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**Motivating Continuing Professional Development: factors  
influencing university academic staff and the implications for  
management**

**Doctor of Education (EdD)**  
**2004**

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**Motivating Continuing Professional Development: factors influencing  
university academic staff and the implications for management**

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## Abstract

This is a study about a specific aspect of educational practice and the relationship between relevant theories and that practice. It focuses on educational management in higher education and, in particular, the management of continuing professional development (CPD) for academic staff. The research question that this study seeks to answer is 'what factors are influencing university academic staff to engage with CPD?' The study then goes on to determine the implications for managers of the research findings and makes recommendations to university managers that will enhance the motivation of staff to engage with CPD.

In pursuing this research, the study uses educational management concepts and models to explore how higher education institutions are managed, with particular reference to how the appraisal aspect of CPD is managed and how this might affect the motivation of academics to engage with CPD. It includes an examination of the external environment of higher education and attempts to explain where the pressures for change are coming from and how these pressures are influencing working practices in higher education institutions (HEIs). The concepts of CPD and motivation are analysed in this context, as well as the concept of the learning organisation and how this relates to CPD for higher education personnel. The management of CPD within HEIs is considered with particular reference to appraisal processes. In addressing these issues, qualitative data on the perceptions of CPD and how it is currently being managed have been gathered from academics and their line managers in three universities and analysed in relation to theoretical models of educational management.

Cultural tensions were found within universities in the areas of strategic implementation, performance management and 'middle' management development. These appear to derive primarily from two sources. The first is the conflict between senior management rationality and the collegial decision making approach favoured by academics. The second is related to academic autonomy and the issue of accommodating individual as well as institutional needs in development activities. The link connecting these two sources is the existence of conflict between individual and institutional

needs exemplified by appraisal processes in HE. Suggestions for organisational development to reduce conflict and resistance to change are given. However, there are other environmental factors, which need to be addressed by the wider academic community that will influence any development. One is a curriculum development issue centred on the acceptability by academics of professional development as a core higher level educational aim, and another is the current narrow focus of the Institute of Teaching and Learning (ILT) as a professional body for academics.

## Introduction

The motivation to undertake this research originated from my experience as a professional educational and staff developer for academic staff in higher education. There was a need to understand better why some academics were well motivated to engage with CPD activities whilst others erect barriers. Therefore the underlying reason for my enquiry was to illuminate factors that influence academic staff in this aspect of their work. The number of academics engaging in CPD with a positive attitude appeared to be relatively small and many seemed to have perceptions of staff development that differed from management policy. This situation presented difficulties for managers whose needs were to encourage staff to develop and change their professional practice in order to deliver a higher education curriculum suitable for the twenty first century. The tensions are exemplified by some managers who experience role conflict from their desire to retain their professional perceptions as academics whilst delivering a managerial agenda for their own, more senior, managers. These, and related, difficulties remain the practical concern underpinning this study and its conclusions provide recommendations on how managers can address them. The definitions of CPD explored in the literature identify skills or competence development as an essential aspect of the process. The concept encompasses principles such as systematic planning, breadth and depth of knowledge and skill, and lifelong learning commitment. The ILT is just one aspect of this wide remit for CPD and its attempt to introduce professional development for only teaching skills has met with resistance.

The study shows that external pressures from the government and funding agencies were forcing change in HE at a faster rate than the HEIs could accommodate. But becoming more efficient and more effective did not seem to address the motivational issues affecting academics and CPD. The influences appeared to be much more complicated involving management styles and culture changes and the imposition of the ILT. The following chapters attempt to unravel some of this complexity and explain how it is affecting academics and their managers. They include an examination of the external environment of HE, educational management, CPD and motivation concepts, and the concept of a learning organisation. Appraisal



as a tool for performance management and supporting CPD is explored, and academics and their line managers are consulted on their perceptions of aspects of CPD including its constituent activities and the influence of appraisals. An exploratory investigation was undertaken in an inner city university and the methodology used enabled qualitative data to be gathered from other universities chosen for their inner city locations. However, the findings are not generalisable; each university has its own working culture and there is no single answer for a way forward. Notwithstanding this, the concepts and data analysed in the following chapters explain how tensions and conflicts arise, and the study describes theoretical models that can be used to address the resulting difficulties. The final chapter gives specific recommendations for practice that university managers can reflect upon in the context of their own institutions' cultures.

## Chapter 1 Management concepts

In order to further our understanding of the environment influencing CPD for academic staff we need to examine more closely how management is delivered in our universities and, for this, we need some concepts and models. Models of management range from those that purport to explain why things happen as they do, for example, Cohen and March (1989) and Hoyle (1989a), to those that conceptualise management cultures and structures such as Bush (1989), Davies and Morgan (1989) and McNay (1995 and 2002). The extent to which motivation as an issue interacts with these concepts is addressed in this chapter as an indicator of the relevance of these models to this study. In subsequent chapters, literature on CPD and motivation as concepts are explored as well as that on the external university environment and the notion of a learning organisation.

There are many pressures on Higher Education (HE) management systems as they attempt to cope with internal changes resulting from the needs of a changing society. The precise nature of the external influences on HE is the topic of another chapter. The internal processes of the American university have been described by Cohen and March (1989) as 'organised anarchy', by which they mean an organisational setting exhibiting problematic goals, unclear technology and fluid participation (Cohen and March in Bush 1989:109). This kind of establishment appears to operate on a variety of inconsistent and ill-defined preferences. It does not understand its own processes and the participants vary amongst themselves in the amount of time and effort they devote to the organisation. Often the boundaries of this class of organisation appear to be uncertain and changing. This can be unsettling for academics and their line managers who may experience confusion when trying to understand why and how the organisation is making its decisions. The authors present a graphic model for making institutional choices. They describe the key to understanding the processes within such an organisation when it has to produce a decision, is to think of the event as a garbage can into which participants dump their various problems and solutions.

‘The mix of garbage in a single can depends partly on the labels attached to the alternative cans; but it also depends on what garbage is being produced at the moment, on the mix of cans available, and on the speed with which garbage is collected and removed from the scene.’

(Cohen and March in Bush 1989:111)

They list three different ways in which decisions are made within the garbage can process as; by oversight, when problems are attached to other choices and a decision is made without any attention to the problem; by flight, when problems become associated with new and different choices, thereby making it possible to make a decision about the original situation but solving no problems; and by resolution when decisions resolve problems after a length of time working on them. The latter may or may not be the familiar scenario of decision-making machinery in organisations. Reaching decisions may, of course, involve two or three ways in this model and problems, solutions and participants move from one decision making opportunity to another so that problems become resolved by flight or oversight rather than any decision making machinery. An example of an aspect of this concept of university management would be observed in any change management situation where issues that are judged to be of paramount importance initially may possibly turn out to be of little consequence as time passes. Some problems disappear and new issues emerge that were not thought relevant in the beginning, but which assume great importance by the end. This anarchic and seemingly uncontrolled model of management could well have a significant influence on both staff and management motivation. The planning stage may be excellent, starting off with a well-structured and feasible strategy. However this may quickly become unrealistic as the internal micro-politics kicks in.

Hoyle (1989a) identified and investigated the organisational underworld of micro-politics in schools where he found it an ‘almost taboo subject in serious or formal discussion’. Informally, he found that it was a favoured theme in organisational gossip and described variously as ‘hidden agendas’, ‘playing politics’, ‘Machiavellian-ism’ and ‘organisational mafias’. He found also that, although the existence of micro-politics is recognised, there

is often ambivalence about it as though managers do not want to admit that administrative processes are anything other than rational. Hoyle perceived micro-politics to be a set of strategies by which individuals and groups apply their authority and influence to further their interests, arguing that this could be construed as a simple definition of management. He described it as a continuum where one end is indistinguishable from conventional management procedures and the other constitutes a separate world of illegitimate, self-interested manipulation. However, he believed that micro-politics, as a dimension of management, is more likely to focus on interests rather than goals, coalitions rather than departments, influence rather than authority, and strategies rather than procedures. Exchange theory (Homans 1961) is quoted by Hoyle as an approach that has bearing on the study of this domain and is based on an exchange of resource between two people or agencies involving a cost and a reward for each. The extent of the relevant costs and rewards in this scenario would have an interaction with the issue of motivation.

Whilst conceding that micro-politics is not a well established field of enquiry and that Hoyle's study was undertaken in schools, some of the micro-political strategies identified by Hoyle can be applied in HEIs and managers need to be aware of them. Examples include dividing and ruling, where a senior manager avoids full meetings of staff and handles this aspect of communication on a less formal, individual or departmental basis. Controlling information through gatekeepers and controlling meetings by 'rigging' agendas, 'losing' recommendations and 'massaging' minutes are other tactics in this repertoire. However, these tactics can exacerbate already difficult situations and engender mistrust in management as staff, starved of information, struggle to understand the underpinning policies. Where managers have relatively few tangible rewards to offer their staff, exchange theory is probably the most relevant theoretical perspective on micro-politics, notwithstanding the fact that there may be an unequal distribution of bargaining power. The degree to which managers need to persuade or coerce their staff to deliver policy will affect the motivation and commitment of those staff to engage with the relevant activities.

Bennett (2001) proposed power as a dynamic linking structure and culture within an organisation. He argues that structures create a formalised set of relationships between the participants in an organisation and that power disparities present a major influence on the way that working relationships develop within a structured organisation. The culture is a construct made up of a range of expectations about what are proper and appropriate actions. He explained that this concept of power was not about conflict but exchange and, in this respect, it underpins Homans (ibid) exchange theory. Bennett (ibid) uses Hales (1993) definitions of power resources to identified four types available to an individual in an exchange:

Physical - the ability to use force;

Economic - providing or withholding essential needs;

Knowledge - either administrative or technical;

Normative – having access to scarce values and desired ideas.

The aim of using power resources is to generate staff compliance or commitment, and, as such, provides a motivating tool for managers to apply to their staff. However, not all applications of power would be acceptable in an educational organisation. For example, physical power does not have a legitimate status and, if applied, would result in a search for ‘countervailing power resources’ and an alienating compliance. Economic power, also, has contested legitimacy, although it is the one most closely associated with the functioning of formal structures as it rests on the ability to draw upon the formal resources of an organisation. Any compliance is instrumental and transient as it is acknowledged only whilst the resources are forthcoming. Knowledge power is, perhaps, more acceptable to academics as it resides with the individual and can be used to provide support to a colleague or act as a counterbalance to the outcomes of applying economic power.

According to Bennett (ibid), when knowledge power is applied it results in a cognitive compliance that tends towards a commitment. Normative power, if successfully applied, might result in the kind of motivation and commitment managers would wish from their staff. This type of power rests, also, with the individual and is exemplified by the person who is able to persuade colleagues on a course of action, for a commitment so produced would be a moral commitment. In terms of influencing staff motivation, an

organisation where knowledge and normative powers were predominant would tend towards a culture of agreed legitimacy in this respect.

But what kind of management models would enable this type of culture to develop? Bush (1989) examined four management models that exist in educational establishments and described them as collegial, political, bureaucratic and ambiguity. He argued that the models provide ways of conceptualising educational organisations and found that a collegial model is attractive to academics because it involves democratic processes and advocates staff participation in decision making. However, this does not necessarily mean that all staff agree with collegial decisions and are motivated to implement them. A later work referred specifically to collegial models in higher education and concluded that there is a dichotomy in universities between academic policy and resource management (Bush 1997). His definition of collegiality assumed that policy formation and decision making processes are based on discussion, consensus and power sharing. However, whilst the responsibility for policy lies with a collegial senate or academic board, resource management is the preserve of the vice-chancellor and heads of faculty who exhibit more formal or rationalistic management styles. As Bennett (*ibid*) has shown, this kind of economic power has a contested legitimacy, which, when exerted, will affect the motivation of staff to comply.

Baldrige et al (1978:33-44) have argued that collegiality cannot deal adequately with the problem of conflict and, although it relies on consensus, the model does not pay enough attention to the 'battles that precede consensus' and the fact that 'consensus actually represents the prevalence of one group over another' (Baldrige et al, 1978 quoted in Bush 1989:6). A political model recognises the central premise of conflict in educational decision making whilst acknowledging the prevalence of group input (Bush 1989:6). It is this model that underpins micropolitical strategies outlined by Hoyle (*ibid*) where staff motivation may result from individual trade-offs of costs and rewards (Homans *ibid*).

Bureaucratic models of management place the institution at the centre,

notwithstanding that the individuals comprising them will have subjective perceptions of their organisation (Greenfield 1989). Whilst bureaucracy assumes that institutions are predictable and with clear goals, an ambiguity model focuses on complexity and uncertainty (Bush 1989:7). Ambiguity is demonstrated by Cohen and March (ibid) in their 'organised anarchy' model of HE management. Whether organisational goals are certain, as in a bureaucratic model, or uncertain, in the case of ambiguity, they will influence the motivation of staff who work in them.

Davies and Morgan (1989) take these models further with a particular application to the ambiguity and politicisation existing in higher education. They suggest that the models can be viewed as sequential stages in the process of decision-making and policy formation starting with the ambiguity model (described as 'garbage can' model in their paper). The paper advocates an iterative process that moves from ambiguity and political models through collegiality to the bureaucratisation necessary for legitimate policy. Political and collegial phases, they argue, ensure that all stakeholders are involved and therefore contribute to the acceptability needed for successful implementation. However, external pressures on universities, which are examined in detail in a subsequent chapter, and the resulting inner tensions appear to be moving HE towards more ambiguity and confusion, not less. If this is the case, academics may become increasingly unsure about the implementation of policy and decisions, and the relevance of any associated CPD demanded of them.

Change by its nature is uncertain and unsettling for staff and managers. Although management is about policy, planning, structures and documents it is also about real people working towards real outcomes and facing real issues that have to be addressed in their way and in their time. However, senior managers frequently have the unenviable task of implementing strategies solely to make significant financial savings and this may call for radical changes in university structure and functioning that staff perceive to have a detrimental affect on the educational experience offered to students.

Hellawell and Hancock (2001) investigated the role of academic middle

managers in a post-1992 university. They interviewed fourteen to ascertain their views on the extent to which collegiality existed in the management process. In the past university faculties have enjoyed a good deal of autonomy in how they manage themselves. University goals were diffuse and there was some subjectivity in interpreting them. Faculties were (and still are) distinct entities with distinctive cultures that used collegial processes of discussion and consensus based on their perception of educational need. This concurs with the definition of collegiality used by Hellowell and Hancock (*ibid*) taken from Bush (1995:52) that states:

‘[Collegiality] assumes that organisations determine policy and make decisions through a process of discussion leading to consensus. Power is shared among some or all members of the organisation who are thought to have a mutual understanding about the objectives of the institution.’

Their interviewees perceived difficulties in collegial decision-making processes especially when trying to pursue new initiatives with staff who were resistant to change. From this, they could see why collegial processes were subverted or bypassed. Nonetheless they felt that collegiality was the most appropriate form of decision making in HE because it was important to ‘win the hearts and minds of staff in favour of the necessary changes if the university were to flourish’ (Hellowell and Hancock 2001:183). However, middle managers perceptions of their own senior managers were that they behaved in a way that seemed ‘more akin to organisational life within a power culture’ (Hellowell and Hancock 2001:183-4). Clearly, senior management behaviour has an effect on the way that middle managers who are line managers of academics manage their staff, and this will impact on the motivation and commitment of those academics.

The senior management behaviour described by Hellowell and Hancock (*ibid*) can be explained by the increasing external pressures on universities. In recent years, governments have sought to exert an increasing influence over how higher education resources are spent. The funding councils, for example the Higher Education Funding Council for England (HEFCE), have emerged as organisations with clear goals of financial control over, and increased productivity from, HEIs whilst retaining quality of delivery. HEIs



are required, increasingly, to be accountable for how they spend their allocated funds, much of which may be ring-fenced to meet the government's agenda. The only universities able to reduce this pressure are those with good research records and lucrative research contracts. But for the majority of universities this represents a significant shift in culture from being able to act relatively autonomously in the interests of furthering the pursuit of knowledge to being required to meet learner targets based on the country's economic need.

However, an implication of the management culture clash suggested by Hellowell and Hancock (ibid) could be that it is instrumental in contributing to a shift towards the 'organised anarchy' described by Cohen and March (ibid). Hellowell and Hancock maintain that, in this situation, middle managers are placed in a more vulnerable position than the academics they manage as they are increasingly expected to be resource managers and fund-raising entrepreneurs as well as academic leaders. Meanwhile, their senior managers may be embracing a power culture to deliver the corporate goals required by the Government of the day. An implication of this potential conflict for middle managers could be a shift towards more politicisation in management as exemplified by Bush (ibid) and Hoyle (ibid).

Hoyle (1989b) has examined, also, the effects of rationality on educational organisations and found them to be limiting, leading to an incipient organisational pathos.

'Organisational pathos is endemic because organisations are chronically incapable of achieving the goals which stakeholders and their own members set for them and because, except in relation to limited objectives or through the subjective sense of achievement of members, they are incapable of demonstrating their success in achieving these goals' (Hoyle 1989b:133)

He went on to say that issues can emerge and disappear again in ways that are far from predictable causing rationalistic approaches to be blown off course by contingent, unexpected and irrational influences. In this respect, rationality is likely to increase the politicisation of management, as defined by Bush (ibid), by setting up conflict between management goals and staff

performance targets. This theory concurs, as one might expect, with Hoyle's own theories on micro-politics (Hoyle 1989a, *ibid*) as well as with the garbage can model of organisational choice described by Cohen and March (*ibid*), and with their concept of 'organised anarchy' as

'. . . an organisation typified by unclear goals, poorly understood technology, and variable participation.'

(Weiner, in March and Olsen 1976, quoted in Hoyle 1989b:139)

However, this questioning of a rationalistic approach to management does raise difficulties for senior managers and the theories that are designed to guide them, as efforts to understand organisations can detract significantly from the task of running them. Nonetheless, an awareness of the negative influence of rationality on motivation, as exemplified by organisational pathos, does illuminate the limits of applying only the rationalistic approach in modern organisations. In the context of the management of CPD the negative effects of rationality will reduce the motivation of academics to engage in activities that do not appear to support their individual educational agendas.

In relation to staff motivation, rationality in education management may be unacceptable because it has also been questioned in the more specific area of curriculum planning. Academics are experienced planners as one of their core skills is the ability to plan a curriculum, and they are able to apply this skill to varying sizes of tasks from single units of study or modules to complete degrees. In curriculum planning a rational approach would be an objectives-based one such as the classic model put forward by Tyler (1949), which gives rise to a linear chain of objectives-content-organisation-evaluation (The Open University 1995:34). This has been developed since into a continuous cyclical format with the evaluation feeding back into planning by modifying the objectives and, as such, is a popular and powerful model for introducing curriculum change. However, these strategic, objectives based models can be criticised for their mechanistic approaches which may be too specific in the narrowness of their precise and quantifiable learning outcomes.

Those who object suggest a broader process approach based on interactive perspectives that stress teaching and learning styles and the learning

experience. This approach is supported by the Hargreaves Report (1984) which found that individual achievement in non-traditional areas such as problem solving, personal development and motivation and commitment should be encouraged and valued (The Open University 1995:35). These key findings have gradually been absorbed into curriculum planning across all education sectors in the form of transferable or core skills and provide a model of development and change that may be applied not only to all sectors of education, but also to education management.

Fullan (1989) argued against a narrow rationalist model, describing it as 'brute sanity' and advocating that it should be avoided and replaced by interactive subjective approaches. Any change situation involves content or knowledge *and* process or systems. Both elements must be present and integrated for a change management project to be successful. But Fullan (ibid) stressed that change is a learning process for everyone concerned and the implication for management here, therefore, is that some knowledge of adult learning models is essential (Fullan 1989:146-7). Concepts of adult learning is an area that will be addressed in later chapters on continuing professional development (CPD) and the 'learning organisation'.

However, in the context of educational management, Fullan recommended that senior managers address three main issues in the implementation of change. These are staff development, leadership role of the Head and feasibility of implementation plans. He justified these themes by arguing that a structured staff development programme, including all the stakeholders, would help to loosen the mindsets of those who may be resisting the development, whilst a strong lead would orchestrate the various stakeholders towards a common goal. However, in an earlier paper Fullan warned against the danger of relying on the relationship between having a plan and achieving success (Fullan 1986). Instead, he advised that a preferred course of action is to

'. . . develop modest implementation plans, try them out,  
build on them and, in effect, develop our planning  
capacities as we go along.' (Fullan 1986:325)

In other words the actions of planning are probably more important than the outcome plan as the degree to which implementation can be successful

depends significantly on the prevailing organisational context and culture and vice versa, so that, as the culture develops, so will the planning capacity.

Nonetheless, many HEIs have followed the examples set by industrial organisations in becoming more strategic about how they managed themselves and applied commercial strategic management models to their institutions. Profit-making organisations have to be sensitive to external pressures in order to adjust to them and survive. The nature of external pressures on HE is examined more closely in the next chapter. However, the need for rapid internal development in the context of uncertainty and change in the external environment has probably led to an increase in the application of systematic approaches to management in order to respond most effectively. In this context, as Fullan (*ibid*) has pointed out, change management strategies need to be seen to be achievable by all members of the organisation. This is especially relevant to the management of CPD as it is a crucial element of successful change management. Other texts have identified factors involved in the workability of strategy. Homans (1961) and Hoyle (1989a) acknowledge the importance of a costs and rewards exchange theory in delivering strategy and Bennett (20001) identifies the necessity of legitimate applications of power. Hoyle (1989b) implies that organisational pathos will result from the application of rationality in educational organisations. Strategic management texts such as the Open University MBA module (The Open University 1995) and Johnson and Scholes (1993:244-248) recommend attention to 'soft' management issues, for example, people management, change processes and stakeholder expectations. These theories support Fullan's premise that, for a successful change management strategy, feasibility of implementation must be addressed by senior managers.

Other issues identified by Fullan are staff development and leadership and both are supported by scholars who focus on higher education specifically. Brew (1995) acknowledged that staff development is an essential tool for institutional change and that, if strategic plans are to be achieved, development must be geared towards particular priorities and targets. However, she concedes that the interrelationship between the individual's

development and the institution's development is complex, and effective professional development must rely on the willingness of staff to engage in it.

Middlehurst (1995) outlined the present state of staff development in HE for those who are heading for, or who have already reached, senior management positions in universities. She examined models and approaches in other sectors and in HE in different countries and suggested that heads of institutions should provide a model for development both by being themselves engaged in it and also by setting up structures and systems wherein development can take place in all areas. Staff development, Middlehurst argued, can assist Vice-Chancellors and Pro-Vice-Chancellors in shaping the very environment that can support or encourage individuals in the institution to undergo training or development and the particular forms this might take. Thus, the professional development of senior managers in universities can be crucial in addressing the issue of balancing institutional and individual development.

Davies (1995) considered the nature and variety of staff development that was available for heads of academic departments and explored the relationship of this to the staff development work of the people they managed. He raised the question of why training heads of department is now a crucial issue and pointed out the problem of transferring learning to the workplace when training is undertaken away from it, in formal courses organised elsewhere. Davies concluded that there is clearly a role for such activities in raising general awareness and for sharing ideas and experiences. But, he suggested, heads of departments need to be actively involved in designing their own learning programmes, and for this to be grounded in the day-to-day problems that they experience.

The theories of Middlehurst (ibid) and Davies (ibid) support Brew (ibid) in the importance of staff development in HE and also, crucially, identify associated and relevant management development as important aspects of the process. Equally, the leadership of staff will have a critical effect on their performance. Morgan (1989a) in *Sharing the Vision* described the leadership process as

'... the development of shared values, shared direction and shared responsibility for the future of the organisation...'

(Morgan 1989a in Riches & Morgan:73)

The human resources of a university are its most expensive item of expenditure, and most valuable to its mission. Higher Education must have good teachers to deliver a good quality education to its students. Morgan (1989b) stated in *Empowering Human Resources* that people are a key resource. He concluded

'We have been through a phase of 'macho management' in which a highly analytical, directive, 'top-down' approach has dominated. Now we seem to be moving into a phase where more empathic, relationship-oriented approaches, based on cooperation rather than competition, are often more appropriate.'

(Morgan 1989b in Riches & Morgan:37)

However, these visions and missions cannot simply happen without addressing the significant issue of culture in our universities. McNay (1995) examined the manifestations of various cultures existing in HE institutions. He summarised the traditional collegial culture of university life as characterised by a 'servant style leadership that has a background of consensual activity'. He argued that these characteristics are manifested in the traditional university management style where policy control and definition, and the control of its implementation, are weak and autonomy is highly valued amongst its workforce. Duignan (1989) believed management is an activity that is part of the cultural dynamic of an organisation, and management and leadership functions are 'inextricably intertwined'. Perhaps this is why the collegial academy, based as it was on a shared vision and supportive culture, continues to be acceptable to academics as a suitable model.

McNay (ibid) described the traditional collegial academy as a 'truly golden age'. Academic freedom 'reigned supreme', and it is unlikely that universities can return to 'those halcyon days' for, as the next chapter will show, they need to earn their keep in an competitive international market. He explained that, in the 1990s when resources were reduced and increased

productivity was demanded, accountability became the order of the day. A more bureaucratic style emerged that was characterised by a more controlling style of leadership, and exemplified by formal and rule-governed practices. Leadership function from managers was to represent managers more senior in the hierarchy. This style of management, McNay maintained, appeared in the 'younger' establishments, less experienced in university processes. In these organisations policy control remained loose but control of implementation was extremely tight. Management appeared to take its lead from successful business and some 'younger' universities were run more as corporate institutions than educational ones.

A corporate culture emerged in some of these HEIs, where policy control as well as implementation was tight, resulting in a culture characterised by planning and crisis-handling leadership. In these cases, authority and control were derived from 'mission-congruence' and political connections, and the leader's task was to represent the Chief Executive Officer of the organisation. In this type of culture leadership and management are learned through training. However, McNay pointed out, there could be some enlightened leaders who, whilst maintaining a strong grip on policy definition and control, might loosen the control on implementation to allow a more entrepreneurial culture to emerge. He defined an enterprise culture as characterised by an entrepreneurial and adaptive leadership exemplified by guidance, articulation of vision and support for task achievement. In this scenario, authority and control are derived from successful performance and the leader's role is to represent their clients, customers and staff. In this cultural model, leadership and management are considered professional skills learned through education and reflection on experience.

An enterprise culture is a concept that has been slow to be absorbed by HE in the context of its own institutional processes. It would, however, represent a new approach to managing HEIs. McNay (2002) conceded that there was ambivalence about the concept of enterprise in universities, but concluded that it was essential to their development as organisations. He argued for a moving on from the 'reductionist regime of economy, efficiency, effectiveness' towards a culture of 'excellence, equity and enterprise' if academic institutions are to survive for 'another 800 years'.

However, if academics are to assimilate a concept of enterprise as a work ethic that doesn't present a risk to excellence, then the concept needs to be broad encompassing creativity, initiative, flexibility and responsiveness. Sporn (1999) identified enterprise in a broad sense as a factor that enhances adaptation by universities, along with other factors such as supportive leadership, professional management and collegial governance, all of which have been addressed in this chapter as significant issues concerning the management of HEIs.

It is impossible to design a single management blueprint for all university organisations, and institutions will address strategic management in their own ways depending on their current missions. However, according to Ramsden (1998), heads of departments in several universities have identified the enterprise culture as an increasingly important quality of university organisation for the future. Ramsden concluded his book with a plea to dispense with the 'either-or' illusions of providing answers or solutions to current problems. The current task of academic leadership, he argued, is to amalgamate rather than polarise in all areas of the organisation. He quoted some examples of polarities that needed to be addressed as innovation and tradition, excellence and access, business enterprise and professional autonomy, and management and leadership. Ramsden argued that managers need to be leaders, and that leadership and learning are inseparable in universities. Managers need to develop their leadership skills and change from being reactive or bureaucratic to being co-operative, from being domineering to firm and supportive, and from managing dichotomies to producing creative symmetry. This approach is compatible with the findings of Hellowell and Hancock (ibid) that there is a place for the processes of collegiality in twenty-first century HEIs.

To summarise, the pace at which change is occurring in our universities has caused the traditional prevailing culture of collegiality in universities to be eroded by the influx of a new 'managerialism' based on rationality and application of power derived from commercial organisations. This has resulted in an increased ambivalence and 'politicisation' of the decision making processes within HEIs that has had a negative effect on staff motivation, exemplified by a lack of trust in management, and



organisational pathos. Change is a learning process where staff development, leadership and acceptability of organisational strategy are crucial to success. Work based management development is an essential aspect of successful change, as is the prevailing organisational culture. Collegiality remains appropriate but it fails to respond satisfactorily to conflict and resistance to change. An enterprise culture exemplified by adaptive leadership, support for tasks and professional management development is considered to be increasingly important for twenty first century universities and may provide a way forward. The concepts identified in this chapter serve to reinforce the complexity of management activities in educational establishments today. They help in the analysis of what is happening and how this might affect the motivation of academics to undertake CPD and to respond to change. They illuminate, also, the difficulties for line managers in the task of managing academics in a rapidly changing environment. For those line managers, in turn, need to implement strategy devised by their managers who are often part of the university's senior management. Senior managers are charged with the responsibility of maintaining the survival and individual identity of their institution. For this they must constantly monitor all the external influences of the environment and respond in the best interests of the university. This may not be in accord with the thoughts and feelings of their more junior managers or the academics delivering the learning. Therefore, an aspect of this study is to explore the nature of these external influences to develop further an understanding of the pressures on senior managers that are affecting the strategies they are asking their more junior managers and academics to deliver. The next chapter will attempt to do this.

## Chapter 2 External environment

The university's response to its turbulent environment cannot be a simple one. As Levin (1995) pointed out, in understanding what is happening we need to think in terms of a complex interplay between the university's environment, its features as an organisation and the specifics of a given time place and group of people. He advised that we analyse exactly what we understand by the 'environment' and give some attention to the processes that determine which aspects require a response and which are considered unimportant. He also recommended that we study the ways in which our systems respond to pressure and change, especially in the way we use our administrators. This means that 'responsiveness' as a process will be part of the university culture both in the way it is delivered and the outcomes it intends to achieve. In other words, each institution will be individualistic in its response because each has its own individual culture.

The way in which this individualism is shaped has been explored by Bolman and Deal (1989) who stated that technology and environment are the two most powerful factors which influence how an organisation is structured. In this instance, technology may be interpreted as 'the way we do things here', how this is influenced by the environment and how the organisation responds to it. Hoy and Miskel (1989) were concerned that environmental uncertainty and resource dependency threaten organisational autonomy and effectiveness and that administrators try to minimise external effects on internal operations by producing various coping strategies to manage these boundaries. They recommended an open systems approach which buffers the technical core of an educational establishment and has a contingency approach to organisational design by establishing links and spanning boundaries.

This chapter will examine the external pressures that are currently influencing internal strategies in higher education institutions. It will explore and attempt to analyse the operating environment of higher education and survey management models for their relevance to this context. As I have argued in chapter 1, management models applied to HEIs cannot be considered in isolation of external factors. The process of

exploring the wider picture of HE and how environmental factors are influencing the way universities are developing in terms of management styles and staff perceptions will help to understand the stresses and strains of the HE sector as a whole and of individual institutions. Higher Education Institutions are accountable to society through the auspices of the Higher Education Funding Councils and must consider their outputs and markets, income and expenditure in the same way as any other company. In this respect they work in a business operating environment that is specific to the HE sector in the same way that other businesses have sector specific influences.

The environment in which a university operates will impact on the development of its corporate strategy. Although concepts and techniques of corporate strategy have developed mainly in commercial enterprises, many are just as important in public sector organisations such as universities. Johnson and Scholes (1993:28) identified examples of what the focus of attention should be in considering strategic developments in those organisations. He found that the external political situation was a key issue in this debate influencing not only university corporate strategy but also the internal political environment of the institution. Also, although a monopoly situation tended to add strength to a commercial organisation's competitive position, in the case of universities it was restricted to control of their awards and qualifications and did not include the delivery of learning to achieve them. Therefore, the notion of competition was different and involved resource inputs and value for money as important factors.

This, again, is a key issue for HE for as well as constantly striving for maximum efficiency and effectiveness, many institutions are pushed into a position of competing for limited government resources. These are frequently flagged for spending in directions that support the current government's political agenda and only universities with good research incomes, independent of government influence can avoid this special kind of internal sector competition. The 'criterion of acceptability' for implementation of change was demonstrated as a key management concept in the last chapter. By definition, academics and their immediate line managers are experts in their chosen arenas. They also have unique

experience of the nature of higher education as this has usually been the route to their success. This expertise has contributed to their well developed opinions and strong views of what constitutes a good HE experience and how that should be supported by society. However, in the face of a rapid increase in the pace of change in the external environment of HEIs there is a pressing need for their senior managers to question the reliability of 'accepted wisdom' that may prevent recognition of important external trends (The Open University 1993:125-6).

Ansoff (1968) advised that organisations cannot assume perpetuity of demand for their outputs. He concluded that there was an ongoing necessity for environmental appraisal and that senior managers should conduct regular reviews of 'product market strategy'. This raises the question of what should be analysed in the case of HE. Bowman and Asch (1987:71) identified the process of analysis as the most beneficial aspect. They also stated that predictions could be as useful for identifying what will not happen as forecasting what will. Nonetheless, analysing the operating environment of HE is a complex task and the challenge is to make sense of that complexity so that the key variables affecting performance can be understood. Therefore an investigation of the generic HE operating environment would be useful to throw light on the external factors affecting all HE institutions to a greater or lesser extent. Kotler (1980:95) defined a business operating environment as 'the totality of forces and institutions that are external and potentially relevant to the firm', and classifies it into four areas of task, competition, public and macro. These equate generally to the technological, economic, political and societal factors found in the STEP model of environmental analysis (The Open University 1993:122). STEP is an acronym for Socio-cultural, Technological, Economic and Political factors and gives a framework of the questions to ask. An application of this model to HE may yield information relevant to understanding the external pressures on HEIs.

From the socio-cultural aspect, considerations such as population demographics, income distribution, social mobility, life style changes and attitudes to work and leisure indicate a turbulent climate in the HE sector. For example, we have an ageing population with fewer eighteen-year-olds

to provide the traditional market for HE to fill its full time places. Being an HE student however remains a predominantly middle class occupation as the lower socio-economic groups in society are neither culturally nor physically mobile and therefore less able to take advantage of the increased opportunities made available over the last ten years (Utley 2001).

In addition there have been considerable changes in life styles over the past two or three decades arising from an increase in the number of working women and early retirees, both with spending power, and more single person households and single parent families. These factors affect social support systems like the nuclear family and the way people use their time, so that attitudes to work and leisure change. The working person now thinks in terms of a 'portfolio career' rather than a job for life with a single company. Many work part time and how they use the resulting extra time on their hands depends on their perceived values of education and leisure. The overall effect indicates an increased number of people available for HE, but not from the traditional HE markets of eighteen-year-olds with 'A' levels (Canovan 2001). These socio-cultural developments impact on those who work in HE as well as those who study there and will affect how academics see their careers and associated CPD within the wider picture of their personal lives.

On the technological front the rate of change is fast. New technology is being developed all the time and there is a healthy climate for invention but conversely a high rate of obsolescence as new invention becomes superseded by even newer. The speed of technology transfer is relatively slow. It takes several years for new research to enter the general HE teaching curriculum and although there is strong government focus on technology most of the money to support university research in this area comes from private sources. This time lag is critical when considered against the rapid changes occurring in the commercial world and in society, and CPD for academics needs to be managed in this context. We now live in a knowledge economy and there are increasing demands for knowledge transfer. Rowley (2000) has raised the question of whether HE is ready for knowledge management, an issue addressed later in this chapter, for the demands of a knowledge economy coupled with technological

advancements have had an influence on two aspects of HE life. There is now a greater emphasis on the research focus of academic faculties, and significant opportunities to change the way HE can be delivered using the new technology. Such influence has the potential to skew the emphasis of faculty and change the nature of academic work resulting in a significant impact on the nature of CPD needed for academics and hence how it is managed.

Economic factors have combined with the above to reinforce the importance of the role of research in HE. At the time of writing, the UK has a strong currency and an economy that is performing well. Unemployment is falling and bank base lending rates are relatively stable (Rinomhota 2001). With a good money supply and available employment opportunities, the working population has better choice of jobs and more mobility. Businesses may respond to staff retention difficulties by offering employees further training and subsequent promotion to reduce staff turnover. People in work have high disposable incomes with plenty of opportunity to spend on what they wish, and numerous leisure options to tempt them. So, although the technological revolution and some economic factors have produced an increased demand for HE, other economic factors may be reducing peoples' incentive to study.

From a political standpoint, the UK has a stable government and a sound international reputation for investment and for HE. The nature of academic work is international, universities operate in a global environment and the government strives to achieve all round world class status. However, there is in addition a social engineering factor at work in the sector, motivated by the government to encourage wider access and participation in HE. Initiatives such as 'Access to HE' and 'Lifelong Learning' are targeted specifically at providing for adults to return to learning and, as such are major tools in the up-skilling of the workforce to world class. HE is an essential aspect of this adult learning movement. When it comes to regulation of the sector, HE has a good deal of autonomy and a monopoly of provision for its services in awarding degrees. For example, quality standards for subject delivery are peer assessed within the sector through the offices of the Quality Assurance Agency (QAA), itself an agent of the

Higher Education Funding Council (HEFCE). The resulting effect is one of a significant potential increase in business for HE, but of a specific kind manipulated by political issues.

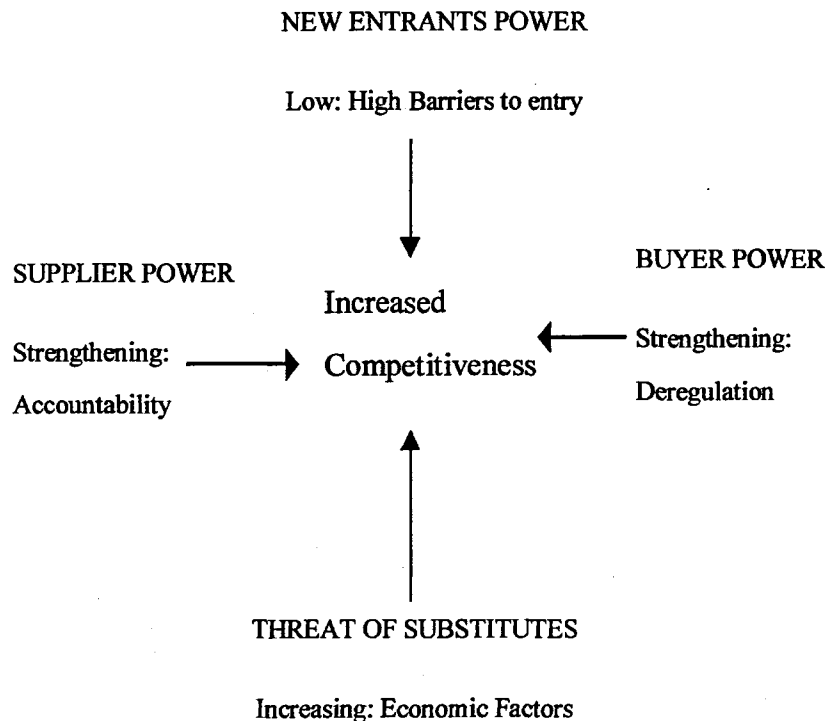
From the STEP analysis a picture emerges of an HE sector that is having to deal with a considerable amount of uncertainty precipitated by both dynamic and complex environmental issues. Socio-cultural and political issues are changing the nature of the demand for HE, and technological and economic factors are influencing the research and teaching balance within the institutions. And HEIs themselves are feeling the pressure. Hodges (2001a) indicated that the HE sector was unstable with wide and increasing disparities in financial performance exemplified by the fact that in 1999 24% of all universities had an operating deficit and the same proportion an operating surplus.

How are these external pressures affecting the survival of institutions within the HE sector? STEP explains what is happening in the HE operating environment and is a useful aid to planning, but it doesn't tell us how the institutions are responding to these pressures. To do this we need a model that analyses the competitive position within the HE sector as a whole to add illumination to this appraisal. Porter (1980) advocates that an analysis of the power bases in a sector will determine the degree of competitiveness between institutions and will show how these forces can influence internal institutional strategy (The Open University 1993:146).

The power bases identified by Porter (ibid) are, specifically, buyer and supplier power, new entrants to the market and the threat of substitute. These are illustrated in **Figure 2.1** on the next page.

# COMPETITIVE POSITION

Michael Porter (1980)



Buyer power, traditionally, has been low in HE with the student having little input or negotiating power in determining the level and quality of service received. However, buyer power has been steadily increasing over the last decade beginning with the removal of the binary divide. Deregulation happened virtually overnight when in 1992 the Council for National Academic awards (CNAA), which had responsibility for validating degrees offered by non-university HEIs, was disbanded and all recognised polytechnics became universities.

Since then there has been a steady increase in buyer power for the HE consumers exemplified by increased choice. This has led to an increased competitiveness for students and pressure to widen participation in HE. New technology enables new ways of delivering HE so that work based learning and distance learning became real options for students. The first



year, or two years, of university courses were franchised out to neighbourhood Further Education (FE) colleges to enable better access to the learning. More recently, the government through HEFCE has initiated a new award. This is the Foundation Degree, equivalent to the first two years of degree study, and with the potential to further increase buyer power by allowing new curricula to be developed in conjunction with employers and the FE colleges that will deliver them. These new degrees were piloted in selected areas from autumn 2001 (HEFCE 2001a).

However, Foundation Degrees are not the only potential influence on buyer power in the context of widening participation. In a recent consultation document *Partnerships for Progression*, HEFCE sought views on how best widening participation might be effected (HEFCE 2001c). The government has set a target for, by the year 2010, 50% of people aged between 18 and 30 to have the opportunity to benefit from HE. HEFCE acknowledged the difficulties in meeting this target by stating that is an ambitious goal and that to achieve it they need to strengthen existing partnerships between HE, Further Education (FE) and schools. Nonetheless, it is an indicator of the demand for change being applied to HE at present. If these numbers of students are reached, not only will there be a huge increase in the student body, but these students will come from a different learning background from the traditional HE entrant and will require a different learning experience from the HEIs. This is demonstrated by key factors from the document that indicate:

1. Widening participation and raising attainment are high priorities for HEFCE and the newly formed Learning and Skills Council that funds FE. The two agencies have agreed to work together to pursue implementation of the initiative.
2. To achieve the participation rate it will be necessary to start at FE levels 2 and 3 in schools and FE to encourage more and better-prepared students to stay on at 16 and go on to HE. Work has begun already to raise standards in schools and encourage more post-16 participation. A new HE/FE project would complement that, a priority being to target disadvantaged groups who are currently under-represented in HE and

provide better learning routes for employed people through workplace learning

3. The aim is to build on effective practice in existing regional and local partnerships and be responsive to local needs. Also to link together in a more coherent framework the activities for successive age groups of school and FE students across different progression routes.

This is clearly targeting a new type of learner for HE, who probably has to overcome significant physical and cultural barriers in order to participate. HEFCE suggest that investment will need to be significant and should focus on:

- A. Supporting and extending HE/FE partnerships with dedicated staff to work with schools and FE education and training providers plus a programme of regionally co-ordinated activities including summer schools, mentoring and shadowing
- B. Raising quality standards in FE provision to increase attainment and retention in lower socio-economic groups
- C. Incentives for workplace learning and progression routes into HE
- D. National programme of research, evaluation and dissemination

However, the cultural barriers will not be solely for the learner to overcome. Universities as institutions will need to examine their own cultural practices in the light of these new learners. As we have seen in chapter 1, externally imposed policy is often difficult to implement in HEIs as academics resist this perceived attack on their autonomy. This potentially large influence on future buyer power is likely to impact significantly on academics and their managers who will be charged with implementing delivery of the resultant internal strategy. In this scenario, relevant and timely CPD for academics is crucial to implementation and the management of that CPD critical to success.

The introduction of tuition fees for students (£1000 in 1999) has also increased buyer power, as, now that HE is no longer 'free at the point of delivery', there is an increasing demand for accountability by the consumer. Accountability to the supplier has also been increased, since the removal of the binary divide, by the introduction of The Higher Education Quality Council (HEQC), now transformed in to the Quality Assurance Agency (QAA) under the auspices of HEFCE. Preparation for the Quality Audit visit from QAA and its resulting report is, arguably, the largest cross-institutional task undertaken by the university senior management team. Subject inspections are now carried out regularly, points awarded and reports published, a development that has a direct effect on HE markets and competitiveness. Indeed, the outcome of all these initiatives is that HE appears to be an education sector under siege from its buyers and suppliers, a situation that is precipitating increased competition amongst its constituent members.

However, the threat of new entrants to the higher education sector is low, as there are high barriers to entry. This seems to be the only force working in the university's favour at present. University status is not easy to come by and rightly so as some institutions have found to their cost. When the barrier to entry was lowered at the removal of the binary divide in 1992, some polytechnics, newly validated by the, then, CNAAB, became universities overnight and experienced stresses and strains whilst growing and developing in this unfriendly marketplace. They were not alone. Long established polytechnics and fledgling HEIs, that were making the transition from FE colleges by working hard towards the award of their own degree awarding powers, were experiencing management difficulties in delivering high quality education to escalating numbers of students without the benefits of the resource base enjoyed by the long-established universities.

The established 'old' universities carried on, confident in the fact that they held a monopoly on a premium product and that these new changes would not affect them. The threat of substitutes in the HE sector is low also. Some would argue that it was zero as there is no substitute for a degree education, although the advantages of going to university are differently valued by different sections of the population. However, the consumer has

been given more power and more choices by other events examined in previous paragraphs. When tuition fees were introduced in 1999 as a result of the Dearing Report (Dearing 1997) potential students began to vote with their feet and do something else instead of a degree. This substitution threat must partly account for the reduced number of applications reported on earlier by Canovan (2001)

The resultant outcome of all these forces at work is that there is high competitive rivalry between HEIs and low margins of profitability. It is an education sector under threat from external environmental forces. This is borne out by a recent report that financial pressures may force mergers on HE. Hodges (2001a) reported that 'there are too many institutions too small to prosper' (quote by Sir David Watson of the University of Brighton) in such a competitive climate. Mergers are anticipated in London and Birmingham. Already Bradford University and Leeds Metropolitan have announced a strategic alliance and London Guildhall University and the University of North London have agreed to merge.

Hoy and Miskel (1989) studied the external environments of schools and found them complex and difficult to analyse. However, they concluded that an enhanced understanding may be gained by examining general characteristics of the environment and they found that there were uncertainty, clustering and scarcity dimensions to this concept. The level of uncertainty is determined by the quality and quantity of information about the external environment that is available to the organisation's decision makers. Hoy and Miskel stated that 'The more complex and unstable the environment, the greater the uncertainty for the organisation' (Hoy and Miskel 1989:32). This analysis shows how complex and uncertain the external environment is for HE. Clustering is about the demands and constraints on the organisation from its external stakeholders. At one end of the clustering continuum these are powerful and highly structured and the price of survival is compliance. At the other end, a poorly structured environment that lacks order is likely to tolerate diversity or a breach of values. For HE, the degree of clustering would appear to be moving along this continuum towards a higher degree of clustering as the various external bodies attempt to exercise more control on HEIs. Scarcity is the extent to

which the environment is able to resource stability and sustained growth of the institution. Where resources are scarce, competition increases and, again, the fact that this is happening in HE is borne out by this analysis.

Hoy and Miskel (ibid) identified typologies of educational environments as placid randomised, placid clustered, disturbed reactive and turbulent fields. In placid randomised, environments are relatively unchanging and pose little threat to the organisation, whereas placid clustered exhibits a growing external complexity causing opportunities and threats from organised clusters in the environment. Very few HEIs have the luxury of working in either of these types of environment. Disturbed reactivity exhibits changes that are not random and these environments are dynamic. They occur where similar types of organisations are competing for a particular segment of the market and actions by one institution can disturb the environment and provoke reactions by the others. This analysis would appear to place most universities within this category and some, for example, the young and newly created HEIs, may qualify as working in turbulent fields. This final type is characterised by complexity, rapid change and clustering where it is difficult to understand the combination of forces that create the constant change. Turbulent fields have negative consequences for an organisation and its survival may be threatened.

There is no doubt that the external environment has a direct influence on the viability of HEIs and measures producing economies of scale may go some way to alleviating their financial difficulties. But unless there are internal management changes in response to the environment they will fail as businesses. The issue here is whether HEIs will compete for resources in the established commercial fashion of giving the best value for money that they can, or whether they will apply alternative competitive approaches such as capability advantages or knowledge management strategies. Rowley (2000) questioned whether knowledge management was 'just a new fad' or 'a useful metaphor or new discipline that supports organisations . . . facing . . . the twenty-first century environment'. Drawing on the insights of Davenport et al (1998) from a study of several knowledge management projects, Rowley proposed a definition of knowledge management and

argued that there are several issues emerging from this definition that are as relevant to universities as they are to other organisations.

‘Knowledge management is concerned with the exploitation and development of the knowledge assets of an organisation with a view to furthering the organisation’s objectives. The knowledge to be managed includes both explicit, documented knowledge, and tacit, subjective knowledge. Management entails all of those processes associated with the identification, sharing and creation of knowledge. This requires systems for the creation and maintenance of knowledge repositories, and to cultivate and facilitate the sharing of knowledge and organisational learning. Organisations that succeed in knowledge management are likely to view knowledge as an asset and to develop organisational norms and values which support the creation and sharing of knowledge.

(Rowley 2000)

A major repository of knowledge in a university is its staff, especially its academic staff who are employed precisely for their accumulated knowledge. The implication of a knowledge management model for both line and senior managers is that, whatever strategies for change are devised, they must include the development of cultural norms which place a high value on this asset. However, Rowley (ibid) advocates that, for organisational success, the institutional processes must foster and facilitate maximum opportunity for the creation and sharing of knowledge. Whilst HEIs are expert creators of knowledge, the present cultural norm for academics is for sharing to take place either with students or with external and preferably international peers rather than to contribute to any internal organisational learning. This raises the question of what is the central objective of knowledge management within an organisation, what are the levels at which knowledge management must be considered, and how can it be executed at different levels? Decisions would have to be made on the scope of knowledge management in relation to the types of knowledge that it should embrace, and the technologies and techniques to be employed. Organisations would need roles to support knowledge management, an implication being that the associated competencies for both individuals and

organisations would have to be learned or acquired. This is essentially what staff and management development programmes are about, therefore an organisation would need to have an existing strong staff development culture, or be confident that it could foster one, in order to implement a knowledge management model.

Nonetheless, acknowledging that there will be no simple answers, Rowley (ibid) examined knowledge management in some well known consultancy organisations that have recognised the central significance of intellectual capital to the success of their business. These organisations were at the leading edge of developments in the knowledge industry and Rowley's paper mapped some of the concepts of knowledge management to the processes, systems, structures and roles in HE. An important characteristic common to consultancy organisations and HEIs is that knowledge is power, since the main asset that determines the employability of individuals is often their knowledge. The concepts examined in chapter 1 have already identified that power is a dynamic link between structure and culture and that disparities of power will have a major influence on working relationships including motivation. In order to avoid organisational pathos or resistance to change, only legitimate applications of power, such as normative power, would foster the motivation and commitment that line managers might seek from their staff (Bennett 20001 and Hoyle 1989b).

However, the long tradition of individual autonomy in academics is proving difficult to breach and the cult of the individual expert could be seen to be at odds with a knowledge-based culture. Rowley (ibid) saw the greatest challenges for HE to be in the creation of a knowledge environment and the recognition of knowledge as intellectual capital, as these would require significant change in culture and values, organisational structures and reward systems. Rowley concluded by identifying that the management of the relationship between knowledge and power is crucial and this notion is in accord with those of Bennett and Hoyle (ibid) in the context of management models. Rowley found, also, that state influence over universities might militate against creating appropriate alliances for the creation of global knowledge repositories which some academics may favour. This reinforces the argument that, as the external pressures to

change increase, HEIs are forced into a closer examination of how their internal capabilities and cultures can cope with change, and raises the problem of trying to change culture in long established, traditional institutions.

Institutions change through organisational development and one of the essential tools for this process is staff development. This aspect of change has the potential to exert a more direct impact on internal issues. In the context of management models at work in HEIs, the issue of how the university internal environment and culture develop as institutions respond to the logical rationality of new managerialism, exemplified by the inspections and audits from HEFCE, is relevant. If the external environment is in a constant state of change, then universities must respond with internal development processes that are continual, including those for the ongoing development of their staff and managers, in order to survive and prosper. Universities are not alone in concerns for their survival.

Publications from staff working for the former Universities and Colleges Staff Development Association (UCOSDA), now the Higher Education Staff Development Agency (HESDA) (Griffiths 1996) and The Higher Education Quality Council (HEQC), now the Quality Assurance Agency (QAA) (Crosthwaite 1996) help to give a wider context to their situation. Both papers identified that formal teacher training for university teaching staff was a key factor in enhancing and maintaining the quality of provision. They recommended that formal training should begin with staff newly employed in university teaching, but added a rider that all academic staff should receive some form of training in the long term. These papers were followed closely by the Dearing report on Higher Education in the Learning Society (Dearing 1997), which recommended setting up an Institute of Learning and Teaching (ILT), as a professional body for university teachers. The relevant clauses can be found in Appendix 1. Formal recognition of the teaching skills of academics does, of course, provide a key management tool for the implementation of this aspect of academic continuing professional development (CPD). The ILT website (1999) gave an insight into how external recognition might be managed providing fast track routes for established lecturers in its initial years of existence.



There have been further developments since then. The Dearing recommendation to set up the ILT has been implemented already, providing fast track routes for established lecturers in its initial years of existence. It is likely that accreditation of HE teachers will become the norm at some point in the in future. Should this happen it would be a significant development in the management of staff motivation and the effects on performance. The annual fees are low implying that they are aimed at the individual professional rather than institutional sponsorship, and, since its formal inception in April 1999, applications for ILT membership forms have been received at the rate of 200 per week (Utley 1999). This implies that there was already a felt need for this recognition of professional development and a culture change is underway. The policies and practices developed by the ILT, or its successor, will have a significant effect on this aspect of academic staff CPD in the future. Managers will need to be knowledgeable about the costs and benefits of ILT membership to individual staff and the university as a whole to capitalise on its application to managing performance. However, the ILT is not without its critics and its very existence has caused dissent amongst academics, particularly in the 'old' university sector. Although membership of the ILT is increasing, it received a significant setback with opposition from the Association of University Teachers (AUT). The AUT represents lecturers in the 'old' university sector and it advocated a rival accreditation system (Baty 2000).

These responses to the ILT can be explained in part by examining models of CPD. The University of Bristol publication by Madden and Mitchell (1993) outlines two models of CPD policy and practice against which the emerging ILT can be judged. The essential difference between the models is that of being mandatory or voluntary, and the balance between these would be a key factor for the success of any academic model. At present the ILT model falls between the two, being voluntary for existing staff as present and mandatory and under management control for new academics, who may find completion of an ILT recognised training course part of their contract of employment. This could be viewed by academics as an attack on their autonomy and, if so, might significantly affect their motivation to participate. Whether a CPD scheme is mandatory or voluntary, it will need to be acceptable to the participants if it is to be part of any strategic

management implementation, as we have seen in chapter 1. Academic staff are key stakeholders influencing the acceptability of CPD strategy, and this has significant implications for line managers in terms of understanding the motivations of their staff.

Since its inception the ILT launched a CPD consultation paper outlining four main approaches to CPD for its members (ILT 2000). A scheme specifying explicit expectations concerning CPD with guidance and support, but with no checking or sanctions, was most strongly favoured by its members and staff developers in focus groups. Other alternatives recommended included sanctions and this developing issue will continue after the completion of this study. However, the concept of the ILT, or any succeeding institution, will be re-visited later in the context of learning organisations and life-long learning.

To summarise, the Higher Education sector does not work in isolation from other sectors of education or from the commercial world. It is subject to environmental influences in the same way as any other business. It is, however, a public sector business and susceptible to political pressure when it comes to approving budgets and providing subsidies. In spite of having the comfort of being a monopoly, there is intensive competition for resources and a strong requirement to demonstrate value for money. Ideology and acceptability exert significant influence when determining strategic direction. External forces are skewing the traditional market for students, and the research and teaching balance of academic work. Both buyers and suppliers have increased power resulting in more competitiveness within the HE sector and lower 'profit' margins. Internally, HEIs are facing pressure to change and develop their culture. This is closely related to the application of power which stems from the intrinsic knowledge of their major assets, their staff and managers. There is a strong pressure, being resisted by some, to introduce formal academic staff development programmes and monitored continuing professional development (CPD). So far, this study has examined concepts relating to HE wider and nearer operating environments that are influencing senior management strategic decisions and implementation, and the subsequent line manager and academic staff attitudes towards the resulting change and

development. The focus will now turn to a closer look at the concept of CPD and the issues surrounding staff motivation to address the key questions of what do academics perceive CPD to be and what motivates them to engage with CPD activities.

### **Chapter 3 Continuing professional development (CPD) and motivation**

The terms 'staff development' and 'educational development' have been used and accepted extensively in HE and applied, as the words suggest, primarily to those activities organised to bring about development or change in educational practice. However, the concept of continuing professional development is relatively new and may or may not mean the same thing to academics and their managers. By asking what perceptions university lecturers have of continuing professional development for themselves we can improve our knowledge of the factors that influence academic staff to develop. This, in turn, would have implications for managers with agendas to change organisational and professional practice.

Professional development in teaching skills to a greater or lesser extent is now available in all HEIs, although it not necessarily compulsory for staff to train. Most, if not all, universities now have formal Staff Development policies and many now insist, through contracts of employment, that new full time lecturers without a recognised teaching qualification will undertake a short, skills-based teaching course. These programmes may carry credits at final year undergraduate or postgraduate level. Several have been given a form of national recognition through the Staff and Educational Development Association (SEDA) which was, until April 1999, the only institution taking responsibility for the accreditation of higher education teachers. SEDA was, and is, an association of practitioners and not, as such, representative of HE teachers as a professional body. Nonetheless, a SEDA recognised programme would have little difficulty in being modified for recognition by the ILT. However, CPD for an academic in the changing environment of a twenty-first century HE has a much wider remit than teaching alone and professional development programmes need to reflect this.

I have already referred to widening participation in my examination of the operating environment of HE and this is only one of many factors causing change. Methods of delivering HE are being transformed as substantially larger student numbers enrol for degrees and use of information technology expands. Consequent upon these developments, the role of the HE teacher is changing. The Secretary of State for Education and Employment in his

response to Dearing 1997 (ibid), *Higher Education for the 21st Century* (Blunkett 1997), emphasised the importance of lifelong learning underpinned by the key principles of quality, access, equity and accountability. The paper, which is essentially about funding the Dearing proposals, also identifies '... greater emphasis on the regional role of universities and colleges ...' as a key recommendation. This is an indication that the government is determined to widen the role of HEIs, and that contributing to the development of the regions may become the third role of HEIs, alongside research and teaching. Universities, as institutions, are motivated by opportunities to increase their income and this initiative is likely to generate further pressure from HEIs to change the ways in which they operate.

Supporting lifelong learning and providing a service to geographical regions implies a wider remit for CPD than courses for teaching skills. The twenty first Century university lecturer is likely to have new cultures to assimilate and new tasks to perform. The increasing importance of the role of HE in regional and national economic development was reinforced by the government when it introduced, via the Higher Education Funding Councils, a third source of finance to supplement existing funding for research and teaching. Higher Education Reach Out to Business and the Community (HEFCE 1999), designed to enable HEIs to develop their capabilities to respond to the needs of business, has recently been subsumed into the Higher Education Initiative Fund (HEIF) with a stronger regional remit. Each HEI is now a member of a regional consortium that has a regionally situated secretariat to facilitate this aspect of HE work.

Related to this, skills development for students is moving to a higher position in the learning agenda as our universities are seen as prime providers of a world-class workforce that will contribute significantly to the country's economic prosperity. A first taxonomy of employability skills for HE has been introduced (CVCP 1998). For some academics the role of the university lecturer is moving away from the traditional 'fount of knowledge' towards being a manager of their students' learning experience. This requires the development of new approaches to teaching and learning, especially for established academics, themselves educated in a much more

traditional and conservative university system. Yet relevant and specific staff development does not seem to be offered automatically to these staff, or indeed expected of them. There is no doubt that academics themselves are lifelong learners, constantly updating their knowledge to pass on to their students. They are expected to have or be studying for higher degrees. Those with research qualifications will be required to undertake research and consultancy and to publish. However, any other professional development may be done on a voluntary and ad hoc basis, either out of personal interest or to meet a specific requirement. Frequently, it is left to individual academics to choose any development they may think they may need from a central programme of events. Or, significantly, not to choose as they wish.

Any organisational change will impact significantly on the CPD requirements of staff and on managers of those staff. Therefore, it is likely that both senior and line managers will be obliged to develop strategies for ensuring that relevant and timely CPD is provided for all staff, and that that provision is monitored and evaluated. This would not be without difficulty as academic staff are notably self-directed professionals who are used to working autonomously and can be remarkably resistant to the introduction of any changes which they perceive to be an attack on this autonomy. Therefore, any strategies for introducing compulsory CPD for all academic staff would need to be acceptable to the majority of academics for them to work. As addressed in Chapter 2 '... the criterion of acceptability in strategic choice is probably of greater importance in the public sector than in the commercial sector' (Johnson & Scholes 1993:28).

In order to be acceptable to the workforce, any new management strategy needs to demonstrate a 'what's in it for me?' factor for each member of staff. Therefore, an improved knowledge of factors that influence academic staff to develop will contribute to the understanding of how academics can be motivated to change their practice. Such information would be useful in producing workable CPD strategies for the future. So, as well as exploring the perceptions university lecturers have of CPD we need to know what it is that motivates them to engage with CPD activities? Such information might illuminate the extent to which effective strategies can incorporate individual

aspiration and institutional objectives, and, assuming they are different, how these needs can be managed for reconciliation?

Part A of this doctorate entailed a study of education management concepts which have underpinned the development of chapter 1, followed by a research methods programme which underpinned chapter 6 and a small scale pilot research study that has yielded a quantity of original data concerning academics' perceptions of CPD (King 1997 unpublished). These data were obtained from an inner city 'former polytechnic' university that was experiencing significant change from external competition for student numbers and internal organisational development. The information obtained from the analysis of these data provided a basis for determining the methodology and cases used in the major data gathering exercise reported in chapter 7. A summary of this initial investigation is included as Appendix 2 Pilot Study and is further analysed in the following paragraphs.

The three cases studied were all in mid-career as academics, that is, they had been working as university lecturers for more than five years but less than fifteen. It should be noted that, of the three cases studied, one interviewee classified herself as creative and an innovator yet was frustrated by the bureaucracy of 'the system' and not progressing as fast as she would like to in her career. The other two, one male and one female, freely admitted a resistance to development methods which included any aspects of personal development, yet appeared to have been allocated responsibilities which were positively career enhancing for them. The implication from this is that the surrounding management ethos may have had a significant effect on each individual's motivation to engage with CPD activities.

All of the five definitions of CPD given by academics were about 'doing something' in a professional capacity as opposed to going on a course or being trained in some way. The interviewees gave fifteen examples of what they considered to be CPD activities and only two were in the category of 'traditional' learning, i.e. studying or doing a course. There were six examples of 'being something', i.e. undertaking a professional role, and a further seven of 'doing the work', e.g. lecturing, administration or counselling. From these responses, there is a strong indication that

academics think that doing their job is CPD.

In analysing factors that motivate staff to undertake CPD, I classified the responses in the broad division of internal, 'personal satisfaction' motivation and external, 'what will I gain' factors. There was an equal division of motivating factors between internal and external in the twelve examples given. When it came to factors that hinder progress in CPD, of twelve examples given, five were internal reasons such as fear of failure or coping with the 'staff development culture'. Respondents gave seven external demotivating factors that were due either to lack of resources e.g. time or a mentor, or being managed e.g. having to do things or encountering bureaucracy.

The three interviewees in this pilot study gave eleven other views concerning aspects of CPD. Of these, seven were statements of personal attitude or ability, e.g. 'I don't want to waste my time' or 'I haven't always fitted in well with the bureaucracy.' The remaining four were about the CPD process, e.g. 'It's a management means to an end' or 'It's behaviour training'. Possible explanations for these responses are that past experiences of CPD may not have been good ones, or that there was no ownership of process by the lecturer. The implication for managers here is that there are factors, or staff opinions of them, which can contribute to a staff 'attitude' towards CPD that may have a significant effect on motivation and needs further exploration. I have used the word 'attitude' here not in any scientific way but in its vernacular sense in common use today. Indeed, it may be used by staff to describe, in an informal way, a student whose exhibiting personality is difficult to deal with or understand.

These responses and the brief explanations given for some of them indicated that academics were not satisfied with several aspects of the existing CPD activities ranging from the risk of personal exposure through to inadequate resources and personal views on staff development strategies and their implementation. These findings warranted a follow up exercise to test whether the perceptions were echoed by other academics, and to explore the concepts raised by the questions and their answers and how they might influence their motivation. The rationale underpinning this further research



is explained in a later chapter but the concept of motivation is a complex one and is examined next.

Motivating the workforce to deliver the performance required of them is a key function of management. This aspect of management is gaining in importance as organisations strive to achieve increasing targets in highly competitive environments. This is no less true of HEIs as chapter 2 has demonstrated. Universities are under pressure to compete for resource funding and therefore need to ensure that they obtain maximum benefit from their own human resource. The increasing use of highly developed learning technology has made managers aware that, although electronic information technology can improve the effectiveness and efficiency of any company, people cannot be replaced as key operators of essential systems. This is especially true of organisations that focus on services to people, for example, educational institutions and is exemplified by Riches and Morgan (1989) as follows:

‘Of all the resources at the disposal of a person or organisation it is only people who can grow and develop and be motivated to achieve certain desired ends. The attaining of targets for the organisation is in their hands and it is the way people are managed . . . which is at the heart of [human resource management] . . . and optimum management.’ (Riches & Morgan 1989:1)

In order to persuade people to give of their best in a work situation we need to understand why they behave in the way that they do, and how we can help them to develop ways of behaving that benefit both their employers and themselves.

Classic motivation theorists have analysed the concepts of need and human nature to identify specific motivating factors. For example, McGregor’s hypothesis (McGegor 1970) is based on the belief that there are two theoretical assumptions about human nature. Theory ‘X’ proposes that people are lazy and work shy, needing control and coercion to perform satisfactorily. Their motivation stems from an instinct for survival and safety, consequently they are not ambitious and avoid responsibility. Theory ‘Y’ advocates that, for most people, motivation is driven by the need

for socialisation, status and fulfilment. People will commit because they want to achieve, will accept responsibility and be self-directed. This black-and-white approach to human nature is, like Maslow's hierarchy of needs which is discussed in the next paragraph, a little too simplistic to explain workforce behaviour in twenty first Century organisations, where the influences on people's working lives can be both numerous and varied. Riches (1997: 95) describes McGregor's two factors as 'extremes and an over-simplification', but goes on to say that theory 'Y' is the 'preferred way to motivate people because it is more likely to achieve the desired results.

Maslow's well-known hierarchy of needs was published almost 60 years ago (Maslow 1943) and expounded the theory that 'lower' needs of survival, safety and socialisation must be satisfied before the 'higher' needs of personal esteem and fulfilment will motivate behaviour. This may work generally at a societal level but seems far too simplistic to apply to individuals and has been criticised as having several weaknesses. For example, Wahba & Bridwell (1976) noted that there was a lack of empirical evidence to substantiate Maslow's hypothesis. Buchanan & Huczynski (1985:4) pointed out that the study was based on American middle class values rather than fundamental truths about human psychology. More recently, Riches (1997:94) added further questions about methodological issues, human values and other variables. Nonetheless, the apex of Maslow's hierarchy of need is relevant to the motivation of academics who will have the lower order needs already satisfied and will be seeking the pinnacle of 'self-actualisation' through the personal fulfilment of their academic work. If that satisfaction is not forthcoming, they may well become de-motivated to contribute to any self or organisational development and so precipitate the 'pathos' described by Hoyle (1989b) and explored in chapter 1.

Herzberg et al (1959) took a different view of work motivation by examining job satisfaction in engineers and accountants. They reported that the phenomena in the work place that led to job satisfaction ('motivation factors') were derived from the work itself, whilst those that produced job dissatisfaction ('hygiene factors') were associated with the work environment. However, Riches (1997:95) found four major criticisms of

Herzberg's research:

1. The theory is difficult to support using methodology other than Herzberg's;
2. Empirical studies have found that the two groups of factors are not distinct for other groups of workers;
3. It is human nature to take personal credit for achievements and blame others, e.g. the organisation, for failure;
4. It has led to an over-emphasis on Maslow's 'higher' needs at the expense of the more basic 'hygiene' needs.

Nonetheless, the theory ought not to be totally dismissed for, as Riches points out, the construct of satisfaction and dissatisfaction is valid, though individuals will have variable interpretations of what motivation and hygiene factors mean for them. For academics, their work, and its reputation amongst national and international peers, is likely to be a strong motivational force overcoming any dissatisfaction found in the hygiene factors of their working environment. This would account for the fact that academics remain as academics despite openly complaining and disagreeing with many policies that shape that environment.

In an educational context the values of the workforce appear to have a significant influence on motivation. Nias (1991) found that job satisfaction was high when the ideologies of teachers coincided with those of the schools, and teachers were singularly dissatisfied when they perceived that the school lacked a sense of purpose. Nias investigated Herzberg's theory in a primary school setting and found that, as Herzberg hypothesised, job satisfaction was influenced by intrinsic aspects of the work. However, 'negative satisfiers' were also noted which, if removed, would improve job satisfaction in a way that the removal of 'dissatisfiers' would not. Nias quotes 'bad' school management as an example of a dissatisfier. Removing 'bad' management doesn't provide a satisfier in the form of 'good' management as 'good' management is not normally a satisfier.

Notwithstanding that the perceptions of 'bad' and 'good' management were not qualified or quantified but those of the respondents, this supports Herzberg's theory that motivation and hygiene factors develop from different sources, and implies that the notion of expectancy, at least in terms of management standards, is also relevant.

The classic theories of motivation discussed so far deal primarily with the 'what is' of motivation. They cannot tell us how motivation works in practice. As soon as the classic concepts are applied to educators and the resulting processes analysed, models of how motivating factors interact and influence behaviour become necessary. Expectancy theory is such a model through which the processes of motivation can be examined. Riches (1997:97) defines expectancy theory as the phenomenon that people are influenced by what they expect to be the impact of their actions. The theory is based on four criteria:

- A. Individual perceptions *per se* explain individual differences;
- B. Individual perceptions of the outcomes of behaviour;
- C. Strength of individual motivation;
- D. The assumption that humans behave rationally and, therefore, are predictable.

He points out that Neider (1950) suggested people work well only when they expect their efforts to produce good performance, and made several recommendations for managers including performance appraisal, reward systems, and special attention to factors that might affect performance. However, in an uncertain environment complicated by ambiguity and micropolitics it might be difficult for academics or their managers to correctly assess the impact of their actions resulting in expectations not being met and a negative effect on motivation.

Equity theory also contributes to explaining the process of motivation. For academics the concept of equity is important, underpinning their favoured model of collegiality. Adams (1965) stated that the extent to which people feel that they are being treated in a fair and equitable manner, compared with others, influences motivation. If an individual perceives inequity in the way they are treated their behaviour will change to redress the balance. For example, altering or distorting inputs or outcomes, or influencing other workers' perceptions. These kinds of activities, if widespread, would contribute significantly to the micro-political culture of an organisation, a concept that has been addressed in chapter 1. Riches (1997:98) argues that, although this theory is useful, it has a limited value in education. He reasons that it is helpful for predicting staff behaviour and motivational

levels, so would be most valuable in times of retrenchment when financial rewards are limited and different approaches are needed to provide staff satisfaction. However, as maximum outputs from limited resources appears to be the present-day norm in HE, it may be that this theory has more relevance than Riches concludes. In times of financial restraint, managers need to be able to assess the relationship between staff inputs and outputs. Equity theory could help in this respect and would be compatible with collegiality, therefore more acceptable to academics.

Perhaps goal theory (Locke 1968) has even more relevance to an education workforce? Locke identifies three cognitive processes that cause interference in an event impinging on performance. They are: perception of the event, evaluation of the event and formulation of intentions. Only then is a conscious decision made about what to do. Thus, goal setting can be a useful tool for managers in influencing motivation and performance provided that the individual participates in the process. Through mutual agreement, goal specificity, difficulty and acceptability can be negotiated to produce individual challenges that will deliver good performance. This echoes some of the principles expounded by McNay (1995 & 2002) in his broad concept of an enterprise culture where support for the task and adaptability are essential aspects. Enterprise culture, also, is compatible with collegiality.

Goal theory is supported by Johansson & Page (1990:196) who include a process approach in their definition of motivation:

'Processes or factors that cause people to act in certain ways. To motivate is to induce someone to take action. The process of motivation consists of: identification or appreciation of an unsatisfied need, the establishment of a goal which will satisfy the need, and determination of the action required to satisfy the need'.

This concurs with Riches' (1997) conclusion that a general model of motivation must encompass needs or expectations, behaviour, goals, and feedback. However, as Riches points out, there are also related concepts of stress, job satisfaction and morale that will influence any outcome so that a model presenting a straightforward linear link of motivation factors would

appear naïve in terms of understanding human nature. Different people react differently to internal and external influences and they can have a positive or negative effect depending on the person. For example, some people thrive on stress and work better when their adrenalin is flowing whilst others become frustrated and exhausted and their output falls.

It is clear that factors affecting motivation are numerous. Betts (1993) has compiled a taxonomy that lists five main categories of influence. These are the job itself (duties, responsibilities etc.), external pressures (family, community, economics), capacity (intelligence, background, experience), company environment (working conditions, organisational culture etc.), and internal human pressures (personal needs, attitude etc). The categories are not discrete, of course, and interact with each other to produce complex motivational situations. The implication from Betts' findings (ibid) is that there would be no generic answer to what motivates staff as each and every one would be influenced by a unique combination of factors. The significance for managers is that only some of them would be within institutional control, the others being the more personal pressures. Notwithstanding this, it may be that management attention to institutional influences, especially where they exert a negative influence may impact on the internal and external human pressures experienced by the individual.

Riches (1997:49) recommends Locke and Latham's high performance cycle (Locke and Latham, 1990) as a integrating model that provides a 'coherent, advanced and enhanced explanation of the way individuals are motivated, perform and receive satisfaction in an organisation'. This is an eclectic model which incorporates the view that motivation to work and job satisfaction are independent outcomes, but they are both relevant to delivering good performance. It provides an explanation of how motivation and satisfaction are linked through the demands and rewards of the job. The model explains both concepts and shows how individuals are motivated, perform and receive satisfaction in an organisation. The authors maintain that job satisfaction is the result of rewards measured against a personal appraisal of the job matched to a personal value standard. The consequences of dissatisfaction are many and may impact internally on the person e.g. causing low morale etc, indirectly affecting organisational

performance, or directly on the organisation in the form of avoidance, protest etc. In this model, contingent rewards, which are by definition more personal and situational, are more important than non-contingent rewards, e.g. salary, as they directly affect job satisfaction, the consequences of which will influence how people to rise to challenge and improve performance (see Appendix 3 for an illustration of the model).

Contingent rewards will be affected by circumstance. This claim is supported by Betts (1993) who proposes that motivating factors in all categories can be overridden by other factors that 'upset the effect of all previous factors, often regardless of their combined strength to motivate.' Override factors are mental capacity (emotions, mental exhaustion, obstacles), physical capacity (sickness, physical exhaustion, climate), and intermediate situation (unfairness, upset with colleagues, change in duties). Obstacles to motivating factors can be internal or external and complicated so that a simple linear understanding of need-drive-obstacle-solution-goal-achievement is unrealistic. According to Riches(1997:93) 'Identifying obstacles to achieving goals and recognising the way these are dealt with by individuals are highly significant for managers if they are to adopt strategies for dealing with them.'

To summarise, this discussion of motivation as a concept has been about the 'what is it?' and 'how does it work?' theories of motivation, and concepts of why teachers, especially university teachers, behave in the way that they do. Riches (1994) gives a thorough appraisal of the factors involved in staff motivation and concludes that our theoretical knowledge has significant implications for managers in the motivation of people to work. In doing so, he accepts that motivation is a multi-faceted concept incorporating 'what gets people going' and 'the force exerted by an individual to engage in desired behaviour'. There are also related concepts of stress, job satisfaction and morale that will influence any outcome.

In analysing factors affecting motivation, the Betts model (Betts 1993) can be used to categorise them, and classic theories of motivation can be grouped according to whether they have a content or process focus. Content theories include Maslow's hierarchy of needs, Macgregor's 'X' and 'Y'

theory of human nature and Herzberg's two-factor (motivator/hygiene) theory, as they are concerned with identifying specific motivating factors. All of these could be used to add insight to the understanding of motivation, yet there would remain a gap in the knowledge concerning the mechanics of motivation when it is actually happening.

In order to examine the process of motivation and the dynamic relationships between various motivational factors, theories such as expectancy, equity and goal theories may be relevant. The Locke and Latham high performance cycle (Locke and Latham, 1990), as an integrating model, may provide some coherence and an explanation of the way motivation and satisfaction are linked. The implications for management are significant and wide-ranging but may be of limited practical use to individual managers and staff, for, on the whole, managers do not get their jobs because they excel at psychoanalysis. Indeed would they have the time to undertake such detailed studies of their staff? Management decisions may be based on a more macro-analysis of a wide range of internal and external institutional factors, often skewed, as we have seen, by external drivers outside their control. So, whilst a working knowledge of motivational theories is, no doubt, useful to practising managers, the numerous and variable influences acting on each individual make generic approaches to solutions difficult to validate. Nonetheless, some theories are more useful to an application in HE than others from the perspective of their compatibility with collegiality and enterprise, the two models of HE culture that might be most acceptable to academics. In this respect, motivational process theories such as equity theory and goal theory are relevant.

The pilot study for Part A of this doctorate reported on earlier in this chapter (King 1997 unpublished) appears to support the hypothesis that motivation is a key factor in persuading staff to engage with successful CPD strategies. However, as we have seen, the concept of motivation, is multi-faceted, and even a theory or model that encompasses this multi-dimensional aspect, for example, the high performance cycle of Locke and Latham described by Riches (1994) may be of limited practical help in formulating solutions for managers. Individual circumstances may be unknown to managers and therefore any overriding factors that can upset existing motivating factors



will be difficult to predict and to manage. As we have seen, Griffiths (1996) and Crosthwaite (1996) have identified a need for teacher training of university teaching staff, yet none of the three cases interviewed in King (ibid) considered this to be CPD for them. The interviewee who listed short courses as an activity came the nearest to suggesting that any type of formal training was necessary. Another quoted 'doing the lecturing' as CPD, and an assumption could be drawn from this that the work involved in discharging their liabilities as academics was considered, by them, sufficient CPD for their teaching. This raises one of the key research questions for Part B of the study concerning the perceptions that academics have of CPD for themselves. Academics are key stakeholders in the management of CPD and their views would be relevant. As we move into another era of change in HE, the findings of King (1997) have shown that there appears to be some uncertainty, even suspicion, from mid-career lecturers about management-imposed educational development activities, and there are criticisms from staff about the lack of support. Equally, the fear of 'being seen to fail' may be preventing staff from benefiting from training opportunities, whilst there seems to be no resistance from staff to take on job responsibilities which bring about development. If, as one of the Part A pilot study cases suggested, undertaking aspects of their job is considered to be staff development, this would have a significant impact on the design of acceptable CPD strategies. Nevertheless, the data indicate that staff are self-motivated to undertake a variety of CPD activities, though this motivation appears not to be supported by management in some cases. This reinforces the premise that management needs to be aware of teaching staff perceptions of CPD in order to implement acceptable strategies. As we have seen already, from Hellowell and Hancock (2001), Hoyle (1989b), Fullan (1986) and Johnson and Scholes (1993) in chapter 1, the feasibility of implementation of CPD strategies and the acceptability from academics are essential for success in a change management situation. The factors influencing motivation of teaching staff as stakeholders in the process and their concerns about the effects of change on individual functions are essential data in this scenario.

## Chapter 4 CPD and the learning organisation

A management concept that has been suggested by the Professional Associations Research Network (PARN) is that of the 'learning organisation'. It states, 'the learning organisation makes links between the individual manager's learning and the dynamics of his/her organisation (PARN 1999). This implies that learning has a strong relationship with organisational change, and vice versa, a concept that is supported extensively by, for example, Fullan (1986), Brew (1995), Middlehurst (1995) and Davies (1995) and examined in chapter 1. The original concept of 'the learning organisation' is generally attributed to Senge (1990) who identified characteristics of institutions that enabled them to learn and develop as organisations. These included high levels of employee participation in strategic planning, a team-orientated culture and a participative and empowering continuous improvement system. Supporting these three systems were leadership that is proactive and visionary, and learning that is experientially based.

We have seen, in chapter 2, how the external environment is forcing change on HE and how HEIs are struggling to accommodate that change and, in chapter 3, how important CPD strategies and staff motivation are to facilitate that process. However, we have also seen that motivation to undertake CPD activities is a complex issue, and that perceptions of what constitutes CPD may vary amongst academics.

Chapter 2 examined, also, how methods of delivering higher education learning are changing substantially, with larger student numbers and expanding use of information technology. Widening participation, also, is having an effect, and this concept is increasing in importance to HEIs with the current government agenda, as is the role of HE in regional and national economic development. These issues are likely to have a significant impact on resources and HE managers will require changes in practice from academics for their institutions to thrive. There are other forces at work as well. Professor Nichols in her book *Professional Development in Higher Education* (Nichols 2001) believes that external environmental pressures have influenced the development of a division of labour for academics

between the research and teaching aspects of their work. At the same time, the Government, in its response to recommendations of the Dearing report (Dearing *ibid*), has stated that its long-term aim is to see all teachers in HE carry a professional qualification (DfEE 1999).

Chapters 1 and 2 have shown, also, that there is not a tradition of offering relevant and specific staff development to academic staff, or indeed an expectation for them to undertake it and that the concepts of academic freedom and individual autonomy are embedded in the traditional university culture. The establishment of the ILT is attempting to change this, and, initially through the medium of accrediting teaching expertise, contribute to a learning organisation culture amongst academics. However, since it published a framework of criteria for levels of membership, its existence is already fuelling debate and receiving adverse criticism, especially from academic staff in 'old' universities who see themselves primarily as researchers and not teachers. Nichols (*ibid*) explains why this is happening by examining the ILT as a professional body. She identifies three key functions: Accreditation, Development and dissemination, and Membership services. These areas of provision aim to enhance the status of teaching in HE, maintain and improve quality of teaching and learning in HE, and set standards of good professional practice that its members with teaching and learning responsibilities in due course might follow. Provision is delivered by a variety of services including recognising training and development courses and individual competence as well as offering seminars and workshops and relevant publications. Nichols argues, however, that as a professional body, the ILT needs guidelines for regular commitment to CPD for all its categories of membership, plus procedures for verifying these activities in terms of demonstrable outcomes achieved. She argues that the concept and provision for professional development is by its very nature highly complex and multi-faceted, but that it is one aspect of learning and a way in which practitioners can understand the need to change that involves continual learning whether formally or informally. This raises the question of what kind of development are we talking about and will it be acceptable to all the lecturers concerned?

Nichols responds that, in meeting the challenges of the changing landscape,

associations such as SEDA and HESDA (referred to in chapter 2) have provided opportunities and pathways for academics to gain certification and accreditation for teaching in HE. However, now that professional development related to teaching and learning has been imposed on academics in the form of the ILT it has become a source of contention. This has raised a barrier to the employing HEIs developing the culture necessary to becoming learning organisations. Nichols (*ibid*) maintains that the exact nature of the professionalism offered by the ILT is unclear and as such is being rejected by many in the academic community. A possible reason for this, given by Nichols, is that academics in HE have a large amount of autonomy and individualism, and no constant and exacting peer review of the teaching and learning. They need to preserve this autonomy and as a consequence have rejected the imposition of the ILT, not the principle of a professional body.

This theory is reinforced by the actions of the Association of University Teachers (AUT), which is the trade union representing primarily pre-1992 university academics. The AUT has expressed dissatisfaction with the ILT and announced its intention to set up its own, rival, institute. A report in *The Independent* education section in July 2001 (Hodges 2001b) makes the case for the ILT having had a slow start with a membership of only 5,000 from a possible 100,000 academics. These responses mitigate against HEIs developing a learning organisation culture as employee participation is not high. By focusing on the teaching expertise of its various classes of membership, the ILT is now being asked by academics to clarify what it is accrediting and why. Many, especially in research-based universities, do not believe they will get value for money from their membership fees if only one aspect of their work is recognised. Others fear that membership will be linked to some form of performance related pay and some academics feel pressured by their managers to join up. An example is quoted by Hodges (2001b) of a non-university HEI recommending their staff to join and even paying their membership fees. This approach to persuasion by managers may increase participation by academics but does not necessarily demonstrate that the academics are motivated to commit to the strategy.

It appears from this debate that ILT structures were perceived as, on the one

hand not clear enough, and on the other hand too prescriptive and too generic in outcome, leaving the impression that all academics need to conform to a particular protocol. HE and the academics within it require autonomy in the exercise of their expertise, and, as Nichols claims, 'effective professional development must reflect the values of HE if academics are to engage in a way that will facilitate learning and encourage critical reflection' (Nichols *ibid*). Nonetheless, the intrinsic values of HE and its constituent academic autonomy need to be balanced by clear structures of accountability that are explicit to the public.

Entwistle (1998) has different arguments about the work of the ILT. He states that teaching in HE relies substantially on the critical analysis of research-based evidence and the lack of attention to research into learning and teaching in HE is seen as paradoxical. He goes on to say that the ILT should encourage useful research into learning and teaching by ensuring a more direct focus for research on current developments in HE. Conceptual research has tended not to be policy orientated while the development work has been generally 'atheoretical' and inadequate in methodological terms. Therefore, according to Entwistle, one of the functions of the ILT should be to bring together conceptual research with development work and disseminate the findings in an accessible form so as to encourage high quality learning and a more cost-effective use of teaching resources.

A scholastic approach, albeit from a different angle, is supported by Nichols (2001) in the conclusion to her book, which advocates that

'Professional development activities of the future will only be successful if the national framework is structured but flexible and encourages personal growth and development rather than prescriptive generic values and assessment. Enhancement of learning and the development of conceptual tools are key to the lifelong learner. Self-critical review is one way of achieving this. As many in HE already know and understand, self-review, self-regulation and autonomy flourish only where there is confidence in academic communities responsibility to their learners and to their learning.'

The common denominator to these theories is that the HE community needs a professional body structure or accountability that shows publicly and effectively that teaching and learning support are part of its professional role. However, this does seem to be a very traditional response to what HE needs in terms of CPD. Notwithstanding this, senior managers of HEIs are now obliged by HEFCE to develop strategies for ensuring that CPD is provided for all staff, and that provision is monitored and evaluated. Line managers, therefore, are expected to implement these strategies. It is possible to determine the extent to which this is happening by examining the relevant Human Resource Development policies in HEIs, and these policies are reported on in chapter 7. But these documents cannot tell us how strongly the staff may resist the policies.

Nonetheless, there needs to be a context within which any policy can be examined and compared for usefulness and we need to look outside HE for concepts and models. Francis and Mazany (1998) have examined several issues for implementing CPD, drawing on the work of Drucker (1992) who claims that, for managers, 'the dynamics of knowledge impose one clear imperative: every organisation has to build the management of change into its very structure'. They implore managers not to scoff at new ways of managing their organisations and point out that there is a growing requirement for organisations to 'learn' in an ever-changing environment. They quote the work of Sonnenberg & Goldberg (1992) who suggest that companies must embrace change rather than merely cope with it so that companies learn to anticipate change rather than react to it.

Francis and Mazany (*ibid.*) introduced the concept of a 'learning organisation' as an identifiable entity with recognisable features. They acknowledge Senge (*ibid.*) as the originator of the concept on which their model is based. The main thrust of the argument is that an organisation that has in place a dynamic strategic planning process, incorporating high levels of employee participation, a high performing team-orientated culture and a participative empowering continuous improvement system has the three major constructs of a learning organisation. Supporting these three systems are leadership that is proactive and visionary, and learning that is experientially based.

Garratt (1990) defined a learning organisation as one that is geared to cope with continuous change and development arising from the content and processes needed to cope with an increasingly dynamic environment.

Pedlar (1991) believed that a learning organisation is one that facilitates the learning of all its members and continually transforms itself because its members are learners. Robinson (1994) identified the factors that kept not-for-profit companies as learning organisations and concluded that the following criteria applied:

1. There was a primary objective that could not be achieved on a short- or medium-term time scale;
2. There were continuing fresh external and internal challenges that demanded the introduction of new skills and expertise in management;
3. There was constructive dissent on short-term strategies and tactics needed to achieve long-term objectives;
4. There was a need to constantly review financial and organisational structures necessary to meet both the short-term and ultimate objectives.

It is possible that these situations, individually or severally, can be found in universities (and, indeed, other public sector organisations) as they struggle to manage the impact of a changing external environment. Robinson concluded that the organisations best placed to progress, or even survive, are companies that set up review procedures to re-define their vision when necessary, that transform their structures to cope with new challenges, and whose leaders are willing to stand aside in favour of those better equipped for the next stage of development.

Hemmington (1999b) linked learning organisations to life-long learning at work and identified several important dimensions to creating a learning culture. Ojala (1998) also developed a model for lifelong learning that can be implemented by identifying the company's core competencies related to its strategy and then transferring the competence development needs of the company into life-long learning programmes for individuals. However, unless the culture is created the learning will not happen, so it is worthwhile examining Hemmington's cultural dimensions. Whilst acknowledging that the list is not exhaustive, he found that leadership, a relationship to organisational strategy, team work, the empowerment of individuals and the existence of mentoring were all powerful factors in producing a positive

learning culture. In order for the ILT to fully support the development of learning cultures within HEIs it would need to subscribe to this theory and be able to accredit these qualities.

As they will be instrumental in developing institutions as learning organisations, the extent to which these dimensions are embedded as policies is an indication of whether the organisation is anticipating rather than reacting to change. High levels of employee participation in strategic planning and developing a team-orientated culture are unlikely to be at the top of the agenda for academic staff, who, I have already argued, are notably self-directed professionals used to working autonomously. Their reaction to the imposition of the ILT has demonstrated that they can be remarkably resistant to the introduction of any changes which they perceive to be an attack on this autonomy. As we have seen, any strategies for introducing compulsory CPD for all academic staff should be acceptable to the majority of established lecturers for them to work. Acceptability is acknowledged as a difficult area to assess because it concerns the 'soft' management issues of, for example, people management, change management and stakeholder expectations. Typical questions for this test would be 'Will proposed changes be appropriate to the general expectations within the organisation?' 'Will the function of any department, group or individual change significantly?'. The perceptions and motivations of academic staff as stakeholders in strategy development are crucial to this process. In order to be acceptable to the workforce, any new management strategy needs to demonstrate a 'what's in it for me?' factor for each member of staff. Consequently, an increased knowledge of factors that influence academic staff to develop will contribute to the understanding of how academics can be motivated to change their practice. Such information on perceptions, motivators and barriers will be useful in producing workable CPD strategies for the future.

In order to make an assessment of whether universities are moving towards becoming learning organisations, it is necessary to analyse the concept further. Francis and Muzany's concept (*ibid.*), based on work done with a city ambulance service, has elements that, on the face of it, do not readily transfer to HEIs. Hemmington (1999a) has explored the development of



learning organisations and considered, also, the role of professional bodies, which, as I have already shown, has an increasing significance in the HE scenario in the guise of the ILT. He concluded that there is a need for clearer links between CPD and organisational strategy, a theory that supports the findings of Frances and Mulzany (*ibid*). The extent of politicisation and associated ambiguity in HEI management means that any links, if they do exist, might be difficult to identify. Hemmington (*ibid*) found also that effective CPD should be continuous and that professional bodies should be focused and broad based to include formal and informal development, conducted within the context of a structured learning plan. The plan, Hemmington advocated, should be related to the strategic aims of the business as managers need to acquire strategic awareness if they are to manage their development responsibilities for both themselves and their subordinates. The current accreditation processes of the ILT do not encompass such a comprehensive approach to the development of its members.

This interpretation places an unequivocal responsibility on close involvement of managers in the process of CPD and, at the same time justifies allocation of resources for training and development. Managers, Hemmington believes, must take responsibility for their own learning and may need to 'learn how to learn' in this new leaning environment. This theory supports the work of Middlehurst (*ibid*) and Davies (*ibid*) on the importance of management learning as well. Therefore, it may offer a model that will transfer better to the world of academia than other industrial or commercial approaches.

Peach (1998), also, assessed that 'managerial learning', i.e. the managers own learning, is very important in organisational effectiveness, whilst acknowledging that there may successful entrepreneurs who would not agree. Initial success in a managerial role may be due to exceptional professional abilities, but with business growth and long term development, survival and success depend on the manager's ability to learn in a variety of ways to improve on the organisation's effectiveness. Peach (*ibid.*) went on to examine the nature of managerial learning, concluding that the nature of management itself necessitates acquiring an understanding of principles ,

practices and competencies, applying this knowledge and then building and modifying behaviour by interpreting one's own experience and that of colleagues and researchers who have codified, extrapolated or interpreted the experience of others. This would be sound advice for university managers who have obtained their posts through excellence in research or teaching rather than a demonstration of good management technique. However, Peach believed, also, that to be effective, individual managers should recognise their own strengths and weaknesses, then build a team based on this analysis that enables them to use their strengths and compensate with the talents of others in areas in which they are less strong or interested. This would be a singularly difficult approach to implement in universities where teams are chosen primarily for their research expertise or curriculum development track record rather than to fill a gap in team skills.

The nature of learning is relevant as there needs to be mechanisms or processes created that enable employees to learn whilst performing their job. Peach (ibid) maintained that, if this is so, then that is the beginning of creating a learning organisation. As most of managers' time is spent in the workplace, a learning environment created there will have a correspondingly greater impact than one or two weeks of the year spent on learning programmes. Therefore, an organisation can encourage a learning culture by providing the facilities, systems and opportunities for managerial learning. However, the motivation to learn is as important for managerial learning as it is for any other section of the workforce and, in this respect, managers are no different from academics in HEIs.

Peach (ibid.) identified three basic motivations for managers to learn, which he calls triggers to seek information. The first is the desire for security, as adding knowledge skills and qualifications gives them a better chance of keeping their jobs or obtaining new ones. Ambition when competing for internal or external promotion is the second and organisation reward structures can be instrumental in encouraging ambition. The third motivation is job satisfaction. Peach believed that the vast majority of managers wants to maximise the use of their abilities to the benefit of the organisation and its objectives, as well as for their own benefit. However, as we have seen in chapter 3, motivation is a much more complex issue than

this.

If learning organisations, life-long learning and CPD become the norm for twenty first century companies, then this raises other issues for HEIs as providers of this learning. We have seen, already, the relevance to HE of knowledge management concepts (Rowley 2000). External pressures over the last decade, addressed in chapter 2, have encouraged universities and other HE institutions to look at the commercial opportunities offered by accessing learners through other education sectors, for example Further Education, and large, non-educational firms. Mass HE and the need for wider educational opportunity have meant that HEIs have had to reshape their provisions both in terms of access and diversity of provision (Davies 1998). In future, they will have to provide learning pathways that transcend traditional boundaries. They will have to create an innovative educational culture and this will come about through, in Davies' words, 'unlikely alliances' of public and private companies or cross sector educational partnerships.

However, Bryans et al (1998) have cautioned that commercialisation of CPD by employers, professional associations and universities has led to short term approaches, impoverished learning and a distorted view of knowledge. Universities must preserve their position and should be neutral in this arena so they can encourage critical dialogue between interested parties that will enhance long term approaches to CPD. Hemmington (1998) believed that professional associations can be key players for, with less secure employment, greater competition for jobs and with companies focusing on short term profitability, the role of the professional association in providing the strategies for long-term, planned approaches to their members' professional development through formal CPD schemes will be fundamental to both individual and organisational success. Universities are involved on both sides of the CPD coin, as providers and users of learning services. Bryans' argument supports that of Entwistle's and Nichols' scholastic approach, and strengthens the need for academic autonomy in this arena, whilst Hemmington's observation potentially adds another dimension to the work of the ILT.

To summarise, learning organisations provide a model for implementing staff and management learning in the context of organisational change. Change in HE has influenced the development of a division of labour between research and teaching staff and added pressure for the introduction of a professional teaching qualification. The ILT is attempting to introduce a culture of staff development and set standards for good professional practice, but practitioners and their managers must understand the need to change and that it involves continual learning. The imposition of the ILT has been rejected by some HE practitioners who see it as an attack on their academic freedom and autonomy. It is the imposition of a professional body rather than the principle that is rejected.

Learning organisations are institutions geared to cope with change and development and they facilitate learning in all their members. Their organisational development needs are explicit and linked to lifelong learning programmes for their members. An indicator of a learning organisation is the existence of a positive learning culture evidenced by good leadership, learning that is linked to organisational strategy, team-work and individual empowerment. For HEIs, employee participation in strategy formations and a team-orientated culture may be at variance with an academic culture of individual autonomy. Managerial learning is a key factor in successful learning organisations and it should encompass a strategic awareness that is applied to their developmental responsibilities. Also, managers should be responsible for their own learning and have opportunities for work-based learning. For CPD in HE to be acceptable to academics and their managers it should be of a scholarly nature bringing together conceptual research with development work. Also, HE as an educational sector has an additional role as a provider of CPD for other organisations and it needs to maintain its academic autonomy to deliver this.

## Chapter 5 Managing CPD

Chapter 4 has outlined some of the principles and indicators of CPD and learning organisations, and identified some of the difficulties of absorbing these approaches into the existing academic culture of HE. However, PARN (1999) has offered some pointers in the direction of defining CPD that may be helpful to managers in the context of organisational change and developing a learning organisation. It recommends the consideration of several definitions which are summarised as follows:

Madden and Mitchell (1993) defined CPD as

'The maintenance and enhancement of the knowledge, expertise and competence of professionals throughout their careers, according to a plan formulated with regard to the needs of the professional, the employer and society.'

This definition introduced the notion of competence alongside knowledge and expertise for professionals and emphasised the importance of structure and the input of external stakeholder needs to the CPD process. Individual needs in a professional context are included as well as those of the larger society. However, structure and plans were not considered to be priorities by the management theorists discussed in chapter 1, although the process of planning is a useful change management tool. Neither structure nor planning process was judged to be important by the cases interviewed in the part A pilot study (King 1997 unpublished). Tomlinson (1993) gave a definition of CPD as:

'The systematic maintenance, improvement and broadening of knowledge and skills, and the development of personal qualities necessary for the execution of professional managerial and technical duties throughout one's working life.'

Here, although a systematic approach has been advocated, the professional role and responsibilities are considered to be of greater importance. This perspective is supported by the data in King (1997) and the individual perspective would have more compatibility with the principles of academic freedom. However, the 'development of personal qualities' may be seen as an attack on highly valued academic autonomy.

At Lancaster University, Geale, Cockett & Rogerson (1995) have developed a further definition as:

'The purposive maintenance, improvement and broadening of your knowledge, skills and personal qualities in order to perform your professional activities successfully throughout your working life.'

Although this approach is similar to Tomlinson (ibid), the personal quality aspects have been linked explicitly with the professional role and included in the underpinning rationale for the CPD activity. This connection between personal development and professional role was not made by the interviewees in King (1997), who focused on professional tasks as the motivational drivers for themselves.

These definitions share common factors of identifying the development of skills or competence as an essential aspect of CPD and from them Rapkins (1996) derived the three crucial elements of CPD, identified as:

1. It is systematic or planned.
2. It is about broadening and deepening knowledge and skill, in addition to updating.
3. It is a lifelong learning commitment to continuing professional competence.

The pilot study data (King 1997 unpublished) indicated that, for the academics interviewed, their CPD was not systematic or planned though it was clearly linked to their professional role and the work they were doing. This implies that professional competence is relevant to academics and that the principle of broadening knowledge and skill is acceptable. However, professional competence alone will not be sufficient without a will to apply it in new situations. A willingness to respond to the demands of change implies the need for a degree of personal development, an aspect that was not included in Rapkins' definition, nor in academics' understanding of CPD demonstrated by King. Without an explicit personal dimension there is no scope for influencing attitude change which is an essential aspect of CPD in times of constant and rapid change and a major indicator of culture change.

Perhaps, in Rapkins' definition and the cases in King, the relevant elements of professional ability were intended to encompass the personal dimension and, therefore, personal development was assumed to be included as part of the development of professional competence. The focus of the research questions in this study is to illuminate the perceptions of academic staff and their line managers on what CPD is, and how academics can be motivated to engage with it, in order to be able to manage the process of CPD better, and further data was collected for part B of this doctorate in this respect. The analysis of this data is reported in chapter 6. Notwithstanding this question of a personal dimension, there are a further two areas for exploration here. The issue of competence as a concept in higher education, which is dealt with later in this chapter, and the fact that professional development for university academics cannot be considered in isolation from those factors relevant to staff development in other professions. Indeed, universities as institutions are major stakeholders in the provision of CPD for all professions.

Becher (1999) has argued for universities to become more closely involved with meeting the learning needs of mid-career professionals generally, a policy that would enhance the CPD opportunities of their own staff as well as those of other professions. In his paper, Becher presents a case for universities to become substantially involved in providing for the learning needs of professionals in mid career and such arguments apply equally to academics as they do to other professions.

'In adopting a systematic policy for academic involvement in continuing professional learning, there would seem to be a strong case for "mainstreaming" courses, consultancies and other activities. That is to say, they need to be regarded as an integral, rather than a peripheral, "bolted-on" aspect of academic activity.'

(Becher 1999)

This is generic advice aimed at the professions (including university professionals) as well as university managers for their mutual benefit. Becher's thesis is that the individual professional would benefit from 'mainstreaming' by a perceived increase in academic status of their CPD

curriculum, which could become a natural part of, for example, a postgraduate or doctorate qualification rather than a 'special case' that the professional body accepts as an equivalent. This implies a sea change in HE curriculum development especially at the higher degree level. Masters degrees targeting particular professions such as business administration, education and engineering are reasonably well established in the academic curriculum but professional doctorates in these curriculum areas are relative newcomers and only just beginning to gain ground as mainstream university work. However, if universities were to follow Becher's recommendations the benefits could be twofold. An improved curriculum for professional development might lead to new sources of students and this, in turn, would support the widening participation agenda and could lead to improved student numbers. Wider choices for CPD at a higher degree level could include, also, opportunities for professions indigenous to HE and this would enhance CPD opportunities for their own staff, including managers. The issue of professional competence is as relevant to managers of academics in HE as is it to the academics themselves. Middlehurst (1995:106) has identified that:

'In organisations of professionals (such as universities) competence as a professional, and understanding and appreciation of professional values and culture are also likely to be prerequisites for senior institutional positions.

. . .

Competence is usually interpreted in terms of the individual level of technical and professional skill. . . Poor management at the top (or at other levels) directly affects the capacity and the motivation of individuals and groups to teach, research and learn to their fullest potential.'

Two of the de-motivating factors given by the cases in King (ibid) were the direct concern of management exemplified by 'coping with the development culture' and 'being managed'.

However, improvements in the curriculum for professional development, whether for staff or their managers, ought not to be considered in isolation from wider curriculum development in HE, especially in relation to issues such as personal development and professional competence. Barnett (1994)



addressed the issue of professional education in HE in his book *The Limits of Competence*. He examined arguments for the HE curriculum that are especially relevant to professional competencies and found that they are based on the premise that academic and world of work skills are 'poles apart'. Academia has discipline specific skills or more general cross disciplinary skills, whilst the workplace values operational competence such as profession specific skills or more general personal transferable skills (Barnett 1994:62). In his thorough treatment of the concept of competence Barnett described academic competence in terms such as 'know that', 'propositions', 'disciplinary', 'truthfulness', and operational competence as 'know how', 'outcomes', 'strategic' and 'economic'. He endeavoured to demonstrate that both are impoverished and sketches out an 'alternative conception of human being which might furnish us with new kinds of educational aim for the new century' (Barnett 1994:178). As a way forward, Barnett introduced the term 'life-world' as a term capturing the point that what is at issue is an education for the world of human life. In other words, the 'life-world' is broader than the world of either corporate competence or academic competence whilst accepting that both ideologies will, of course, continue to defend their current positions and beliefs. **Table 4.1** (see next page) illustrates conceptually how the academic and operational aspects of HE learning can be taken beyond competence to 'life-world becoming'.

Barnett's concept of 'life-world becoming' did not dispense with the principles underpinning academic and operational competence. Rather, the concept attempted to amalgamate what is valuable about both. This approach was echoed in by Ramsden (1998) in his plea to dispense with the either-or illusions of providing answers or solutions to current problems, and to amalgamate rather than polarise in all areas of the organisation (see chapter 1). An HE curriculum that was based on 'life-world becoming' would embed principles of 'world experience as human beings' in HE learning and, in so doing, enable personal development activity to become the norm rather than the exception.

**Table 4.1 Beyond Competence (Adapted from Barnett 1994:179)**

	<u>Operational</u> competence	<u>Academic</u> competence	<u>Life-world</u> becoming
Epistemology	Know how	Know that	Reflective knowing
Situations	Defined pragmatically	Defined intellectually	Open definition
Focus	Outcomes	Propositions	Dialogue & argument
Transferability	Metaoperations	Metacognition	Metacritique
Learning	Experiential	Propositional	Metalearning
Communication	Strategic	Disciplinary	Dialogical
Evaluation	Economic	Truthfulness	Consensus
Value orientation	Economic survival	Strength of discipline	The 'common good'
Boundary conditions	Organisational norms	Intellectual norms	Discourse practicalities
Critique	For better practical effectiveness	For better cognitive understanding	For better practical understanding

Barnett outlined the new concept for HE as 'a process of becoming'. He believed that the implications for higher education would be straightforward and that the HE process should be arranged to promote these kinds of 'life-world becoming'. This would entail HE providing learning experiences that encourage, for example:

Systematic reflection on one's own actions including one's own thinking;

A curriculum that is partly framed by students;

Genuinely open dialogue with students encouraged to develop dialogical competence;

Interrogation of, as well as adherence to the rules of rational discourse;

A willingness to develop arguments for the appraisal of other course participants,

An openness to possible forms of analysis and not restricted by any particular method;

Development of and continuous expression of a sceptical outlook;

Maintenance of the character of the dialogue and encouraging others who wish to enter it;

A continual reappraisal of one's own learning aided by peer interaction;

Testing implications and validity of arguments in practical situations, including ethical evaluations;

Exploring implications of valid arguments for social, political, economic and other institutions.

(Adapted from Barnett 1994:185)

Barnett concluded by stating that the list *per se* is not controversial but it does run counter to the positions of academic and operational competence because there is no mention of academic disciplines, truth, knowledge or objectivity on the one hand, or any reference to operational skills, competence or outcomes on the other. This amalgamation of approaches would appear to have particular relevance to professional CPD in HE, where academic and operational skills need to be blended.

The concept of competence in relation to CPD was challenged, also, by Smith and Bennett (1998) in the context of the impact of CPD on educational management. Standards of competence underpinned the Management Charter Initiative (MCI 1991) which identified key roles for professionals (managers in this case), and associated them with functional 'units' of competence. Smith and Bennett contrasted the MCI model based on satisfactory performance with an American company model - the McBer model - where competence is defined on the basis of superior rather than satisfactory performance. The McBer model focuses on the person rather than the job role. This challenges the data on staff perceptions in King (1997 unpublished) that 'doing the job' was acceptable CPD. It is the competence of the person to do a superior job that is crucial. McBer believes that competencies can be possessed by the person at several levels that will influence behaviour both consciously and unconsciously. Superior performance at a given level does not automatically incorporate all those competencies needed for superior performance at a more junior level, a concept that is implied by the hierarchical MCI model. This supports Barnett's philosophy that 'life-world becoming' involving personal development integrated with academic and professional development is necessary for twenty first century HE.

The theories of Barnett, and Smith and Bennett, support the view that competence-based approach to training and development does not have a significant following in HE institutions. My own experiences of delivering staff development to HE academics in three HEIs suggest this is due to a concern that the underpinning knowledge and theory may be neglected in such approaches. Similar criticisms have been raised by some employers about National Vocational Qualifications (NVQs). This concept was acknowledged in the Cannon Report produced by the Institute of Management which recommended a programme of research to 'bring out the distinct, specific and complementary roles of competence, knowledge, understanding and skill based management education and training' (Institute of Management 1994:50). This is precisely the amalgamation of domains that Barnett (ibid) proposed in his 'life-world becoming' goals of, for example, reflective knowing, dialogue and argument, metalearning, and better practical understanding. Innovations in management education have a relevance to this study. Although the focus is on CPD for university academic staff and its implications for management, those implications cannot exclude the option for managers to undertake a programme of CPD themselves.

However, the Smith and Bennett (1998) paper is concerned primarily with considering the impact of professional development on the practice of educational management and leadership. It identifies three major conceptual strands that might underpin this type of CPD:

- A. The nature of the practice;
- B. The attributes the professional might draw upon in performing their role;
- C. The nature of the professional development, education and training;

The paper concludes with a summary indicating the enormous complexity of the task of developing a general framework that can be applied to assessing the impact of any form of CPD in this context. The work is ongoing, though several factors have been identified so far including:

- I. The number of conceptual factors involved, and the dynamic, re-iterative and interactive nature of many of these factors.

This supports the findings of Riches' analysis (Riches 1997) of the complexity of one such concept, motivation, the influences on which are a major theme in this study, and the high performance cycle model identified

by Locke and Latham (1990), which demonstrates precisely this complex nature of CPD in the context of motivation (see chapter 3);

II. The different practical approaches to CPD, and unintended as well as intended outcomes.

These have been, and continue to be, addressed by the work of PARN (ibid.). For HE specifically, the ILT is developing its own model which is still being tested out by the profession as chapter 3 of this study has reported.

III. Individual differences and work contexts.

This has been raised as an issue in chapters 3 and 4, and is addressed in a more substantive way through the work of Oldroyd & Hall (1997) later in this chapter.

IV. For management, especially, the difficulty of relating impact on management and leadership practice to its impact in the teaching learning situation.

This is examined, in an HE context, at the end of this chapter where research on how Heads of Department manage performance is considered.

To summarise, it seems that the issue of competence for academics and their managers, in the context of motivating academics to undertake CPD and the implications for management, cannot be ignored. In the context of impact of CPD on teaching and learning Smith and Bennett (1997) found that the hierarchical nature of an existing UK competency model for satisfactory management performance is not the most applicable for education. Barnett (1994) has devised a new taxonomy to inform the design of a generic higher education learning experience that is neither professionally nor academically focused but an amalgamation of both. Smith and Bennett suggest an American model that focuses on the person and superior performance, and acknowledges a mix of competence levels at any one time. However, they concede an enormous complexity in the task of developing a framework to assess the impact of CPD. The importance of the person in CPD strategy is identified by PARN (ibid), in quotations on its website relating to organisational change and the learning organisation. If the key to a CPD learning process is individual ownership of plans and the existence of links between them and the organisation's dynamics, then learning and development has to take place at all levels in a company and

not left to top management to work out solutions for everyone else to follow. As chapter 4 has shown, this principle underpins the development of a learning organisation.

Chapter 2 examined the Madden and Mitchell (1993) models of CPD policy and practice. A sanctions approach tends towards a controlling system of development favoured by bureaucratic and hierarchical management models, and found in old established professional bodies. It is characterised by being input orientated and mandatory with compliance monitored by the professional body and activities that focus on updating technical knowledge and skill. This contrasts with the benefits model, characterised by being output orientated and voluntary. In a benefits model, participation is encouraged by offering incentives and with rewards for undertaking development activities. At present the ILT model, as considered in chapters 2 and 4, is hovering some way between the two but at present nearer to the benefits model as membership is not universally mandatory. Nonetheless compulsory membership or registration has been discussed as an option for the future. There is a strong expectation for new teaching staff to undertake courses that prepare them to teach and an equally strong expectation that universities will have their preparatory course recognised by the ILT. The discussion in chapter 4 on this issue indicates that the jury is still out on the acceptability or not of the ILT structure and processes. The major data collecting exercise undertaken in Part B of this EdD study included questions relating the perceptions of academics and their line managers on the value of the ILT and this is reported on in chapter 7.

These are relevant questions to ask, also, in the formulation of a CPD strategy for HE academics for they are key stakeholders influencing the acceptability of CPD strategy, and this has significant implications for management in terms of understanding their staff's motivations. As HE moves forward into more expansion and change, the perceptions of academics and their managers in relation to CPD become critical if sustainable change is to be effected.

In an unpublished study (King 1997) reported earlier, which focused on mid career lecturers, there was some uncertainty, even suspicion, from

established lecturers about management-imposed educational development activities, and there were criticisms from staff about lack of management support. Also, a fear of 'being seen to fail' may have prevented staff in this earlier study from benefiting from training opportunities. The data demonstrated that there seemed to be no resistance from staff to take on new job responsibilities. If undertaking aspects of one's job is a form of staff development, then, potentially, this could become a powerful method of accomplishing the CPD task? Planned career development including a formalised reflective process could provide the basis of a performance management process for staff. However, as we shall see in the latter part of this chapter, the concept of career and who owns it is also an issue. Also, the data reported in King (1997) were from a very small scale study undertaken in one university and need to be tested out with a larger sample from other HE institutions before any conclusions can be drawn.

Nonetheless, this early data indicated that staff are self-motivated to undertake a variety of CPD activities, but that this motivation was perceived to be not supported by management in some cases. A possible explanation is the existence of tensions between staff professional tendencies and the need for managers to follow government agendas or market forces.

Oldroyd and Hall (1997) have identified that tensions caused by individual differences and work contexts exist within the school teaching profession. They have developed a comprehensive model for schools to identify needs and priorities in CPD that emphasises a democratic process in balancing the needs of individuals and the whole school. In this model the process is key to successful implementation and is seen as one of development rather than correction. We have already noted in chapter 1 that, in a planning context, process is more relevant than outcomes (Fullan 1989). Therefore, such a model, developed as a process for producing an effective professional development plan for a school, may offer some pointers that are equally applicable to HE.

Two of the processes in the model are visualised in Appendix 4, i.e. an approach to identifying needs and priorities in CPD and a pro-forma for documenting the sources of needs and the purpose of any activities designed to meet those needs for the whole school, the workforce group and the

individual. Oldroyd and Hall advocated a democratic rather than imposed process which takes account of the needs of individuals and groups as well as the whole school so that there is a balance between the departmental and personal goals of the stakeholders. They began by identifying principles that underpin the process, for example,

- a) balancing the needs of individuals with whole school needs and fully involving staff at all stages,
- b) that the process itself forms part of 'medium and message' development, and that the process is one of development and not correction.

The paper gave detailed direction on how the issues of data gathering and data interpretation and then choices for action, some of which are delicate, can be managed. It outlined a model for a staff development needs matrix charting sources of needs and purposes of activities to meet those needs, set against the levels at which they can occur, that is, at individual, group and whole school level (see Appendix 4).

Oldroyd and Hall described, also, ways of identifying needs at the different levels using a variety of documentary and activity sources, and they considered the practical implications of both top down and bottom up approaches to this task. However, whether this model could be applied to HE where the university replaces the school and the faculty becomes the workforce group is a matter of speculation. As HE institutions have been more competitive and business-like, developing their management processes from lessons learned in the corporate world of commerce, they have become less paternalistic about their employees. An example of this can be found in the changing nature of the individual career. Adamson et al (1996) have produced a working paper on redefining the concept of 'career' which suggested that the notion of an 'organisational career' owned and managed by the company is no longer valid. The workforce is now more mobile and there is more professional work offered on a part-time basis or as a consultancy contract. Higher Education is no different from other companies in this respect; tenure is no longer automatic and academics cannot be guaranteed a job-for-life. The individual, not the employer, now has ownership of the 'career' bringing specific needs as well as responsibilities to that individual.



The concept of 'ownership' was highlighted by PARN (1999) in its summary of the analyses of CPD policies from numerous professional associations. In describing different approaches to CPD, PARN identified that 'the learning process is much more effective if learners can establish clear ownership of their learning and development plans, than if they were simply told what to do by their professional body or employer'. This supports several of the theories considered in chapter 1 concerning acceptability as a key element in successful implementation of a strategy (Hoyle 1989a&b, Bennett 2001, Hellowell and Hancock 2001, Fullan 1989, Johnson and Scholes 1993 and The Open University 1994). If this is the case then staff ownership of CPD principles and practices is crucial. This concept of individuals being important stakeholders in CPD policy and delivery reinforces the views of Oldroyd and Hall discussed earlier, that the process of producing an effective professional development plan should be democratic rather than imposed. As chapter 1 has shown, democratic processes in HE are found in collegial management models. Notwithstanding the difficulties of managing resistance to change and conflict this issue has significant implications for organisations that are managed by bureaucratic hierarchical systems and have little manoeuvrability for introducing more democratic processes.

PARN stresses, also, the importance of the learning organisation in managing CPD, stating that, 'the learning organisation makes links between the individual manager's learning and the dynamics of his/her organisation. Thus learning has a strong relationship with organisational change, and vice versa. The importance of 'the learning organisation' as a concept in change management has been addressed in chapter 4, whilst chapter 2 examined the increasing external scrutiny of universities and suggested that this has led to increasing pressure on heads of department to deliver increased performance. Jackson (1999) has researched in detail how heads of department manage performance and outlined the struggle they have due to the lack of available options and possibilities to influence performance. He studied fourteen cases from UK institutions to examine how heads of department managed performance. The paper established that heads of department have often struggled due to a lack of options and possibilities to influence performance, and a lack of management training to help them

achieve it.

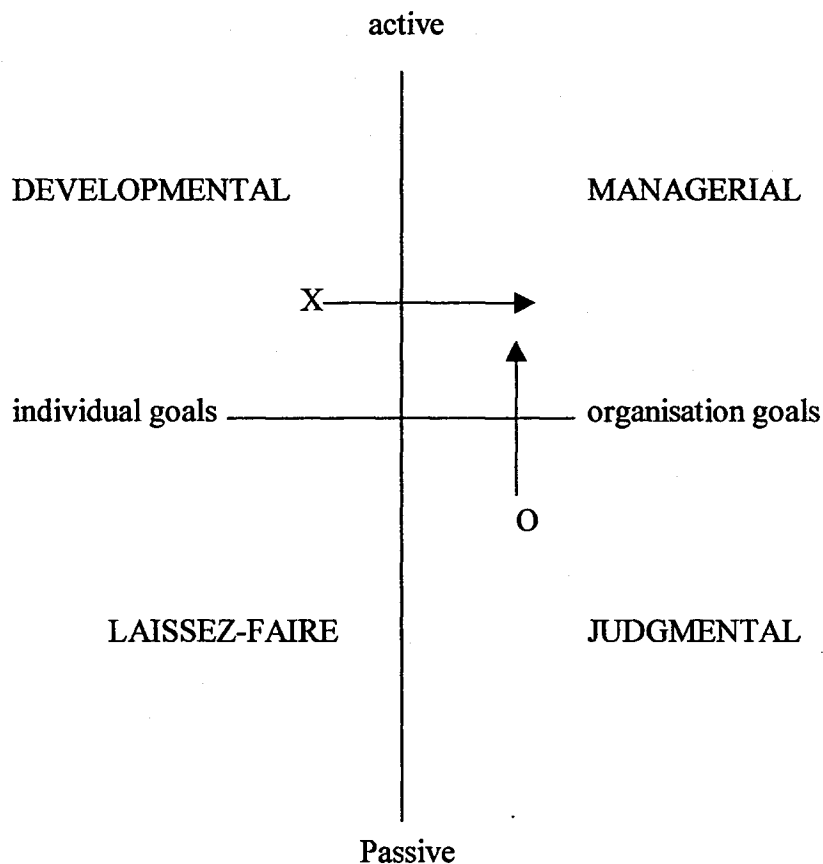
Jackson concluded that the real problem facing universities in this area arises from the fact that the change in role of head of department has not been thought through. The presenting problem is only a symptom. The real 'illness' facing universities is that the changing role of head of department has not come about because of an internal management need, but has been a reaction to pressure from the external environment, a situation that has led to increasing ambiguity and confusion. According to Jackson, Heads of Departments have neither the tools to do the job, nor the training to support their development in their new role. Further to this, there could be a mismatch of role expectations between staff and management. For example, any differences in attitudes of staff and management to appraisal and the role of management is likely to cause tension in departments and faculties. Academic staff may be looking for a supportive, development role in their Heads and expecting them to be operational managers whereas the Heads themselves might view their role as more strategic management and may delegate operational matters to someone else. A mismatch of expectations between academics and their line managers was an issue affecting motivation raised by one of the cases in King (1997 unpublished). In Hellowell and Hancock (2001), the reason that heads of department supported collegiality as the 'most appropriate form of decision making in HE' was because they felt it was important to 'win the hearts and minds of staff in favour of the necessary changes if the university were to flourish' (see chapter 1).

The ambiguity resulting from differences in attitudes and mismatch of expectations between academics and their line managers can be explained to some extent by Poster and Poster (1997) who studied organisational management styles and climate in relation to appraisals as performance or staff development reviews. Poster & Poster examined organisational management styles and climate in relation to staff appraisals and produced models that help to identify the management styles prevailing in universities. The paper identifies four ideal types of staff appraisal based on whether the emphasis is on individual or organisational goals and the extent to which management sees itself as having a proactive role, for

example, in setting targets and identifying needs. The types are presented as models of appraisal, all of which have strengths and weaknesses. A judgmental model emerges from establishments with strong organisational goals and passive management influence, moving to a managerial model if management becomes more proactive. Focus on individual goals with passive management influence is found in a laissez-faire model whereas individual goals and a proactive management style result in a developmental model. The relationship between the types is illustrated in Figure 5.1 (see next page).

From the literature examined it can be concluded that the 'new' (former polytechnic) ones are migrating from a judgmental to a managerial model whilst 'old' (pre-1992) universities are moving from developmental to managerial. In 'old' universities the individual goals of academic excellence in terms of research were congruent with the organisational goals and the university management actively supported both. However, organisational goals appear to be gaining in importance at the expense of individual goals as these universities moves towards a more managerial model. Similarly, for the 'new' university where organisational goals (e.g. in increasing student numbers) have historically been more important than individual goals, management is moving to a much more active role in appraisal.

**Figure 5.1 Types of Appraisal Interview (Poster and Poster 1997)**



Key:

- X 'old' university
- O 'new' university

Hutchinson (1997), also, has researched the tensions and possibilities of the appraisal process and advocated a move towards individual development to bring about organisational development. His key recommendation was for organisations to be listening and responding rather than telling and supervising, a concept that underpins the learning organisation expounded by PARN (ibid.). In 'Appraising appraisal: some tensions and possibilities', Hutchinson (1997) concluded that the formal organisational concern with attending to and promoting staff's thinking in connection with their personal work and plans (i.e. the appraisal interview) was more likely to achieve a positive contribution to the realisation of organisational goals than the 'limited and limiting production of rational organisational plans and the 'impersonal and imperious distribution and collation of checklists and

questionnaires'. In other words, appraisals need to be about individual development in order to bring about organisational development. Furthermore, Hutchinson (1997) found that, when these are designed to stimulate competition among staff for the personal acquisition of scarce resources, the longer-term effect would be to deter rather than develop. He added that

'if quality and improvement in the reflective practitioner mode are to be preferred, then the shape and form which the appraisal interview takes ought to be expanded into other areas of university work. At the core it would seem that it is the balance between the organisation's ability and willingness to listen and respond, rather than tell and supervise which is crucial'.

A conclusion can be drawn that, perhaps, two essential features of becoming a learning organisation are the development of reflective professionals at all levels and a culture of listening and responding in all directions.

To summarise, Hutchinson has studied the tension and ambiguity in appraisals with the intention of finding a compromise situation. He suggests that the appraisal interview was more likely to achieve a positive contribution to the realisation of organisational goals if the emphasis was on individual development rather than strategy and procedure. He recommended, also, that competition for resources between staff would have a negative developmental effect and advocated that the principles of reflection and development used in appraisals would transfer equally well to other aspects of university management. However it is the implementation of such a strategy that is likely to illuminate the differences between staff and management expectations as university management styles have moved away from the democracy of collegiality and towards managerialism, exemplified by Poster and Poster (1997). We have seen that the traditional organisational career is under threat. If this is the case, the academic career belongs, now, to the individual and is not the concern of the university. Heads of Departments are struggling to find ways of influencing academic staff performance so that tensions arise in appraisal as the vehicle for clarifying expectations and goal setting.

Universities have flourished, traditionally, through developing strong individual autonomy amongst their staff and an emphasis on producing competitive academic excellence as opposed to any practical employability skills such as team working, general rather than academic communication skills and business awareness. These traditions, whilst essential to maintaining academic excellence, can militate strongly against introducing systematic, lifelong learning commitments to CPD for academic staff that will be strategically suitable for university institutions in the new millennium. The difficulty appears to lie in implementing policy change in strongly autonomous institutions. This is a key challenge for managers at all levels, but especially for line managers whose prime task is to motivate their staff. For, during times of change and development relevant and timely staff development is crucial to the implementation of strategy. In this chapter we have seen that management style, exemplified by appraisal processes, emanating as it does from the prevailing management model of the institution, has a significant influence on staff motivation and commitment. Ambiguity and poor management will de-motivate staff to engage in the organisational development processes necessary for the institution to thrive. Both academics and their managers need to share an understanding of what CPD means for staff in this context and this has wider implications for the generic HE curriculum. Good professional development must include a personal development dimension implying a degree of individual ownership of the process so that individual needs can become part of organisational needs. The process is crucial to achievement of institutional goals so that organisational pathos is avoided and line managers are equipped with tools to implement strategy. The influences of the ILT and staff appraisal are part of that process.

The fieldwork aspect of this study has attempted to gather and analyse the perceptions of academics and their line managers in this area of CPD. It has asked what they understand by CPD and what activities they undertake. It has also asked for their views on the ILT and appraisal, and, for managers, how prepared they are for their task. The rationale for the research methodology is reported in the next chapter followed by an analysis of the data and conclusions from the study.

## CHAPTER 6 Research methodology

The focus of this research was to explore the perceptions of academics and their line managers of CPD in order to determine the factors that motivate academics to engage with CPD and ascertain the implications for their managers. Specifically, the questions were:

What do academic staff and their managers understand by CPD for academics?

What are the factors that motivate academic staff to undertake CPD and what are the barriers?

What are the implications for university management to be drawn from this evidence?

Therefore, this study is about an aspect of educational practice and the relationship between relevant theories and that practice. However, the nature and function of educational enquiry and research are contested and a polemic exists for educational researchers (ESRC 2002). Some analysis of where these beliefs come from and how they can be applied to modern research will contribute to a justification of the methods used in this study. The methodology used is founded on arguments presented in 'Educational Research in Action (The Open University 1997). Educational practice is guided not only by theory but also by the demands of the practical situation in which the theory is applied. Theory is developed through research, therefore it follows that the relationship between research and practice has some bearing on this study. In this chapter I examine the nature of educational practice, how it can be defined and consider how models of investigation can be applied to educational research and practice generally and this study in particular.

In addressing the question 'what is educational practice?' Schon (1983, 1987) analysed the nature of professional practice and expressed concern for the value of research in relation to this. He said,

'in recent years there has been a growing perception that researchers, who are supposed to feed the professional schools with useful knowledge have less and less to say that practitioners find useful'

(Schon 1987:10)

His argument was that 'knowing-in-action' was different in character from the application of scientific knowledge or method to practice, yet remained rigorous in its own terms. He identified 'reflection in action' as an ability to think about what one is doing whilst doing it, and argued that it was through this that professional skill and wisdom are built up in the course of experience. Parallels in this approach to research can be drawn with Barnett's thesis on HE curriculum development towards 'life-world becoming' (Barnett 1994). Both concepts value reflective knowing for better practical understanding.

Carr (1993) in his article 'What is an educational practice?' examined the essence of educational practice from a classical perspective. He argued that the important conceptual distinctions were not between 'theory and practice', 'knowledge and action' or 'knowing how and knowing that' but that they were the distinctions between different kinds of action. He used classical Greek terms to distinguish between two different forms of human action, 'praxis' and 'poiesis', or, in modern terms, 'doing something' and 'making something'. Carr explained that the outcome of poiesis is production of some kind and therefore, according to Aristotle, relied on 'techne', meaning technical knowledge or expertise. However, he qualified this by saying that 'good deliberation is also dependent on 'phronesis' or practical wisdom and without this, deliberation will degenerate into an intellectual exercise' (Carr 1993:171). He concludes that educational practice cannot be made intelligible as a form of poiesis, but only as a form of praxis which is guided by ethical criteria inherent in the educational practice itself. (Carr 1993:173)

Carr's concept that theory and practice are inter-related and interdependent as praxis, and that it is a form of reflexive action which can itself transform the theory that guides it, concurs with the 'reflection in action' concept of Schon (ibid). In essence, both Carr and Schon said that theory is as subject to change as practice and neither takes precedence as each is continuously being modified and revised by the other. If this is the case, and educational practice is guided not just by theory but also by the demands of the practical situation in which the theory is applied, then, it follows that any direction implied by theory must be qualified by 'wise and prudent judgement' (Carr



1993:172), or a judgement based on professional experience.

This notion is supported by Hirst (1993) who examined two conceptions of educational theory in an essay that clarified the relationship operating between the knowledge produced by researchers in various educational disciplines and the practice of teachers. He contrasted work that supports the application of scientific laws to policymaking and practice, with his own views that generic principles are developed in the course of practice itself. In his analysis of those principles, and the role of educational research in relationship to them, he concluded that educational theory guides practice but does not completely determine it, and that associated disciplines, for example psychology and sociology, can inform educational theory but not replace it or provide a template for it. He maintained that theories produced by educational research are not necessarily aimed at improving practice but are concerned with constructing knowledge about aspects of behaviour in practice. He argued that this focus is narrow and that educational theory needs to encompass a wider range of considerations. Hirst concluded that theory is, of necessity, the property of practitioners (The Open University 1996:27), an approach that is supported by the work of Stenhouse (1975) in his article 'The teacher as researcher', and Kemmis (1993) in 'Action research'. These findings reinforce the importance of the concept of practice in this discussion, and Hirst, like Carr (*ibid*) emphasises the essential role of judgement in all practical activities.

To summarise these arguments, educational enquiry needs to involve reflection on theory in the context of practice and the implications of theory should encompass practical outcomes. Theory and what happens in practice are both important and theory can guide practice via the knowledge that it builds. However educational theory is the property of educational practitioners and not others and any direction implied by theory should be qualified by a judgement based on professional experience. Therefore, it would be proper that the views of those involved in professional practice are considered in such an enquiry.

If this is the case, then how relevant is the engineering model of the relationship between research and practice in present day education? A

definition of this model is encompassed in the following quotation

'In the first half of this century there was great confidence about the contribution that scientific research could make to education and pioneers sought to carry out research which would develop educational and administrative technologies . . . This would improve the quality of education in the same way that scientific technology had improved other aspects of modern life and the relationship between research and educational practice assumed by these early researchers is referred to as the engineering model.'

(The Open University 1996:24)

Essentially, the engineering model is an approach to this relationship that argues that scientific research makes a direct and substantial contribution to practice. This contribution is conceptualised in different ways and there are the two extremes of interpretation. The first is a belief that the knowledge which scientific research produces can be translated into policies that are then implemented, and the second is an idea that the methods developed by science can themselves be applied to educational policymaking and practice. Either it may produce an educational theory that is concerned entirely with factual matters and a system of laws that explain the occurrence of different events under identifiable conditions. The knowledge constructed provides a basis for improvement in practice that is more reliable than, and could replace, what was previously regarded as 'folk wisdom'. Or, the engineering model provides a framework for educational practice by applying the principles of scientific method, for example, systematic approaches, rational objectives and evaluations that are fed into the processes of educational policy formation.

The criticisms of the engineering model centre around its reliance on quantitative research and positivism. Practitioners have found that it is not practical enough to be able to satisfy the needs of educational practice. For example, relying on observable behaviour alone, even though it is systematic and scientific, ignores the multiple perspectives of the practitioners of education. In curriculum evaluation research, quantitative investigation alone cannot be effective as it may overlook a large number of

complex and interrelated facts that are affecting the educational practice simply because they are outside predetermined brief of the research project. These are criticisms of the model are based on its methodology. However there are arguments against the conception of policymaking and practice which it assumes. Earlier chapters in this study have highlighted the complex and political nature of HEIs as organisations. Weiss (1980) observed that educational decision making does not conform to the highly rationalistic pattern assumed by the engineering model, and said that research findings rarely had a direct or decisive effect on professional practice. This conclusion is echoed by Lindblom and Cohen (1979) who argued that problems are not usually solved by policy makers drawing on research information or by gathering and analysing information themselves. Decision making is a much more complex and indeterminate process and problem solving

‘is and ought to be done through various forms of social interaction that substitute action for thought, understanding and analysis.’

(Lindblom and Cohen 1979:10, in The Open University 1996:26)

In other words, the process is a political one and not an intellectual problem solving activity. Information provides only a small part of the solution for a knowledge based problem. Practical skill and judgement are equally important. This argument supports the philosophies of Carr (1993) and Hirst (1993) concerning educational practice and its relationship to research referred to earlier in this chapter. If there are such strong justifications not to apply an engineering model of research, what models can be used to address the relationship between research and practice in a more meaningful way and provide a direction for this particular study?

Diversity of approach may be found in the enlightenment model. This model (The Open University 1996:27-30) attempts to draw, in an eclectic manner, on the best aspects of various approaches to research. It does not concern itself primarily with knowledge construction, or, indeed, make claims to providing solutions to problems. Instead, it defines its purpose as supplying resources that can be used by policymakers and practitioners. These may take the form of, for example, descriptive information about the situations they face or concepts that assist understanding of these situations

or their roles within them. The outcome of this is that practitioners can develop better insight that enables them to reflect on their practice in a new light. When taken at face value, the enlightenment model it appears to have less impact on practice as it does not have the empirical research aims that the engineering model has. In fact it is potentially more powerful because of its practical approach, which has more relevance to practice and therefore can be more pervasive in its influence. The learning outcome for practitioners is that they are better prepared to manage the uncertainties of practice by applying the resources produced by the enlightenment model than by applying the factual knowledge associated with the engineering model. That is not to say that the engineering model is totally redundant, for the enlightenment model in some of its approaches may draw on features of the engineering model. The important factor is that it does not depend solely on these features. However, an eclectic approach that could supply resources for practitioners to gain better insight into their practice would better meet the requirements of educational enquiry as identified by Schon(ibid), Carr (ibid) and Hirst (ibid) at the beginning of this chapter.

Four types of enlightenment approach to educational research have been identified (The Open University 1996:28-30). These are discipline focused inquiry, critical research, anthropological evaluation and educational action research. Discipline focused inquiry contributes primarily to theoretical knowledge and its application to practice is not immediately obvious. In this respect it has much in common with the engineering model. It is tied to a discipline, often sociology or psychology, and this may create a tension with the need of educational research to contribute to policymaking and practice. This is especially relevant if the discipline has an instrumental approach found in the engineering model. Critical research, on the other hand, is discipline based and at the same time committed to making a contribution to practice. This gives a different aspect as it challenges the narrow uncritical perspective of the engineering model and the educational research that is guided by it. Challenging beliefs and ideologies is central to its approach and it uses scientific enquiry to accomplish this. Critical research itself, however, is criticised for its speculative theorising and for being subject to ideological bias.

Another challenge to the engineering model is found in the anthropological evaluation category of the enlightenment model. Anthropological evaluation is ethnographic research and a reaction to application of the outcomes of scientific enquiry. It is found in research that is illuminative, democratic and naturalistic and it uses case studies and qualitative models to reach conclusions. Its purpose is to

‘hold a mirror up to practice or to clarify participants’  
perspectives for their own benefit rather than for the  
researcher to evaluate policy or practice him or herself.’

(The Open University 1996:35:30)

This approach offers the researcher potential to analyse existing practical situations and reach conclusions that can support the practitioner in their day-to-day practice and, as such, presents an attractive model for the educational enquiry of this study. In the context of anthropological evaluation, Macdonald (1977:226-7, quoted in The Open University 1996:30) uses the term ‘democratic evaluation’, which includes key concepts such as the importance of information exchange for democratic decision-making, and the confidentiality, negotiation and accessibility associated with ‘the right to know’. The democratic principles underpinning these concepts are likely to appeal to those practitioners who support collegiality as a decision-making process in HE. Literature research findings reported in the previous chapter identified educational managers in this category, a group of practitioners who will benefit from the outcomes of this study. However, anthropological evaluation is not without its own critics who may question this application of the method and criticise the quality of the research produced, or challenge the political or ethical stance of the researcher.

The final category in the enlightenment model is educational action research, which is a modification of Lewin's action research concept (Lewin 1946,1948). Lewin drew on engineering model perspectives and was criticised by Schon (1983,1987) using arguments that relate to the philosophies of Hirst (1993) and Carr (1993) examined earlier in this chapter. However, Kemmis' analysis of action research argued that it is

under-utilised and should be a key part of the role of being a professional educator (Kemmis 1993). Stenhouse (1979) argued that in spite of the tensions between the roles of teacher and researcher, the teacher as researcher is the only way forward if educational practice is to be improved. Weiner (1975) found differences in emphasis in teacher research and concluded that subjectivity in teacher research can influence outcomes. Hammersley (1993), also, argued that the roles of teacher and researcher should not be integrated, whilst supporting the value of teachers engaging in reflection and inquiry. In spite of criticisms about subjectivity, it is difficult to see how we could separate the researcher and the practitioner if, as Carr and Hirst (*ibid*) maintain, the practitioners' judgement is essential for good deliberation that transcends the simple intellectual exercise. However, the criticisms surrounding educational action research, and their impact on how the findings are received by practitioners, make it less suitable as a choice for this particular study.

The Economic and Social Research Council in its specification for phase 3 of the Teaching and Learning Research Programme states:

'Educational enquiry is not a process separate from educational action. Rather, it is an organic part of it. Engagement in educational enquiry in this, more interpretative, perspective is intended to promote wise judgement in emergent situations.'

(ESRC 2002:8)

Whilst the engineering model of enquiry meets the needs of those looking for objectivity and accountability for the resources expended on research, the needs of those requiring direction as educational policymakers and practitioners are often unclear and not easily defined. The nature of their professional practice is a complex one, therefore the relationship between research and practice must be a negotiable one that would benefit from remaining fluid. The arguments presented here suggest that, whilst the engineering model of this relationship offers a contribution to addressing the issues that arise in educational practice, it is limited in its value. Other approaches that draw on and develop the model, or combine it with other forms of enquiry, are more relevant. An enlightenment model of educational enquiry that offers more diversity would be more suited to the

needs of this study.

The circumstances surrounding CPD for academics are an aspect of educational practice that is worthy of investigation because there appears to be a lack of clear direction, or some ambiguity, in the HE sector on the professional development expectations for teaching staff. The idea of providing comprehensive opportunities for the development of professional competence is relatively new to universities, but it has become increasingly important to the delivery of good quality higher education since the removal of the sector's binary divide in 1992. My experience of working in educational development in HE, through the medium of staff development is that, although there are pockets of innovation to be found in universities, there is also a good deal of resistance from established staff to the change processes required by their institutions. For example, in the area of professional teacher training for lecturers, there appears to be a strong feeling, particularly amongst established lecturers, that they 'don't need it' or 'don't have to do a course' to demonstrate or develop their expertise. There is, I believe, a difficulty in embedding the concept of teaching and learning development into university culture. The views of academics would be useful in identifying whether this is myth or reality. A question frequently asked by academics in relation to participation in educational development courses is 'do I get a certificate for it?' or 'does it carry any credit?' This aspect of 'what's in it for me?' means that concepts for curriculum evaluation and development are applicable also. Michael Fullan's views on managing curriculum change (Fullan 1989) and Eric Hoyle's article on organisational pathos (Hoyle 1989) are both relevant to the understanding of this particular attitude. For, there is no doubt that external pressures on HEIs explored in chapter 2 are bringing significant changes to internal practices. Manifestations of this for the academic include:

Increased student numbers and an increasingly heterogeneous student intake

Changing patterns of student funding and attendance patterns

Increased competition between higher education institutions and an increased national concern for quality in educational provision

Good educational management practice recommends that all academic staff university have some form of professional development relevant to their role. An investigation into the perceptions of staff regarding this development aspect of their professional responsibility would aid the process of designing a strategy to meet the educational management need.

From the discourse earlier in this chapter, I have argued that the enlightenment model of educational enquiry was most suitable to address the questions asked by this research. Of the choices appraised in this model, an anthropological approach offered the researcher potential to analyse existing practical situations and reach conclusions that can support the practitioner in their day-to-day practice. A desired outcome of this study is to provide a resource for HE managers to reflect on when motivating academics to engage with CPD. Therefore, an approach that is founded on qualitative models and is illuminative and democratic in nature was most suited to this task. However, there was no pre-conceived hypothesis for this research. In this respect, grounded theory and techniques, as described by Strauss and Corbin (1990) and Nias (1991), were applicable, also, where the purpose of the data collection tools is to gather and refine qualitative data from individual cases. This approach was influenced by Nias (*ibid*) who maintained that an unstructured method and grounded theory approach is one that can identify truths. However, Nias reported on a study that continued for a long time and this presents a risk for a relatively small study that has to be completed within a finite timescale. Nonetheless, given a suitable initial focus of purpose is possible to produce some research outcomes within the timescale using this methodology. As with all research, there are likely to be new areas identified for enquiry and some unanswered questions by the end of the study.

Atkins (1984) was mindful of the polarisation between quantitative and qualitative approaches to educational research, warning that there was a danger in assuming that alignment to one or other camp is a necessary precedent to developing a research strategy. She believed that rigid distinctions between the two approaches were unsound because they were not value-free, and encouraged an eclectic approach to small-scale research projects such as this study. Atkins argued, also, that specialist skills or



resources for, for example, large database analysis or the linguistics and phenomenology needed for transcription analysis, were not always available to the lone researcher undertaking a small, time-constrained project. She argued that semi-structured research instruments enabled the researcher to combine open and closed items that would yield quantitative and qualitative data. The approach suggested by Atkins (*ibid*) was relevant to the nature of this study and informed the research strategy and design of the research tools. Atkins (*ibid*) also recommended using documentary analysis as a complementary source of data and evidence. As 'generalisability' of the research findings was not a requirement for this study, the weaknesses of a small number of cases in relation to quantitative analysis were minimised. However, in a primarily qualitative study, open items were essential to provide rich data. Rich data is, arguably, more difficult to analyse than straightforward quantitative returns. Therefore, open-ended questions needed a carefully formulated approach to the categorisation and coding if they were to be used as a basis for analysis and the resulting illuminative insight. Atkins (*ibid*) acknowledged this difficulty and recommended a method of content analysis that was used for recorded interviews in this research. This included defining the unit of analysis as single assertion (rather than a single word) and, where a response suggested a category this was recorded and the response coded accordingly.

Interviews were used for the part A pilot study (King 97 unpublished) already discussed in this study and for the first and completing stages of part B, which provided the main source of data for this research. Wragg (1994) informed this approach by recommending the use of interviews in pilot studies even if the main study may not go on to use them. He gave an example of applying this method to sample responses to identify possible categories for further investigation. The paper gave practical pointers for avoiding bias and optimising the return of data by choice of time, place and person. Wragg suggested, also, models for structured, semi-structured and unstructured interviews, but, at the same time, advised against unstructured interviews unless the researcher is experienced, as these can be difficult to analyse. However, the advantage of an unstructured interview lies in the opportunity to obtain rich data that is uninfluenced by the direction and language of research questions. Having undertaken unstructured interviews

in part A, I decided to use the findings from this pilot to inform the research tool for semi-structured interviews with different cases in the first stage of part B. The benefit was two fold for it provided a test on the assertions of King (1997) and the opportunity to gather new data in the context of issues raised by the literature reported on in earlier chapters of this study. Also, I was able to refine my personal interviewing style in line with Wragg's (1994) advice on interviewer bias. On the issue of bias Wragg's practical advice included a list of interviewer stereotypes to avoid in order to moderate one's own personal style. These types are described as 'squirrel', 'optimist', 'amateur therapist', 'ego-tripper' or 'guillotine' and were a useful check against my research style.

There were other sources of evidence to enrich the data. Documentary evidence on CPD in HEIs is available from relevant personnel, the institution's website or other agencies, for example HEFCE or QAA. Robson (1994) recommended documentary content analysis as a secondary or supplementary method of enquiry in a multi-method study, and warns that the documents may be limited or partial. Obviously they were written for a purpose other than the research, a factor that could introduce distortion to the data. However, Robson advised that they could be useful for triangulation purposes in conjunction with interviews and observations. He lists several types of construct categories for content analysis but cautions that any list should be exhaustive and mutually exclusive, the former to ensure that everything relevant is categorised and the latter to guard against categorising any one piece of data in more than one way. More pertinent to this study are Robson's observations on using administrative records and management information systems. He suggested the researcher in a multi-method study should examine the records first to see what additional corroboration or other light they can throw on the case. Crucially, he advised that if the documents do not help in this respect then do not use them.

As only one researcher was involved in gathering the data, there was not an issue of inter-interviewer inconsistency (Atkins 1984:257). The semi-structured interviews in the first stage of part B yielded some rich data that was analysed and then tested in an electronic consultation exercise with

further cases to verify the assertions. Although the consultation exercise was primarily a reliability and validity check on the data, the research tool contained open and closed questions and it provided further data. These results informed the final stage of the data-gathering exercise which took the form of structured interviews with new cases. In this way the principle of triangulation was applied to the data gathering exercise in this study. It was also applied to the overall research strategy. Triangulation is a term used in navigation and surveying where a minimum of three reference points are taken to check the location of an object (Easterby-Smith et al 1991). In this case, it is an approach to research that involves using more than one method or technique in combination, either because the design of the study warrants it or to use the results from one method to cross check the results from another (Jankowicz 1995). The caution here is to resist the temptation to use too many different methods, but apply them to develop or triangulate earlier findings. In addressing the issue of potential overlap in the scope of techniques such as archive review, questionnaires, interviews and observation, Jankowicz said:

‘If you had to stake your life on which of these is likely to represent the most accurate, complete research information, you would choose the centre [of the overlap] in which you got information through interviews and questionnaire, reinforced it by observation, and checked it through documentary analysis. . . . Here you are getting not only what people say they do and what you see them doing, but also what they are recorded as doing.’

(Kane 1985:51 quoted in Jankowski 1995:175)

Easterby-Smith et al (ibid) also supported the view that there are good reasons for using several different methods in the same study, arguing that almost every technique is flawed in some way and this approach would enable the researcher to counterbalance the strengths of one method with another. Typically, the use of either open or closed questions in interviews and questionnaires demonstrates this premise. Easy-to-answer closed questions are likely to produce significant amounts of relatively easy-to-analyse quantitative data whilst open ended questions give smaller amounts of rich data needing specially designed schemes of analysis.

Easterby-Smith et al (ibid) identified four categories of triangulation: theoretical, data, investigator and methodological. Triangulation of theories is where models from one discipline are related to another discipline to explain phenomena and provide insights. In data triangulation, data is collected from different sources or over different time frames, whereas triangulation by investigators uses different people to collect data on the same situation. Methodological triangulation combines both qualitative and quantitative data collection methods and is described as ‘an imaginative way of maximising the amount of data collected’ (Easterby-Smith et al 1991:134). The caution here is similar to the polemic between engineering and enlightened models of enquiry, that is, a positivist perspective searching for a single, objective truth is not easily compatible with a social constructionist view of reality as flexible and continually renegotiated. If methods are to be moved across the paradigms then this must be done with care and some knowledge of their respective strengths and weaknesses.

In this study triangulation of data was applied and data were collected from different sources. The principles of triangulation in the overall research strategy for this study are evidenced by the information on HEI culture and management reported in earlier chapters and original data obtained from interviews and electronic consultation supported by analysis of documents from HEIs and HE agencies. An analysis of data obtained is reported in the next chapter and a summary of the methodological approach with further details follows here.

The data were collected from academic staff and their managers, organisational internal and external agency documents in three HEIs. Part A was undertaken in a former polytechnic ‘new’ university with a city centre location. Part B took place in two organisations, one an established ‘old’ university and the other a former polytechnic ‘new’ university. The latter two institutions were located within 50 miles of each other, both in cities and both at least 60 miles from the part A university. There were four phases of data collection in the overall EdD enquiry:

1. Part A pilot study reported as King (1997 unpublished) comprising 3 unstructured interviews with academic staff
2. Part B stage1 data collection comprising 4 semi-structured

interviews, 2 with academic staff and 2 with academic line managers, and some document collection

3. Part B stage 2a electronic consultation exercise with 19 academic staff and 11 academic line managers, and further documentary collection and analysis
4. Part B stage 2b structured interviews with 2 academic line managers.
5. Part B stage 2c structured interviews with 4 academic staff.

The data reported in King (1997) had been collected using an unstructured interview technique and analysed by constructing mind maps and category analysis. The recorded interviews were analysed directly from the tapes without having them transcribed. This was in order to avoid loss of the voice inflections and emotions of the conversation during transcription. If, as the literature suggests, CPD for academics is an essentially personal process this would be an important aspect of the analysis. This provided valuable experience and skill development in gathering and analysing rich qualitative data, as well as a self-knowledge of Wragg's (ibid) interview stereotypes to avoid. The issues that emerged from King (ibid) were:

What happens in practice?

What are the motivators?

What are the barriers?

What is the influence of appraisal?

What is the influence of the ILT?

These data categories supplied sample viewpoints that were used to design the semi-structured instrument for the main research exercise. This approach reduced the influence of my own bias in the formulation of questions. In addition King (1997) had yielded a quantity of data relating to management practice and culture that was less focused and warranted further clarification. Although this would be the prime focus of management interviews, it was expected that there would be illuminating data in this respect from staff interviews.

Four semi-structured interviews were undertaken with two academic staff and two line managers from each of the universities. In order to capture as much of the body language and emotion as possible in the interviews, an ideal medium for recording the data would be the use of camcorders and video-tape. However, camcorders can be inhibiting to some academics as

my experience of using them for recording microteaching in staff development courses has shown me. The equipment would be intrusive and distracting and the interviewee may feel too exposed. Audio tapes may be a suitable alternative, although they, too, can present a threat. However I decided to use a small audio cassette tape recorder during the interview and take supplementary notes of any non-verbal communication or other emotional indicators. In choice of cases to interview I used the services of a third party to avoid any personal bias. I approached people that I had a professional connection with to recommend or suggest volunteers who they thought were fairly typical of their school or discipline. I was not working in HE at the time, but as an HE project manager for an outside agency and I approached colleagues that held positions of responsibility below head of department level, for example, a course leader and a professor. I specifically asked them not to recommend colleagues that they 'managed' in the context of line management in order to reduce the management ethos of the activity. In order to select line managers I asked the same colleagues for the names of academic managers from across the university whom they believed to be amenable to being involved in this research. Confidentiality was guaranteed and names were not recorded unless the interviewee agreed. In all cases I guaranteed anonymity and promised that the data would be released into the public domain only in the form of a research report. Each interview lasted for at least an hour and an outline of personal information requested and the conduct of the interview is given in Appendix 5. Their responses were analysed and coded for existing and new categories to provide a template for the subsequent electronic consultation exercise with a larger number of staff and managers.

During stage 1 and stage 2 of part B I also consulted official university documents in line with Robson's (1994) recommendation to consider documentary content analysis as a supplementary method of data collection. I did anticipate some difficulty in obtaining data for stage 2 as I knew how busy academics and their managers are. I expected that many of my electronic consultations wouldn't be returned but hoped that those that were would be from people with opinions on CPD for academics to enrich the data. Cases were selected randomly from e-mail lists supplied by websites or administrators in two universities. During Stage 1 I did consider that if

there were enough returns to apply any quantitative analysis then I would be able to stratify the cases from the data supplied. I decided not to include any quantitative approach as the study was primarily a qualitative one and I considered that the returns would not be numerous enough to apply any quantifiable techniques. At the time of the data collection exercise I had no idea how many returns I would get, but guessed I would need to give an incentive to receive any, especially from the staff. I offered a supermarket shopping voucher to each academic who returned my electronic communication and received 19 responses from 190 targets, a return of exactly ten per cent. Managers were not offered an incentive and received 11 responses from 49 targets, a return of 22 per cent. Copies of the research tool used for the electronic consultation exercise are included in Appendix 5.

The data for stages 2b and 2c were collected after the data from the consultation has been analysed as the analysis suggested specific questions that I wanted to ask managers and their staff to provide some concluding information. Therefore for stage 2b, I undertook two further, structured, interviews with new cases that were line managers. These cases were selected in the same way as the other managers previously interviewed and one was taken from each university. Following this, second, set of manager interviews, I undertook a second set of interviews with academic staff that focused on their responses to research findings to date. The cases for the latter set were chosen to support a progressive focusing methodology that had developed during the study and were selected from the same geographically-linked universities previously accessed. I needed cases that had experienced recent changes in institutional educational and management practices to provide raw data for recommendations to management, as an outcome of the research study. At the time of these interviews I was working on a curriculum development project in one of these universities, in faculty that had formerly existed as a teacher training college. The college had been part of the university for several years and had successfully diversified with a popular undergraduate curriculum offer. The faculty was also taking the lead in developing the university's widening participation policy and practice. I had not previously accessed this particular faculty for any of the cases in this research. In addition to this, the whole of this

university was undergoing re-organisation. The faculty in which I was working was in the final stages of being broken up and sections allocated to different schools in one of three very large and new faculties that would, shortly, exist across the whole university. I obtained four cases using the method I had applied in previous interviews, i.e. I asked colleagues to recommend or suggest people for me to approach.

The four cases provided a mix of academic backgrounds and experience. One had been a technician at the university and had progressed to being an academic through a part-time teaching route. Another had entered HE as a mature 'Access' student and had continued their career as student and teacher, now embarking on a doctorate. A third had been a former teacher-training lecturer who had diversified into teaching on undergraduate degree courses and the fourth case was a relatively senior academic who was about to take up a new management responsibility for curriculum innovation.

I applied the same interviewing principles that had been used for previous interviews. However, in these cases the questions were more structured around the issues that had emerged from previous my data collection. Discourse was encouraged and the sessions were recorded on audio-tape as before. I began with summary of my research and findings so far and asked them to explore what they and their managers could do to motivate themselves to change their practice. I structured my questions into four broad categories:

The effect on their motivation of their involvement in the development of central university strategy

Their views on skills of line managers to lead and negotiate with staff through institutional change, including appraisals, and how they could be improved

Whether they considered that there was an enterprise culture in the university and how they or their managers could develop or contribute to it



Their views on the whether the university was a learning organisation and how they or their managers could develop or contribute to it?

Therefore, total number of cases used in the overall research, including part A, is:

Academic staff: 5 interviews comprising 3 in the Part A (Pilot Study) and 6 in Part B comprising 2 'first set' undertaken before the electronic consultations and 4 'second set' undertaken as the final stage of data collection  
19 electronic consultations;

Academic line managers: 4 interviews in Part B comprising 2 'first set' undertaken before the electronic consultations and 2 'second set' undertaken after the electronic consultations  
11 electronic consultations.

## **CHAPTER 7 Data analysis**

This chapter contains an analysis of the data collected during part B of this study. The research strategy and tools used were informed by the findings of part A of this doctorate study and the analysis in this chapter is linked, where appropriate, to the findings of part A. In this chapter data from the academic staff perspective is analysed first followed by data from line managers with appropriate cross-referencing.

### **The staff perspective**

The staff interviews yielded data that was remarkably similar considering that they had very different academic jobs and their universities had significantly different missions. Both interviewees were extremely able and successful in their field, one was an income generating researcher in a well-established traditional university, whilst the other was a course leader for a large, popular, employment related programme in a former polytechnic. In both cases, there was disaffection due to the internal political processes perceived as a factor that frustrates academic development within their working environments. The points they made are described in the following paragraphs. This data is then compared with related data extracted from 19 consultation returns from other staff in the same two institutions.

The interviewed staff had worked in HE for between 5 and 10 years. Of the consultation returns, two thirds were from staff with less than 10 years experience and the remainder had between 10 and 20 years as academics. The interviewed staff were from a business school and an engineering school whilst the staff consulted electronically had disciplines ranging from biology and archaeology to maths and computer science encompassing ten different subject areas. The majority undertook research and teaching activities whilst five of the total were engaged in teaching only.

### **What is CPD for academics?**

Both interviewees opened their responses without any prompting by stating that doing the job as expected of them provided much CPD as it involved

doing new work, studying for higher degrees or demonstrating an increasing subject expertise by writing papers or textbooks. This is a broad interpretation of CPD and these cases discussed several specific activities in their ensuing conversations. From these data and that of King (1997 unpublished), I produced a list of 11 activities for the consultation.

Almost all the consultation respondents (90%) agreed with my general definition of CPD given in the consultation, i.e. 'the activities required to ensure that necessary professional competencies are developed and/or maintained'. A simple overall definition was used to allow respondents to define the term as they perceived it. Those that disagreed gave further comments qualifying their answers with more refined definitions, for example, 'definition should exclude activities in own academic subject' and 'includes the notion of an ongoing and explicit process where professional reflection is a necessary and required skill ...'. In ranking various activities that were considered to be CPD, the most popular choice was attending a seminar or workshop. This was closely followed by four other activities that scored equally in the ranking. These were obtaining a teaching qualification, going to a conference as a delegate, going to a conference as a presenter and reading relevant journals/publications. The least scored activity was undertaking administrative duties, preceded by undertaking research/writing a paper. Other suggestions for activities were given including joining chat-rooms or discussion groups and putting new developments into practice.

When these same people were asked to identify which activities they had undertaken within the last six months, three activities ranked first. These were attending a seminar or workshop, undertaking administrative duties and reading relevant journals/publications, and were closely followed by undertaking research/writing a research paper. These data indicate that the latter two activities although undertaken recently by the majority of respondents were not considered to be CPD for those academics. Further comments on CPD activities elicited the following opinions:

'Good for staff with senior administrative responsibilities'

'Get in the way of academic work if too many'

'Helpful to have occasional workshops relevant to

everybody'

These data indicate the range of activities considered by academics to be CPD is fairly wide but that there is a broad agreement on nature of the activities. There is support for tasks that can be considered part of 'doing the job and those which are about learning something new, for example, a teaching qualification.

### **Motivating factors**

Interviewed staff were quite clear about the major influencing factor that motivated them to undertake further CPD relevant to their wider roles as academics. This factor was a personal interest in the knowledge and skill that would be acquired, and it was exemplified by the following statements.

'When I was appointed 7 or 8 years ago there were lots of probation issues which I took seriously and I attended all the workshops.'

'[the] networking aspect has been particularly beneficial to me especially on teaching and teaching outcomes.'

'University staff have always been interested in development, they do masters and doctorate degrees and many staff are skilled in IT therefore there is already a strong ethos. CPD in universities is individually driven around the subject you are in - you want to be an expert, do conference papers and write books on your subject.'

Nonetheless, both interviewees stated clearly that they would self-select themselves to undertake the CPD and that the learning was likely to be to underpin a new role or task in their job.

'the individual has to perceive a positive benefit e.g. a paper, text book, more money or a nicer job - something more interesting - interest is a big factor.'

'... we have a professional development centre which does short courses that people select personally according to what they think is appropriate for them. The culture of CPD is very much self-driven.'

'The new challenge is learning how to work with a range of colleagues, how to manage senior colleagues especially those who don't do what you ask them when you want something changed.'

The consultation responses were broadly in agreement with these views. When asked to give their reasons for undertaking CPD, from a choice of eight the two most influential factors were 'to improve own performance in job' and 'personal interest' followed closely by 'advised/directed by line manager'. Improving own performance was clearly the most influential of these factors and received as many votes as the other two put together. Direct material gain and improving job prospects scored zero in this ranking.

These responses indicate an existing commitment from academics to perform well and develop themselves and that they are aware of the difficulties encountered in the management of change and the need to develop the skills to deal with them.

Interviewees, when prompted to identify CPD needs for taking up new responsibilities, agreed that they might not be prepared for some new roles or tasks, for example, how to manage senior staff or set up a new externally focused course, but their solutions would not be to ask the university to put on a course. The reasons outlined give an interesting aspect to this study:

'all academics think they are brilliant managers and interviewers. Their colleagues might not agree with them and there is still some 80s style bullish management around. . . . I think there are some generation/gender issues at work which aren't helpful. . . .My faculty is very plain

speaking and not always politically correct'

'most academics think they are good managers anyway. They'd just do the job and if they felt they needed it they would go and pick up the skills from another department of university. Their own university might not even know this had happened. The lecturers often feel they are ahead of the organisation.'

### **Perceived barriers**

Interviewed staff had much to say on factors that hindered the uptake of CPD opportunities. The data were coded and analysed using a thematic approach, giving the following analysis of reasons why they hadn't undertaken CPD activities.

#### **1 Too much work not enough time, exemplified by:**

'... because I haven't got time to do everything and I already work a ten hour day.'

'The biggest problem is time because a lecturer is pulled in four different directions - teaching, research work, routine administrative tasks and income generating activities.'

'... research activities and getting in money is more important.'

'... given more time I wouldn't need management encouragement or even their support to participate.'

#### **2 Inadequate quality of some CPD provision, exemplified by:**

'... did a two day recruitment and selection workshop but found it slow and unhelpful ... other academics were frustrated and felt it wasn't a good use of their time.'

### 3 The relevance of some CPD provision.

'...[I] got through all the interesting [workshops] and the list is now not so inspiring.'

'...wouldn't attempt [to run a workshop] with [(discipline)] colleagues because they were very resistant to the notion of key skills...'

'...the average academic has no motivation for CPD because the university has nothing to offer and because there is no promotion so they do things because they want to and for their own reasons and definitely not because of government funding levers. Funding comes with students on courses.'

Academics consulted electronically were equally sure about barriers to CPD activities stating that lack of time was the single most influential factor. This was followed by being too overworked or stressed, and unsuitable or inflexible courses. Comments included, 'not a lot of confidence in those giving a course/workshop', 'a truly dreadful work environment with favouritism, bullying and harassment' and '[courses/workshops] need people with experience in my job'.

These responses imply that the respondents' perception of CPD, within the simple definition that I gave, was a narrow one that centred on the formal delivery of a learning experience. There was a reasonable expectation that too much work and not enough time would be barriers to undertaking CPD. However, these data indicate that management culture in relation to the provision of quality CPD, negotiating with and rewarding staff are having a negative effect on the motivation of academics. This has implications for the management of performance in terms of facilitating mutually acceptable individual and organisational development culture.

## The influence of appraisals

When referring to the relevance of appraisals as a vehicle or tool for managing CPD, the value of appraisals was dismissed by both interviewees:

'At the beginning the purpose of appraisal was to identify training needs and not linked to promotion. This was firmly rejected by staff and they referred it back to the VC. Therefore appraisals stopped for about four years while he sorted it.'

'We have an appraisal system but the people running it - doing the appraisals - aren't skilled at it'

[Interviewer question: Are they offered development to enable them to become skilled?]

'I'm not sure it's about development when in an hour and an half you spend the last ten minutes on your own career development and the rest of the time is spent talking about departmental issues. The balance isn't quite right.'

Later, the same interviewee added

'Appraisals aren't done by line managers. They're done by [promoted grade] Lecturers acting more like mentors. This is an acceptable culture.'

This is obviously part of the culture in one of the university faculties and found in 9% of the consultation respondents. They had never had an appraisal with their line manager and this was exemplified by the comment 'appraisals [are] with colleagues at the same managerial level'. Another remarked that 'I have worked in three other departments over 15 years and this is the first time I have had an appraisal'.

Of the majority responding to the consultation, two thirds of all respondents



had had an appraisal with their line manager within the last six months and in all those cases the issue of CPD had been addressed at that meeting. However, in only two thirds of those cases had CPD been a planned part of the appraisal. Also, of all the respondents who had had an appraisal within the last three years, only two thirds of those were satisfied with the outcome in the context of their CPD. One respondent commented 'to go on a course is an outcome I seek, but it is elusive'.

From these data it can be concluded that the management of performance through appraisals is not satisfactory in universities. The main reasons appear to be that the purpose of appraisals is unclear and that there is inadequate management skill to deliver them.

### **The influence of the ILT**

An equally negative response was given to the Institute of Learning and Teaching (ILT) as a motivating factor for CPD:

'Well I know about it but only because I've read about it in the literature [This is a reference to trade union literature, not university documents]. The prospect of doing it fills me with dread because I've lost my enthusiasm for teaching, as the priority for the survival of my research group has been made very clear to me. I'm now much more narrowly focused on research although I don't want to be. I haven't looked at the possibility of doing a portfolio for the ILT and would need a very strong steer from my line manager to do it.'

On being a member of the ILT:

'I need to be persuaded of its value. My subject is more important. It's not a motivator especially for established lecturers, they regard it as an imposition.'

All of the academics who returned their consultation responses has heard of

the ILT, but less than half (46%) thought it would be useful to them in relation to their own CPD. The same percentage of respondents was already members, though only 17% of the remainder were interested in becoming members. The negative response was exemplified by the remark 'existing organisations (i.e. pre-ILT) are more use'.

These responses indicate that the imposition of the ILT has not had the positive effect on CPD that it was set up to deliver. It is not valued by many academics and is not seen to meet their CPD needs.

### **Related management issues**

The interviewees made several comments on management practices that they felt were especially relevant to CPD, as the following quotations show:

'I do quite a lot of delegated administrative work for my line manager but some things he's not good at delegating, for example, mentoring new staff. I do it unofficially for him because he hasn't the time and the new member of staff wasn't getting the support he needed. I'm not complaining about my manager - he simply hasn't the time to do everything.'

'I've delivered workshops myself and this has highlighted to me the deficiencies in the central university programme delivery. The workshops [I did] were on generic skills for postgraduate [discipline] students.

[Interviewer question: Would you do something similar for staff?]

'There was a route and I did some work on the teaching and learning workshops before but I wouldn't attempt it with my [discipline] colleagues because they are very resistant to the notion of key skills.

[Interviewer question: Why is that?]

'Key skills is all about stating the obvious and it's not university work and not [discipline] teaching. This attitude may have softened a little over the past 7-8 years as some of the older professors have retired.'

Another remarked:

'Anyway the idea of managers and staff to be managed is wrong because the lecturers are the managers of the system. Look at all the important areas. Who recruits the students, develops and leads the courses? Who are the course managers? The lecturers do the managing in all the important areas, All the others are administrative staff focusing on relatively low-level administrative support and there is a centre perception that they can move into the role of being managers of the lecturers who previously managed.'

'We have [promoted grade Lecturers] for historical reasons. It's using promotion as a reward system because the salaries are so poor therefore you have to promote someone to give them more money and keep them going. But when they get promoted they shed responsibilities and do less managerial work. It's the culture. You do Senior Lecturer managerial work to prove your worth then move up and let someone else do it. It's not a managerial model based on management tasks and responsibilities, a managerial model would let you earn more by taking on new responsibilities. It's a model based on history and academic progression routes.'

These responses were volunteered and indicate a that academics have a cause for concern in the way that that they are managed and rewarded. There is a possibility that conflict and resistance to change, evident to academic staff, are not be being addressed by managers.

The cases sampled were all, to some extent, self selected as they would not have agreed to be interviewed, or returned my consultation, if they had not had views about CPD. It may be that those who were unwilling to contribute their views didn't care about the issues but a more likely explanation can be drawn from the data that was returned. Academics are working under extreme pressure in terms of workload and time. These are major factors in influencing their involvement with CPD and therefore are also likely to influence whether or not they will choose to spend an hour of their valuable time working on someone else's research.

Overall, the consultation returns validated most of the data from the interviews and any movement of opinion could possibly be attributed to a trend towards more acceptability of the issues over a 2 year period. The general agreement from staff to my broad definition of CPD would be acceptable to the development of learning organisation as identified by Senge (1990). However, any informal on-the-job learning would need to be systematic or planned according to Rapkins (1996). If this approach were to be adopted by an HEI, it would need to be enshrined in policy, so data derived from policy should be examined in this context.

The motivating factors were internal influencing factors of personal choice rather than linked to external reward systems. Both interviewees stated clearly that they would self-select themselves to undertake the CPD but that the learning was likely to be to underpin a new role or task in their job. This is exemplified by the comments 'the individual has to perceive a positive benefit e.g. a paper, text book, more money or a nicer job - something more interesting - interest is a big factor', and '... we have a professional development centre which does short courses that people select personally according to what they think is appropriate for them. The culture of CPD is very much self-driven.' This indicates that academics accept individual responsibility for planning their own CPD, and is a strong endorsement for the advantages of the benefits model of CPD (Madden & Mitchell, *ibid.*). Motivation appears to be strong, implied by: 'The new challenge is learning how to work with a range of colleagues, how to manage senior colleagues especially those who don't do what you ask them when you want something changed.' Staff seem to be aware of the difficulties encountered in the

management of change and would like to develop the skills to deal with them.

These statements from staff highlight several issues that are important to them, and would, therefore, contribute to high performance cycle factors (Locke and Latham, 1990). For example, probation issues focus on performance and networking provides feedback. Drivers such as interest in own discipline and a new role or task provide demands in the form of challenges and high goals on meaningful tasks. If the culture of CPD is 'self-driven' then commitment is demonstrated, though the high performance cycle does require a commitment to the organisation and a willingness to accept future challenges. Management style may, according to the data, be working against this. For example, the research focused academic was being actively discouraged by her line manager to attend teaching workshops for staff and to concentrate on increasing the research output. The course leader maintained a view that line managers didn't do 'management' as he understood it, but routine administration necessary to support the increasing number of systems and procedures being imposed on academic life. These views imply a lack of clarity of understanding of the various functions of strategic and operational management by the member of staff or the manager, or both. There does seem to be confusion amongst staff about the responsibilities and functions of management in relation to delivery of the curriculum and team working. This is of fundamental importance to the managers themselves, for surely they have failed to deliver good management if staff are unsure about the role and function of their managers? A possible explanation is the existence of conflicting 'whole university', faculty and departmental pressures, an issue that has resource allocation implications for the managers involved. Clearly, this needs to be addressed if CPD is to become part of the organisational culture and a learning organisation is to be created. For, 'If organisations are to retain their best people, then individuals' needs, wants and aspirations should be taken into account.' (Adamson, Doherty and Viney, 1996)

Data on management perceptions of CPD and from university policy documents was examined for evidence of mutually acceptable individual and organisational development needs. Staff interviewees seemed to be

very aware of the issue of achieving mutually acceptable development needs. Following the managers' data analysis it was evident in the response data from line managers that they, too, were aware of this issue. The literature on ambiguity of educational management (Bush, *ibid.* and Davies & Morgan, *ibid.*) suggests that, for senior managers, this is not the case.

### **The management perspective**

The data from staff indicate that there does seem to be confusion amongst staff about the responsibilities and functions of line managers. This was especially noticeable in staff perceptions of appraisal and its role in CPD, and may, indeed, extend to the managers themselves. The purpose of gathering data from management was to identify any differences in perceptions about CPD and its management. However, the staff data had raised another issue that needed to be explored and this was the extent to which line managers were prepared for their role or tasks. I interviewed two managers one from each of the same universities used for staff data. Interviews were semi-structured but with prompt questions on specific areas of enquiry that had arisen from staff interviews. These were the perceptions of what CPD for academics is, and the influences of appraisal and the ILT. The interview data was analysed and coded, then categorised and used to formulate a consultation that was sent to managers selected in the same way I had selected staff. The managers' consultation had a similar format to the staff one, though most of the question details were different and I was interested also in any CPD the managers themselves had undertaken. I anticipated that any returns would be self-selected because they had an interest in the enquiry, but this was likely to produce the rich data needed for such a small scale qualitative study. I followed up the manager's consultation exercise with two more structured interviews using new cases, adopting the same selection procedure to identify one from each university. These interviews were structured around five specific questions on managing CPD for academic staff (see appendix 5). The ensuing report has a similar pattern to the staff data report with the interview analysis and consultation themes grouped together where appropriate.

In the first set of manager interviews, one interviewee was a professor with

management responsibility below the level of Head of School, and the other was a Head of School of a department with a strongly vocational focus, but a different vocation from the member of staff who was interviewed. Of the second set of interviews, both were senior staff, below head of department level, who had line management responsibility for more junior staff with research and teaching responsibilities. The consultations came from a variety of academic line managers in chemistry, civil engineering, earth sciences, law, education and maths. There were eight in total and only one was female. They had been line managers of academics for varying lengths of time from less than 5 years to up to twenty. One respondent couldn't be specific about the time saying that '[his] responsibilities had increased irregularly'. None of the respondents spent all their time on administration or management and this varied from 0% (sic) to 25% to '40-90%'. The majority undertook research and teaching as well as administration or management, whilst two did research only. The number of academic staff that they managed varied from 6 to 60 though one of the research-focused managers made this comment,

'I have completed your questionnaire but with some difficulty since the questions do not relate to our circumstances. With the exception of the Head of Department, we do not have well defined lines of management – I will manage someone for some activities and he will be my manager in others.'

Moreover, in a Research led Department, the primary role of all staff is to carry out research and to lead PG students. The management role is something we do as best we can as the need arises. As one gets older (and maybe wiser!) the time spent in admin/management inevitably grows.'

Although this was only one comment, and not echoed by others, it gives an indication of the individual nature of management styles in some departments. It may reasonably be assumed that this style has developed to accommodate the research focus of their work. Leadership of students is considered a primary task and any management is shared and fitted in

around this and the research. The final sentence seems to indicate that more experienced academics will undertake more of the necessary management tasks. This would, of course, leave younger staff more time to research and to lead student development. The comment does not specifically mention CPD or staff development, but this approach to general management supports the theory that leadership is about sharing (Morgan 1989a).

### **What is CPD for academics?**

Both managers in the first set who were interviewed introduced their responses by describing the opportunities available for staff that took the form of formal or structured learning. One gave a relatively narrow definition of CPD by listing the types of courses available for staff as staff development and management development. Staff development consisted of skills development, for example, word-processing, using electronic databases and other ICT applications, as well as how to apply for grants, that is, how to get money into the university which was a key focus of activity for the university. He had been involved in delivering management development courses offered by the university, including:

- Aspects of staff management

- Understanding the university systems and decision making processes,

- Workshops comprising heads of department and deans of school for the purpose of sharing of experiences

- Appraisal and its role in advising on professional development, including how appraisal works and how it leads to further career development.

The second manager responded in a similar way and gave a broad classification of the types of CPD activity available. These were categorised as:

- Academic award-bearing activity focusing on research or discipline

- Gaining a recognised teaching qualification

- Attending courses and conferences for skill development or scholarship

One manager believed that university management development courses



were reasonably well attended because the value to the job was recognised but frequently the bulk of the development was done 'after the event'. In other words, the member of staff would obtain a particular role having been successful at getting money into the university and possibly having been tested in some position of responsibility and the training would come afterwards 'if [the member of staff] felt it was necessary'. The interviewee added that there was a two-day course in interviewing and staff selection and 'you are not allowed to be a member of an interview panel unless you have completed this course'. In contrast, the other manager did not feel that management development for academic staff was a priority. As a 'new', vocationally orientated university, he felt that developing the scholarship of teaching and learning in higher education was more likely to be supported. This aspect highlighted the differences in institutional needs between the two universities - managing major research projects in the 'old' one and managing new approaches to teaching in the other - though both examples serve to indicate that each manager had a strong institutional focus when it came to supporting individual CPD plans.

Of the consultation respondents, all of them agreed with the broad definition of CPD that was given and two gave comments: 'I expect academic staff to take responsibility for their own development and the development of their research', and 'What the competencies are will vary from discipline to discipline'. They were given the same list of activities as staff to select which they thought were CPD for academics. Three of these were identified by 75% of the returns and tied for first ranking. These were attending a seminar or workshop, going to a conference as a delegate and going to a conference as a presenter. The least selected were undertaking administrative duties, obtaining a teaching qualification, and obtaining an administrative qualification. This data demonstrates clearly that academic staff and their line managers are broadly in agreement about what constitutes CPD for staff.

### **Motivation, barriers and appraisal**

In the interviews, when managers were prompted about factors they thought influenced staff, or were barriers to staff, undertaking CPD, they both talked

of self-selection and appraisal. Body language and facial expression appeared dismissive of these issues and I did not pursue other factors as they seemed to be much more focused on the influence of appraisals. In both cases, however, whether or not staff attended training was decided by the member of staff themselves with any help from appraisal that might indicate their likely future needs. Managers thought that 'no courses would be inappropriate for staff though sometimes the timing might not be right or the member of staff 'might be discouraged at appraisal if a particular course of action didn't fit in with department plans'. Although departmental plans for staff development did exist they 'were not always written down'. Both managers gave the impression from their brief responses and body language that 'policy' wasn't high on their agendas. They knew what the department needed and staff usually volunteered themselves for development. This was exemplified by the following statement,

'Self-selection is the usual way of things though personnel may contact a head of department with a suggestion or recommendation. There is no compulsion to undertake recommended development.'

Policy and staff development plans were the focus of one of the questions in the second set of structured interviews with managers. Both interviewees felt that policies and plans were helpful but that the real difficulties were amalgamating individual and institutional needs and dealing with resistance. These are exemplified by the following comments:

'They're useful for putting in course validation documents. I have always supported staff development and a framework makes it helpful. The problem is priorities. The priority must always be the needs of the organisation first and the needs of the individual second. The trick is to make the two come together and you usually can but occasionally it doesn't and if I can afford it I would support a personal wish. Priority has to be the organisation because it is public money.'

'Well it's the squeaky door. Some people are persistent and if they keep at it they'll probably get what they want. The real problem is when someone doesn't want to do the

development. You sometimes get very good teachers who won't do anything at all in the way of development. It's quite a challenge because you tend to think that this person is just being bloody minded but when you talk to them – or rather listen - it's usually fear that's stopping them. I can't think of a single case when it wasn't, especially when they're being asked to present a conference paper. It's always fear and its difficult to get them to admit it. They can be very aggressive about it.'

The following three statements, taken from the first set of managers interviews, illuminate the decision making process.

'There were not often conflicts though there used to be in the past. Appraisal has helped overcome conflict by providing a focus for discussion. This allows [a member of staff] to ask for particular training if it isn't currently being provided. However, [the member of staff] would need to see clearly that the training was furthering their career [in order] to participate.'

'When I record the appraisal feedback notes in committee I have noticed that in other parts of the university, Heads [of department] are saying that they are surprised by the number of people identifying [issue x] as a staff development issue. This is bringing about identification of areas of staff development that are not being identified through less formal methods.'

'Appraisal is frequently delegated along with other line management responsibilities to head of smaller groups, for example, head of a research group.'

This does give an indication that appraisals can have a positive effect on staff motivation but it was not always so. Both managers talked about appraisal as something that hadn't worked in the past and had been developed in some way to produce a better working model. One manager went on to explain that when appraisal was first introduced to the university

there was a Trade Union agreement that it would not be linked to promotion. However this approach has now been modified as it was found to be 'difficult to avoid the promotional implications' of staff development in appraisal interviews. He stated that staff 'were keen to know how specific types of development would affect their promotion so the connection has been allowed for the last 3-4 years and this is now well established'. This manager talked about the existence of an institutional policy for appraisal and training. When I asked where the policy was lodged, the interviewee's reply was vague. He thought he had 'probably seen it sometime but don't know where it was now'. At this stage he seemed to become irritated by the line of my questioning and I didn't pursue it further.

The other manager identified a link to performance related pay as a barrier to establishing an appraisal system in the past, and talked of 'being in year one of a new formal scheme that is central to a stated university policy to achieve Investors in People status'. He felt that this was the driver to establishing systematic recording of CPD needs and achievements. This manager was particularly forthcoming about barriers to the management of CPD. He felt quite strongly that the new appraisal scheme might cause difficulties in some areas.

'If you are a professor there is no incentive to change.

There are some significant assumptions of competence and ability that arise from the years of experience it takes to gain a chair. To suggest that there might be a range of additional development agendas would meet considerable resistance in some cases. These are Tony Blair's 'forces of conservatism' . . . an inability to recognise why change is necessary when your status confirms the value of what you do . . . it's impossible to stereotype, resistance can be just as deep in the newly qualified'

The consultation returns indicated that appraisals for academics were held every year in one of the universities and every two years in the other. In all cases CPD was always discussed at these meetings, though one return

commented that it was 'never a major issue'. When asked if there was ever a conflict of interest between the individual's wishes and the needs of the university in these discussions, the majority (75%) said 'sometimes', whilst two replied 'never'. Comments included, 'Although appraisals occur every two years, meetings with more junior colleagues occur almost daily. If I think that advice would be helpful, I would give it in an informal way.', and 'Academics mainly want conferences. The Institution more often funds courses'.

These data indicate that the issue of appraisals for academic staff remains contentious. I asked the managers in the second set of interviews if they thought that appraisal had a role in influencing staff to undertake CPD. Their responses validated and reinforced the data and supported the views of Hellowell and Hancock (2001) and Jackson (1999) on the difficulties facing university heads of departments and line managers in amalgamating institutional and individual needs. Their comments concerning appraisal were:

'It's highly controversial with academic staff and fairly controversial with academic managers. Plus there's a lot of resistance because only themselves and their academic peers nationally and internationally are in a position to judge them, especially those who primarily research rather than teach.'

'As a manager I believe that appraisals are a perfectly reasonable management tool but there is a huge resentment because career progress depends on their academic reputation outside their place of work and not on appraisal. A good appraisal should take that into account.'

'Some academic staff are frightened of tackling some of the development because of a fear of failure. They maintain their reputation by getting good feedback and course output from students and peers, but these facts aren't considered in appraisal.'

'The experience should be a touchy-feely approach, motivating and supportive. But although this is a sound tactic it's not entirely honest because at the end of the day a judgement is needed and there will be disappointments. You can't always be nice.'

When these data are considered alongside that from academics, the degree of dissatisfaction with the appraisal process from staff and managers is a cause for concern. There is evidence of the managerialism culture described by Poster and Poster (1997). Some managers are aware of the compromise principles suggested by Hutchinson (1997) but cannot implement them within the prevailing organisational cultures.

### **The influence of the ILT**

In both interviews the ILT was not mentioned until it was introduced by the interviewer. The managers knew of its existence but apparently had little knowledge of its operation and, consequently, not much to say about it. This may be because ILT issues were considered to be someone else's domain as illustrated by the following quotes:

'The university had recently set up a Centre for Learning and Teaching as a vehicle or internal agent for the Institute of Learning and Teaching. New teaching staff are required to undertake a staff development course which had been developed to meet the needs of the ILT'

'The ILT is no imposition for the staff here. [Professional practitioners] will have automatic membership anyway. [Other staff], increasingly, have identified the need to do TDLB [Training and Development Lead Body] awards in assessment. Most have a strong teaching focus already but are new to working with a research focus. The Professional Development Unit keeps records.'

However, later, one manager made a statement which clearly supported the importance of teaching in the university:

'When the school joined the university in 1992, promotion from [lower grade] Lecturer to [higher grade] Lecturer

tended to be based on track record of research papers in refereed journals. Now more equal weighting is given to course design, teaching and learning methods and the management or administration of these'

The consultation responses indicated that (25%) were members of the ILT and the majority were not. Of those managers that weren't members only one was interested in joining the ILT and the remainder gave an emphatic no to this question. However, only one said they didn't encourage the staff that they manage to join, the others said they did or sometimes did. Both universities offered incentives to join by paying the fees for one or two years. However the further comments section on the ILT gave several remarks that indicated generally negative feelings:

'It is a total waste of time and I object to being coerced into joining something which provides nothing in return for the membership fees'

'In reality it is not looked upon as a necessary or helpful institution'

'Too generic to be useful to experienced staff'

'Should be valuable for new staff'

'Good idea. Not practical for researchers'

'My union is against it. It is not relevant to someone like me who will retire in 5 years. Younger members will not get promotion at this university without membership'

These responses indicate clearly that the ILT is not meeting the CPD needs of many of the people it has been set up to serve. Both academics and their managers have raised the same questions about its usefulness and value to all levels of staff, although line managers appear to support it more than academics. However, there does seem to be some ambivalence in the responses. When I asked the second set of interviewed managers if they thought that the ILT had a role in influencing staff to undertake CPD they questioned its value but were not wholly negative as exemplified by the

following quotes:

‘There are questions over its value and how it is perceived – It’s a useful tool as it’s good for the establishment to say how many have gained membership, especially if your doctorate profile is low – they take longer to achieve.’

‘With individuals there is some divergence. I think it provides good opportunity for academic staff but there is some reluctance on their part. My experience of it is very mixed. Many see their core role as research and teaching and to be told they must do it, especially probationers and also established staff, causes a lot of resentment. But some have been converted by the experience of doing it and the reason given was their own perception of the need for it. Most think ‘I don’t need it’ and I think this is a kind of arrogance on their part.’

Chapters 2 and 4 demonstrated how the imposition of the ILT is causing conflict despite its principles of supporting a learning culture. These data show how this is exacerbated by an organisational strategy promoting achievement in ILT membership that takes precedence over the individual academic’s perceived needs. This is especially relevant to the research aspect of academic work.

### **Related management issues: management development**

Staff and management interview data had indicated there were related management issues that needed to be explored and managers were questioned in the electronic consultations about their own CPD. They were asked to select, from a list of fourteen, activities that they considered to be relevant to a role as an administrator or manager of academics. The most popular choice, identified by 63%, was attending staff or managers’ meetings. Three activities tie as next most selected and these were obtaining an administrative qualification, running/chairing staff or managers’ meetings and going on a course. This indicates that they value the learning experience obtained from attending or chairing meetings as well as the professional management development opportunities of courses



and qualifications.

None of the consultation respondents felt he or she was fully prepared for their role as administrator/manager. The majority (75%) answered with an emphatic 'no', whilst two answered ambiguously 'Yes more or less' and 'Yes in the sense that there are no courses that I wish to attend. No in the sense that I could be a better manager'. I asked this question again, in the context of being prepared to manage the CPD aspect of their role, in the second set of manager interviews. The responses reinforced previous data with the following examples:

'[Laughter] I'm sure we're the same as other universities – you become a manager and somehow people expect you to have those skills. We have a comprehensive management development programme and but that's mainly about responsibilities and legal matters. Even now, new managers just become managers without any preparation.'

'My own experience in 1995 as a new manager when I asked for training on budget handling . . . [was] I was told "All you need to know about money is that it is power" . . . without enlarging what [was] meant by power. I interpreted this as you can use it to make things happen or block them, and make developments happen. That's what managers do. It reminds people who's boss. I had to fight for a necessary development and work out myself what was needed and then go and find it.'

These responses indicate that line managers are aware that they need support for their role over and above what is already being provided, and that they do not always get that support from their managers. The last comment validates Bennett's (2001) findings that power disparities are a major influence on working relationships.

The needs of managers can be as individual as those of the academics that they manage. In the consultation returns no one listed any activities that had been especially useful to them in their administrative/management role, but

four identified current development needs as

‘Recurrent updating in record and management systems within the institution – a continual need’

‘Training in management relevant to academia’

‘Continual updating on various issues, e.g. HEFCE policy, University assessment and awards regulations, HRM policy changes etc’

‘Help from colleagues and preparation for the task’

In the second set of interviews I asked what training or development they needed to support them in their ‘managing CPD’ role. Their responses included:

‘Managers don’t have the skills. They need training to handle these situations. The need training in how to deal with colleagues and in negotiating skills.’

‘What do academic managers need? Spiral induction in basics of professional and legal responsibilities and then the skills for tasks they have to perform. It has to be ongoing, on the job, and compulsory. Some of it is already provided but academic managers don’t always go.’

These data indicate that both knowledge and skill development is required and that this should be continuous. There were two further comments related to attitude development.

‘Qualities needed? [To] develop a corporate image, attitude, sense of responsibility – not be loners as academics are. They’re not a member of a discipline any more, that’s not compatible with being a dean in a university with a devolved management structure.’

‘A lot of academic line managers don’t see themselves as managers and would rather be an academic but management stops you being an academic. You don’t want to do the job but get sucked in by the money and

status.’

These comments echoed two that were expressed in the consultation returns

‘I do not wish to be prepared for an admin role. My interests are in carrying out research and teaching at the highest level’

‘Apart from systems-based training and legislation updating [,] most CPD I have attended has been very unhelpful – not because [it was] badly done but because it was too insensitive to individual differences to help management of academics whose job descriptions are rightly aimed at each one being different, i.e. high quality work wherever they can take the discipline but where that is should not be predicted in advance’

This reinforces the notion that management development should to be individually focused. There is also a need to apply, as Fullan (1989) advocates, change management processes that loosen mindsets in management development programmes.

The data demonstrate that managers, like their staff, found there could be conflict of interest in appraisals. They also exhibited negative attitudes towards the ILT and were generally dissatisfied with the level of support for their own development. Managers tended to have strong institutional focus when it came to supporting individual staff CPD plans, but conceded that most of their staff knew what they wanted and could manage their own CPD plans. This provides evidence of a tension between institutional needs as the organisation’s driving force for CPD rather than the individual’s needs. A similar tension is described and addressed by Oldroyd & Hall (ibid.) in their model for a school professional development plan. The fact that managers believe staff are, on the whole, self-directed professionals that can decide on their own CPD needs contributes to the evidence for ambiguity in management processes. This has implications for management in the implementation of the high performance cycle of Locke and Latham (1990) where performance measures are based on demands that include ‘high goals on meaningful, growth-facilitating tasks’. Where commitment to some organisational goals may be lacking management will be unable to deliver

high performance according to this model.

Managers of academics are themselves academics and may suffer personal tensions relating to skill and attitude in accommodating their management role. This aspect of change needs to be addressed both in institutional culture change processes and specific management CPD plans in order to ensure that individuals are equipped with the knowledge, skills and behaviour patterns of professional managers.

### **The academic perspective on management**

For the final stage of data collection, academics were asked for their views on selected aspects of university management. The aspects were those that had emerged from the literature and previously collected data as being relevant to their motivation. Themes addressed in this stage were staff involvement in forming university strategy, skills of line managers, enterprise in the university and the university as a learning organisation.

When academics were asked to comment on how their involvement (or not) with University strategy influenced their motivation they all considered honesty to be an essential aspect of communication in this area, as exemplified by the following statements:

'...they must be honest ...'

'... no spin ...'

'... I prefer uncertainties to untruths ...'

'... I don't want lies or false promises ...'

They wanted to fully understand strategy with the benefits to them as academics explained and one felt that that the explanation should be incorporated by their manager into their own perceptions of their career path. They all wanted to be consulted about strategy and three needed to be sure that this was genuine and that decisions had not already been made. One academic acknowledged that it might be difficult to involve staff early enough in a change strategy and also to be able to maintain the degree of confidentiality that would prevent any panic. This response exemplified the

tensions described in the literature between hierarchical and collegial models of management in universities. Another said that strategy must not be imposed on staff and that trust was vital on both sides, even though long periods of time were needed to build up trust. Other comments included the view that managers probably had to have an end game in mind when they started consultation but that negotiation was always preferable to bullying. It appeared to be vital not to impose strategy on staff.

In relation to the skills of line managers when dealing with staff development, all cases felt that these could be improved. Academics said of line managers:

'...they don't have the skills ...'

'...certainly room for development ...'

'...academic qualifications are not management qualifications...'

'...they should take feedback from colleagues as well as managers...'

They had plenty of advice to give their managers including:

'...Be fair and caring ... be seen as responsive and willing ... interested in people ... remember students still exist and staff are real people ... have emotional intelligence and confidence ... don't bully ... listen ... be empathetic ...'

Emotional intelligence was not a term found in the literature or used by previous interviewees, but in the context of this response appears to relate to the managerial learning described by Peach (1998) in Chapter 4.

One academic added that they thought 'these [people management] qualities were undervalued in HE, but they really work, managerialism doesn't'. Another said it was vital that leaders were chosen carefully, as they needed special qualities especially when they have to lead people where they don't want to go. This reinforces the views of Ramsden (1998), McNay (1995) and Davies (1995) on the critical importance of management development for all university managers.

On the topic of managing appraisals, these academics were dismissive of value of appraisals, remarking:

'...they're not useful...'

'...main benefit is quality time with manager and reflection...'

'...no point in them [because] there are no resources for any future support...'

'...useless as a training vehicle [because they're] not joined up with central provision...'

One comment was that 'each faculty should have it's own staff development policy and that it should be better organised and planned [than the central one]'. The implication from this is that there is staff dissatisfaction with existing provision for CPD and tension between individual and institutional needs. Another commented that appraisals were 'okay anyway because expectations of them were low', implying that the management of their appraisal is not only unsatisfactory, but unlikely to improve.

The views of academics didn't converge quite so readily about enterprise in the university, as there were different interpretations of what enterprise was. Two felt that research in the university was enterprising because it was very competitive and individuals and research offices were always concerned about their status in their research field. They felt that an enterprising culture was not found as much in mainstream university teaching. Reasons given were that enterprise would involve working outside your department or outside the university, you might be expected to do it on top of your existing duties, or your manager might not allow you the time to do it. Another thought that the university had taken on board an enterprising culture. It was strong in Engineering and Science but weak in Arts and Social Sciences due to the definition of what enterprise was. The current interpretation was narrow and meant working with industry or business, making money or working on a product. It needed a broader definition involving innovation:

'...innovation, not change, ... drawing on the outside world to re-assess practice inside the university. Also taking things that universities do well to

the outside world, not necessarily for profit. This appeals to Social Sciences and you can't put a monetary value on it.'

In terms of individual academic contribution to enterprise, as well as the difficulties associated with teaching loads listed above, one interviewee commented that 'some academics are naturally more enterprising than others' and added that it was 'important for the university to make its staff aware of the possibilities. All subjects can have links with external partners so that work-based learning can be built into the curriculum.'

The concept of learning organisations as explored in Chapter 4 was not readily understood by the academics consulted in this set of interviews. One academic was unclear about the concept but thought that the management approach to institutional change and development was to 'get everything sorted as quickly as possible'. Another thought a learning organisation was about 'getting the IiP (Investors in People) award'. This academic felt that some schools and departments would never apply for IiP because it was 'seen as part of a service culture and many academics do not see themselves as part of a service culture'. The remaining two interviewees were of the opinion that the university thought it was a learning organisation but, in fact, it wasn't. This was exemplified by:

'It would like to think [it's a learning organisation] but it has a long way to go. Personnel needs to change, it's run as a managerial tool. [The] emphasis is on systems not people and it should be the other way round. We need to ask what do we have to do to get the best out of our human resources.'

Other comments included:

'you can only get training for the job you do and nothing beyond'  
 'policies don't encourage diversification'  
 'there's no support for staff development, no career planning'  
 'academics are quite resistant to learning when it's not applied to somebody else.'

Another view was that, in terms of staff development, the university needed a strategy that was clearly articulated between the centre and its constituent parts with guidance on what does, or should, exist in each part. A final comment from one academic was that staff will always ask 'what's in it for me?' when confronted with change and a manager had to be able to address that.

### **The institutional perspective**

Policy documents from the same universities as the staff and managers were examined. One university's 1999/2000 Staff Development Programme, contained in a booklet published by the Training and Development Unit of the Personnel Department, included a summary of the staff development policy. It offered a wide range of skill development and academic-related programmes, spread throughout the year. On the last page there was a statement about Training and Development Policy and the Appraisal Process.

'The University's Training and Development Policy has been revised and recognises that its most important single resource is the quality of its staff with a commitment to developing them. The policy incorporates the importance of Recruitment, Probation and Appraisal with responsibilities of those involved in Training and Development from the University to the individual. The policy aims to ensure training provision underpins departmental objectives which in turn relate to the Faculty and University Strategic Plan.'

This statement seems to be supporting the concept of the university becoming a learning organisation as defined by PARN (ibid.) and Senge (ibid.). However, it appears to be weighted towards training to meet university needs rather than any individual staff development and, as such, makes no effort to promote the policy to the very people it wishes to influence to respond. This provides another instance of ambiguity exemplified by a lack of clarity of purpose of university processes, especially as it goes on to say:

'Appraisal is really important to you and this programme.



It will tell us what training is needed by whom. It will enable us to provide a programme based on a real need. It will ensure we offer effective training provision.

A new process has been agreed for Academic [. . .] Staff. [...] As this becomes fully operational we look forward to receiving your training needs and providing solutions to meet them.'

The Training and Development Policy itself recognised a wide range of CPD activities in addition to research and course based learning including 'guided reading, mentoring, individual learning, job shadowing, exchanges and conferences'. It defined the purpose as two-fold:

'To enable staff to make a full contribution to the work of their Department and to the work of the University, within the framework of the University Strategic Plan.

To enable staff to develop their effectiveness, to increase job satisfaction and achieve their potential.'

This is clearly a strong institutional focus whilst acknowledging the individuals' needs for self-actualisation (Maslow, *ibid*) and (Locke & Latham, *ibid*). However, the same policy gives 'Statements of Intent' sometimes using language that is advisory rather than prescriptive. For example, 'Each member of staff *should* have a job description . . .', The appraisal process *will* enable each member of staff . . .', 'Each Faculty/Budgetary Group *should* have a staff development and training committee', and finishes with 'Those responsible for the provision of in-house development events or activities *will* ensure they are designed to: Meet needs arising from appraisal; Underpin Departmental and Faculty objectives; Underpin the University Strategic Plan.'. This seems to be accepting that the intended action may not happen in some groups, thereby perpetuating ambiguity in policy implementation.

The other university examined has updated its Staff Development Policy within the last year and states in its 'Purpose' that staff are key to institutional achievement and it is committed to supporting their development. Under 'Principles' it has a statement encompassing equal

opportunities followed by a paragraph on the 'mutuality of benefit, in which both the organisation and the individual member of staff are able to plan for staff development and to gain from its provision'. This is clearly giving support to individual needs but goes on to say that 'These needs *should* be identified through formal processes . . .' and 'Staff Development *should* draw wherever appropriate on the skills and knowledge of the University's own staff . . .' Again, this use of language appears to be acknowledging that there is no compulsion to follow these principles. Copies of Staff Development Policies can be found in Appendix 6.

This perceived ambiguity is supported in other documentation. Each university has had a relatively recent (1998 and 1999) Quality Audit Report from the Quality Assurance Agency for Higher Education (QAA) and each was advised, among other things, to address the ways in which university policy was enacted at faculty and department level. In one case the report stated that, 'There is, however a degree of ambiguity in the way in which the University has expressed its expectations of both its central committees and its departments' (QAA 1998 page 16 paragraph 104). The report comments that this situation has restricted the influence of key committees concerned with academic standards. The other university does not fare any better and its report concludes that '...the University's current approach to the effective management of the process of assuring standards is perhaps less secure. Differences in practice across the faculties ...do not enable the University to be fully confident that its awards are comparable internally...' (QAA 1999 page 16, paragraph 84). The report advises a 'strengthening of mechanisms' for embedding University policy at faculty and departmental level.

The ambiguity in university management policy and implementation implied by the above documentary sources, is evidence that clearly supports views of staff and management obtained from the data. There appears to be 'organised anarchy' (Cohen and March 1989) in the internal processes of UK universities. An explanation for this can be found in Hellawell and Hancock's (2001) findings that senior management behaviour is 'more akin [to] . . . a power culture' and 'middle managers' feel that collegiality is more appropriate. The resulting ambiguity will add to the tensions already

experienced by staff and managers from external pressures and internal cultural changes. Rationality can lead to pathos (Hoyle 1989b). However, the data show evidence of academic staff commitment to CPD but dissatisfaction with line management processes supporting Fullan (1989), Ramsden (1998) and Sporn (1999) that leadership and acceptability of strategy are essential to the achievement of change in HE. There is evidence, also, in these data of tension between individual and institutional needs in the management of performance exemplified by the appraisal process. Middlehurst (1995) has identified professional development of senior staff as crucial in addressing the issue of balancing institutional and individual development. However, the data indicate dissatisfaction from academics and their managers with the development opportunities offered by universities. This supports Brew's (1995) theory that effective CPD depends on the willingness of staff to engage in it and this is applicable to managers as well. The data shows, also, that the ILT is not highly valued and its imposition is resented by some, supporting Nichols' (2001) theory that it does not meet the needs of all categories of academics.

From the data a conclusion can be drawn that there is a cause for concern in the way that CPD is being managed for both academic staff and their managers. There is, however, commitment from staff to engage with CPD but their motivation is affected by the way that university CPD policy is developed and implemented by their managers. There is an apparent tension both in the management processes applied to CPD and the content of the CPD curriculum offer. Line managers agree with academics that there is room for improvement in associated management processes and feel they are not fully equipped to meet the CPD management needs of the university or the academics they manage. They feel that they are not fully prepared for their role and are expected to have the necessary skills when they become managers. Management development programmes tend to focus on the knowledge necessary for their new responsibility rather than skills or capabilities applicable to their new tasks. Academic managers feel that they need induction in the basics of their professional and legal responsibilities and then development in the skills for tasks they have to perform. They have a continual need for updating so that their training has to be ongoing, compulsory and rooted in their day-to-day work. For

managing CPD in particular this should include skills development and training in how to negotiate with colleagues and deal with conflict. They may also need to address attitude and behaviour as they juggle with a familiar allegiance to their discipline and a new commitment to their management team.

## CHAPTER 8 Reflections and conclusions

### Reflections

As a researcher I have learned that doing research is an unpredictable occupation that requires continual thinking and rethinking about its direction and the methods being used to achieve a credible outcome. Although there is a great deal written on techniques that can be used in research projects, there is not a definitive guide to selecting the most appropriate method for investigating a particular research problem. Nonetheless, there is evidence to show that some approaches are better than others. For a qualitative investigation such as this one, the interview is a valid and recommended way of obtaining the required data. My experience of using this technique has increased significantly during this project and my knowledge of its strengths and difficulties developed accordingly.

The data that emerged from my early open and semi-structured interviews were rich, demanding lots of exploration that had to be kept within the bounds of the research focus. This necessitated rigour in the analysis and contributed to the development of my research skills in this area as well. Designing and using a structured electronic instrument to test out the reliability of my early data was, I felt, an innovation. However, it produced an unexpected outcome. The returns were lower than I had anticipated, and it produced new data so that I had much more than I needed for the purposes of this research. A positive aspect of this is the possibility of using the excess data in a future research project. The main difficulty with this data, however, was that the content was value laden. The mechanics of collecting the data meant that I had no way of knowing the values of respondents without approaching them personally as, once the responses had been downloaded from the computer for the purpose of analysis, they were anonymous. However, the data did encourage me to progressively focus on certain aspects of the research questions that were emerging as recurring themes in the responses. Following the experience of using an electronic research instrument, I reverted to using interviews for the remaining data collection to avoid this research difficulty. Applying an interview technique also avoided the risk of a low response rate. At this stage of the research, I

was able to structure the interview questions to focus on the themes identified from data already analysed.

To summarise, the overall sample used in the investigation was not large enough to justify drawing generic conclusions from the findings, nor was the sample considered to be representative of HE academics. Initially the interviews were designed to gather rich qualitative data and a subsequent electronic data-gathering instrument was used to test out the reliability of the returns derived from interviews. This innovative approach to data collection was used to randomly access a larger sample. The returns provided an unintentional and interesting enrichment of the data that warranted still further enquiry. The number of returns was relatively low and this issue of non-response, associated with a degree of self-selection for those that were returned, raised the question of validity of the findings.

However, the responses contained new data relating to the management of staff motivation, a theme that was central to this study. Therefore, more interviews became necessary to further focus on this aspect. More importantly in this research, the resulting progressive focusing of the questions increased the validity of the findings. The data collecting experience of this research has taught me that a new or novel technique can produce an unpredictable response in terms of rate of return and data obtained that will affect the progress of the research. However, diversions from an original strategy can have a positive research outcome and, indeed, enrich the quality of the investigation.

During this study I have become much more skilled at analysing literature and relating it to educational practice. This transferable skill is now being applied to an area of university curriculum innovation and development in my current professional role. In addition, my reflection on learning in the context of research methodology, and the resulting increase in confidence to explore techniques, will enable me to progress as a researcher in the area of educational development in HE.

## **Key findings**

Clearly differing institutions will have differing policies and cultures, so that specific recommendations as a generalisable outcome are not possible.

Nonetheless, there are themes in the literature that have been borne out by the data as relevant to the focus of this study. Each HEI has its own policies and culture that influence both staff and management perceptions of these themes. As a consequence, any recommendations need to be interpreted in that specific institutional context. However the research has indicated findings relevant to managing CPD and the associated staff motivation that senior management teams in the institutions investigated may need to consider. These findings may also have resonance with other universities.

The findings from this study fall into four areas: the issue of conflict within the academic profession, difficulties with managing CPD during organisational development in universities, management uncertainties as institutions develop and change, and managing staff motivation within the prevailing organisational culture.

## **Conflicts**

The focus of this research was the management of CPD for academic staff, in particular what factors influenced their motivation to engage with CPD activities and what the implications were for management. The data demonstrated that staff were well motivated to undertake CPD that they saw as personally relevant, but were unwilling to take part in processes they perceived as imposed and not in the interests of their academic work. There was evidence that their managers supported this view but were obliged to implement university policy and they were ill-equipped to deal with the resulting tension. The issue for managers to address is the gap in management capacity to link institutional needs with self-assessed individual professional needs.

The study was centred on academics and their line managers. Line managers also formed part of a group referred to as 'middle' managers in the literature. This group dealt with the operational issues of management and it has been identified as having particular difficulties in HE. The

difficulties arose from the expectations of their senior colleagues to implement strategy and motivate staff to deliver the desired educational outcomes, and the expectations of the academics they may manage to allow them the autonomy and academic freedom they have become used to. However, neither group of managers worked in isolation and, inevitably, the actions of senior managers in their roles as strategic managers and line managers in the role of 'middle' or operational managers had some relevance to the debate.

Universities have flourished, traditionally, through developing strong individual autonomy amongst their staff and an emphasis on producing competitive academic excellence as opposed to any practical employability skills such as team working, general rather than academic communication skills and business awareness. These traditions, whilst essential to maintaining academic excellence, can work strongly against introducing systematic, lifelong learning commitments to CPD for academic staff that will be strategically suitable for university institutions in the twenty first century. The difficulty appeared to lie in implementing policy change in institutions with deeply embedded, strongly autonomous cultures. However, staff development is acknowledged as a tool that can assist institutions in change management.

The need for academics to preserve their autonomy was the reason they rejected the imposition of the ILT. They were not opposed to the principle of a professional body, though the exact nature of the professionalism offered by the ILT was unclear. Opportunities for academics to gain certification and accreditation for teaching in HE have been provided in the past by associations such as SEDA and HESDA. But, as the professional development related to teaching and learning had been imposed on academics in the form of the ILT it became a source of contention (Nichols 2001).

The AUT expressed dissatisfaction with the ILT and announced its intention to set up its own, rival, institute. A view that underpinned this reaction is that many academics, especially those in research-based universities, did not believe they would get value for money from their membership fees if only



one aspect of their work was recognised. Others feared that membership would be linked to some form of performance-related pay and some academics felt pressured by their managers to join up as HEIs offered to pay initial membership fees.

At the time of writing, HEFCE, Universities UK and the Standing Conference of Principals have commissioned a review of some aspects of the ILT's work where it links with other agencies such as the Quality Assurance Agency and HESDA. Future options could include restructuring and splitting its existing work between other agencies. Should this occur, occupational standards and staff training would transfer to HESDA (Leon 2002). Even if the present structure of the ILT does not suit many of its stakeholders, any future development must reflect the values of HE if academics are to engage in a way that will facilitate learning and encourage critical reflection. A proposed new 'Academy' may contribute to meeting this need (ILT 2003).

However, these intrinsic values of HE and its constituent academic autonomy need to be balanced by clear structures of accountability that are explicit to the public. Self-review, self-regulation and autonomy will flourish if there is confidence in the academic community's responsibility to their learners and to their learning (Nichols 2001).

Occupational standards suggest a competence based approach to training and development, although criticisms have been raised about higher level NVQs in university programmes. There was not a significant following in HE of this approach to learning largely due to a concern that the underpinning knowledge and theory might be neglected in such approaches. (Barnett 1994, Smith and Bennett 1998). Significantly, the ILT does not specify any NVQs for its members. However, the issue of competence in the context of motivating academics to undertake CPD and the implications for management cannot be ignored.

In the context of impact of CPD on teaching and learning, the hierarchical nature of an existing UK competency model for satisfactory management performance is not the most applicable for education (Smith and Bennett

1997). The literature suggested that the higher education learning experience needs to be developed into one that is that is neither vocationally nor academically focused but an amalgamation of both (Barnett 1994). This, of course, would apply to learning for its own workforce as well as the general HE curriculum, and is precisely the type of learning experience that could be developed for HE CPD. However, progress towards such an amalgam in mainstream university courses is slow.

### **Managing development**

The ILT has been charged with being too vocational and needs to develop in a more scholarly way (Entwistle 1998 and Nicols 2001). If this kind of amalgamation can be achieved in curriculum development, the relevant necessary skills may well transfer to the combining tasks identified by Ramsden (1998) in the quest for academic leadership development.

Significant management development to provide the necessary leadership and entrepreneurial skills is also required (Ramsden 1998 and McNay 1995). Heads of Departments need to be actively involved in designing their own learning programmes, and for these programmes to be grounded in the day-to-day problems that they experience (Davies 1995).

The data has demonstrated that current management development opportunities were not addressing this need and that managers were aware of this inadequacy. And, in order for leaders to have a positive effect on motivation of their staff, the process should include ‘...the development of shared values, shared direction and shared responsibility for the future of the organisation...’ (Morgan 1989a). The data in this study has shown clearly that the concept of sharing any aspect of management vision or responsibility at department level is the exception rather than the rule. The Oldroyd and Hall (1997) model of organisational development may offer a solution by opening to all stakeholders activities that provide the medium and the message of change.

The definition of CPD used in the data gathering exercise was ‘the activities required to ensure that necessary professional competencies are developed and/or maintained’. The research has indicated that both academic staff and their immediate line managers up to head of department and head of school level are dissatisfied with several aspects of the management of their CPD.

They felt that policies and processes were imposed on them and that this eroded the quality of their academic culture. They also complained that their managers were not equipped with the skills to satisfactorily manage the necessary activities, for example, appraisals. Line managers were in agreement with academics on this issue and felt that their situation was especially difficult as they were expected to deliver a university strategy, which they may have contributed to developing, that might not have the whole-hearted support of its staff. Some line managers still think of themselves as academics as opposed to managers and consequently might be unwilling to engage with professional management development.

Managers consulted believe they were inadequately prepared for their tasks although they, like some of the academics they manage, recognise that doing the job gives them some professional development. Some believed that they were academics first and foremost and managers second so that management development was low on their personal agendas. Some felt that their management development programme was knowledge- rather than skill- development based and designed to protect the university from litigation, rather than support them in their role.

In relation to how academics and their managers perceived CPD and related themes, the data have shown that both staff and management were in broad agreement over what CPD was and which activities constituted CPD for academics, although managers tended to emphasise formal courses whilst some academics stressed that 'doing the job' was important. Staff indicated clearly that the barriers they faced to engaging with CPD were of a practical nature, for example, workload, time and the relevance and quality of the curriculum offer. Both parties concurred that the ILT was of limited value in this context, including those who had not rejected its legitimacy and had become members. From a management perspective ILT membership numbers provided a university statistic that could be used as an indicator of quality in official documents. However, some academic staff felt that they did not need to demonstrate their expertise in this way.

Bureaucratic models of management do not provide a solution to these development issues as they place the institution at the centre, and assume

that institutions are predictable and with clear goals. An ambiguity model focuses on complexity and uncertainty (Bush 1989) and is demonstrated by Cohen and March (1989) in their 'organised anarchy' model of HE management. There is evidence from quality audit documents that, while central university management strives to be bureaucratic, the outcome is ambiguity as departments and faculties fail to fully implement central management policy (QAA 1998&1999). Whether organisational goals are certain, as in a bureaucratic model, or uncertain, in the case of ambiguity, the implementation of these models will influence the motivation of staff who work with them. In addition, if, as Davies and Morgan (1989) suggest, ambiguity, political and collegial models are sequential stages in the process of decision-making and policy formation, the influencing environment will be undergoing change and adding to confusion and ambiguity for staff. However, the research is suggesting that senior management are working in a bureaucratic model, whilst academics cling to collegiality resulting in an amalgamation of political and ambiguity models that is bewildering to work in and difficult to steer.

Two models of CPD policy and practice have been considered, mandatory or voluntary. However, according to Madden and Mitchell (1993), whether a CPD scheme is mandatory or voluntary it will need to be agreed with the participants if it is to be part of any strategic management implementation. This is borne out by the literature on feasibility of implementation plans (Fullan 1989, McNay 1995 and Ramsden 1989) and supported by the data in this study in the context of appraisal processes and the acceptability of the ILT. Therefore, academic staff are key stakeholders in influencing the acceptability of CPD strategy, and this has significant implications for management in terms of understanding their staff's motivations.

Models of CPD that focus on the individual member of staff in the context of working in their organisation have been recommended by several scholars writing from different perspectives. For example, individual and institutional co-operation as exemplified by the sharing, empowering philosophy of Morgan(1989a), the leadership approach of Ramsden(1998), and the democratic medium and message model designed by Oldroyd and Hall(1997). Or, universities could develop an enterprise culture as

described by McNay(1995), or knowledge management systems expounded by Rowley(2000).

Several scholars recommend that institutions should develop into learning organisations including Frances & Muzanay(1998), Hemmington(1999a&b), and Peach(1998). The breadth of literature supporting this approach suggests that individual ownership of plans and the existence of links between them and the organisation's dynamics is the key to a successful CPD learning process. However, learning and development has to take place at all levels in a company including senior management and not simply left to them to work out solutions for everyone else to follow.

### **Management uncertainties**

At present, as the data has demonstrated, staff and managers in HEIs are uncomfortable with existing processes and both would benefit from a new understanding of each party's roles and responsibilities in twenty-first century academia. Higher education as a business needs to be more business-like and commercially-minded in order to survive the pressures of its external environment. There has to be much more attention to markets for HE products, and development of these products to suit a changing marketplace. Commercial businesses that survive change are enterprising in their approach to markets, and they nurture their entrepreneurs.

The demands of an emerging knowledge economy are changing the nature of academic work by emphasising the research focus of faculties. Yet the relevant professional body for academics, the ILT, is failing to meet the needs of researchers in its recognition processes. Membership of the ILT based solely on teaching expertise is a major factor influencing some academics to engage with it. The demands of a knowledge economy are also providing opportunities to exploit new technology to deliver HE in different ways (Rowley 2000). Government pressure to meet the resulting economic skill needs by widening participation in HE further increases the demands on institutions and their staff.

Uncertainty can be reduced by increasing the quality and quantity of external information and by 'clustering' to become more structured and compliant (Hoy and Miskel 1989). There is evidence from press reports that more HEIs are considering mergers and collaborations (Goddard 1998 and Hodges 2001a). According to Rowley(2000), successful organisations will regard knowledge as an asset and support its creation and sharing.

However, when managing academics, this presents a challenge for HE managers to create a knowledge environment that recognises the value of intellectual capital without developing a cult of the individual expert to the detriment of department or faculty needs.

The academics consulted believed that their motivation to undertake CPD was an individual and personal issue, each deciding what they needed, often to fill an identified gap in ability or to underpin a new role. Managers expected their staff to take responsibility for their own development. However, tensions arose between the need for managers to follow university policy and the professional tendencies of academics to defend their autonomy. Related to this was a degree of confusion, in both parties, about the role and function of line managers especially surrounding appraisal and its role in supporting CPD in their institution. They were unsure what appraisal was, what it was for, how it worked and felt uneasy about the process. Managers felt that, although appraisal was a perfectly reasonable management tool, they acknowledged the 'huge resentment' to it from academics who felt the only people in a position to judge them were their national and international academic peers. For academics, this could be seen as a further attack on their autonomy that would add to their confusion and uncertainty. This would have a major effect on their willingness to engage with development activities

In exploring how this unsatisfactory situation had developed, the study has examined both internal and external influences on HEIs. An increased external scrutiny of universities has led to increasing pressure on university managers to deliver improved performance. This is causing uncertainty and turbulence with an education sector acknowledged as dynamic and complex. The response of HE to its turbulent situation cannot be a simple one. There is a complex interplay between a university's environment and

its particular organisational features that is influenced by the people and politics involved at any given time (Levin 1995). Institutional cultures are shaped by their environments and the prevailing technologies (Bolman and Deal 1989). Organisational autonomy is threatened by environmental uncertainty and resource dependency as administrators endeavour to manage their boundaries and minimise the effects of external pressure on internal operations (Hoy and Miskel, 1989). The outcome of this external pressure has been an internal tension within the university culture exemplified by changes in the traditional collegiality and individual autonomy of academics to a more managerial culture. This has caused confusion and resentment from academics, both factors that will influence their motivation to engage with university processes

Difficulties arise when collegial processes are bypassed and resistance is encountered. Senior managers may then resort to behaviour 'more akin to organisational life within a power culture' (Hellowell and Hancock 2001). The data suggested that line managers were expected by their senior managers to implement university policy and deliver the strategies that had been defined primarily by senior management. However, academics expect their line managers to support them in work they wish to accomplish, some of which will have been developed autonomously. The data indicated, also, that this tension was not being addressed in university change management strategies, and that line-managers were not being prepared for their operational management tasks. This apparent conflict between management goals and the management of academic staff performance can lead to endemic organisational pathos (Hoyle 1989b) thus directly affecting staff motivation. Fullan (1989) recommends an interactive subjective approach in any change management strategy and the data from academics indicated that this approach to appraisal, as a tool of CPD management, which took full account of individual needs, was preferable. The data from line managers in this study indicated that they were aware of the conflict but found it difficult to compromise in the present culture of managerialism and without the necessary skills. Yet staff development is an essential tool of successful change management (Fullan 1989, Brew 1995 and Middlehurst 1995).

### **Managing staff motivation**

The disaffection by academics, demonstrated by the data in relation to the ILT and appraisals, is explained in the literature. Academics and 'middle' managers favour a collegial model of university management because it involves democratic processes and advocates staff participation in decision-making (Bush 1989). The erosion of this culture and the increase in politicisation of decision-making processes (Bush 1989 and Hoyle 1989a) have precipitated a situation where staff motivation may result from individual trade-offs of costs and rewards (Homans 1961). Unless any power applied in these negotiations is exercised in a normative way, it will not be perceived as legitimate by either party (Bennett 2001). This will exacerbate any already existing impasse

In order to address the tensions caused by individual differences and work contexts that exist within HE, implementation models would have to emphasise a democratic process in balancing the needs of individuals and the whole department, school, faculty or institution. The key to success is a process that is viewed as one of development rather than correction. If all stakeholders are involved in the evolution and growth of a new strategy the process itself forms part of the necessary organisational development so that activities become the medium and the message of change. Oldroyd and Hall (1997) described such a model designed for schools that may well translate to universities.

The McNay (1995) model of enterprise culture for HE would meet the need of senior managers to maintain a strong grip on policy definition and control and would allow more flexibility of implementation by nurturing leaders that are adaptable and supportive to their staff. However, this model calls for leaders and managers to be professionally skilled, a situation that, according to this research, does not exist at present. To enable the skills necessary for enterprise culture to develop, there needs to be significant support for managers through education and reflection. An approach to implementing this could be by encouraging HEIs to become learning organisations. Ways of developing universities into learning organisations are considered in the recommendation at the end of this chapter.



Disparities of power are useful where difficult compromises have to be negotiated and can be applied in legitimate ways to generate academic motivation and commitment. However, the type of power applied is critical to engender any moral commitment from staff as some kinds of power would have a negative influence on motivation (Bennett 2001). There is evidence in the literature that 'middle' managers prefer collegiality as a decision-making process 'to win the hearts and minds of staff in favour of necessary changes' (Hellowell and Hancock 2001). Yet it is not a good model for handling conflict and resistance and we must look for other models that are compatible with managing in a fast changing environment and have a more positive effect on academic staff motivation.

An enterprise culture may be the answer to providing a balance for managers. This is a relatively new concept for HE and, as such, is regarded with suspicion by some. McNay (1995) believes that this can be a way forward for managers. This culture enables them, on the one hand, to represent the corporate aims of the organisation through policy and control, and on the other to ensure that, by loosening control on implementation of policy, they could become more visionary leaders who guide and support task achievement. Senior managers would support the managerialist approach to policy and control whilst academics, the data has suggested, would welcome the support and leadership from their line managers. This is, perhaps, a model that warrants closer examination in the context of HE, change management and motivating academics to engage with relevant CPD. According to Ramsden (1998), enterprise culture is viewed by managers as an important quality of future universities, but managers need to be leaders and leadership and learning are inseparable. Therefore, managers need to develop their leadership skills and change from being reactive or bureaucratic to being co-operative, from being domineering and directive to being firm and supportive.

Ramsden (1998) maintains that 'either-or' solutions do not provide answers to current problems and this is borne out by the evidence of conflict in this study. Therefore, the current task of academic leadership is to amalgamate rather than polarise in all areas of their influence. They should strive to develop skills that combine the control aspect of their management

responsibilities with leadership and develop processes and activities that integrate innovation with tradition, excellence with access and business enterprise and professional autonomy.

However, this is no minor task for managers who are already under increasing pressure to deliver improved performance. They often struggle due to a lack of options and possibilities to influence performance, and a lack of management training to help them achieve it (Jackson 1999). This is borne out strongly by the research findings of this study. Further to this, there is a mismatch of role expectations between staff and management. The data indicate that academic staff are looking for a supportive, development role from their heads of department, and expecting them to be operational managers, whereas the heads themselves view their role as more strategic management and may delegate operational matters to someone else. For example, any differences in attitudes of staff and management to appraisal and the role of managers are likely to be a cause of tension in departments and faculties. Models of appraisal tend to reflect the management culture of the organisation whether they are judgemental, laissez-faire, managerial or developmental (Poster and Poster 1997). Proactive management and strong organisational goals represent a managerial model whereas proactive management and a focus on individual goals result in a developmental model that is much more likely to have a positive effect on staff motivation.

This study data indicate that, in universities, organisational goals appear to be gaining in importance at the expense of individual goals thereby moving institutions towards a managerial model of appraisal. However, if HEIs are to develop as organisations, appraisals need to be about individual development, conducted in a style that comprises listening and responding rather than telling and supervising. These principles of reflection and development used in appraisals would transfer equally well to other aspects of university management (Hutchinson 1997) and the concept underpins the nature of a learning organisation as expounded by PARN (1999).

The data and literature have indicated that academics place a high value on their academic autonomy and individual ownership of plans linking to the

dynamics of the institutions would be compatible with this. The data and literature have also shown that there is a 'felt need' for more learning and development at 'middle' management level in HEIs. The implication from this information is that the concept of a learning organisation would be acceptable to academics and their line managers, and would therefore have a positive effect on academic motivation to engage with CPD activities. The impact of the knowledge economy and its influence on research and technology examined in chapter 2 raises the importance of good knowledge management including the development of organisational norms and values that support the creation and sharing of knowledge. The implication from this is that organisations need to develop roles to support knowledge management and this requires individual learning at all levels. The concept of the learning organisation has developed since its origination by Senge (1990). However, Senge's underpinning principles of leadership that is proactive and has vision, and learning that is experientially based remain relevant. A learning organisation is geared to cope with continuous change (Garratt 1990) and creates a learning culture that promotes lifelong learning for all staff (Pedlar 1991, Ojala 1998 and Hemmington 1999b). As well as proactive, visionary leadership, and learning linked to organisational strategy, a positive learning culture is recognised by team work, empowerment of individuals and the existence of mentoring. The extent to which these dimensions are embedded as policies is an indication of whether an organisation is anticipating rather than reacting to change.

### **Conclusions and recommendations**

This study has shown that academic staff are well motivated to undertake some forms of CPD. However, the CPD may be personally focused and not the most appropriate for the organisational development that the university needs for it to manage change. In order to influence the direction of that work to bring about the kind of organisational development needed for their institutions to thrive in the twenty first century, the literature and data have suggested several approaches that can help to reduce conflict and resistance. These approaches relate to aspects of the working culture in an institution and, as each university has its own culture, each will respond differently. Therefore each institution needs to appraise and evaluate these findings and recommendations in the context of its own working culture.

## **Recommendations**

**Senior managers should ensure the inclusion of all stakeholders in strategy development to maximise acceptability and minimise resistance to successful implementation**

This will be achieved by a commitment to more open and honest processes in the development of university strategy so that both staff and managers are fully informed of the universities external environmental and internal positioning and have ample opportunity to contribute to the debate about and formulation of future strategy. It is essential that all managers and staff understand the forces for change being applied to the university as well as each others' roles and responsibilities in the process of determining the universities response.

It is vital not to impose strategy on staff, even though managers may have an end game in mind when they begin a consultation exercise. Negotiation is always preferable to bullying. The practice of inclusion, if demonstrated at the highest level of strategy development, will encourage faculties and schools to follow this example when formulating their individual group strategy to deliver their university's mission. Senior management need to communicate an expectation that all stakeholders will be involved in strategy development at all levels. However, a university needs a strategy that is clearly articulated between the centre and its constituent parts with guidance on who is responsible for what, and what does, or should, exist in each part.

One part of that strategy will be the provision of suitable and feasible arrangements for management and staff CPD. In order for these arrangements to be acceptable to managers and their staff, the university should develop an approach that focuses on the individual manager or member of staff in the context of their working role. The approach recommended is based on a model advocated by Oldroyd and Hoyle (1996) and begins with a full and open consultation on the needs and priorities of the university and its constituency. The demands of external agencies such as government priorities, industry needs, funding council requirements and

quality assurance demands will be considered alongside institutional issues of the curriculum, organisational development and management at a faculty and school level as well as the macro university level.

Factored into this debate, also, will be the priorities of the individuals, whether staff or managers, all of who have personal, professional and career needs. The importance of this pan-university needs identification cannot be over estimated and the extent of the data collection will be an indicator of the breadth of consultation at this stage. Only after these data have been analysed will the university be able to set its priorities for CPD planning and implementation, and these should include activities to address all aspects of staff development. A learning organisation would have the mechanisms in place for academics to identify their strengths and areas for development to feed into its strategic organisational objectives.

Firstly there should be activities to improve school or faculty's performance, by developing individual's to learn new tasks for their present role, for example, new applications of learning technology or data analysis software, or introducing work-based learning into an existing curriculum. Then there needs to be opportunities to address individual job performance by enabling a member of staff to enhance their skills for an aspect of their current role, for example, managing large group lectures, interviewing non-traditional applicants or presenting conference papers. As well as this, each individual will have their own career aspirations, which, the research has shown, must be acknowledged by line managers to maintain staff motivation to develop. Activities to meet this need will prepare the member of staff to undertake new tasks or even a new role, for example, as a personal tutor, curriculum director or research leader. The final aspect is that of increasing the personal professional knowledge of an individual, for example, in management or educational theory or research methods.

All aspects of development should be included in any university, faculty or school CPD plan so that manager's can address them legitimately during any individual's staff development meeting. The implication from this is that curriculum offer for staff development must be cohesive, with 'joined-up' thinking from all relevant departments within the university and, most

importantly, a resource allocation that can deliver then plan.

**Senior managers should ensure that line managers' personal skills are suitable for their role, and that appraisal meetings become a positive development opportunity for staff**

The special case of line managers and other 'middle' managers who perceive responsibility for the work of others, for example, curriculum directors and research leaders, must be acknowledged as a neglected organisational development need as a matter of urgency. Their particular position between the managerial expectations of senior colleagues to deliver strategy and those of academics to provide support and uphold autonomy demands a high degree of skill that rarely exists without previous experience or some form of development. Both the managers themselves and the academics they manage are dissatisfied with the current development provision for this group of staff.

Staff will always ask 'what's in it for me?' when confronted with organisational change and managers have to be able to address that question. Therefore, there should be special attention given to choosing line managers to ensure that they have the necessary aptitude to manage people without resorting to the control mechanisms typical of managerialism. The skill to manage interpersonal relationships in a variety of difficult situations is a pre-requisite for line management success. The role is about managing relationships with people and therefore line managers should be interested in people, in the staff experience and how that affects the student experience, and they must be able to engender trust at all levels.

In the more difficult scenarios, when managers have to lead people where they don't want to go, the qualities of leadership demand special attention and line manager self-help groups or networks will be needed to support managers through the processes as well as the more formal leadership skill development opportunities. The evidence suggests that these and other personal skills are undervalued in HE. Therefore, there is a responsibility on senior management in universities to raise the status of this aspect of CPD by, for example, experiencing it for themselves and ensuring an

adequate resource for their colleagues.

On the issue of appraisals, so many academics were dismissive of their value that radical action is necessary. It is recommended that the name of the appraisal meeting be changed to one that more accurately reflects the career development purpose in HE and sends a message to staff that the meeting is about them as individuals. Although HE can benefit from becoming more business-like in some of its practices, the appraisal meeting is clearly something that has not transferred well from business to HE. To be acceptable to the profession, the outcomes of any 'career development meeting' between manager and academic in HE need to be dissociated from any linear management process. It is in this meeting that the personal skills of a manager will be most useful and most appreciated by their staff, therefore it is vital that the skill development for this aspect of the manager's role is thorough.

**Senior managers should examine the extent of an enterprise culture in the university, and how this culture could be introduced and/or developed in the university**

Senior managers, rightly, may be concerned about too much autonomy and democracy for staff, where competition for scarce resources is strong and they are obliged to control and account for those resources. In this case, it is recommended that the university consider the extent to which an enterprise culture has developed in the organisation. An enterprise culture can suggest an answer to providing a balanced approach for senior managers. Enterprise is a relatively new concept for HE and, as such, its interpretation in terms of HE practice varies from university to university. Consequently, it is regarded with suspicion by some. However, it can furnish a way forward for managers. Enterprise culture enables managers to keep a tight grip on policy whilst loosening control on implementation of that policy, thus enabling them to concentrate on leadership through guiding and supporting achievement of the university's mission. Senior managers would support the managerialist approach to policy control whilst academics, the data has suggested, would welcome the shift towards more support and leadership from their line managers.

The literature suggests that managers view enterprise culture as an important quality of future universities as institutions change from being reactive to proactive, from being bureaucratic to co-operative, from being domineering to firm and from being directive to supportive. However, the leadership skills of managers, addressed in the previous recommendation, are critical to the success of a university developing this culture.

University research departments are considered to be enterprising and organisations can learn from their successes or otherwise in the context of CPD. Highly competitive practices may not sit comfortably with the shift towards more co-operation and support from managers recommended previously. But, such knowledge of practices will be transferable and can be considered in the context of teaching and widening participation in universities. Faculties or schools will need to develop their own individual interpretations of enterprise for their disciplines, which can, in turn, contribute to a broad definition acceptable across the university. This may involve staff working outside their faculty or school, or outside the university with a partner institution, and, importantly for some schools or faculties, not necessarily for monetary gain.

Universities, like businesses, need enterprise to survive change, which is why commercial businesses nurture their entrepreneurs. However, the key to enterprise is innovation, not necessarily radical change. In teaching departments this can mean, for example going to institutions out of the university to bring back new ideas, or taking university practices to outside organisations. Some academics will contribute to enterprise readily whilst others may need encouragement or persuasion. The university's task is to ensure that all staff are aware of the possibilities open to them. It cannot be stressed enough that leaders and managers need to be professionally developed through education and reflection to support the introduction or extension of an enterprise culture. This will be a significant commitment for a university and an approach to implementing this could be by encouraging universities to become learning organisations.



**Senior managers should examine the extent to which existing practices reflect the principles of being a learning organisation and how the principles and practices of being a learning organisation can be extended and embedded into the university.**

Learning organisation is a concept that some academics are unclear about. Others that are familiar with the term associate it with gaining 'Investors in People' (IiP) award. This award does not carry much status with academics as they associate it with a service culture of which, they perceive, they are not a part. Therefore, I would not recommend IiP as a model for universities to become learning organisations. Instead I recommend that universities consider how they manage their human resources (HR) to in the context of getting the best out of their staff. If Personnel or HR departments are associated with systems and accountability they will be seen by the staff as managerial tools and not the support service that staff need to motivate them. Human Resource departments are well placed to facilitate the changes in practices that enable the principles of a learning organisation to be achieved. Therefore, they should examine their current practices to ensure that the emphasis is on people and not systems. Similarly, their policies should be scrutinised to ensure that they encourage, rather than stifle, diversification and career planning. Academics can be quite resistant to learning when it is not being applied to somebody else. Therefore their access to development opportunities should be made as easy and simple as possible. If development needs are identified there should be a timely quality curriculum offer provided that will meet those needs. For example, good knowledge management requires organisational norms and values that support the creation and sharing of knowledge. Therefore, the implication from this is that organisations will need to develop roles to support knowledge management. This demands individual learning at all levels.

The principles that underpin the concept of the learning organisation are leadership that is proactive and has vision, and learning that is experientially based. If these two qualities co-exist they create a learning culture within the organisation that promotes lifelong learning for all staff and prepares the organisation to cope with continuous change. A life long learning culture and consequent preparation for change are fundamental features of learning

organisations. A learning organisation is recognised by practices already addressed in these recommendations, such as proactive visionary leadership. Learning has to be seen to be linked to organisational strategy through the process of needs identification described in my first recommendation.

Other indicators of the positive learning culture found in learning organisations are the existence of productive teamwork and empowerment of individuals that might be demonstrated, also, by an enterprise culture. Mentoring and support networks need to be in evidence to support experiential learning. The extent to which these dimensions are embedded in university practices is an indication of whether the institution is committed to the concept of being a learning organisation. If they are embedded then the university will be in a position to anticipate, rather than react to change and will, therefore have a competitive edge.

By encompassing the principles that underpin these aspects of culture, managers and academics will be able to address the tensions within their policies and strategies and, between them, develop processes and activities that exert a more positive influence on academic motivation in the context of CPD. There are, however, two wider influences that may continue to detract from achieving the required motivation and commitment. One is the academic nature of HE itself and the other is the future development of the ILT. Unless the HE curriculum can develop the vocational and academic amalgamation of 'life-world becoming' to the satisfaction of its participant scholars, there will be those that remain resistant to the notion of CPD as being an HE activity. Should mainstream learning programmes in HE develop according to the 'life-world becoming' model then CPD models would become more acceptable to academics. This, in turn, might make the concept of the ILT more palatable though, as a professional body, its focus on teaching means that it will remain unrepresentative of academics who are primarily researchers and those who undertake academic administration or management tasks.

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## **APPENDICES**

**Appendix 1 Dearing Report extracts**

**Appendix 2 Summary of King (1997) pilot study**

**Appendix 3 Locke & Latham high performance model**

**Appendix 4 Oldroyd and Hall models**

**Appendix 5 Research tools: interview and consultation checklists and questions**

**Appendix 6 Staff Development Policies**

## **Appendix 1 Dearing Report extracts**

### **Dearing Report July 1997 Specific clauses relating to CPD for academics (paragraphs 3, 14, 47 and 48)**

3. We recommend that institutions of higher education begin immediately to develop or seek access to programmes for teacher training of their staff, if they do not have them, and that all institutions seek national accreditation of such programmes from the Institute of Learning and Teaching in Higher Education.

14. We recommend that the representative bodies in consultation with the funding bodies should immediately establish a professional Institute for Learning and Teaching in Higher Education. The functions of the Institute would be to accredit programmes of training for higher education teachers; to commission research and development in learning and teaching practices; and to stimulate innovation.

47. We recommend that, over the next year, all institutions should:

Review and update their staff development policies to ensure they address the changing roles of staff;

Publish their policies and make them readily available for all staff;

Consider whether to seek the Investors in People award.

48. We recommend to institutions that, over the medium term, it should become the normal requirement that all new full-time academic staff with teaching responsibilities are required to achieve at least associate membership of the Institute for Learning and Teaching in Higher Education, for the successful completion of probation.

## Appendix 2 Pilot Study (King 1997)

### Summary of pilot study on university academics' perceptions of CPD

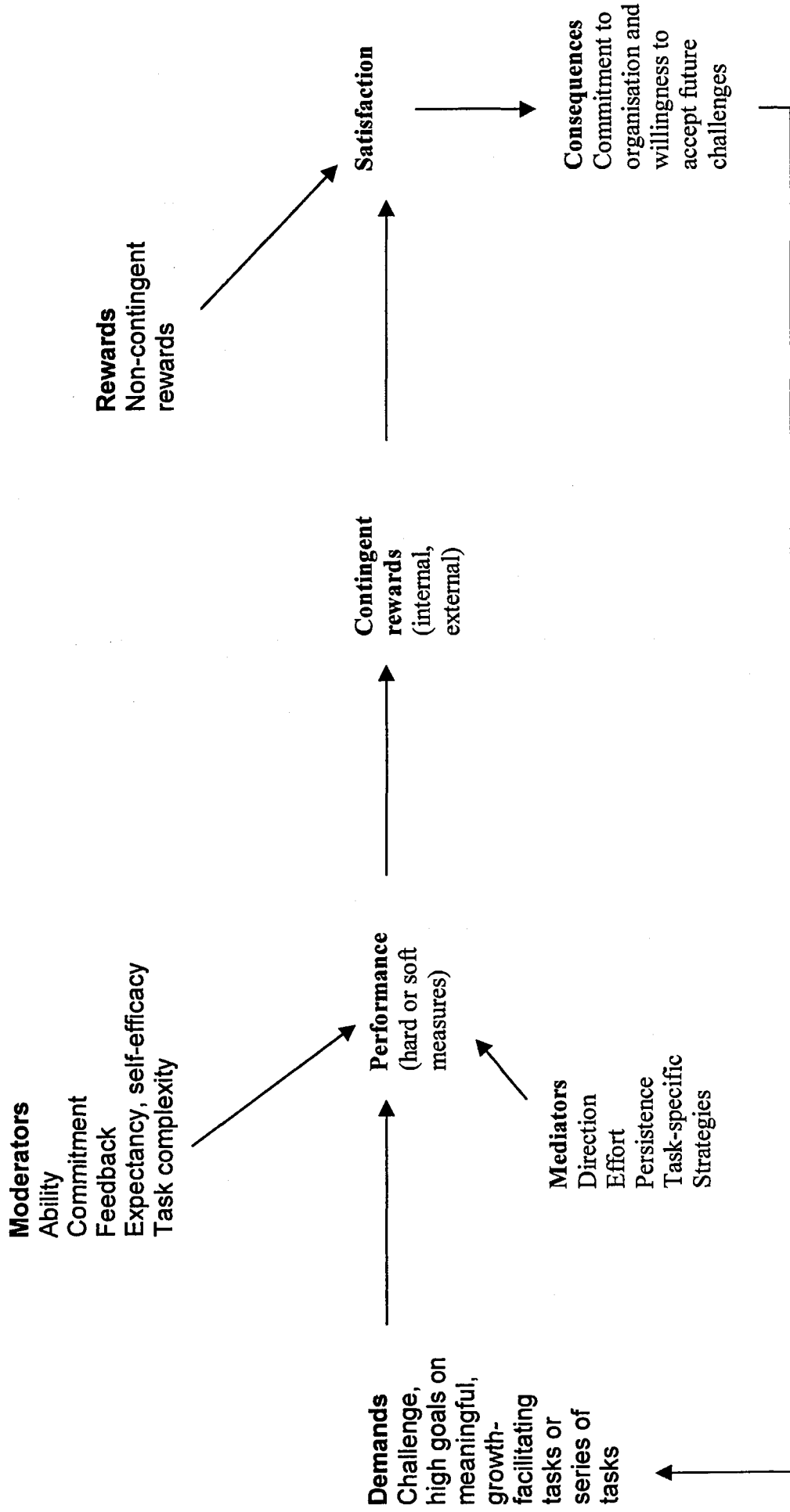
This study consisted of in-depth interviews of three cases employed as senior lecturers in an inner city, post-1992 university. Interviewees were asked what they understood by CPD for themselves in their current situation. The resulting data were analysed into five broad categories, definitions of CPD, examples, motivations and barriers to undertaking CPD, and other relevant factors.

All of the five definitions of CPD given by academics were about 'doing something' in a professional capacity as opposed to going on a course or being trained in some way. The interviewees gave fifteen examples of what they considered to be CPD activities and only two were in the category of 'traditional' learning, i.e. studying or doing a course. There were six examples of 'being something', i.e. undertaking a professional role, and a further seven of 'doing the work', e.g. lecturing, administration or counselling. From these responses, there is a strong indication that academics think that doing their job is CPD.

In analysing factors that motivate staff to undertake CPD, I classified the responses in the broad division of internal, 'personal satisfaction' motivation and external, 'what will I gain' factors. There was an equal division of motivating factors between internal and external in the twelve examples given. When it came to factors, which hinder progress in CPD, of twelve examples given, five were internal reasons such as fear of failure or coping with the development culture. Respondents gave seven external de-motivating factors that were due either to lack of resources e.g. time or a mentor, or being managed e.g. having to take on administrative duties or encountering bureaucracy.

Interviewees gave eleven other views concerning aspects of CPD. Of these, seven were statements of personal attitude or ability, e.g. 'I don't want to waste my time' or 'I haven't always fitted in well with the bureaucracy.' The remaining four were about the CPD process, e.g. 'It's a management means to an end' or 'It's behaviour training'. Possible explanations for these responses are that past experiences of CPD may not been good ones, or that they had been imposed on the lecturer and there was no ownership of process by them.

APPENDIX 3 MOTIVATION IN EDUCATION



The high performance cycle (Locke and Latham 1990: 4)

**IDENTIFYING NEEDS AND PRIORITIES IN PROFESSIONAL DEVELOPMENT**

**Individual Needs**

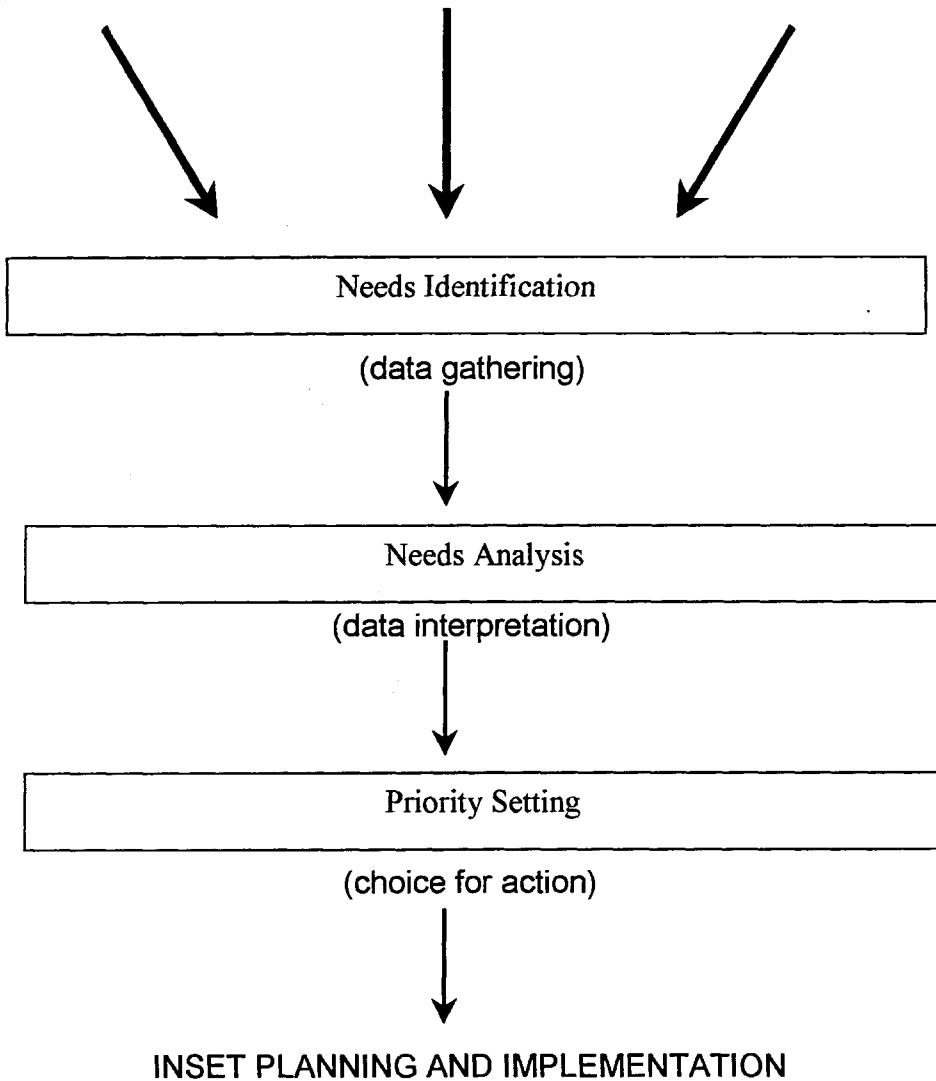
- Personal
- Professional
- Career

**Institutional and Group Needs**

- Curriculum
- Organisational
- Management

**National and LEA Priorities**

- Curriculum
- Examinations
- Funding



Appendix 4.1 Identifying needs: the manager's role

**THE ORGANISATION AND PROFESSIONAL DEVELOPMENT**

SOURCES OF NEED AND PURPOSES OF ACTIVITIES TO MEET NEEDS		LEVELS					
		Whole School	Group	Individual			
<table border="1"> <tr> <td>National policies, eg, national curriculum</td> </tr> <tr> <td>LEA policies, eg, equal opportunities</td> </tr> <tr> <td>School policies and development plans, eg, promoting active learning methods</td> </tr> </table>	National policies, eg, national curriculum	LEA policies, eg, equal opportunities	School policies and development plans, eg, promoting active learning methods	<p>1 Requirement for individuals to learn to perform new tasks in present job eg, use of computers in classroom teaching induction of beginning teachers (Purpose 1: staff/group performance)</p>			
National policies, eg, national curriculum							
LEA policies, eg, equal opportunities							
School policies and development plans, eg, promoting active learning methods							
	<p>2 Room for individual improvement in performing tasks in present job, eg, individual difficulty with classroom management (Purpose 2: individual job performance)</p>						
	<p>3 Individual aspiration to further career by preparing to perform new tasks or new job, eg, a teacher interested in deputy headship (Purpose 3: Career development)</p>						
	<p>4 Individual wish to increase personal professional knowledge, eg, theories about school management (Purpose 4: Professional knowledge)</p>						

Appendix 4.2 Sources and level of INSET need (adapted from Wallace 1990)



## **Appendix 5.1 Outline of interview process**

Identifying information recorded on tape for subsequent analyse purpose only was:

- Grade of lecturer;
- Subject or discipline taught;
- Department, school or faculty;
- Number of years as a full time lecturer in HE.

The opening question was 'Tell me about the things you are doing, or would like to be doing, which you consider to be professional development for your job'.

The interviewer's role was to:

- Ask for clarification;
- Give prompts to return to topics previously mentioned by the interviewee;
- Make notes on body language and emotion;

For Stage 1 of the study, information was sought on

- What happens in practice?
- What are the drivers or levers?
- What are the barriers?
- The influence of appraisal.
- The influence of the ILT
- The changing role of academics.

To gain the management perspective on CPD, I interviewed, also, two academic managers, one from each of the same universities. These interviews were semi-structured in that, after the initial opening of 'tell me about the management of CPD for academic staff', I used a prompt list of questions and topics if the interviews were proving to be unproductive in terms of data. These were the same as the above list.

Data gathered was analysed and used to design an electronic consultation instrument.



2.3 Which of the following activities do you consider to be CPD? (check all that apply)

- Obtaining a higher degree
- Obtaining a teaching qualification
- Obtaining an administrative qualification
- Attending a seminar or workshop
- Presenting a seminar or workshop
- Going on a course
- Going to a conference as a delegate
- Going to a conference as a presenter
- Undertaking research/writing a paper
- Undertaking administrative duties
- Reading relevant journals/publications

Others (please specify)

2.4 Which of the activities in 2.3 are you doing now, or have you undertaken within the last six months? (Check all that apply)

- Obtaining a higher degree
- Obtaining a teaching qualification
- Obtaining an administrative qualification
- Attending a seminar or workshop
- Presenting a seminar or workshop
- Going on a course
- Going to a conference as a delegate
- Going to a conference as a presenter
- Undertaking research/writing a paper
- Undertaking administrative duties
- Reading relevant journals/publications

List any others (specified above) that you have undertaken within the last six months:

2.5 Any further Comments on CPD activities:

**3 What are your reasons for undertaking CPD activities?**

3.1 Which of the following reasons influence you when deciding whether to undertake a CPD activity? (Check all that apply)

- Advised/directed by line manager
- Outcome of appraisal interview
- Recommended by a colleague
- To meet new responsibility/professional need
- To improve own performance in job
- Personal interest
- To improve job prospects
- Direct material gain (e.g. increment or promotion)

Other reasons (please specify)

3.2 From the above list, which factors do you consider the **three** most influential for you.

1.

2.

3.

3.3 Any further comments on reasons for undertaking CPD:

**4 What factors prevent you from undertaking CPD activities?**

4.1 Which of the following factors stop you, or are likely to prevent you, from undertaking CPD activities? (Check all that apply)

- Lack of time
- Lack of finance (own)
- Lack of university funds
- Not enough support from line manager
- Not enough support from home/family
- Not enough support from colleagues
- Available course/programme not totally suitable
- Inflexible or poor quality course delivery
- Too overworked/stressed
- No tangible incentive

Other factors (please specify)

4.2 From the list in 4.1, which **three** factors do you consider to be the main barriers to undertaking CPD activities

- 1.
- 2.
- 3.

4.3 Any further comments on factors preventing CPD activities:

**5 Are your CPD activities linked with appraisal meetings?**

5.1 When did you last have an appraisal meeting with your line manager?

- Less than six months ago
- Between 6 months and a year ago
- Between one and two years ago
- More than two years ago
- Never had an appraisal meeting

Please add further comments if you wish:

5.2 If you have had an appraisal meeting within the last **three** years, was the issue of your CPD addressed at this meeting? (Refer to your most recent appraisal)

- YES
- NO
- NOT APPLICABLE TO ME

5.3 If your answer to 5.2 was YES, was CPD a **planned** part of this meeting?

- YES
- NO

5.4 Was the outcome of this appraisal meeting satisfactory for you in terms of **your** preferred CPD direction?

- YES
- NO
- NOT SURE

5.5 Any further comments on appraisal and CPD:

**6 What is the influence of the Institute of Learning and Teaching (ILT) on CPD?**

6.1 Have you heard of the ILT? YES   
NO

6.2 If you answered 'yes' to 6.1, from what you know, do you think the ILT could be useful to you in relation to your own CPD?  
YES   
NO   
NOT SURE   
NOT APPLICABLE TO ME

6.3 Are you a member of the ILT? YES   
NO   
IN THE PROCESS OF APPLYING

6.2 If you answered 'no' to 6.2, are you interested in becoming a member of the ILT?  
YES   
NO   
DON'T KNOW/NEED MORE INFORMATION

6.4 Any further comments on the ILT and CPD:

**End of Questionnaire**

*Thank you for views. Vouchers will be posted out during February.  
Karen King*





**2 What is Continuing Professional Development (CPD)?**

2.1 CPD may be defined as the activities required to ensure that necessary professional competencies are developed and/or maintained. Do you agree broadly with this definition?

YES/NO

2.2 Please add further comments on this definition if you wish:

2.3 Which of the following activities do you consider to be CPD for academics? (select all that apply)

Obtaining a higher degree	yes/no
Obtaining a teaching qualification	yes/no
Obtaining an administrative qualification	yes/no
Attending a seminar or workshop	yes/no
Presenting a seminar or workshop	yes/no
Going on a course	yes/no
Going to a conference as a delegate	yes/no
Going to a conference as a presenter	yes/no
Undertaking research/writing a paper	yes/no
Undertaking administrative duties	yes/no
Reading relevant journals/publications	yes/no

Others (please specify)

2.4 Which of the following activities do you consider to be CPD relevant to a role as an administrator or manager of academics? (select all that apply)

Obtaining a higher degree	yes/no
Obtaining a teaching qualification	yes/no
Obtaining an administrative qualification	yes/no
Attending a seminar or workshop	yes/no
Presenting a seminar or workshop	yes/no
Attending staff or managers' meetings	yes/no
Running/chairing staff or managers' meetings	yes/no
Going on a course	yes/no
Going to a conference as a delegate	yes/no
Going to a conference as a presenter	yes/no
Undertaking research/writing a paper	yes/no
Undertaking teaching duties	yes/no
Undertaking administrative duties	yes/no
Reading relevant journals/publications	yes/no

Please add any other activities that you consider relevant to an administrative/management role:

2.5 Any further Comments on CPD activities:

**3 Are you fully prepared for your role as administrator/manager?**

3.1 Do you consider that you are fully prepared to undertake all aspects of your role as an administrator/manager?

YES/NO

If you answered YES to 3.1 go to 3.2; if you answered NO go to 3.3

3.2 Please list any professional development activities that have been especially useful to you for this role

3.3 Please identify your current learning or development needs for this role

3.4 Any further comments on preparation for an administrative or management role.

**4 Do you link CPD activities with appraisal/performance review meetings?**

4.1 How often do you have appraisal/performance review meetings with the academics that you manage?

Every six months	yes/no
Every year	yes/no
Every two years	yes/no
Meetings are irregular	yes/no
Don't have appraisal meetings	yes/no

Please add further comments on time scale if you wish:

**4.2 If you have appraisal or performance review meetings with the academics that you manage, is the issue of their CPD always addressed at these meetings?**

**YES / NO / NOT APPLICABLE**

**4.3 If your answer to 5.2 was NO, please say why not.**

**4.4 When CPD needs are discussed in meetings with the staff that you manage, is there ever any conflict of interest between the individual's wishes and the needs of the university?**

**NEVER/RARELY/SOMETIMES/OFTEN/NEARLY ALWAYS/ALWAYS**

**4.5 Any further comments on appraisal and CPD:**

**5 What is the influence of the Institute of Learning and Teaching (ILT)?**

**5.1 Are you a member of the ILT?**

**YES/NO/IN THE PROCESS OF APPLYING**

**5.2 If you answered 'no' to 5.1, are you interested in becoming a member of the ILT?**

**YES/NO/DON'T KNOW/NEED MORE INFORMATION**

**5.3 Do you encourage the staff that you manage to become members of the ILT?**

**YES/NO/SOMETIMES**

**5.4 Does your University offer incentives (e.g. pays ILT fees or gives salary increments on joining) for staff to join the ILT?**

**YES/NO**

**5.5 If you answered YES to 5.4, please state what the incentives are.**

**5.5 Any further comments on the ILT:**

**End of Questionnaire**

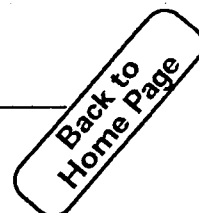
*Thank you for help with this research.  
Karen King FRSA MBA MSc BEd*

## **Appendix 5.4 Managers' questions**

### **List of questions asked of line managers in structured 1:1 interviews (Second set of manager interviews)**

These questions are about managing CPD for academic staff

1. In practice, does appraisal have a role in influencing academic staff to undertake CPD?
2. In practice, does the ILT have a role in influencing academic staff to undertake CPD?
3. Were you fully prepared for the managing CPD aspect of your role?
4. Are university policies and staff development plans helpful to you in this role?
5. What training or development do you need to support you in this role?



## Personnel Policies and Procedures

### Training And Development Policy

The University recognises that its most important single resource is the quality of its staff and is committed to the development of this key resource.

#### 1 Definition

The University recognises Staff Training and Development in the widest sense to include guided reading, mentoring, individual learning, job shadowing, exchanges, and conferences in addition to research or course based learning.

#### 2 Purpose

The University recognises Staff Training and Development has two key purposes:

- To enable staff to make a full contribution to the work of their Department and to the work of the University, within the framework of the University Strategic Plan.
- To enable staff to develop their effectiveness, to increase job satisfaction and achieve their potential.

#### 3 Statements of Intent

Each member of staff should have a job description which sets out what is expected of them in their post.

The appraisal process will enable each member of staff to discuss with their Head of Department/Manager their performance, development needs and prospects with a view to creating and monitoring a personal development plan and record.

Each Faculty/Budgetary Group should have a staff development and training committee which promotes and monitors staff development within the Faculty / Budgetary Group. It has an active role supporting the Head of Budgetary Group in prioritising strategic needs for the Faculty/Budgetary Group and co-ordinating local training initiatives.

Those responsible for the provision of in-house staff development events or activities will ensure they are designed to:

- Meet needs arising from appraisal
- Underpin Departmental and Faculty objectives
- Underpin the University Strategic Plan.

## 4 Criteria for Success

### 4.1 Recruitment and Retention

To sustain and strengthen the University's place as a leading research led institution it must recruit and retain the best available staff with the right skills and provide an environment in which those staff can develop continually. Human Resource procedures will support this activity in partnership with those responsible for recruitment.

### 4.2 Probation

The probation procedures for all staff must be managed effectively to enable personal and departmental targets to be met. New staff need to know from the outset what is expected of them in order to satisfy probation. Regular contact is then required for each probationer with their senior colleague/mentor and/or Head of Department to review progress. Any problems which might lead to non-confirmation of probation should be flagged early with a view to developing solutions to achieve the standards required. Where appropriate the Training and Development Unit will advise on the establishment of development plans for probationers to help them reach the standards required.

### 4.3 Appraisal and Development

The University recognises the importance of staff appraisal to the realisation of its goals and those of individual members of staff. It therefore requires individuals to be appraised in accordance with agreed procedures.

## 5 Identifying and Prioritising Needs

In order to achieve the two key purposes of staff development, (Para 2) training and development needs will be recognised in two distinct groups:

- |                  |   |   |
|------------------|---|---|
| Strategic Needs  | - | identified from the University Strategic Plan                   |
|                  | - | identified to meet Budgetary Group and Departmental objectives. |
| Individual Needs | - | identified by appraisal and consultation with individuals.      |

## 6 Roles and Responsibilities

### 6.1 The University

The University recognises that the Training and Development of its staff is an essential component of meeting its key aims and objectives and expects that all staff will devote an appropriate amount of time to relevant training and development activities.



The University will support initiatives to encourage under represented groups to take part in Training and Development opportunities. All Training and Development events will be conducted within the framework of the University's Equal Opportunities Policy.

The University will ensure financial resources are available to meet prioritised strategic development needs and needs arising out of the appraisal process.

The University will receive recommendations and reports from the Staff Training and Development Advisory Group via the Personnel Policy Committee.

## **6.2 Faculties/Budgetary Groups**

Faculties/Budgetary Groups are encouraged to develop their own Staff Training and Development Policies in line with the University Policy and to allocate an appropriate budget to support their activity with guidance from the Staff Training and Development Advisory Group.

Heads of Faculties and Budgetary Groups have a responsibility to ensure Strategic Development Needs for the Faculty/Budgetary Group are identified and met. They also have a responsibility, through their Heads of Department, to ensure appraisal is carried out and outcomes are reported to the Training and Development Unit and appropriate Staff Committees.

Faculties/Budgetary Groups will nominate a Faculty/Budgetary Group Training and Development Coordinator who will ensure the Faculty/Budgetary Group Policy is implemented and will liaise with the TDU / Centre for Learning and Teaching. The Faculty/Budgetary Group Training and Development Coordinator will also be a member of the Staff Training and Development Advisory Group. Faculty/Budgetary Group Coordinators will provide an annual report to the Staff Training and Development Advisory Group on all staff development activity provided within the Faculty/Budgetary Group for its staff.

## **6.3 Heads of Departments / Line Managers**

Heads of Departments / Line Managers have an integral role to play in supporting Staff Training and Development. They have a responsibility for ensuring all staff are appraised according to the appropriate procedures and outcomes are forwarded to the Training and Development Unit. They will ensure staff are given adequate time to pursue agreed Training and Development activities and full encouragement and support to implement new ideas within their work. This role will also include feeding back to the TDU / Centre for Learning and Teaching, on the perceived impact of staff training and development activities on individuals' performance in specific roles, in order to evaluate improvement in performance.

Heads of Departments may wish to appoint a Departmental Training and Development Coordinator, who will oversee Training and Development activities in the Department and liaise with the Faculty/Budgetary Group Coordinator.

## **6.4 Individuals**

Individuals have a responsibility and obligation to take full advantage of Staff Training and Development opportunities and to feed back new learning to their Departments and Faculties/Budgetary Groups.

## **6.5 Training and Development Unit**

The Training and Development Unit will co-ordinate a programme of activities and advice on solutions to meet both strategic and agreed individual needs. It will evaluate activities to ensure they meet needs and objectives.

## **6.6 Personnel Policy Committee**

Personnel Policy Committee will consider and make recommendations to Policy and Resources Committee on training and development policy issues. It will ensure the effectiveness of the policy including the provision of appropriate guidance, procedures and monitoring.

Personnel Policy Committee will receive reports from the Staff Training and Development Advisory Group to consider their advice and recommendations for action and to decide thereon.

## **6.7 Staff Training and Development Advisory Group**

The Staff Training and Development Advisory Group will work to achieve continuous improvement in staff development opportunities for all staff. It will have a key role in promoting training needs identification activity, and will contribute to the agreeing of priorities and supporting action taken to meet these priorities.

## **6.8 Faculty/Budgetary Group Training and Development Co-ordinators**

The Faculty/Budgetary Group Training and Development Co-ordinators will act as the key link between the Faculty/Budgetary Group and the Training and Development Unit. They will have a key role in developing and implementing Faculty/Budgetary Group Training Policy. They will co-ordinate local training initiatives and contribute to the analysis of strategic needs and training plans. They will be a member of the Staff Training and Development Advisory Group and contribute to determining priorities for training and development in the University.

## **6.9 Training Providers**

Training Providers will provide training opportunities that meet the needs of the University and its staff. They will be constantly evaluated to ensure appropriateness and quality.

## 7 Meeting Needs

Ways of meeting Strategic Development Needs for the University will be identified through discussions between Senior Managers and the TDU / Centre for Learning and Teaching.

Ways of meeting Faculty/Budgetary Group Development Needs will be identified through discussion between Managers in the Faculty/Budgetary Group and the Faculty/Budgetary Group Training and Development Coordinator in consultation with the TDU / Centre for Learning and Teaching.

Ways of meeting Departmental Development Needs will be identified through discussion between the Head of Department, Faculty/Budgetary Group Training and Development Coordinator and the TDU / Centre for Learning and Teaching.

Individual Training and Development Needs will be met through the Central Training Programme, external events and other more informal development methods in discussion with the Line Manager / Head of Department / Faculty/Budgetary Group Training and Development Co-ordinator and TDU / Centre for Learning and Teaching.

## Financial Support for External Courses

Staff at the University are supported on a wide range of external training which lead to a recognised qualification. In recognition of the personal shared benefit employees may contribute towards the course fee themselves and attend classes or activity in their own time. The University is, subject to departmental approval, often willing to support staff undertaking such courses through fee support, release for class attendance and study leave. The following conditions will apply to such funding.

- 1) If the total University contribution is less than £500 the individual will be expected to stay within the employment of the University for 12 months after successful completion of the certified programme. The total University contribution comprises money provided from sources such as the Faculty Budgetary Group, Department and Training and Development Unit.

In the event of leaving the University's employment within 6 months of completing the training the individual will be liable for 100% of the cost incurred by the University.

If the individual leaves the University's employment between 6 months and 12 months after completing the training they will be liable for 50% of the cost incurred.

- 2) If the total University contribution is £500 or more, the individual will be expected to stay within the employment of the University for 24 months after successful completion of the certified programme. The total University contribution comprises money provided from sources such as the Faculty Budgetary Group, Department and Training and Development Unit.

In the event of the individual leaving the University's employment within 12 months of completing the programme, the individual will be liable for 100% of the cost incurred by the University.

If the individual leaves the University's employment between 12 and 24 months after completing the training, the individual will be liable for 50% of the cost incurred.

- 3) If the employee voluntarily leaves the programme prior to its completion while remaining in the employment of the University then, depending on the individual circumstances, any University contribution to fees will be repayable.
- 4) The Head of Department will arrange for the repayments to be made on receipt of the individual's notice to leave the University or notification of leaving the course. Costs may be deducted directly from the individual's salary. The reasons for leaving will be taken into consideration when determining the amount to be repaid.

The Head of Department will ensure all other University contributors to the fees are re-imbursed on a pro-rata basis.

## Financial Support for External Courses

Name of Head of Department \_\_\_\_\_

Amount of University Financial Contribution \_\_\_\_\_  
Faculty/Budgetary Group \_\_\_\_\_

Department \_\_\_\_\_ Training Unit \_\_\_\_\_

Print Name \_\_\_\_\_ Department \_\_\_\_\_

Acceptance signed by \_\_\_\_\_ Date \_\_\_\_\_

*I understand my receipt of University funds is conditional on this agreement and consent to fees being deducted from my salary on the conditions as set out in paragraphs 1-4 above.*

# Staff Development Policy

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  - [Principles](#)
  - [Responsibility](#)
  - [Objectives](#)
  - [Implementation](#)
- 

## Purpose

The University recognises that its staff are the key factor in assisting the organisation to meet its strategic objectives and in providing the skills, expertise and knowledge necessary to the fulfillment of its mission.

The University is therefore committed to the support of staff development and training; and to investment in these activities which contribute to gains in the effectiveness of its work.

Staff development is an essential component of the working environment and plays an important part in the University's effort to achieve its Strategic Plan by:

- supporting the effective and efficient operation of the University;
- supporting the University in the achievement of new directions and organisational change;
- supporting the achievement of excellence in teaching and learning;
- supporting the achievement of excellence in research and scholarship;
- supporting the successful development of income-generating initiatives and consultancy.

Staff development may be defined as:

**University policies, plans, procedures and activities designed to support and develop the knowledge and**

**skills of staff, and by so doing to improve the effectiveness and efficiency of the individual, of the operation of the various parts of the organisation, and of the University as a whole. Staff development occurs across a spectrum of activities from the formal and structured, eg, courses, seminars, workshops, study time, to the informal, eg, ad hoc on the job assistance, private study, networking, secondments and consultancy.**

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## Principles

The University expects staff development opportunities to be available to all categories of its staff, for whom equitable provision must be made in relation to the needs of their work and of the institution. Staff development opportunities will address the needs of support staff carrying out administrative, professional, technical and manual responsibilities as well as making provision for academic staff. The University recognises that its efficient functioning depends upon the appropriate level of support and provision of staff development activities for academic and support staff alike at all levels, both full-time and part-time. The Equal Opportunities Policy of the University will apply to staff development.

Staff development is an ongoing process addressing continuing professional development. In this process a key principle is that of mutuality of benefit, in which both the organisation and the individual member of staff are able to plan for staff development and to gain from its provision. It follows that both the individual member of staff and the organisation have responsibilities for addressing varying staff development needs over time and within changing career patterns.

These needs should be identified through formal processes, including the use of appraisal systems, and the integration of staff development planning into University, Faculty, Department and Central Service Strategic Plans.

Staff development should draw wherever appropriate on the skills and knowledge of the University's own staff and on the development of experience in the context of the day-to-day activity of the institution.

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## Responsibility

Responsibility for the planning and provision of continuing personal, vocational and professional development is threefold:

- through centrally resourced activities, advice and support;

- as a direct line management responsibility of Heads of Department, Heads of Central Service and Programme Area Directors;
- as an individual responsibility of each member of staff.

The Academic Development Centre and the Personnel Office staff, reporting to the Directorate, will act as a central focus for the co-ordinated planning and provision of a range of central activities, eg, seminars, workshops, short courses for all categories of staff. These will be prioritised according to identified needs and demands in the University, particularly those common needs identified through the staff development and appraisal process.

Managers at all levels are directly responsible for working with their staff in the identification and implementation of their developmental needs. They are responsible for ensuring that organisational and strategically identified needs are addressed. In addition, the role of managers will include the monitoring and evaluation of staff development that is undertaken.

The Dean at Faculty level, and each Head of Department/Head of Central Service has a managerial responsibility to help his/her staff to develop their performance and effectiveness in their role. Staff development activities at the Departmental/Service level should be actively encouraged and supported. These might include, for example, the opportunity to take part in new areas of responsibility, encouragement to gain new qualifications through full or part-time study, study/research leave, technical skills updating, rotation of duties and responsibilities, job exchanges, attendance at courses and conferences, staff seminars and workshops and research seminars.

Staff development is most effective when the individual member of staff takes responsibility for her/his own development and takes an active part in its planning and evaluation. Benefits which accrue to the individual's performance from development and training activities should be noted by them and as appropriate taken into account in the annual staff development and appraisal and/or promotion procedures.

Staff will be encouraged to become involved not only in professional development activities, but also to participate in the design and delivery of such activities.

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## Objectives

In implementing this Policy, the University aims by 1998 to have:

- Determined and allocated a minimum percentage of its revenue



budgets for staff development purposes. Further work will be undertaken to determine a fair and reasonable target percentage in accordance with strategic and staff development plans.

- Provided for a minimum of 37 hours professional development per full-time employee per year, within the existing terms of an individual's contract, and adjusted appropriately pro-rata for part-time and hourly paid staff. This time is to be dedicated to formally structured development activity in order to acquire or update knowledge and skills related to their employment in the University.
- Ensured that every employee discusses and agrees their training and professional development needs with their line manager/team leader and records these needs in the form of a personal development portfolio or review. Progress towards meeting needs will also be monitored and recorded on an ongoing basis, and formally reviewed at least once a year.
- Established a systematic framework for the planning, management and recording of staff development activities for all staff in accordance with this Policy.
- Offered the opportunity wherever practical and appropriate for staff to have their knowledge and skill assessed and accredited as a nationally recognised qualification, for example, in the form of professional qualifications, NVQs, the Partnership Programme, and the University's Post-Graduate Certificate in Curriculum Management.
- Achieved and maintained high standards of quality in its development of staff and to have these standards assessed and publicly acknowledged through the successful attainment of the Investors in People award.

This requires:

A public commitment from the top of the institution to develop all staff;

Implementation of a regular review of the training and development needs of all employees;

Action to train and develop individual staff on recruitment and throughout their employment;

Evaluation of all investment in staff development and training.

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## Implementation

The implementation of this Policy will be carried out through the allocation of resources, the preparation of plans and the evaluation of activities.

### *Resources*

- Resources for staff development will be specifically identified as a budget line in Faculty, Department and Central Service budgets. There will also be an allocation for the central provision of staff development and training.
- University expenditure on staff development will be calculated according to an agreed formula and reviewed on an annual basis.
- Accountability for the proper use of this budget will lie with the Heads of Department/ Central Service, Deans and the responsible Pro-Vice-Chancellors.
- The Vice-Chancellor and Directorate will ensure that adequate resources are provided for staff development, and that staff development is effectively planned for and managed.

### *Planning*

- Plans for staff development will address the following general needs:
  - i) the induction of new staff and initial training;
  - ii) continuing professional development related to the demands of the job;
  - iii) personal skills and career development.
- Plans will be informed by the personal development needs of staff as identified in annual staff development and appraisal interviews and by the University's priorities and objectives as established in the Strategic Plan.
- It is a matter for decision which Committee (Academic Policy, Personnel or a specially constituted committee) will discuss and review the staff development priorities for the University as a whole. However, this will occur on an annual basis and priorities will inform planning at the operational level.
- Each Faculty, Department and Central Service in the University will prepare plans covering the development of their staff, and will review these on an annual basis. The plans and their

implementation must be demonstrably equitable and open to audit.

- o The objectives of staff development plans will therefore be:
  - i) to support staff in fulfilling the requirements of their job, in providing greater satisfaction in their current post, and in preparing them for possible career development;
  - ii) to assist the University in achieving its strategic objectives, and to support new directions and initiatives in a rapidly changing environment.

#### *Delivery*

- o Faculties, Departments and Central Services will work with the relevant staff development providers to establish a programme of staff development based on the needs identified in the planning process. Staff development providers may include central staff developers, staff in Faculties and departments, and external consultants.
- o Consultation will take place between Faculty and central staff developers in order to establish an annual programme and prospectus of staff development workshops, courses and activities provided for all staff in the University.

#### *Monitoring and Evaluation*

- o Information regarding staff development expenditure and participation must be recorded to enable the University to engage in effective staff development planning and to meet its obligation to respond to requests for information from external bodies.
- o All staff development activities carried out in the University will be evaluated for their effectiveness.
- o Evaluation will take place from two perspectives: the personal and the organisational.
- o Individual staff will be asked to maintain records of staff development activities in which they have been involved.
- o The annual personal development review will include consideration of the range of staff development activities pursued by the individual member of staff, their effectiveness and how they have contributed to personal development.
- o It will be particularly important to confirm whether development needs identified in the previous year's review have been met.

Feedback on the range and quality of staff development experienced will be used in the annual planning process.

- o Departments and Central Services will maintain records and will report annually on the planning and expenditure relating to staff development. The annual report should include as indicators the percentage of total budget spent on staff development, and the time invested in staff development in the form of the average number of days per member of staff dedicated to staff development.
- o These reports, aggregated at Faculty level, will contribute to the review of the annual Faculty, Department/Central Service staff development plan.
- o The resultant documentation will be made available to the Personnel Office and the ADC, whose staff will prepare a full report on staff development in the University for Academic Council and the Board of Governors every two years.
- o As well as informing ongoing planning with clear evidence of what has been achieved, these reports at the different levels will provide the basis for evidence to HEFCE and the HEQC regarding the planning and delivery of staff development in the University.

Queries concerning this policy should be directed to Jeannette Collins, Staff Development Manager

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