachers' career track

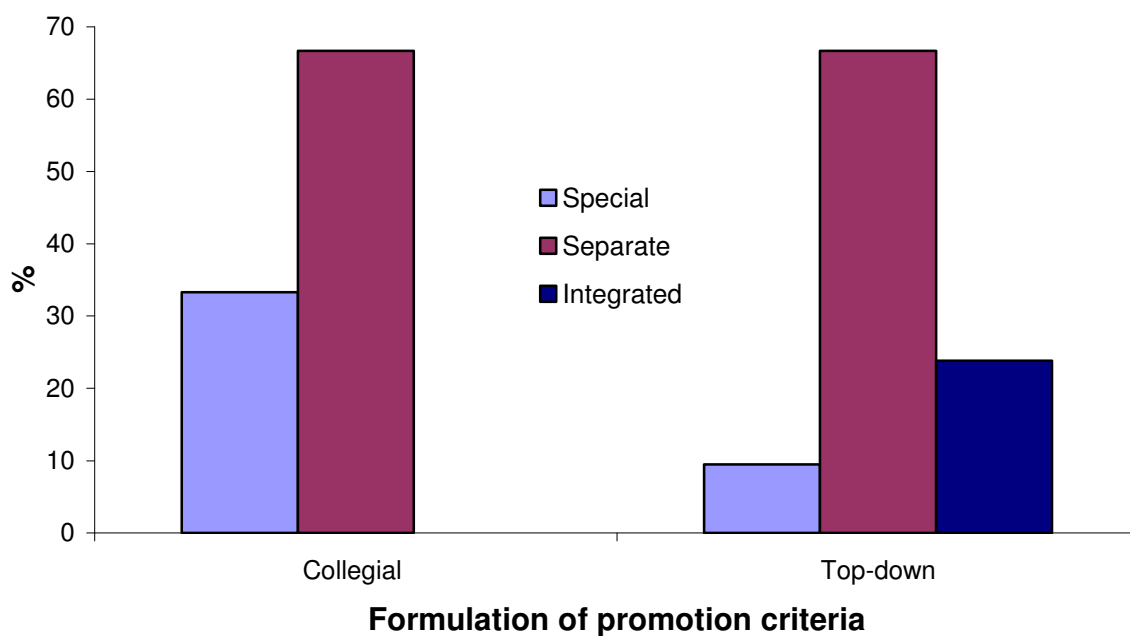


Figure 23: Formulation of promotions criteria and procedures by researchers' career track

Implementation of the promotion criteria

Almost all (96.3%) of the universities surveyed reported that they implemented their promotion criteria by using an academic committee, who as was found in the document analysis made a recommendation for a particular candidate based on a CV and/or references. Less than 4% (only one in twenty six) of the universities reported they implemented their promotion criteria by job evaluation or grading process (HAY/HERA or similar) producing a recommended outcome (see Table 40). This showed the presence of job evaluation as a determining methodology in the choice of the six qualitative case studies was an over-representation, caused perhaps by the maximum variation sampling.

Method of determining the grades using the promotion criteria

	N	%
Job evaluation	1	3.7
Committee	26	96.3
Total	27	100.0

Table 40 : Method of determining grades using the promotion criteria

Career track models for teachers

18.6% of the universities reported that teachers could not be promoted under the general academic promotion criteria as they did not meet the necessary research criteria (see Table 41 below). Among the universities, another 22.2% had special promotion criteria for teachers but with limited opportunities, and 29.6% reported having separate promotion criteria enabling teachers to progress to similar grades (but with separate titles). The rest of the universities (29.6%) had integrated promotion criteria, i.e., teachers had the same career track and could progress to higher grades and be similarly titled to others. The reasonably evenly distributed results in all these different categories showed the very different treatment of teachers by different universities in a diversified sector.

Career track models for teachers

	N	%
Cannot	5	18.6
Special	6	22.2
Separate	8	29.6
Integrated	8	29.6
Total	27	100.0

Table 41 : Career track models for teachers

Career track models for researchers

By contrast, none of the universities reported also requiring teaching activities in the promotion criteria of their researchers (unlike with teachers where research was required in 18.6% of cases), if not contractually required. Most of the universities (66.7%) had separately identifiable career tracks for researchers, with criteria equivalent in standard to other academics (but with separate title). However, there were some universities who had special criteria with more limited opportunities (14.8%) and integrated (18.5%) career tracks for their researchers (see Table 42). This showed a lower variance of institutional practice, as compared to the teachers, with some variation around a norm.

Career track models for researchers

	N	%
Special	4	14.8
Separately	18	66.7
Integrated	5	18.5
Total	27	100.0

Table 42 : Career track models for researchers

Relationship between career tracks of teachers and researchers

A significant relationship between the chosen design of career track for teachers and researchers was found (chi-square test; $p < .05$) in the analysis (see Table 43 below). However, the causal relation, that is, which influences what, could not be suggested from the data. Most of the universities, whatever career tracks they offered for their teachers, offered separate career tracks for their researchers,

except those offering special criteria for limited career progression for their teachers who then preferred the same for their researchers. In the same way, universities offering particular separate career tracks to their researchers were more likely to offer the same to their teachers. No significant correlation (Spearman's rho correlation; t-test) was found between the rank orders of the two career tracks of the two groups (see Table 43 and Appendix Three on page 278) so the found relationship was more direct, 'model to model' and was not strictly hierarchical, between the two ranks.

Association between career tracks of teachers and researchers

	Researchers' promotion		
	Special	Separately	Integrated
Teachers' promotion ($p=.043$)			
Cannot	0	4	1
Special	3	2	1
Separately	1	7	0
Integrated	0	5	3

Note: p-values are based on likelihood ratio chi-square tests.

Table 43 : Association between career tracks of teachers and researchers

Relationship between teachers' career track and students' satisfaction

Analyses were done to identify if the teachers' career track of a university had any relationship with the students' satisfaction with the learning experience from that university using both the actual scores for satisfaction in the NSS and their rank orders (see Appendix V), by using t-tests for Pearson correlation and Spearman's rho correlation respectively (see Table 44). The results surprisingly suggested that there was no significant relationship between the institutional choice of the teachers' career track and students' satisfaction as reported in the first four sections of the National Student Survey 2007, which measured satisfaction with the learning experience (see page 122.)

Correlation between teachers' career track and students' satisfaction (N=26)		
	Coefficient	<i>p</i> -value
Pearson correlation	0.053	0.797
Spearman's rho	0.007	0.972

Note: Cranfield University is a post-graduate institution and so does not have data on students' satisfaction. Hence, it has been excluded from the analysis.

Table 44 : Correlation between teachers' career track and student satisfaction

Relationship between researchers' career track and research assessment

It had also been expected that the impact of different career tracks offered to researchers would be reflected by the research assessment rating of a university. However, again no significant relationship between the choice of researchers' career track and 2001 research assessment rating (see Appendix V) was found in the analyses (Table 45).

Correlation between researchers' career track and research assessments (N=26)		
	Coefficient	<i>p</i> -value
Pearson correlation	0.127	0.537
Spearman's rho	0.093	0.650

Note: Cranfield University is a post-graduate institution and so does not have data on research assessment. Hence, it has been excluded from the analysis.

Table 45 : Correlation between researchers' career track and research assessments

Relationship between teachers' career track and research assessment

There was one strange result worth recording. An evaluation of the relationship between institutional choice of teachers' career track and the research assessment rank order (!) had been made using t-test for correlation (both Pearson correlation and Spearman's rho). The analyses strangely suggested that there was a significant negative relationship between the two (Table 46). That was, the higher the research ranking of the institution in the 2001 RAE the more likely it was to offer its teachers a separated or integrated career path.

Correlation between teachers' career track and research assessments (N=26)		
	Coefficient	<i>p</i> -value
Pearson correlation	-0.391	0.048
Spearman's rho	-0.339	0.090

Note: Cranfield University is a post-graduate institution and so does not have data on research assessment. Hence, it has been excluded from the analysis.

Table 46 : Correlation between teachers' career track and research assessment

Conclusion

Most pre-1992 universities formulated their promotion criteria for academic staff by following a top-down, strategic, method (77.8%). The choice of formulation process, however, had no significant impact on the resultant model.

By far the most common means of determining particular promotion applications was through academic committee and not by using job evaluation.

Teachers would find that institutions were reasonably evenly distributed in preventing their promotion; unless they were also researchers, having special criteria, having a separate or an integrated career path for them. This finding was carried over into the models illustrated in the next Chapter.

The implementation process of the promotion criteria (committee or job evaluation) was not dependent on the formulation process; top-down or bottom-up. There was no systematic pattern to the even distribution of the career track types for teachers. The distribution was, however, skewed towards separately identifiable career tracks for researchers. The presence of separate career tracks for teachers and researchers were significantly associated with each other, the presence of one making the other more likely.

Most Universities had separate career paths for their researchers and did not require them also to teach to obtain promotion, although they may have had more limited opportunities. Whether academics had to perform highly in both teaching

and research in a mainstream career track or could gain further seniority from only one, in parallel tracks, varied by institution.

The different treatment of teachers and researchers, however, did not (yet) correlate with higher institutional rankings in student satisfaction with their learning experience or with the institutional research ranking.

Chapter Ten

Findings

Chapter Ten

Findings

Introduction

What was the participant academic staffs perspective on following an academic career?

What representational career model(s) describe the career paths being utilised?

Describe the percentage of English pre-1992 Universities utilising the found models?

Correlations within the representational model(s) and with institutions research and teaching status

This Chapter drew on the analytical chapters which preceded it (Chapters Six, Seven, Eight and Nine) and set out the findings which were relevant to the research questions.

Chapter Ten: Findings

Introduction

This penultimate Chapter looked across the different research outputs in each of the previous data analysis Chapters (Six, Seven, Eight and Nine) and drew out the findings. These findings were then discussed in the next and concluding Chapter. This Chapter on findings re-visited the research questions given on page 81 in Chapter Three and sought to answer them, drawing on the data from the research.

The literature review (see Chapter Two) showed that new public management, massification and global competition had been changing higher education. Secondly, that academic work was changing in response to these wider influences. Academia itself was part of this social dynamic and could to some extent seek to shape itself. However, academia was fragmented along national, disciplinary and institutional lines and lacked a common definition. Where career systems were mainly internal to an organisational system and where promotions were based on individuals' contribution, elaborate career paths and job ladders were likely to exist. In higher education these systems of hierarchy were perceived to be influenced by gender, age, race, subject area and institutional status. The elements of academic work; research, teaching, entrepreneurship and administration were in a dynamic which caused some to claim they were complementary and others to say they were in competition. No empirical research seemed to have been conducted since the introduction of the National Framework Agreement to describe academic career pathways through representational models.

The analysis in this research thesis attempted to establish inter-relationships between the overall process of shaping academic careers and their impact on institutional performance using secondary data from the RAE and NSS and the information collected from pre-1992 universities by questionnaire.

Document analysis based on a sample of written promotions procedures (see Chapter Six) showed that each of the six case study institutions had very different formal academic career pathways in place. They differed in the academic hierarchy they had adopted and in the process of management of the promotions process through that hierarchy. Dating of the documents showed academic promotions procedures in pre-1992 English Universities were not stable but changing (page 164.) The formal written procedures varied in length and complexity between Higher Education Institutions (page 164.) The number of process steps involved in making academic promotions decisions varied from between two and six, although the use of panels or committees was common (page 165.) A considerable difference also existed in the time taken by different institutions to determine an application (page 167.) In the case study sample the variance was seen to be between 9 and 30 weeks from application to decision.

The information sought or obtained by Universities to make promotion decisions usually included candidate reports, academic references and a management report but in other respects they differed (page 168.) The criteria used to judge the application also differed from location to location (page 169.)

This set of results suggested that underneath apparently similar titling conventions, document analysis of academic promotion procedures, in selected United Kingdom pre-1992 universities, demonstrated a lack of commonality in promotion processes and criteria. Standards, processes and criteria for promotion seemed to differ by institution, along with those skills considered valid for promotion. This suggested that early career academics, to assess their promotion prospects, should become more knowledgeable about the particular practice in their chosen institution. An academic with a teaching-only orientation or bias may thrive in one HEI and not in another and likewise with research. Further, the sector (perhaps through the Higher Education Academy) or the profession (through the University and Colleges Union) should consider whether these found variances were a positive product of institutional diversity and competition or whether a single profession should (re-)assert common national standards. It may be attractive for institutions to say that their independent decisions in relation to academic careers were based in their local strategy, and so were a

localised attempt to improve relative performance in a market place. However, no correlation was found between career design choices and rank orders of research and teaching prestige as measured by league tables (page 231.)

What was the participant academic staffs perspective on following an academic career?

The academic interviews conducted (see Chapter Seven) suggested academics were creatures of their discipline (page 191), that they moved between institutions to build a career in that discipline and in doing so they were conscious of both their career rank and institutional seniority. This research, however, did not find that different career models ran concurrently in the same institution but rather that the formal procedures were consistently blind to individual academic disciplines (page 169.) The social reality on the ground was that academics felt that the disciplines were different and should be recognised as such (page 191), adding complexity to the idea that academic roles are adaptive and evolutionary. This internal complexity was not reflected in the formal institutionally based procedures.

Academics careers appeared, according to the interviewees, often to have insecure beginnings as they self-managed their progress through short-term or casual appointments (page 193) on to the career ladder (perhaps hindered by gender or ethnicity as described on pages 179 to 184) and aware of an implicit age to grade timetable they must meet (page 176.) There appeared to be some dissonance between the formal career structures in place in the institutions where the individuals worked and their perceptions of what should be valued. It was clear that individuals were responsible for their own career management (page 201.) Knowledge of the formal institutional procedures by the academic participants was inconsistent. Academics seemed to iterate their knowledge of the formal promotion criteria with peer advice and their view of the fairness of the process was informed by the combination of these inputs (pages 199 to 203.) The institution where the academics worked appeared to them not to own the responsibility for their talent management.

However, academics themselves had a strong career goal orientation towards achieving permanency first and then seniority (page 185.) In particular the title of Professor was reported as a strongly held career goal. The research appeared to suggest that peer recognition and professional esteem only became dominant goals once seniority had been achieved (page 187.) This striving for excellence was expressed as a furtherance of personal research goals and where teaching was raised it tended to be in relation to that research and the perceived value of each of the activities.

Formally age was not stated a factor in academic career models from an institutional perspective but biological age was used by academics to judge their own and others progress (page 176.) This seemed to have obvious difficulties for women and career changers (page 179.) Gender also factored as an important influencer in academics minds in the ability of individuals to progress towards seniority. Some considered that household and family responsibilities and success in an academic career were incompatible and a direct choice between them was required. Others perceived that the dominance of males or of a masculine culture was a contributing factor to the perceived disadvantage of women in achieving academic rank. Race issues were raised by the participants in the context of nationality rather than colour (page 183). Overseas applicants were assumed to be better than UK nationals, but once appointed in this country they were perceived to have difficulties getting a foothold on the academic career ladder and so may be perceived as being exploited.

This career construct, combined with greater accountability and workload, caused doubts about career choice in some (page 195.)

The figure below (Figure 24 on page 241) contrasted the national issues which came through the seen policy agenda (see Chapter One) and interviewees topics from the coding (see Chapter Seven.) It illustrated a disjuncture between the national human resources policy discourse and the social reality of academic staff as objects of that policy.

Dominant HR Related Discourse

National Policy	Academic Staff
<ul style="list-style-type: none"> • Pay • Bargaining Structures • Statutes and Tenure • HR Strategy • Competitiveness 	<ul style="list-style-type: none"> • Workload and accountability • Career planning • Disciplinary and institutional difference • Age, gender and ethnic disadvantage • Early career insecurity

Figure 24: National Policy and Academic Social Discourses Compared

This suggested the policy agenda at national and institutional level, if it was to be grounded in the concerns of academic staff in the English higher education sector, should be focussed less on pay and bargaining structures or revisions to terms but on better recognition of disciplinary and institutional divergence; age, race and gender diversity, career planning and increasing workloads. It may be useful to explore whether the academic Trades Union was mainly pre-occupied with national changes, so losing touch with or not reflecting the real concerns of its members. It may be there was an institutional level of analysis which, given proximity, better reflected staff priorities and should have greater dominance nationally. Further, it may be interesting to explore any differences in perceptions found in post-1992 Universities, in the United Kingdom principalities or internationally with the findings reported here. It was possible that UCEA and UCU, as national bodies, had entered into a dialogue on the structures and politics of bargaining the employment relationship, which was absorbing but disconnected from the grounded concerns of the institutions and academics they respectively served.

What representational career model(s) describe the career paths being utilised?

It was possible to answer the question, what representational career model(s) described the career paths being utilised for academic staff in English pre-1992 Universities. It was important to say in presenting these findings that it was not intended to create a series of archetypes which typified or classified the practice in the sector. The models found were descriptive of a found reality and so were each value free. These models were, therefore, not to be recommended to the sector, they were not intended to shape or mould practice but were a (hopefully accurate) reflection of what was found.

The interviews with the HR Directors (see Chapter Eight) initially produced four possible representational models which described the career paths designed for academic staff, from the six case study universities, which aided the production of the questionnaire. They were called, by the author (see page 211):

- Slippery Pole (Unitary, Exclusive and Linear)
- Ladder (Fragmented and Exclusive)
- Parallel Ladders (Inclusive and Segregated)
- Climbing Frame (Integrated, Fractionalised)

The questionnaire design then drew on the characteristics of these inductive models and permitted four category responses, independently in the case of both teachers and researchers, as follows:

- i) **Cannot** be promoted under the general criteria (or will only occasionally be promoted) as they do not meet the necessary criteria,
- ii) Have particular/**special** criteria set out alongside the standard criteria, but with more limited opportunities,
- iii) Have their own **separately** identifiable career track with criteria equal or equivalent in standard to other academics, allowing them to progress to similar grades but with separate titles,

iv) Have their own career track with appropriate criteria and can progress to higher grades and be similarly titled to others at the same grade (**integrated.**)

Analysis of the questionnaire responses, based on the characteristics of the inductive models above, suggested that nine, not four, models were in operation. Differential treatment of teachers and researchers within the same institution created the additional combinations. This showed the inductive models to be naïve, as they assumed similar treatment of teachers and researchers within each model, but the results affirmed the localisation and fractionalisation illustrated by the models.

The responses to questions 3 and 4 in the questionnaire (see Appendix II) came in the following nine combinations:

Model	Teaching Response	Research Response
1 Parallel Ladders	Separate	Separate
2	Integrated	Separate
3	Cannot	Separate
4 Ladder	Special	Special
5 Climbing Frame	Integrated	Integrated
6	Special	Separate
7 Slippery Pole	Cannot	Integrated
8	Special	Integrated
9	Separate	Special

Table 47 : Nine Academic Career Models and their usage by HEI's

The possible existence of different possible career tracks for teachers or researchers in the same institution created these additional combinations and made the initial four models naïve, as they assumed the treatment of teachers and researchers. The traditional 'slippery pole,' identified in the qualitative research, existed based on the questionnaire responses, as research-only staff could always progress and so were never excluded but teachers were usually excluded to some extent. McInnis asked, in an Australian context, whether institutions under

financial pressure would “devise new ways of balancing academic activities to maintain the traditional all-round profile of teaching, research and service or, alternatively, to formalise and promote old and new divides within the profession...” (McInnes 2000, p.117) It seemed clear from these findings that in England the fragmentation of roles was being differentially formalised in localised institutional settings.

Clearly, it was more difficult to pictorially illustrate or represent this greater array of choices being made in different institutions. In some cases, some channels were either blocked or not differentiated or were separated. It was easily possible, however, to agree with Baruch and Peiperl that Academies had “elaborate career paths and job ladders” (2003, p.1269).

The most common model, with seven respondents, was the one identified in the first phase of the research and named as ‘parallel ladders’ (see page 215.) The teaching and research responses to the questionnaire were both ‘separate.’ It allowed both teaching and research staff to equally progress but in separate channels. It suggested equal status but with each channel having its own separate criteria and titling. This could be pictorially represented, as shown in Figure 25 below. The titles given were illustrative rather than commonly used.

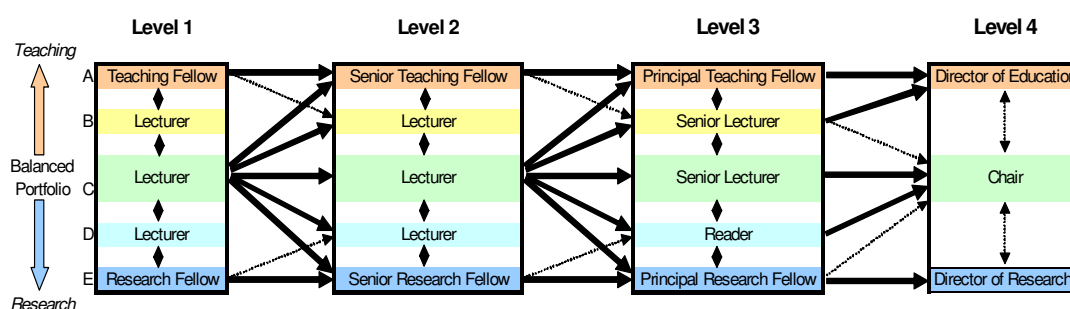


Figure 25: Academic career model with separated teaching grades and separated research grades.

The next most common model, with five respondents, had integrated teaching grades but separated research grades. This may have meant that teachers lost their particular identity, never had an identity of their own or were fully accepted

and integrated into the mainstream academic career. Researchers were separately identified and had their own career track, as shown in figure 26 below.

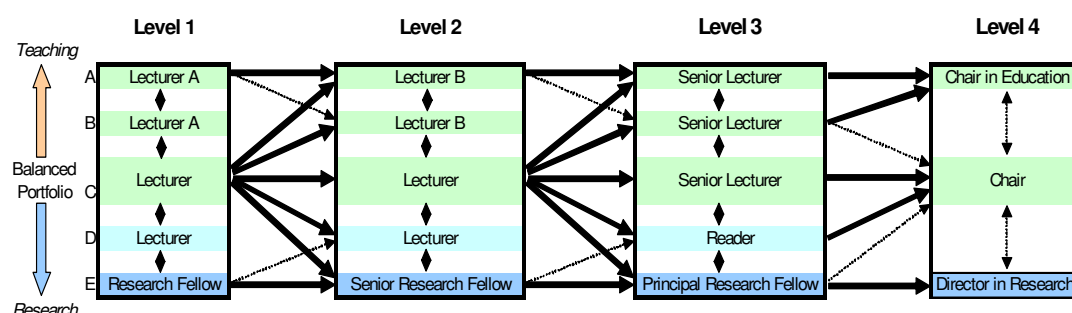


Figure 26: Academic career model with integrated teaching grades and separated research grades

The third most common model, with four responses, was quite different in character in that teaching staff could not be promoted as they did not meet the required research criteria. They were excluded from the formal career structure by this lack of recognition. Researchers were also segregated through separated grades, but they could progress to seniority in their own career path. This model is illustrated in figure 27 below.

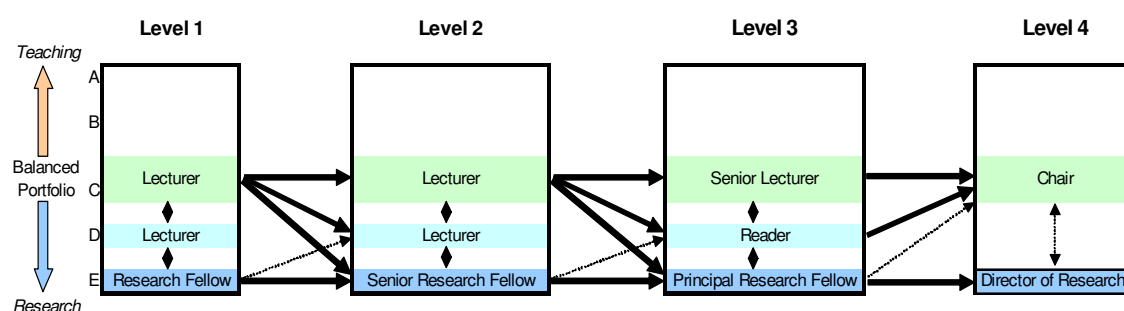


Figure 27: Academic career model with no teaching grades and separated research grades

The fourth model looked like a traditional career pyramid with a thick base which narrows to an apex. However, it achieved this shape by having special and limited the career progression of teachers and researchers compared to those mainstream academics with the idealised balanced portfolio. This partial

recognition of the existence of teachers and researchers only in the junior part of the formal career system was identified in the qualitative phase as the ‘ladder’ (see page 214.) This is shown in figure 28 below.

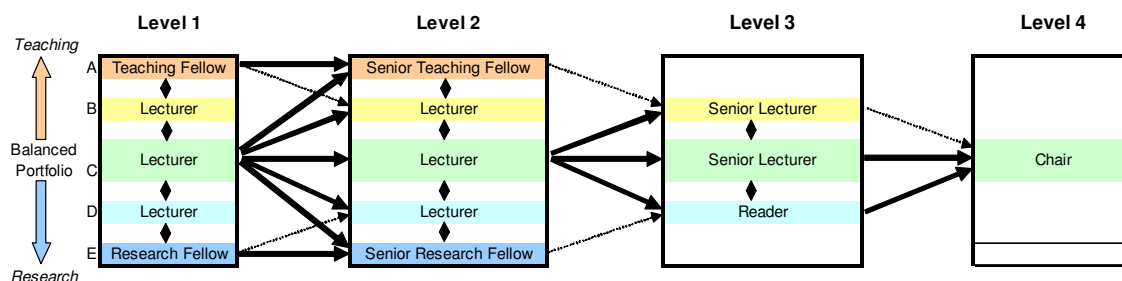


Figure 28: Academic career model with special limited teaching and research grades

Model five integrated the career progression of both teachers and researchers, failing to distinguish or differentiate between the particular types of academic or treating them as equal. In the qualitative stage this model was identified and called the ‘climbing frame’ (see page 216.) This is illustrated by figure 29 below.

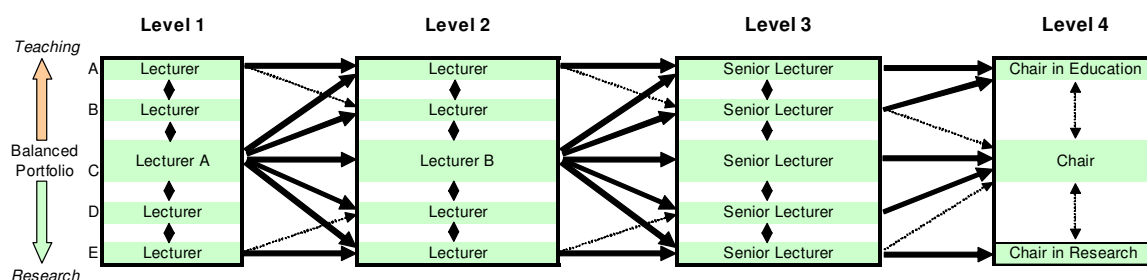


Figure 29: Career model which integrates both teaching and research grades

Model six demonstrated the new characteristic of having special and limited progression or limited recognition for teachers while maintaining a separated set of career grades for researchers which allowed their progression. It was similar to model three (seen in figure 27 above) in allowing researchers to separately

progress but here teachers had limited progression, rather than no recognition at all. Figure 30 below shows this pictorially.

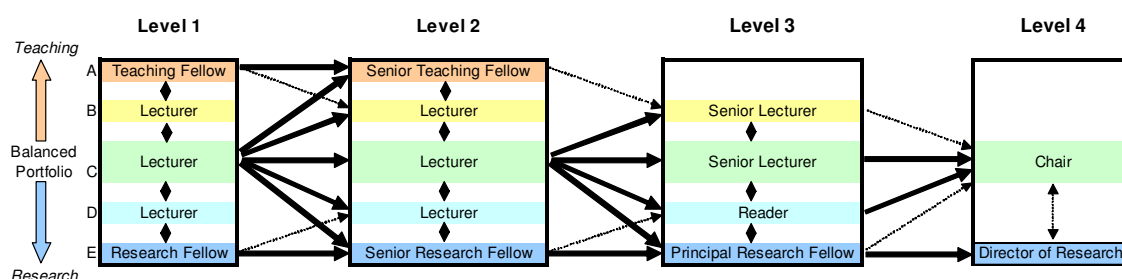


Figure 30: Academic career model with special limited progression for teachers and separated progression for researchers

Models seven, eight and nine only had one respondent each in the questionnaire responses but they are shown for completeness and because they are interesting as variants that did exist. Model seven in figure 31 below integrates the career progression of researchers, without giving them particular or separate recognition and does not allow teachers to progress because they do not meet the research criteria. In the qualitative stage this exclusion of teachers and researchers and a bias to research in the mainstream academic career was called the ‘slippery pole’ (see page 212) and was anticipated, wrongly, to be more common than the questionnaire results showed.

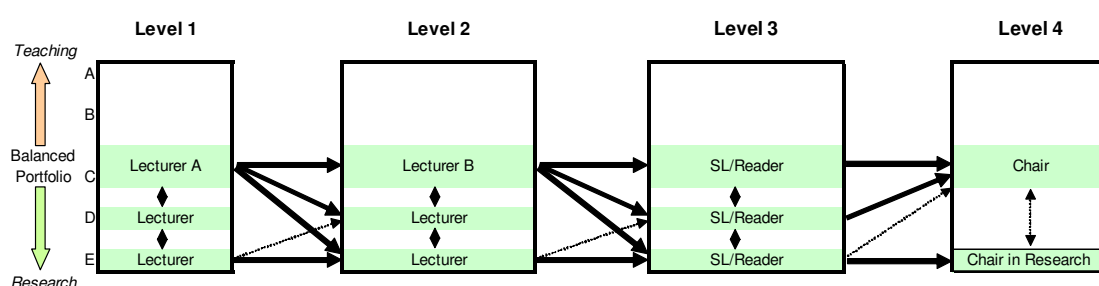


Figure 31: Academic career model with no teaching grades and integrated research grades

In the eighth example, in figure 32 below, a similarity could be seen with figure 31 above in integrating researchers but teachers this time are given limited special recognition.

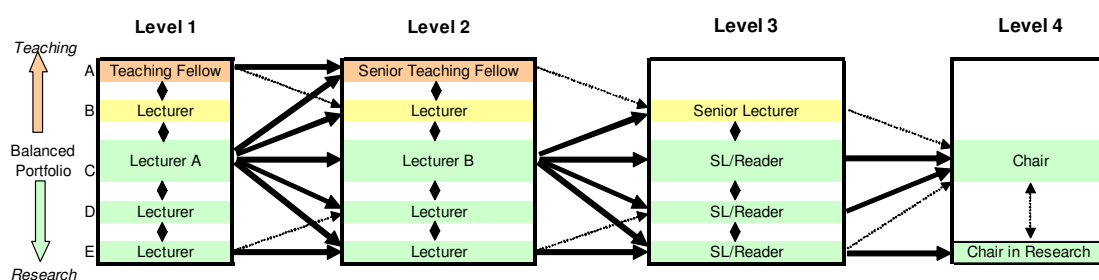


Figure 32: Academic career model with special limited teaching grades and integrated research grades

Finally, model nine shown in figure 33 below, limited progression for researchers with special criteria but allowed teachers to progress in their own separated career grades. It was the reverse response to the questionnaire to the answers given and used to create model six, shown in figure 30 above.

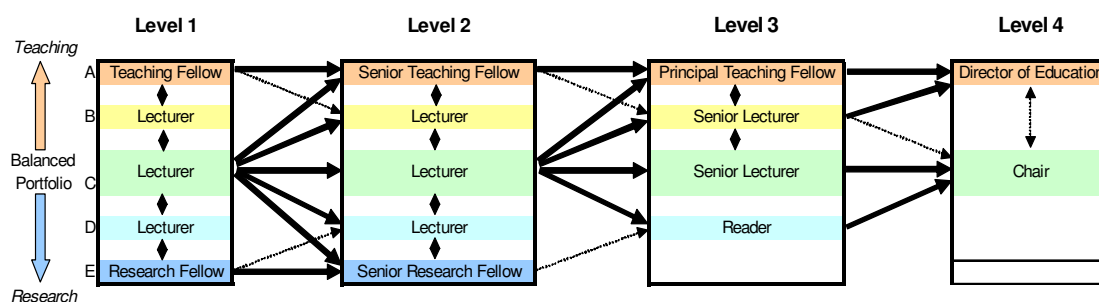


Figure 33: Academic career model with separated teaching grades and special limited research grades

What was striking about these representations was how different they were, how they would obviously have differing motivational impacts on those who worked within them and how academics transferring from one HEI to another could find what was valued and promoted in one place may not be valued and promoted in another to the betterment or detriment to their career prospects.

Describe the percentage of English pre-1992 Universities utilising the found models?

It was possible to identify the number of respondent English pre-1992 Universities utilising the found models, as in Table 48, as follows:

Number of Responses with the shown combination	Teaching Response to Question 3	Research Response to Question 4
7	Separate	Separate
5	Integrated	Separate
4	Cannot	Separate
3	Special	Special
3	Integrated	Integrated
2	Special	Separate
1	Cannot	Integrated
1	Special	Integrated
1	Separate	Special
N = 26		

Table 48: Number of English pre-1992 HEI's utilising found models

With a 60% response rate to a questionnaire sent to the whole population, the response offers a good representation of the population. No obvious systematic bias seemed to exist in the non-responses (see page 224.) In a small population of 26 one has to be slightly careful with using percentages. However, it is possible to express each category response as a percentage of the respondents, in Table 49, as below on page 250:

Percentage of responses by category (%)	Teaching Response	Research Response
27	Separate	Separate
19	Integrated	Separate
15	Cannot	Separate
11	Special	Special
11	Integrated	Integrated
8	Special	Separate
3	Cannot	Integrated
3	Special	Integrated
3	Separate	Special
N = 100		

Table 49: Percentage of English pre-1992 Universities utilising the found models

The amount of variation in the questionnaire responses, the variety of models and what that heterogeneity meant for the HE sector and academia was surprising and profound.

Correlations within the representational model(s) and with institutions research and teaching status

It was intended to seek correlations between the variables within the representational model(s) and with the institutions research and teaching status.

The HR Director interviews in the qualitative stage suggested that academic promotions procedures were made either through strategic construction or collegial construction. It was not seen from the HR Directors interviews that the strategic and collegial approaches co-existed in any one institution; with possible tensions between them internally, as each fought for primacy. It was hypothesised that:

- the choice of strategic or collegial construction had an impact on the resulting method of determination in particular cases (JE or Committee),

- the choice of construction method (strategic or collegial) influenced the career model chosen,
- the career model chosen had a positive relationship to the Universities research or teaching esteem.

The analyses revealed (see page 225) that most of the pre-1992 universities formulate promotion criteria for their academic staffs following a top-down, strategic, method (77.8%). The choice of formulation process, however, had no significant impact on the resultant model (see page 226.)

By far the most common means of determining particular applications was through academic committee and not by using job evaluation (see page 229.) Teachers would find that institutions were reasonably evenly distributed in preventing their promotion unless they were also researchers, having special criteria, having a separate or an integrated career path for them (page 230.)

The implementation process of the promotion criteria (committee or job evaluation) was not dependent on the formulation process (page 227.) The formulation process was significantly associated with the career track design choice for the researchers but not with that for teachers (page 228.) There was no systematic pattern of the even distribution of the career track types for teachers. The distribution was skewed towards separately identifiable career tracks for researchers (page 230.) The presence of separate career tracks for teachers and researchers were significantly associated with each other (page 231.)

Most Universities had separate career paths for their researchers and did not require them also to teach to obtain promotion, although they may have more limited opportunities (page 230.) Whether academics had to perform highly in both teaching and research in a mainstream career track or could gain further seniority from only one, in parallel tracks, varied by institution.

The different treatment of teachers and researchers, however, did not correlate with higher institutional rankings in student satisfaction with their learning experience or with the institutional research ranking (page 231.)

The lack of correlation between available academic career tracks and university ranking in the same activity requires an examination of the choice making process and its drivers.

Evaluation of the different existing career tracks for teachers and researchers and the formulation process and implementation of these career tracks is important to generate policies for further improvement of higher education.

This analysis does not support Parker's view (2008, p.250) that 'old' universities have failed to make progress in introducing teaching career paths. Rather this is limited (page 230.) Further, no significant relationship was found between the presence of teachers' career tracks and students' satisfaction (page 231.) No significant relationship was found between researchers' career tracks and research assessment (page 232.) The reasons for such insignificant relationships may be that the measures for students' satisfaction and research assessment were designed to observe the overall rank of the universities.

Chapter Eleven

Conclusions

Chapter Eleven

Conclusions

Introduction

Heterogeneity

Fractionalisation

Recommendations

Leads for future research

Self Critique

This final chapter draws on the findings, to discuss the issues raised and reflect on what recommendations emerge and where the research might go next.

Chapter Eleven: Conclusions

Introduction

This research project extended the theorising about academic careers and specifically how those careers might be structurally represented or described in a changed and changing field of higher education management. The presentation of descriptive, representational career models in this thesis came from empirical research. The models demonstrated the multiplicity and complexity faced by institutions and individuals in designing or in attempting to follow an academic career. This complexity comes as a result of fractionalisation and localisation in career design. This project also described the interface, where individual agency and organisational procedure met to create the problematic social reality for academic staff in institutions.

In presenting the findings set out above, the author's aim was to bring some clarity and objectivity to a changing dynamic. It was intended to allow questions to be asked about direction, purpose and end points. What was found to have been happening to academia was happening in an emergent and shifting way, hidden within each individual institution's found autonomy. By paying attention to, by shedding light on the personal story, the social reality, and the procedural changes it may have been possible to cause thought by those who have the social capital, the influence or agency, to change what was objectified here.

Interested parties in the results of this research might include HEFCE, VC's and HR Directors in Universities, the Trades Unions, early career academic staff, academics researching in the field of higher education and those representing particular stakeholders, such as the Equality Challenge Unit. This concluding Chapter contained the recommendations or comments addressed to these various stakeholders.

Heterogeneity

Little or no commonality existed between pre-1992 United Kingdom universities formal written academic promotion procedures, titling conventions or criteria. What one university meant by, for example, senior lecturer compared to another university could run no deeper than that choice of title. Such titles may well lack any further shared meaning in the internal procedure, definition and criteria used to achieve or award that rank in one place compared to another. A lecturer in modern languages in one university may sit next to another with the same title, say at a conference, and find they are from the same discipline as the neighbouring colleague, and assume some commonality of achievement, similar measures of success and similar testing of those outcomes. They would in all likelihood be mistaken, as it has been shown here that the career paths, the promotions procedures, the evidence collected, the criteria or expectations to be met, the outcomes measured, the process candidates follow are highly differentiated (see Chapter Six.)

Ruscio (1987) argued that in America the tasks, attitudes and behaviours of academics and their sense of professionalism were functions of the institutions to which they were attached. He accepted that the institution was not the sole determinant, that the discipline also exerted an influence, but gave causal primacy to the institution. Ruscio did not argue that each institution compete to subdue the others and until the academic became localised or cosmopolitan but suggested that as academics moved across the same discipline in many institutions, each would have its own culture as a product of place. In his research he therefore viewed the American academic profession as a creature of its organisational setting. This study asserted the same was now true in England.

This meant that as academics followed their career in more than one institution, that from their perspective at least the models were or could be competitive differentiators rather than mutually exclusive. Academics appeared to move between HEIs but they did not take the academic career pattern gene with them and so infect all HEIs with a common academic view. Instead ‘place’ asserted its

own procedures – which individual academics could not avoid and from which they had no immunity. Individuals could cross from one model to another, and depending on the institution in which they found themselves they may be advantaged or disadvantaged by the system in place. For example, a research led academic may be recognised and thrive in a university using a model similar to that shown in Figure 25 above (page 244) but do less well in a model like that shown in Figure 28 above (see page 246), where promotion prospects were more limited. Research into academic careers cannot rely on the easy assumptions that academics should “all be doing similar tasks in similar ways.” (Tierney 1999,p.52)

Enders identified these trends toward greater heterogenisation and decentralisation of academia, describing it as a “withdrawal from the former idea or philosophy of legal homogeneity between higher education institutions” (Enders 2000, p.13) McNay (1995) identified four simple, cultural institutional archetypes (based on a two axis grid described in the literature review) which recognised diversity and seemed to relate to these results. However, the number of career design variants identified meant that there was no easy relationship between the ‘academic’ or ‘collegial’ construction of promotion procedures, the ‘looseness’ or ‘tightness’ of the policy definition and the level of control exercised in implementation with the four institutional types identified by McNay. The institutional differences discovered seemed too wide in spectrum to readily box on two dimensions.

In some countries, notably on mainland Europe, the governments legislated to ensure that all universities complied with a single imposed definition of what an academic was and did. Differentiation and marketisation as systems features are not good or bad in themselves, but they do represent a choice which is having an impact.

Evaluation of the different existing career tracks for teachers and researchers, their formulation process and implementation of these career tracks was important to generate policies for further improvement of higher education. This analysis attempted to establish inter-relationships between the overall process of

shaping academic careers and their impact on institutional performance using the information collected from pre-1992 universities.

One possible conclusion from the qualitative data was that academia was evolving in response to the strategic, competitive or organisational needs of institutions to a new diversified form which was less exclusive and recognised different contributions and career routes. In particular, these changes seemed to provide for researchers, educationalists, entrepreneurs and academic administrators an opportunity to participate on equal terms with those following traditional careers. The academic profession had diversified 'into even smaller and more differentiated worlds than was previously the case' (Becher & Trowler 2001, p.17). This conclusion was attractive as it recognised the changes observed and viewed them as institutionally strategic and academically benign.

While this rhetoric of strategic alignment sounded, and perhaps was, convincing no quantitative relationship could be found between the identified career models chosen by each university and their place in teaching and research rank orders.

Fractionalisation

HR literature on work and job design offered a different perspective on the empirical findings illustrated above which was not so obviously attractive to those academic participants following the traditional career. Braverman (1974) argued that an inevitable tendency existed toward the degradation and deskilling of work as capitalists searched for profits in increasingly competitive environments. The obvious epitome of the fractionalisation and specialisation of work into its component parts, from what was a whole and skilled task, was the factory assembly line. Scientific management, or Taylorism (Taylor 1947) , sought to systematise work, designing jobs in their most basic and simple manner. Handy (1993, p. 275) described the 'micro-division' of labour, the fractionalising of jobs into their smallest elements, which meant un-skilled people could do them with little training, workers were less indispensable,

individuals could not dictate to management, training times were lower and standardisation of jobs meant better control. While the empirical models of academia found here did not reduce academic work to production line sized parts the rationalisation found may have had its roots in the same theoretical base.

Hales (1993, p.62) said:

‘Detailed division of labour entails basing jobs on individual task elements of a work process. Employees are, therefore, allocated specific tasks for which they are selected, recruited and trained.’

Once work was divided and allocated, say into teaching, research, academic administration and consultancy and so on, then it could then be co-ordinated and controlled and this principle of specification and control was embodied in centralised planning and control. A finding that the new forms of academic careers, which tended to fractionalise the academic role, came from managerial or top-down initiatives would have been in sympathy with this literature but was not found.

Hales(1993, p.71) said this process of ‘rationalisation in general, and scientific management in particular, were the practical and ideological instruments for the systematic destruction of craft organisation, through firstly, deskilling – the separation of conception from execution and the fragmentation of tasks – and secondly, concentration of control in the hands of managers.’

If what was observed was a broad and varied occupation being broken down into describable elements by managers then what this study observed was the start of the destruction, rather than the natural evolution, of the craft profession that was academia. The implementation of the Framework Agreement by HR Directors, as a tool to restructure academic careers, could be seen as one part of the ‘managerial assault’ on academia (Barry, Chandler, & Clark 2001, p.88). Robertson (2007, p.551) rather defensively raised ‘a caution in terms of the current trend towards compartmentalising academic work.’ She argued that ‘the intra-individual *coherence* in academic’ experiences of research, teaching,

learning and knowledge is a key to what makes higher education distinctive, and what makes academic work both satisfying and compelling.’

Kolsaker(2008, p. 518) suggested managerialism did not represent a serious threat to academia as ‘far from being taken in by the prospect of compliance and reward, the individual consciously determines to play along.’ This could be true if academics understood the career patterns that had been designed, could influence them and used them instrumentally to advance their own interests or for their own benefit.

Academic performance, despite its managerialist connotations, could be said to be important to individuals seeking to progress, to each institution, to academia as a profession and to England in seeking technological and knowledge based advantage. The incentives and possibilities provided by grading criteria for promotion influence academics work, as they seek recognition and seniority. HR Directors were changing the academic titles, pay scales, grade definitions and career structures for academic staff and in doing so were changing what it was to be an academic.

It may be that each of these career models and others were independently arrived at or it was possible they were staging posts in an evolutionary process. Institutional differences had become primary. As noted above what one institution meant and valued and measured by using the term Lecturer was not what was meant by another. What was not yet clear was whether these changes were positive and lasting and were good for the higher education endeavour in enabling a higher performing academic population.

Recommendations

HEFCE had a responsibility to ensure English Higher Education had a workforce framework for the future which best met the challenges the sector faced; as a funding body, regulator and policy maker. HEFCE had in part stimulated, whether intentionally or not, the found diversity through its R&DS initiative,

combined with the UCEA national framework agreement. The observed changes to academic staffing were localised institutional responses and changed the demand side of the workforce equation nationally. In setting a national framework for the HE workforce in England, HEFCE needed to be aware of and respond to the observed fractionalisation, diversification and marketisation of academic staffing. HEFCE had to decide whether it was in favour of this increased diversity as a source of competitiveness and mission alignment in the English academic labour market, or whether academics should be a common commodity traded at a fixed national price.

Vice Chancellors and others may be concerned that the specific institutional choice of academic career model did not presently seem to relate to institutions rank in the 2001 RAE or to the student experience reported in the NSS. It was possible these were the wrong measures or that chosen models were not aligned to the organisational strategy or that the HRM choices did not impact on institutional performance. Whatever the explanation the apparent lack of a correlation appeared troubling and warranted further attention.

Gender, race, ethnic origin and success in an academic career clearly remained highly problematic. The systemic cause of this disadvantage needed further examination to enable solutions to be found. It was possible that a move from the current dominant white, masculine hegemony would benefit minority or disadvantaged groups in providing a richer set of possible new opportunities. However, fractionalisation may also have impeded attempts to widen the talent pool (hindering disadvantaged or minority groups) as the complexity described could involve a loss of ability to monitor patterns of progress and so plan interventions and if the changes were seen as market driven then the market may continue to play to the advantaged majority.

Specifically, the Equality Challenge Unit (ECU) or Universities Personnel Association (UPA) needed to promote the measurement of progress against time in academic careers in elapsed working time rather than by the proxy of the biological age of the academic, as this practice disadvantaged women and late entrants. The highly differentiated procedures found suggested a place for

common minimum standards and encouragement towards best practice where found.

UCEA should review the national pay framework agreement in the light of found diversity in career structures, to adapt to and encompass the changes which have taken place since its adoption. This may involve a looser national framework, which allowed for recognition of a breadth of found practice but equally might involve some important agreed self regulation which preserved certain desired national staff characteristics, as some Russell Group Vice Chancellors had already sought (see Appendix I.)

University HR Directors and others involved in the design of academic promotion procedures and criteria may need to test their particular choices against their institutions strategy or market position given a present lack of correlation between universities relative strengths in teaching and research and the career model adopted. Further, given what academics said, it may be important to more explicitly take disciplinary differences into account in institutions formal arrangements, as this seemed to be widely recognised and accepted as a social reality. As the national policy discourse and what academic staff themselves wanted to talk about seemed to differ, the institution offered a possible bridge between this disconnect; listening to academic staffs concerns and trying to deal with them and influence the national agenda so that it better aligned with these concerns.

In addition, HR Directors themselves or through UPA could share best practice across universities over the range of possible career initiatives, including the paths offered, their impact on academic staff and in particular in relation to race, gender, career insecurity and disciplinarity.

Talent management and succession planning required consideration by HR Directors and their institutions; looking at the transition from PhD studies, post-doctoral positions and to the first step or rung of a career structure and toward seniority. Early career insecurity, self-management of career and good fortune

dominated the participant academics discourse and this could helpfully be replaced with a more structured approach to academic career planning.

Early career insecurity, increasing workload and a growing accountability burden were felt issues amongst academic staff but largely absent from national debate, which had been concerned with bargaining structures, pay bargaining and terms of service (tenure etc.) UCEA and UCU might use their partnership mode, out with their distributive bargaining relationship, to explore these issues.

Given academic staff were responsible for their own job moves, in attempting to self-build a career, it was important for early career academic staff to be more aware of the procedural, definitional and value differences between institutions in deciding where to follow their own career. In addition, as career structures were changing and at the institutional level, rather than being common and stable, this required a flexibility or adaptability which had implications for academic careers advice and skills.

The Higher Education Academy (HEA), the University and Colleges Union (UCU) or Universities UK (UUK) may want to consider whether such a high degree of localisation and diversification of academic career structures was a positive development, and if some new consensus or commonality was thought appropriate to propose this to the sector.

The Higher Education Statistics Agency (HESA) had a definition for academic staff and differentiated between researchers and teachers but otherwise it treated this group as homogenous when it clearly was not. This suggested that either a new taxonomy or coding structure may be required to accurately record the population and observe changes or those cross-institutional comparisons are to be abandoned as impossible.

Leads for future research

This study was narrow, looking only at permanent academic staff in English pre-1992 universities. It would be possible and potentially useful to extend the study to post-1992 universities, to include academic-related staff roles, to examine academic staff on non-standard contracts (casual and temporary), to look at the other countries in the United Kingdom or internationally. While six sites were visited and four initial models found, it was apparent from the survey that nine career models existed and so further case studies would be possible to empirically explore each of the models. The study was conducted at individual and institutional levels of analysis. Further work looking at Schools or Colleges within HEI's or at particular nation states may give new insights. Beyond this further and better understanding it may be possible to look at whether the models were driven by national or institutional characteristics or if certain models suggested higher levels of academic performance. It was not possible in this project to find convincing correlations between the career models and organisational performance or characteristics. However, those relationships may still exist to be found if the models were stimulated rationally rather than being the result of a random social and political process in each place. It may also be possible to look at the different attributes and experiences of academic staff within each model. Questions can be raised as to whether this surprising found diversity also existed in other HRM practices too; such as initial appointing procedures, probationary arrangements, and appraisal and so on. Finally, other industries employ professional knowledge workers and comparisons might be made across sectors.

Self Critique

Research into permanent academic staff in pre-1992 Universities can firstly be criticised for being too narrowly conceived. The project avoided complexities associated with atypical contract holders, the legacy of the old national contract still used in many post-1992 HEIs and non-academic, professional roles which begin to invade academe. Given the project had shown that the academic

profession had changed in its heartland it was, nevertheless, significant and while a broader study may have been interesting and more comprehensive the attempt to describe a bigger world may have detracted from the particular findings here.

While the qualitative research suggested possible correlations which may have provided explanations for the models found, in one place compared to another, the quantitative analysis did not support the hypotheses proposed. It was possible that further investigations may have produced the causal explanations sought, possibly not. It was important to test the possibilities and negative results remain interesting.

It was intended to allow for academic disciplinary differences to emerge in the Nvivo analysis by selecting and controlling for discipline in the case study interviews but this did not produce meaningful analysis. The academic staff interviewed said, as described, that discipline was important and this was explored as a coded narrative. The sample size limited the extent to which meaningful differentiated results could be found between the discipline groups in the sample. Controlling for discipline did mean the interviews crossed a representative spectrum of academic disciplinary types.

Appendices

Appendices

Appendix I: RG Paper - Academic Job Grades and Titles

Appendix II: Phase Two Survey Questionnaire

Appendix III: Data Analysis of Questionnaire (Cross Tabulations)

Appendix IV: Terms of Reference for the Independent Review of
Higher Education Pay and Conditions

Appendix V: Secondary Rank Order Data from NSS (2007) and RAE (2001)

Appendix I - Academic Job Grades and Titles

THE RUSSELL GROUP

Academic Job Grades and Titles

Preamble: This paper was first produced in February 2003 and was considered by the Russell Group meeting in Oxford in the April of that year. At that meeting, it was agreed that there was much of interest in this document but that it would be better to return to its considerations once member institutions had some experience of the local implementation of the Framework Agreement. It has been suggested that now would be an appropriate time for such further consideration and the paper was discussed again at the Russell Group meeting on 19 May 2005. The Vice-Chancellors recognised that much has changed since the Report was first presented but that nevertheless it would be very worthwhile to explore further whether there was scope for a general policy development in this area across the Russell Group. Therefore it was agreed to refer this matter to the Russell Group HR Directors for further appraisal. Following a very preliminary discussion on 25 May 2005, the HR Directors have agreed to give this matter further consideration at their meeting of Wednesday 27 July 2005.

- 1. The purpose of this paper is to discuss issues concerning academic job grades and titles in Russell Group institutions. It has been drawn up by a Sub-Group composed of Professor Stephen Bailey (Nottingham), the Registrars of Oxford and Bristol, and the Directors of Personnel of Cambridge, Newcastle and Southampton.**

National discussions are in progress concerning the development of new pay and grading arrangements for staff. HEIs generally are also currently faced with the need to undertake job evaluation across all staff groups to ensure compliance with legal requirements for equal pay for work of equal value for male and female employees. It is, accordingly, opportune for the Russell Group institutions, as with other HEIs, to consider the appropriate structure and titles for academic positions. It may be helpful to identify common features of the arrangements for academic positions that might be adopted by at least a subset of RG institutions as meeting the needs of research-intensive institutions, taking account of the desirability of the use of academic titles that are recognisable internationally.

- 2. There are a number of matters that can be argued to be worthy of attention; it will be for HEIs to take a view on the extent to which any of them are relevant to their circumstances:**
 - (i) The need to identify appropriate titles for those in academic posts equivalent to Professorial/AR6 positions who do not have an international reputation for research, but who make an equivalent contribution to the institution as managers or as leaders in learning and teaching. Some institutions provide for**

an additional alternative route to the title “Professor” to the normal requirement of an international research reputation. Others do not, and may find that an attempt to provide alternative criteria for promotion to a Chair would be highly controversial. Some institutions use the title “Director” as an academic title for such staff although this is not likely to be the appropriate description for all staff that might fall into (i) above. It also seems artificial for an institution to transfer an academic to an AR6 post when still undertaking essentially an academic role simply because he or she does not fulfil the criteria for the title “Professor”.

- (ii) The desirability of providing academic titles that can be understood abroad. In North America, the typical titles are Professor, Associate Professor and Assistant Professor. The title Lecturer tends to be used for relatively junior teaching posts. The title Senior Lecturer and Reader are not used or necessarily understood. (This point could be met simply by permitting Lecturers and Senior Lecturers and Readers to use the titles “Assistant Professor” and “Associate Professor” while abroad only; a similar issue arises in respect of Vice-Chancellors, who may, for example, be permitted to use the title “President” while abroad where that would make their role clear.)
- (iii) The desirability of avoiding the complications that arise because two titles “Senior Lecturer” and “Reader” attach (in most institutions that use both titles) to the same salary scale, while the latter title is widely regarded as more prestigious than the former. Some institutions indeed require (or normally require) a member of staff who is a Senior Lecturer to be promoted to Reader before being eligible (under the rules or by convention) for promotion to a Chair. Practice on this point varies.
- (iv) The need to determine how many significant promotional hurdles there should be in an academic career. Promotion from Lecturer A to Lecturer B is in practice a formality, leaving as the usual significant promotional steps those (1) from Lecturer to SL or R; (2) from SL to R; and (3) from SL or R to Professor. As already mentioned, practice varies as to the balance in institutions between expecting 3 promotional moves or 2 as the norm. The co-existence of both approaches may in any event be explained by differences from person to person in how academic careers develop.

The main argument for preferring a norm of 3 promotional stages to 2 seems to be the desirability of providing a further incentive to maintain high standards of performance given that standard

incremental progression within a grade will not in practice be denied except in circumstances that would justify disciplinary proceedings.

The arguments for preferring 2 to 3 as the norm include:

- The advantage of flexibility in helping retain high quality staff who might otherwise move to externally advertised posts elsewhere (although it seems to be increasingly the case, at some risk to the institution, for advertisement to be by-passed or merely a formality).
- The reduction in the total number of promotion applications (and attendant bureaucracy) to be dealt with by the institution.
- The likely reduction in future academic grade structures in the number of automatic incremental points and a concomitant increase in the number of discretionary points, requiring more regular appraisal of performance. (It should be noted that the stronger the link between pay and performance, the more resource-intensive the decision-making process likely to be needed).
- The desirability of modifying a culture within institutions that attaches high esteem only to individuals who undertake internationally rated research. While such individuals are rightly highly valued, other individuals with a different balance of skills, for example as excellent managers, can offer equivalent value to the institution and so are worthy of similar esteem. The point may become stronger with a move to deregulated fees; an institution's reputation for high quality teaching will become of greater commercial significance.
- Some reduction in an academic career of the stress that undoubtedly attaches to the promotion process, although stress may be caused by a range of factors, including lack of clarity in criteria and/or process.

3. In the light of the above, the following models would be worthy of consideration.

Model A

Professor
Associate Professor
Lecturer or Assistant Professor

Notes:

- (i) Under this model, there would be a range of alternative criteria for progression from L to Associate Professor and Associate Professor to P. They could be drafted with sufficient flexibility to enable the balance of contribution as among R, T and A (Administration; or service to the institution) to vary from case to case and a judgement made on the overall contribution to the institution. The same salary scale could (as at present) cover both the experienced all-rounder and the high-flying researcher but with one grade title.
- (ii) A variant of Model A would restrict the title “Professor” to those with international research reputations. Individuals promoted to the professorial-equivalent grade might be given the title “Director” (if they have some people and/or activity to direct) or simply retain the title of Associate Professor.
- (iii) One advantage of this model would be the end of the need to make a sharp distinction between SL and R. The loss of the “Reader” title in particular may be seen as a disadvantage given the public recognition of research excellence associated in UK academic circles with that title.

Model B

T	R
“Director” etc	Professor
Senior Lecturer	Reader
Lecturer	Lecturer

Notes:

- (i) This model fully preserves the distinctive research-led grade of Reader, if that is judged to be an advantage rather than a disadvantage. Staff wholly or mainly devoted to teaching and administration may resist a move that would formally separate them from researchers, and exclude them from the title “Professor”.
- (ii) It could retain the possibility of the SL → R move if that is thought desirable.

Model C

Professor
Associate Professor/Reader
Senior Lecturer
Lecturer

Notes:

- (i) This model would involve three promotional steps as the norm, and provide Readers with a higher salary range than Senior Lecturers.
- (ii) It would have the disadvantages of being more bureaucratic and less flexible than Models A and B and current practice, and possibly more difficult to fit with emerging thinking about the numbers of levels in job families.

Model D

Retention of the current mode, possibly with an extension of the criteria for the award of the title of “Professor”.

- 4. Further work may be helpful on an examination of practice in North America, including the criteria for progression from one level to another in academic grade structures and the processes adopted.
- 5. It is though unlikely that all Russell Group institutions would wish to move to a single model. However, if there were sufficient interest from a number of universities more work could be done to follow up one or more of the alternative models summarised above.

February 2003 (reissued 26 May 2005)

Appendix II – Phase Two Survey Questionnaire

English pre-1992 Universities Academic Career Pathways

Questionnaire to be completed by Human Resource Directors (or their nominees). Please tick only one box for each question.

1. The academic promotions criteria and procedures adopted by your University generally evolve through a process characterised as being **predominately**
 - a) Academic or ‘collegial’ and then later adopted by University management ☐
 - b) Strategic or top-down and then affirmed through consultation with the academic or collegial body ☐

2. The placement or promotion of individual academics after their appointment, affecting their status or seniority, is determined **predominately** by:
 - a) a job evaluation or grading process (HAY/HERA or similar) producing a recommended outcome, perhaps based on a role profile ☐
 - b) an academic committee who (with or without seeing the academic) make a recommendation, perhaps based on a CV and/or references ☐

3. Teachers who are not contractually required to be research active:
 - a) cannot be promoted under the general criteria (or will only occasionally be promoted) as they do not meet the necessary research criteria ☐
 - b) have particular/special promotion criteria set out alongside the standard academic criteria, but with more limited Opportunities ☐
 - c) have their own separately identifiable career track with criteria equivalent in standard to other academics enabling them to progress to similar grades (but with separate titles, eg., Director of Education, Senior Tutor) ☐

- d) have their own career track with appropriate criteria and
can progress to higher grades and be similarly titled to
others (eg as Professors) ☐
4. Researchers, who are not contractually required to teach (but may undertake some
limited teaching duties):
- a) Cannot be promoted (or will only occasionally be promoted) as they do
not meet the necessary education criteria. ☐
- b) Have particular/special promotion criteria set out alongside
the standard academic criteria, but with more limited
opportunities. ☐
- c) Have their own separately identifiable career track with
criteria equivalent in standard to other academics, enabling
them to progress to similar grades (but with separate titles, eg., Senior
Research Fellow, Director of Research) ☐
- d) Have their own career track, with appropriate criteria and
can progress to higher grades and be similar titled to
others (eg. as Senior Lecturers or Professors). ☐
5. Please provide the name of your University, this is for our use only and will not be used
in any publication

Thank you for taking the time to answer these questions

Please return in the SAE provided to:

A J Strike
HR Director
HR Dept
University of Southampton
Highfield
Southampton
Hants
SO17 1BJ

Appendix III – Data Analysis of Questionnaire Cross Tabulations

Promotion criteria and procedure adopted * Placement or promotion

Crosstab

			Placement or promotion		Total
			Job evaluation	Committee	
Promotion criteria and procedure adopted	Collegial	Count	0	6	6
		% within Promotion criteria and procedure adopted	.0%	100.0%	100.0%
		% within Placement or promotion	.0%	23.1%	22.2%
	Top-down	Count	1	20	21
		% within Promotion criteria and procedure adopted	4.8%	95.2%	100.0%
		% within Placement or promotion	100.0%	76.9%	77.8%
Total	Count	1	26	27	
	% within Promotion criteria and procedure adopted	3.7%	96.3%	100.0%	
	% within Placement or promotion	100.0%	100.0%	100.0%	

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.297 ^b	1	.586		
Continuity Correction ^a	.000	1	1.000		
Likelihood Ratio	.514	1	.474		
Fisher's Exact Test				1.000	.778
Linear-by-Linear Association	.286	1	.593		
N of Valid Cases	27				

a. Computed only for a 2x2 table

b. 2 cells (50.0%) have expected count less than 5. The minimum expected count is .22.

Promotion criteria and procedure adopted * Teach

Crosstab

			Teach				Total
			Cannot	Special	Separate	Integrated	
Promotion criteria and procedure adopted	Collegial	Count	1	2	1	2	6
		% within Promotion criteria and procedure adopted	16.7%	33.3%	16.7%	33.3%	100.0%
		% within Teach	20.0%	33.3%	12.5%	25.0%	22.2%
	Top-down	Count	4	4	7	6	21
		% within Promotion criteria and procedure adopted	19.0%	19.0%	33.3%	28.6%	100.0%
		% within Teach	80.0%	66.7%	87.5%	75.0%	77.8%
Total	Count	5	6	8	8	27	
	% within Promotion criteria and procedure adopted	18.5%	22.2%	29.6%	29.6%	100.0%	
	% within Teach	100.0%	100.0%	100.0%	100.0%	100.0%	

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	.916 ^a	3	.822
Likelihood Ratio	.936	3	.817
Linear-by-Linear Association	.009	1	.926
N of Valid Cases	27		

a. 6 cells (75.0%) have expected count less than 5. The minimum expected count is 1.11.

Promotion criteria and procedure adopted * Research

Crosstab

			Research			Total
			Special	Separately	Integrated	
Promotion criteria and procedure adopted	Collegial	Count	2	4	0	6
		% within Promotion criteria and procedure adopted	33.3%	66.7%	.0%	100.0%
		% within Research	50.0%	22.2%	.0%	22.2%
	Top-down	Count	2	14	5	21
		% within Promotion criteria and procedure adopted	9.5%	66.7%	23.8%	100.0%
		% within Research	50.0%	77.8%	100.0%	77.8%
Total	Count	4	18	5	27	
	% within Promotion criteria and procedure adopted	14.8%	66.7%	18.5%	100.0%	
	% within Research	100.0%	100.0%	100.0%	100.0%	

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	3.214 ^a	2	.200
Likelihood Ratio	3.990	2	.136
Linear-by-Linear Association	3.070	1	.080
N of Valid Cases	27		

a. 5 cells (83.3%) have expected count less than 5. The minimum expected count is .89.

Nonparametric Correlations

Correlations

			Promotion criteria and procedure adopted	Placement or promotion
Spearman's rho	Promotion criteria and procedure adopted	Correlation Coefficient	1.000	-.105
		Sig. (2-tailed)	.	.603
		N	27	27
	Placement or promotion	Correlation Coefficient	-.105	1.000
		Sig. (2-tailed)	.603	.
		N	27	27

Correlations

			Promotion criteria and procedure adopted	Teach
Spearman's rho	Promotion criteria and procedure adopted	Correlation Coefficient	1.000	.018
		Sig. (2-tailed)	.	.930
		N	27	27
	Teach	Correlation Coefficient	.018	1.000
		Sig. (2-tailed)	.930	.
		N	27	27

Correlations

			Promotion criteria and procedure adopted	Research
Spearman's rho	Promotion criteria and procedure adopted	Correlation Coefficient	1.000	.343
		Sig. (2-tailed)	.	.080
		N	27	27
	Research	Correlation Coefficient	.343	1.000
		Sig. (2-tailed)	.080	.
		N	27	27

Teach * Research Crosstabulation

			Research			Total
			Special	Separately	Integrated	
Teach	Cannot	Count	0	4	1	5
		% within Teach	.0%	80.0%	20.0%	100.0%
		% within Research	.0%	22.2%	20.0%	18.5%
	Special	Count	3	2	1	6
		% within Teach	50.0%	33.3%	16.7%	100.0%
		% within Research	75.0%	11.1%	20.0%	22.2%
	Separate	Count	1	7	0	8
		% within Teach	12.5%	87.5%	.0%	100.0%
		% within Research	25.0%	38.9%	.0%	29.6%
	Integrated	Count	0	5	3	8
		% within Teach	.0%	62.5%	37.5%	100.0%
		% within Research	.0%	27.8%	60.0%	29.6%
Total	Count	4	18	5	27	
	% within Teach	14.8%	66.7%	18.5%	100.0%	
	% within Research	100.0%	100.0%	100.0%	100.0%	

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	11.699 ^a	6	.069
Likelihood Ratio	12.983	6	.043
Linear-by-Linear Association	.997	1	.318
N of Valid Cases	27		

a. 10 cells (83.3%) have expected count less than 5. The minimum expected count is .74.

Nonparametric Correlations

Correlations

			Research	Teach
Spearman's rho	Research	Correlation Coefficient	1.000	.230
		Sig. (2-tailed)	.	.249
		N	27	27
	Teach	Correlation Coefficient	.230	1.000
		Sig. (2-tailed)	.249	.
		N	27	27

Appendix IV - Independent Review Committee of Higher Education Pay and Conditions

Terms of reference

In the light of the changes in higher education proposed in the National Committee of Inquiry's report, and the need to ensure the future wellbeing of higher education, to review and assess the options, and make recommendations for all staff in higher education on:

- the framework for negotiating pay and terms and conditions of service;
- whether pay levels, for all or any group, need adjustment;

With a view to achieving:

- new ways of working as outlined in the National Committee's report;
- a link between conditions of service and remuneration;
- arrangements which respect the autonomy and diversity of institutions and the need of each to ensure its own financial wellbeing and the quality of its provision;
- appropriate transitional arrangements.

Appendix V – Secondary Rank Order Data from NSS (2007) and RAE (2001)

University/Institution	Rank ¹		NSS ²	RAE ³
	2009	(2008)		
University of Oxford	1	2	4.04	6.5
University of Cambridge	2	1	4.15	6.6
London School of Economics and Political Science	3	4	3.82	6.4
Imperial College of Science, Technology and Medicine	4	3	3.66	6.4
University of Warwick	5	8	3.79	6.0
University of Durham	6	10	3.84	5.7
University College London	8	6	3.78	6.0
Lancaster University	10	19	3.89	5.8
University of York	11	14	3.83	5.8
University of Leicester	12	20	4.07	5.0
Loughborough University of Technology	13	11	4.07	5.1
University of Bath	14	9	3.78	5.7
King's College, London	15	17	3.75	5.5
University of Bristol	16	7	3.71	5.7
University of Nottingham	16	14	3.66	5.3
University of Exeter	19	17	4.05	5.2
University of Southampton	20	20	3.79	5.8
Royal Holloway	22	13	3.79	5.7
Aston University	23	12	3.83	5.0
University of Birmingham	24	31	3.77	5.3
University of Essex	25	34	3.83	5.6
University of Sheffield	26	25	3.78	5.5
University of Manchester	27	31	3.61	5.7
University of Newcastle	27	23	3.71	5.2
University of Sussex	29	26	3.65	5.5
University of Surrey	30	35	3.67	5.4
University of Leeds	32	37	3.68	5.3
University of East Anglia	33	20	3.97	5.4
University of Kent at Canterbury	35	36	3.93	4.8
University of Reading	38	29	3.82	5.3

¹ Rank is taken from the 24 April 2008 league table published in The Independent based on student satisfaction and research assessment.

² Student satisfaction is based on the average score of the first four sections of the National Student Survey 2007, measuring satisfaction with the learning experience.

³ Research Assessment is based on the RAE 2001. It is the average assessment score per member of staff.

Keele University	40	50	3.78	4.6
Brunel University	41	52	3.63	4.3
University of Liverpool	42	41	3.71	5.2
Queen Mary and Westfield College	43	39	3.78	5.0
Goldsmiths College	44	51	3.73	5.3
City University	46	48	3.65	4.4
University of Hull	48	39	3.89	4.3
University of Bradford	49	49	3.73	4.4
University of Salford	71	62	3.62	4.3
Birkbeck College **				
Cranfield University*				
The Open University**				

*Cranfield was a post-graduate institution and so did not have data, hence it was excluded from the analysis

**While the Open University and Birkbeck College did not have data their exclusion was not required as they did not respond to questionnaire

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