

Academic Leadership and Development Project





Academic Leadership and Development Project

Report on Project Phases One and Two

PHASE ONE - *Literature Review and Desk Research*

PHASE TWO - *Faculty/College Head and Head of School/Department Interviews and Focus Groups*

September 2016

Contents

1.	Executive Summary.....	3
2.	Clarification of Nomenclature.....	13
3.	Introduction.....	14
	PART ONE.....	17
4.	Literature Review.....	18
5.	Comparison of Academic Leadership/Management Structures.....	30
6.	Emerging Themes From Phase One.....	42
7.	Phase One Areas For Further Consideration.....	43
	PART TWO.....	44
8.	Aims of the Interview Process.....	45
9.	Methodology.....	46
10.	Numbers at a Glance.....	47
11.	Role Profiles.....	49
12.	Effective Behaviour Frameworks.....	58
13.	Motivation to Take Up the Roles.....	74
14.	Reward and Recognition.....	75
15.	Succession Planning, Selection and Preparation.....	77
16.	Support and Development.....	80
17.	Administration and Structures.....	81
18.	F/CH and HoS/D Perceptions of their Roles.....	83
19.	Academic Tensions	84
20.	Performance Management, Staff Management and Staff Development.....	85
21.	Leadership Development.....	89
22.	Sectoral Approach to the Remuneration of F/CH and HoS/D Roles.....	91
23.	Issues for Further Exploration.....	92
24.	Conclusions and Recommendations.....	95
25.	Appendices.....	107
26.	References.....	112
27.	Acknowledgements.....	114
28.	Abbreviations.....	114

1. EXECUTIVE SUMMARY

This report presents the findings to date from a HEA funded project on Academic Leadership and Development. The project was initiated under the HEA Strategic Innovation and Development Call, with the goal of developing Human Resources systems and supports for academic leadership and management that are attuned to the specific challenges facing Irish higher education institutions and that are informed by international good practice.

The project design covers four phases as follows:

- Phase One – Literature Review and Desk Research...to compare academic management structures and to compare F/CH and HoS/D role-related processes (i.e. succession planning, preparation, selection, support and development and reward and recognition);
- Phase Two – F/CH and HoS/D Interviews and Focus Groups...to produce sectoral role profiles/descriptions plus competency/behaviour frameworks for both roles;
- Phase Three – Development of a suite of leadership development interventions...to enhance current institutional offerings;
- Phase Four – Delivery and Hand Over...to roll out agreed interventions and hand responsibility for future progress to the institutions.

Phases One and Two of this project have been completed and are represented by this report. Phases Three and Four will be progressed over the remaining lifetime of the project and beyond.

The approach taken to complete the first two phases began with an exploration of what ‘academic leadership’ and ‘academic management’ are to bring clarity to the project... and an exploration of what they are not. Given the variety of titles in use for the roles being explored, clarification was then brought as to exactly which university roles were being explored as part of this project. Subsequently, the international higher education landscape was examined to investigate how universities have changed their role as higher education institutions and the impact such changes have had on universities’ external focus, their macro and micro structures, their internal governance, leadership and management aspects and the two roles in question. In relation to the latter, the impact of the changes in the role of universities on the documented descriptions of the roles of F/CH and HoS/D was assessed. A comparative analysis was completed to compare and contrast documented roles, role-related structures and role-related processes among Irish and selected international comparator universities, respectively, to elicit how approaches in Irish universities today are consistent with and different to those of the selected international comparators.

The above analysis led to the formation of emerging themes and provisional findings. Role holders were consulted to verify these findings and themes and to provide a practice based view of how the roles are lived in Irish universities today. The insights they have provided have led to the production of outputs pertinent to their respective roles and have led to findings and conclusions in relation to the following role-related processes – succession planning, selection, preparation, support and development, and reward and recognition. Additional relevant findings and conclusions are also presented.

The methods of data collection for Phase One included a **review of general literature**, together with **desk research** of documented role descriptions and associated role-related processes for the seven Irish universities and four selected international universities. The methods of data collection for Phase Two involved a series of sixty one individual face-to-face **interviews** with a sample of role holders for each role in the Irish universities, followed by **focus groups** with a smaller sample size selected from the original sixty one role holders. Interview data was supplemented by the literature review, desk research of institutional documentation and informal interviews with a small sample of institution F/CH, HoS/D, Presidents, Senior Teams/Senior Team Members, Registrars/Vice Presidents Academic, HR staff and IUA staff.

For the formal Phase Two interviews, numbers of role holders sampled represent approximately half of Irish university F/CH and a quarter of Irish university HoS/D. In total 15 F/CH were interviewed plus 46 HoS/D, of which six F/CH and 16 HoS/D respectively attended the focus groups. A mix of university nominations and self-nominations was employed to form the interview sample. Attendees self-nominated to attend the focus groups. Throughout the nomination process, nominees were sought that provided a representative mix of gender, age, academic grade, experience of the role, size of academic unit and subjects/disciplines.

For consistency, the project manager completed the literature review, conducted the desk research, designed interview questionnaires, interviewed the role holders, analysed the findings, ran the focus groups, met with IUA sectoral groups and drafted this report. Findings are presented as Phase One findings and Phase Two findings.

Phase One findings are grouped into ‘Emerging Themes’ and ‘Areas for Further Consideration’.

Emerging themes can be summarised as follows:

- The university sector in Ireland has been **reformed** in line with international trends in that the Irish Government has implemented reforms in the higher education system here and introduced an era of funding-based performance assessment and evaluation. The institutional autonomy of Irish universities is quite high on many fronts when compared against international universities. Yet the government here exerts considerable state direction in the areas of operational and management autonomy via fee setting, via funding performance accountability, via quality assessment, via regulatory compliance demands, via direction in relation to HR practice and via the legislation dictating the external governance aspects – i.e. the Governing Authority and Chief Officer.
- ‘Contribution’ has been added as the **third academic mission** for universities generally. In Ireland, there is now explicit expectations of how universities will contribute to wider society and to the economic development of the country.
- No one **‘best practice university model’** emerges from the international comparative analysis that can be transposed directly to the Irish situation. This is because research has shown that each institution responds to the same stimuli differently according to unique institutional traditions, cultures, local influences, staff and so on. Best practices were identified and are worth adapting. These best practices are incorporated into the Phase Two conclusions and recommendations where findings supported their inclusion.

- In response to the changed higher education climate, Irish universities have **restructured** internally following similar logic to international comparators in the introduction of larger Faculty/College structures where subjects/disciplines tend to be grouped into Schools/Departments. In broad terms, Irish universities share similar structures, albeit with varying nomenclature for academic units and roles, with some institutions having more clearly defined structures than others. F/CH and HoS/D positions have been created to facilitate the new or modified structures.
- Universities tend to **define F/CH and HoS/D roles** more clearly as standalone leadership/management roles with much the same role purpose and key responsibilities in Ireland as for the international comparators. However international comparators tend to have separated the two roles more clearly in their documented role descriptions versus Irish universities role descriptions as currently documented. This is particularly evident in relation to the decision making aspects of the role.
- **The ABC Model** was identified during the literature review and was subsequently presented as a useful overarching framework to portray the key responsibilities attaching to both roles. It was chosen to reflect the substantive movement from the predominately 'Academic' nature of traditional academic leader/manager roles to what is now a mix of 'Academic', 'Business', 'Compliance' and 'Staff' dimensions, using the headings adapted to the Irish context. The model portrays these complementary dimensions as being very much at the core of F/CH and HoS/D responsibilities in Irish universities today.
- **Succession planning** as a means of deliberately preparing potential successors well in advance of being needed for roles is not a strong feature of the Irish scene.
- Universities in Ireland **select** candidates for roles but a common approach does not yet exist. In relation to international comparators, Professor tends to be the minimum academic grades chosen for F/CH and Associate Professor for HoS/D, but more junior academic grades are permissible in the Irish universities. International comparators tend to have minimum terms of four years for either role in contrast to three years for some institutions in Ireland. International comparators tend to interview formally more than in Ireland. Irish universities and international comparators are more open to selecting external candidates for F/CH roles, less so for HoS/D, but candidates are normally appointed internally for both roles.
- Greater levels of **preparation, support and development** are provided before international comparator role holders begin their terms. Irish universities tend to appoint candidates with shorter lead in periods before beginning their term of office. In consequence, most support and development is provided during term.
- International universities have a greater level of **leadership/management and/or administration supporting structures** working alongside HoS/D to help them manage their academic units. International comparators have a greater tendency to use external advisory bodies as a formal means of securing support from external stakeholders.
- International universities provide greater levels of **reward and recognition** to role holders via clearly defined benefit packages under four categories – Job-related, Research-related, Academic Promotion and Remuneration-related. International benefit packages are subject to annual performance review and evaluation where the role itself and/or associated benefits may be withdrawn. Universities in Ireland generally have different and inconsistent approaches to reward and recognition of the role and role holder and in some institutions no form of reward or recognition is offered.

Areas for further consideration were listed as follows and these areas were explored in Phase Two:

- How can the F/CH and HoS/D roles be better defined and is the ABC Model of Governance and Management - 'the ABC model' - a useful reference model for defining them?
- Is there a need to communicate the fact that the two roles are formal management and leadership positions more publicly and/or explicitly?
- Are there additional ways to reward and recognise both roles?
- Is there any merit in enhancing the structures that F/CH and HoS/D work with to manage by considering student related positions, external advisory bodies or more formal School/Department management structures.
- Is it possible to formulate a common sectoral approach to succession planning, selection, preparation, support and development for roles in areas including but not limited to:
 - Formal career development process for academics to begin as early as possible in their careers to include formal university leadership/management training;
 - Exposure to other leadership/management roles in a more deliberate manner;
 - How early successors are appointed;
 - The length of terms for each role;
 - The preferred academic grade successors should already have attained;
 - The possibility of appointing successors in 'batches' to facilitate group development and peer networking.

Phase Two findings were formulated via the analysis of the interview data and were refined post focus groups and post discussions with the IUA HR Director Group, the IUA Registrars Group and IUA Council.

Phase Two Findings are categorised as follows.

- Role Clarification;
- Motivation;
- Reward and Recognition;
- Succession Planning, Selection and Preparation;
- Support and Development;
- Administration and Supporting Structures;
- F/CH and HoS/D Perceptions of Their Roles;
- Academic Tensions;
- Performance Management, Staff Management and Staff Development;
- Leadership Development;
- Sectoral Approach to the Remuneration of the Roles;
- Issues for Further Exploration.

Role Clarification has been achieved via the development of role profiles and effective behaviour frameworks for each role. Role profiles include role purpose statements, key responsibilities and customisable principal duties. Effective behaviour frameworks list the key behaviours/competences for each role together with a series of effective and ineffective behaviour indicators for each behaviour/competence heading. The respective role profiles presented in this report incorporate the role purpose and key responsibilities relevant to each role, the latter using adapted ABC Model headings. It is intended that each institution will adopt the common role profiles and effective behaviour frameworks to enable shared role definition and shared approaches to role succession planning, selection, preparation, support, development, reward and recognition as relevant and appropriate.

To reflect the differences from academic unit to academic unit, the principal duties are presented as customisable menus comprised of current documented principal duties for these roles taken from the 11 universities compared in Phase One. It is intended that each institution and academic unit therein would pick two to three principal duties under each key responsibility to describe the role fully in a way that takes into account local nuances.

Having clarified the roles as described above, it has emerged that they are very much important, standalone leadership/management roles with significant responsibilities that are very separate to the role holders' academic duties and responsibilities.

F/CH are academic leaders/managers of the academic unit that is the Faculty/College and are simultaneously expected to contribute to the leadership/management of the institution. The latter occurs via membership of the university Senior Team for six of the seven Irish universities. The purpose of the role is to contribute to strategy at institutional and Faculty/College level, run the Faculty/College operationally, coordinate the leadership/management of Schools/Departments with HoS/D, represent the Faculty/College internally and externally, and provide wide-ranging, institutional perspective and influence on behalf of the Faculty College at all levels and externally. In essence, F/CH provide a two-way link between university Senior Teams and Schools/Departments particularly in terms of strategic academic leadership, operational and resource management, quality assurance, regulatory compliance, staff recruitment and staff retention.

Heads of Schools/Department are responsible for leading the development of School/Department strategies in line with institutional strategies and subject/discipline norms. They facilitate (where non-Professors) and/or directly provide (where Professors) academic leadership to the School/Department and ensure the strategic cohesive development of academics, the School/Department and students. HoS/D represent and promote the School/Department internally and externally. They are responsible for operationally managing and running the School/Department in consultation with staff and in accordance with institutional policies, School/Department objectives, staff and student needs. The HoS/D is more of a staff-facing and operational role than that of F/CH which leads to greater difficulty in managing own and academic unit workload and conflicts therein.

Role holders need greater clarity about the relative priorities applying to their respective roles. The role of HoS/D in particular needs clarification due to conflicting views of the role expressed by HR Directors in discussions and F/CH in the interviews and separately between F/CH and HoS/D in the interviewees. This clarity needs to be discussed and agreed on an academic unit by academic unit basis to cater for the specific needs of any one academic unit at any particular point in time. Such needs are intended to be reflected in the principal duties described in the role profiles.

Motivation of academics to take leadership/management roles has been identified to start predominately at Senior Lecturer grade. Given that approximately a quarter of the interview sample of F/CH were identified to be Senior Lecturers, and half of the HoS/D sample were identified to be Senior Lecturers or Lecturers, one might have expected greater extrinsic motivation to take the roles. The opposite is true – the vast majority of all interviewees state that the opportunity to shape the academic unit is their primary motivator and how strategically improving the academic unit is not only a key aspect of the role but also a very significant part of the appeal to take the role in the first place. Of lesser relative importance (but not unimportant) generally is research support, contribution to academic promotion and remuneration.

There is a distinction between F/CH interviewees and HoS/D interviewees in that the former volunteer more readily for the role generally, while a significant minority of the latter need some persuasion to take the HoS/D role due to the perceived ‘thankless’ nature of it. Despite this, approximately eighty per cent of all interviewees for both roles are either ‘fairly satisfied’ or ‘very satisfied’ in the respective roles with many stating a willingness to complete more than one rotational term.

Academics’ loyalty to the institution in which they work and the leadership/management of same is often of lower priority when compared to the loyalty they feel to academics as colleagues, subjects/disciplines, Faculties/Colleges or School/Departments. It is the loyalty to colleague, subject/discipline and academic unit that entices most into leadership/management positions, not loyalty to institution or institutional leadership/management.

A need to better **Recognise** the role at institution level and at local level in each Faculty/College and in each School/Department was observed. Suggested means of achieving this include better rewards, better clarification of the respective roles, better clarity in terms of how both roles are differentiated from each other and better communication of the authority attaching to roles.

The need for improved role-related **Rewards** was captured but a key insight presented in this report is that while remuneration is important to incentivise the roles, it is by no means the most valued or the only vehicle to achieve this despite the fact that it tends to be the form most often proposed and/or offered. Yet remuneration is valued by HoS/D interviewees in particular and is strongest among Lecturers and the Senior Lecturers in both cohorts. Several interviewees and the sectorial groups aired the need to balance efforts to make the roles more attractive with the unwanted potential to attract the ‘wrong’ type of candidate to the role.

A suite of recognition and reward benefits consisting of a mix of some or all of remuneration-related, research-related, job-related and how much performing well in the role contributes to academic promotion are presented as being worthy of consideration. These are consistent with Phase One findings. They seek to address role holders’ difficulties in balancing their own academic careers with being good F/CH and HoS/D, the difficulties of simultaneously serving the institution and their colleagues, the difficulties of continuing to teach, the difficulties of trying to academically ‘stay in touch’, and the difficulties of continuing and/or enhancing their research careers.

Succession Planning, i.e. deliberately preparing a pool of future leadership/management talent in advance of it being needed, is found to be effectively nonexistent across the sector with rare exceptions. Succession planning is presented as deliberately exposing greater numbers of more junior academics to the concept of leadership/management and the possibility of them becoming leader/managers of academic units earlier in their careers as opposed to just asking such questions of them when a role is vacant.

It is hoped that future leader/managers would emerge naturally from such an approach. Succession planning of this nature would be more relevant to the HoS/D role but, on the presented assumption that many HoS/D would progress to become F/CH, is stated as being of benefit of both roles.

In terms of **Selection**, many criteria and processes were explored to include minimum academic grade of candidates applying, previous leadership/management experience, term lengths, how candidates are selected, the source of candidates, if candidates were approached to take the role, and by whom, and lead in time periods pre term.

Most F/CH interviewees prefer Associate Professor or higher grade Academics to take the role, whereas most HoS/D interviewees prefer Senior Lecturer of higher grade Academics to take this role. This is broadly in line with current interviewee academic grades.

Most believe previous leadership/management experience is worthwhile yet a significant minority of F/CH interviewees never held the HoS/D role while a significant minority of HoS/D interviewees have not had prior leadership/management experience.

Most F/CH want five year terms whereas most HoS/Ds want three year terms, with almost all in each case approving of extendable terms. This is broadly in line with existing term arrangements. Most interviewees from both cohorts are currently in their first term.

Of particular interest is the degree to which informal encouragement is given to candidates, indicating the collegial nature of many appointments, including elections in one institution. The question is raised as to what selection criteria the encouragers evaluate potential candidates against and how conducive such practices are to the achievement of desired selection outcomes, namely the appointment of the 'best' candidate. Formal interviews are more common for the F/CH role with most interviewees having undergone one but the majority of HoS/D interviewees were not interviewed.

Most interviewees prefer candidates to be sourced from the 'home' School/Department or Faculty/College but many are open to the possibility of externally appointed candidates as an option. This stated preference is because of a strongly held belief that knowledge of the subjects/disciplines is vital to leading/managing academic units that contain them. Almost all interviewees in both cohorts were appointed from their 'home' academic unit.

The perceived priority given to research over teaching or service/contribution together with the sometimes uncooperative professorial group when Lecturers or Senior Lecturers take the roles can both contribute to the perceived unattractiveness of the roles to these more junior grade academics.

Both cohorts interviewed want greater lead in periods in advance of them beginning their term to facilitate better **Preparation** for the respective roles. Most interviewees had lead in periods of less than three months yet most want lead in periods of three months or greater. These findings point to late appointments that leave insufficient time for adequate preparation for the roles. Just under half of each cohort interviewed would actually prefer six month or longer lead in periods. It is stressed that the relatively simple step of bringing forward the timing of appointments opens up a window to much improved levels of preparation for both roles.

Pre term formal training is not the most valued intervention in the opinion of most interviewees in either cohort yet, when interventions are provided pre term, is often offered to each. In reality, more individual and practical supports are preferred instead - by HoS/D interviewees in the form of inductions, handovers, 'Who to go to for what' advice and mentoring, while F/CH interviewees prefer handovers, access to future leadership/management 'boss' and coaching.

A 'gap' is evident in terms of HR being too removed from the succession planning, selection and preparation of candidates for both roles. Selection processes in particular are often informally completed without HR involvement unless interviews occur and preparation for roles is insufficient due to the timing of appointments. This report calls for greater HR input into succession planning, selection and preparation processes.

HR tend to be perceived to be taking sides in favour of the institutions when operational issues need to be resolved. Interviewees call for greater levels of strategic support from HR to resolve such issues and to help pursue their strategic aims generally, especially in the area of staff recruitment/retention.

The increased levels of institutional compliance and the ECF has inhibited the levels of support HR is able to offer which has given rise to and/or compounded the above.

Most **Support and Development** is provided to both sets of role holders during term rather than pre term. F/CH development interventions most often offered during term are identified as being of good fit to the needs of interviewees. The exception is formal training that is valued less by this cohort in favour of more individual supports such as coaching and mentoring.

HoS/D interviewees state how the array of development interventions they most often receive during term are a good fit with those of most value to them, namely access to whoever they report to in a leadership/management context, formal training and mentoring. It is shown how approximately half of HoS/D interviewees did not receive any deliberately arranged support and development during term for reasons of not being offered it and not availing of it when offered/arranged. As with F/CH interviewees, practical, on-the-job support and development interventions are valued highly, especially those that provide solutions to real-time issues such as mentoring and 'Who to go to for what' advice from institutional leaders/experts.

Peer networks are of significant value to F/CH and HoS/D. It is shown how such networks are already at play, both formally via groups such as networks, fora etc. and informally via peer mentoring and support groups. There tends not to be any deliberate offer of support and development post term other than sabbaticals that are either provided anyway by way of link to academic careers/grades or negotiated locally.

The Integrated Pathway Approach is outlined. It is designed as a means of integrating the complementary approaches to career development for academics, succession planning, selection, preparation, and the support and development of F/CH and HoS/D. It is intended that the implementation of recommendations in the aforementioned areas will be facilitated by such an approach.

Administration processes and systems are shown to vary significantly from academic unit to academic unit. Some consistency is evident when comparing Faculty/College structures that provide administration and leadership/management support to F/CH in that Faculty/College managers and financial staff are evident in many, with all except one having leadership/management teams that include HoS/D. Structures in Schools/Departments are much more varied depending on School/Department size and type predominately. When asked in the interviewees, both sets of interviewees put forward an array of suggestions as to how to improve administration and supporting structures but no trends were identified. External advisory bodies, stated as being worthy of consideration in Phase One findings, were not mentioned as part of the suggestions received.

Of relevance to the HoS/D role specifically, a large administration and compliance burden emerged as one that consumes an excessive amount of time.

Several interviewees identified a reduction in time spent on perceived unnecessary sign offs and other such administration and compliance activities as a key need, one that is shared by the majority of F/CH interviewees when asked about improvements they would like from HoS/D role holders.

In relation to **How Both Sets of Role Holders Perceive their Roles**, each cohort interviewed has a good sense of the differences between the respective roles which has helped clarify the distinctive role profiles for each. This clarity emerged from the interviews and focus groups and has helped to remove the uncertainty around the decision making nature of the roles especially that is referred to in the Phase One findings.

Both cohorts interviewed want greater feedback from their leadership/management 'boss' as to how they are doing in their roles. This need is greater for HoS/D than F/CH. HoS/D want an F/CH that takes an interest in their School/Department and constituent subjects/disciplines, they want equal treatment within the Faculty/College structure and fair and transparent allocation of resources. While some HoS/D interviewed want less interaction with their F/CHs, most wanted better working relationships through better/greater levels of interaction. HoS/D interviewees want greater personal one: one support and feedback from F/CH. They also want improvements in terms of their input into decision making and the communication of decisions/decision making rationale where their involvement in such decisions is limited or absent.

In terms of F/CH interviewees and what they want HoS/D to do more of, less of or differently, a focus on different key responsibility priorities emerged. They would like HoS/D to be less operational and less burdened by the more routine administrative tasks. In doing so, they want improvements in the academic offerings, on developing staff as academics and an improved strategic focus.

While F/CH and HoS/D attend many formal meetings for institution leadership/management and governance purposes, regular one: one meetings, either informal or formal, in the leadership/management of staff in Faculties/Colleges and Schools/Departments (and arguably at all levels in the institution) tends not to happen enough for most or at all for some.

Academics Tensions impact on both roles. A perceived priority on research above teaching & learning or service/contribution was identified in the context of what is most important for academic promotion despite what appear to be quantitatively well balanced documented criteria across all three categories. This perception causes conflicts for academics who might be interested in taking leadership/management roles but are fearful for their personal research in doing so. It causes conflict for HoS/D in particular when leading/managing staff who may wish to spend more time on research activity over teaching or service/contribution activity.

Separately, as regards the role of Professor in the School/Department in particular, the HoS/D Senior Lecturers/Lecturers interviewed highlighted some tensions where Professors may not sufficiently contribute to the provision of academic leadership to the benefit of the wider subjects/disciplines, in such instances focusing more on progressing their own research aims instead. More cooperation in such instances is required.

Performance Management emerged as a phrase with many multiple interpretations, to include a system, a means to tackle underperformance and general **Staff Management**. The predominate view expressed is of a formal system that fails to adequately deal with serious underperformers. The lesser view is of an approach to helping academics to perform to acceptable standards in a manner that is normally understood to be day-to-day staff management. Any system that is perceived to be excessively bureaucratic or time consuming is unwanted. Tools that would help to effectively tackle serious underperformers are called for.

An expectation that HoS/D in particular, having the more staff facing role, would actively drive higher levels of performance is largely absent. Instead, the prevalent view is that academics are self-motivating and while they need to be managed to ensure they fulfil their fair share of academic work, especially their teaching and learning duties, they will be self-motivated to perform to high levels.

The vast majority of interviewees from both cohorts want some form of role evaluation and feedback for their own roles for three main reasons – to get feedback on their own leadership/management performance, to remove those who underperform from their own roles and because of a belief that if performance evaluation is applied throughout the institution, then their roles should not be excepted. The need to actively engage in **Staff Development**, being a key responsibility of the HoS/D role in particular, tends not to be a priority for most. The exceptions include development of more junior or new academics and a general acknowledgement of academic achievement. But having developmental conversations to help academics that do not fall into these categories to improve tends not to occur. Active development of administration staff was only occasionally evident. Developing staff as future leaders or potential leaders is almost nonexistent, despite the rotational nature of the roles creating a need for replacements at regular intervals. The need to take an active role in the development of staff as academics and as potential leaders needs to be emphasised as a core expectation of the role to all HoS/D and F/CH role holders.

An opportunity to take a new view of **Leadership Development** at the institutional and sectoral levels is outlined, one that includes but is not limited to the development of leaders. An explanation of how both terms and approaches are different and yet complement each other is presented, with specific ideas outlined regarding implementation of the Integrated Pathway Approach, particularly in relation to career development, succession planning, preparation, formal training, women in leadership initiatives, mentoring, peer networking and sectoral interventions. All ideas presented aim to enhance current institutional offerings, but do not aim to replace them. Such approaches can facilitate greater engagement between HR and academic units for mutual benefit.

A case for **Sectoral Remuneration** of F/CH and HoS/D roles is made. Remuneration of these roles by way of some form of extra payment is discussed in the context of the options available, in the context of its inclusion as part of a package of benefits and in the context of performance evaluation of the roles in question.

Issues for Further Exploration that impact on both roles are presented and have been briefly discussed in this report. These are listed as the preparation, allocation and monitoring of institutional and academic unit **Budgets**, **Sector Funding**, the **ECF** and the constant state of **Flux** in the sector.

Recommendations and conclusions are presented under the same findings headings for consistency. They incorporate the Phase One 'Areas for Further Consideration' where it was deemed such areas are now worthy of implementation in the Irish universities. They aim to provide practical ways to progress and address the variety of wants, needs, issues, tensions and concerns raised throughout this report.

2. CLARIFICATION OF NOMENCLATURE

Universities

Universities are referred to as such in this report but also as institutions. Both 'university' and 'institution' terms are used interchangeably throughout this document.

Faculties/Colleges

Irish universities have structures where School and Department academic units are grouped into Faculties or Colleges. All references to Faculty/College and Faculties/Colleges in this report relate to these higher level university structures.

Some Business Schools in Irish universities are large standalone academic units more akin to Faculties/Colleges and have been treated as such in this report. Others are integrated into a Faculty/College structure and have been treated as a School/Department.

F/CH

All Faculties/Colleges have a head of academic unit. For the purposes of this report, the term 'F/CH' (i.e. Faculty or College Head) will be used to describe the head of such academic units. Titles currently in use in Irish universities include:

- DCU – Executive Dean.
- MU – Dean of Faculty.
- NUIG – Dean of College.
- TCD – Dean of Faculty.
- UCC – Head of College.
- UCD – College Principal.
- UL – Executive Dean.

In the case of Business Schools that are more akin to Faculties/Colleges, their Head is usually called a 'Dean of the...Business School'. Such Deans of Business Schools have been included in this report as an F/CH.

Schools/Departments

A School or Department is the principal academic unit that is contained within a Faculty or a College. In some Irish universities, Schools are the constituent Faculty/College academic units. In others, Departments are the equivalent of such Schools. Some universities have a mix of Schools and equivalent Departments. For the purposes of this report, Departments equivalent to Schools will be of most relevance as distinct from Departments contained within Schools.

Head School/Department

The Head of a School or equivalent Department as defined above will be referred to as 'HoS/D'.

Governing Authority

This includes such bodies as Governing Authorities, The Board, Board of Trustees, Senate, Council etc.

Chief Officer

The term 'Chief Officer' will be used to refer to the person leading the university, i.e. the President, Provost, Vice Chancellor, Rector etc.

The Senior Team

The term 'Senior Team' will refer to the team of people who constitute a university's leadership/management team and includes such terms as the University Management Team, University Leadership Team, Senior Management Team, The Cabinet, The Executive etc.

3. INTRODUCTION

BACKGROUND

The Academic Leadership and Development Project ('the project') was put forward for funding by the IUA in response to the HEA Strategic Innovation and Development Call, with the goal of developing human resources systems and supports for academic leadership and management that are attuned to the specific challenges facing Irish Higher Education Institutions and that are informed by international good practice.

The Irish higher education system is facing a significant sustainability challenge. This arises from severe reductions in exchequer income and continuing demand pressures, the latter set to increase in the period to 2030. At the same time, the system is expected to continue to perform at an internationally competitive level across all fronts: learning and teaching, research and commercialization. Meeting these challenges will place a variety of demands on institutions and the sector as a whole, many of which will relate to the quality and capability of leadership and management, and academic leadership and management in particular.

Ensuring system sustainability through an appropriate balance of capacity, funding and quality is central to the national strategy. This project supports the creation of academic leadership and management capability within universities, which is essential to the capacity of the universities to respond to the competitive pressures described above. The project will also enhance capacity to address the challenges and opportunities presented by the Strategy for Higher Education, and by the ongoing Government public services reform programme.

PROJECT AIMS AND OBJECTIVES

The objectives of the project are to deliver:

- Clarity on the nature of academic leadership/management roles and the duties and expectations associated with such roles across the sector.
- Improved management of the universities' financial and physical resources.
- A structured approach to leadership development and associated competencies.
- Improved networking among academic leaders/managers through shared learning.
- A strengthened academic leadership and management cohort capable of addressing current and future challenges.
- Improved utilization of existing HR resources through pooling of existing knowledge and development toolkits.
- Optimal deployment of the existing resources and expertise within the training and development function in the universities in respect of the sustainability of the initiative.

The first two phases of the project are complete and are reported here:

- Phase One – Literature Review and Desk Research...to compare academic management structures and role related processes.
- Phase Two – Role holder Interviews and Focus Groups...to produce sectoral Role Profiles/Descriptions plus Competency/Behaviour Frameworks for both roles.

It is intended that these phases be followed by two more phases, namely:

- Phase Three – Development of a Suite of Leadership Development Interventions.
- Phase Four – Delivery and Hand Over.

CLARIFICATION OF DESCRIPTORS

The separation of leadership and management is “*dangerous*” according to Gosling and Mintzberg (2003: 1);

“Just as management without leadership encourages an uninspired style, which deadens activities, leadership without management encourages a disconnected style, which promotes hubris”.

In this report the phrases and terms of ‘leadership’, ‘management’, ‘leader’, ‘manager’, ‘lead’, ‘manage’ etc. by way of reference to someone leading/managing an academic unit are used interchangeably. This will apply to roles, structures and styles as relevant. However the term ‘academic leadership’ is used in a specific context.

Academic leadership refers to a form of leadership innate to the traditional university culture. This is especially true with regard to the traditional title of Professor referring to people, by definition, that have attained a higher academic status, are seen as a leader in their fields and consequently are expected to provide subject/thought leadership within their institutions. Today, however, academic leadership is not just confined to the role of Professor (Bolden et al. 2012).

Published research and commentary appears to have focused less on what academic leadership actually relates to even though there has been much written about the general governance, management and leadership of the higher education sector and universities therein. In the U.K., Bolden et al. (2012: 4) narrowed down the breadth of the discussion on academic leadership by exploring the topic as it:

“...relates directly to the core academic functions of teaching, research and service (including administration and outreach).”

They continue in their definition of what academic leadership relates to by including what it does not relate to, which they proceeded to explain as being:

“...distinct from managerial aspects of leading higher education institutions such as financial and strategic planning, marketing, and human resource management.”

Accepting this distinction, ‘Academic Leadership’, being a key aspect of F/CH and HoS/D roles, is a distinctive term. More generally in the report, we deal with ‘Academic Leadership/Management Structures’ and a comparison of such will include an exploration of the structures that exist to facilitate the overall governance, leadership and management of the university as an institution.

PHASE ONE

The Literature Review sets out to examine the changing trends in higher education internationally and how such changes have affected the core role and mission of universities (and consequently the structures and the roles of F/CH and HoS/D).

The Desk Research has two components:

- The academic leadership/management structure comparison sets out to compare what we term macro structures, i.e. the Governing Authority and the Senior Team, as well as micro structures, i.e. F/CH and HoS/D roles, and local management teams that assist them (where relevant). Within these structures, the governance, leadership and management dimensions as they pertain to the roles of F/CH and HoS/D are discussed.
- Comparison of succession planning, preparation, selection, support and development, and reward and recognition processes for F/CH and HoS/D roles.

Part One of the report compares the academic leadership/management structures and the above roles in Ireland with those in selected international universities. But rather than doing this in isolation, the comparison is positioned in the context of the changes to the higher education environment in which the universities operate and the changed role of the university itself. These changes are important to identify as they serve to frame the leadership and management issues. To put it simply, if the external environment and the role of the university have changed, what influence have these changes had on the university's academic leadership/management structures? In addition, what impact have these changes had on F/CH and HoS/D roles in particular?

As part of the exploration of the F/CH and HoS/D roles, the degree to which universities succession plan to identify academics for future roles is addressed. We also examine how well universities prepare, select, support and develop, reward and recognise the roles and role holders.

PHASE TWO

Phase Two involves face to face interviews with individual role holders plus subsequent focus groups. The findings and conclusions from the interviews and subsequent focus groups is presented in the second part of this report.

PROJECT OUTPUTS

Part Two of the report presents common role descriptions for the respective roles. This includes separate role profiles for each role that are intended to provide generic role descriptions for the sector while allowing sufficient customisation at a local institutional level. Effective behaviour frameworks for each role are also outlined.

All such outputs have been endorsed by the IUA Council (i.e. Irish University Presidents and Provost), the IUA Registrars Group and the IUA HR Director Group.

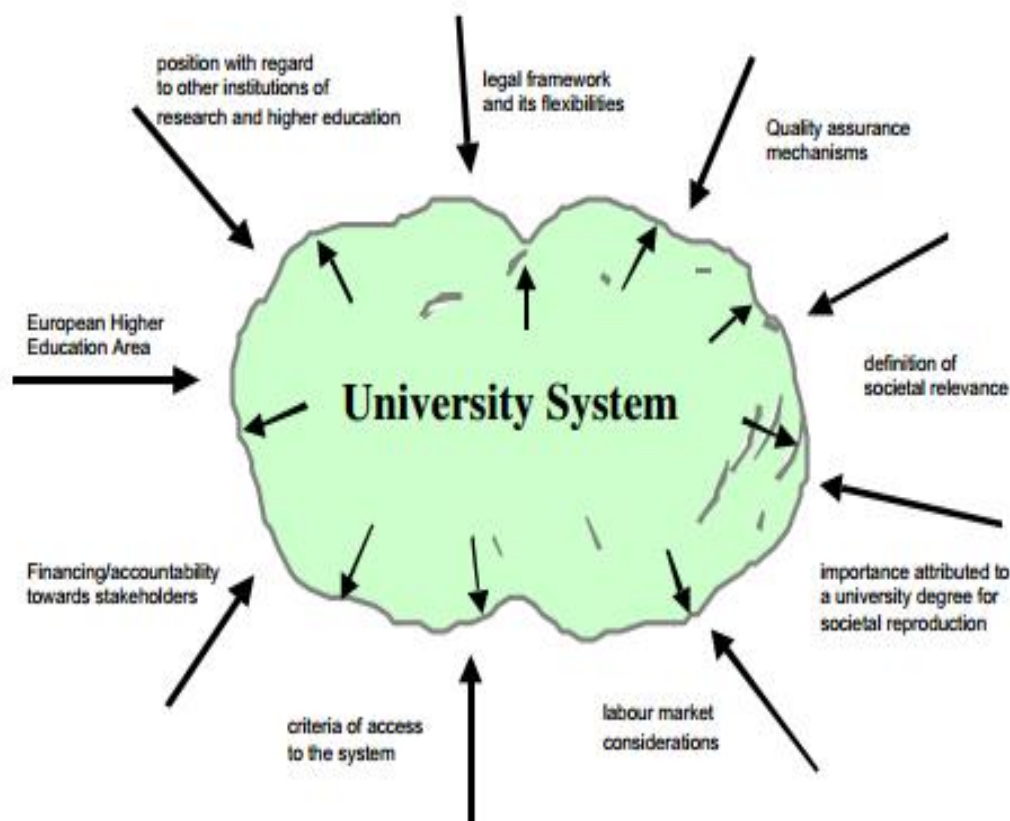
Part One

4. LITERATURE REVIEW

THE CHANGED HIGHER EDUCATION ENVIRONMENT

The winds of change have been blowing strongly through academia for some time. Throughout the last one to two decades in particular, the higher education system internationally has changed significantly, albeit for reasons that may vary from region to region. In some parts of the world such regional changes may stem from political changes to countries or regions, leading to a new (type of) government implementing a new (type of) education system...for example the educational reforms in post-Soviet Georgia where educational reforms were introduced to allow smoother integration with Europe (Lomaia 2006). But outside of these regional/national situations, change in many higher education systems across the developed world in particular has been driven by a variety of common factors and forces in recent years.

Felt and Glanz (2002: 7) refer to the external forces that shape a university system as they capture the shifting education landscape in Europe, as illustrated below:



The OECD on the topic of 'Changing Patterns of Governance in Higher Education' (OECD 2003) outline change forces on higher education: how universities are expected to create knowledge, to improve equity, to respond to student needs and to do so efficiently in an environment of competition for students, research funds and academics. In response to such drivers of change, OECD sets out how countries are combining the authority of the state with the power of the markets, institutions have begun to gain greater freedom and autonomy and universities are now being funded with a mix of public money, student fees and private sector investment as opposed to government funding alone.

Kim (2008) mentions how in countries such as Australia, the U.K., Canada, New Zealand and the U.S., the welfare role of the state as regulator and purveyor of education, on the historical assumption that higher education is a public good, has been altered. In that same year the Eurydice report (Education and Culture DG 2008) states how higher education systems in Europe have been influenced by national and international developments such as the rapid expansion of student enrolment, a relative decrease in public funding along with a shortage of private funding, the increasing importance of research and innovation in the global and knowledge-based economy, and wider competition between higher education institutions.

In Europe Sursock and Smidt (2010) refer to the way both the Bologna Process and the Lisbon Strategy, including the Modernisation Agenda for universities, have led to policy shifts with resultant changes to external quality assurance processes, autonomy, funding and research but also the shape and size of many higher education systems.

From international higher education institutions being under pressure to change at the turn of the century to institutions undergoing a “*major transformation*” (Education and Culture DG 2008: 11) and a “*profound transformation*” (Krucken 2011: 1) a decade later for reasons stated above, it is obvious that change is happening quickly. It is inevitable that universities are reevaluating their place in the very different higher education environment that surrounds them.

THE CHANGED ROLE OF THE UNIVERSITY

According to Saint’s (2009) global higher education analysis, the historic role of the university has been to pursue knowledge, to preserve knowledge, to add to accumulated understanding and transmit this intellectual inheritance to the next generation.

Nordic analysis (Lindqvist 2012) sees the modern role of the university as one which has evolved from the traditional research and education focus towards increasingly active participation in regional development systems.

This evolution is echoed in Australia (Gunasekara 2006: 1) where the emergence of a “*third role of universities*” that has re-shaped and transformed their two traditional missions of teaching and research is evident; how universities’ previous core purpose of scholarship, knowledge development and transmission, and critical inquiry, have been transformed from fundamental core values into exploitable intellectual capital (Carnegie and Tuck 2010).

Krucken (2011: 2), from a European perspective, states that universities have traditionally had two missions leading to societal benefits, i.e. teaching and research. University missions have been reformulated to include a third aspect, what is referred to as the “*third academic mission*”, namely the contribution of universities to economic development.

Laredo (2007: 1) refers to this “*third mission for universities*” as being an outcome of universities’ interaction with economies and society in a deliberate way, albeit noting that it is a matter of opinion as to whether this evolution stems from the universities reacting to the needs of the external environment (i.e. society, economy, government etc.) or a deliberate independent choice to actively change their missions to include this “*third mission*”.

The literature is clear on the changed role of the university to include this newer and explicit dimension. In Ireland, this is generally referred to as the “*Contribution*” which covers the myriad of ways in which a university contributes to the external environment. This newer aspect of the role of the university does not always sit easy with the older more traditional aspects, with commentators describing how universities have experienced tensions as they adapt to the mix of the ‘old’ and the ‘new’ roles (Laredo 2007).

Faust, Drew, President of Harvard, in a speech to the Royal Irish Academy, TCD (2010: 5-8), captures the essence of the dilemma facing the role of universities today. While acknowledging that governments now demand more immediate, tangible returns on their “*investments*”, Faust argues that the need for scholarly inquiry, the more traditional role of universities, still exists:

“When we define higher education's role principally as driving economic development and solving society's most urgent problems, we risk losing sight of broader questions...”

“An overly instrumental model of the university misses the genius of its capacity. It devalues the zone of patience and contemplation the university creates in a world all but overwhelmed by stimulation. It diminishes its role as an asker of fundamental questions in a world hurrying to fix its most urgent problems. We need both.”

Therein lies the rub – how can universities ask the fundamental questions and yet fix the world’s most urgent problems? This latter added dimension to the role of the university – i.e. “*Contribution*” - has had a profound effect on how governments perceive universities and on how universities perceive themselves.

Governments have reformed the regulatory environment for the governance of universities and have redefined the higher education systems in which they reside to ensure universities deliver as they expect them to. Separately, universities have redefined their mission, vision and strategies, often at the behest of governments. Universities have modified their internal structures and leadership/management roles to adapt to the changed environment, the changed regulation and the changed mission and role of the university itself.

THE IMPACT OF THE CHANGED EXTERNAL ENVIRONMENT AND THE CHANGED ROLE OF THE UNIVERSITY ON EXTERNAL GOVERNANCE ASPECTS

Governments have reformed higher education legislation throughout the world. The legislative reforms of universities tend to focus on the Governing Authority and role of Chief Officer.

The following table illustrates the worldwide reforms that have taken place in the last two decades or so to show that the examples below are representative of the types of higher education reforms across the globe (Saint 2009:6):

Date of Most Recent National Higher Education Legislation

1990 – 1994	1995 – 1999	2000 – 2004	2005-2009
Argentina Burkina Faso Colombia Ghana Guatemala Nicaragua Peru Saudia Arabia Sri Lanka Sweden Turkey Zambia	Algeria China Cyprus Czech Republic Dominican Republic El Salvador Ireland Italy Kazakhstan Malaysia Mongolia Netherlands South Africa	Angola Austria Cameroon Croatia Denmark Ecuador Estonia Ethiopia Georgia Germany Latvia Lesotho Lithuania Mali Morocco Mozambique Namibia Pakistan Romania Slovakia Spain Switzerland Tunisia Uganda United Kingdom	Azerbaijan* Botswana Bulgaria* Egypt Estonia* Finland France Greece Hungary Iceland Indonesia* Jordan Latvia* Lithuania* Moldova* Norway Philippines Poland Portugal Rwanda Singapore Taiwan Tanzania Vietnam

Countries not included either (a) had legislation dating from before 1990, (b) broad sector-wide legislation covering all aspects of education, (c) a federal system with legislative responsibilities delegated to the state level, or (d) a series of individual university acts instead of integrated national legislation.

Notwithstanding the variations, the prevailing trends as regards Governing Authorities and Chief Officers are as identified by Saint are as follows:

Governing Authorities:

- Have ultimate decision making authority for a university;
- Have greater diversity of members especially in relation to external members;
- Have increasing use of formulae for determining membership;
- Are experiencing a reduction in overall member numbers;
- Sometimes supplement the Governing Authority with advisory panels adding expertise in a non-binding manner;
- Have some inclusion of international members.

Chief Officers:

- Are generally selected by the Governing Authority;
- Are generally selected via merit-based and competitive processes;
- Can be selected from a worldwide pool of candidates;
- Can occasionally be non-academics;
- Generally have greater executive-like decision making authority, together with Senior Teams, in contrast to former collegial practices;
- Have clear mandates for institutional strategic planning, for monitoring institutional leadership/management's progress towards achieving strategic goals and for ensuring that institutional resources are used efficiently.

The trend is to grant universities greater autonomy via the gradual withdrawal of the state in the direct management of the universities (Estermann, Nokkala and Steinel 2011). The result is that universities tend to have greater freedom from the state (Felt and Glanz 2002). Governments tend to lay down the general legal framework while the nature of the internal structures and detailed mechanisms of administration are left to the universities to decide (Kwiek 2008).

In tandem with the increased autonomy has been the rise of accountability...what Neave (2004: 1) refers to as the rise of the "*Evaluative State*". In today's world, governments are effectively controlling shareholders (Neave 2004). In exhibiting typical shareholder behaviour, governments want a tangible return on their investment, which has led to an external environment of performance objectives, of quality assessments and of institutional accountability mechanisms for the use of public funds, together with changed external governance aspects. Five examples from higher education systems in Australia, Australia, the U.S., Finland, the U.K. and Ireland illustrate these trends.

In **Australia** (Carnegie and Tuck 2010; IUA 2012), public universities are legally independent, self-governing institutions traditionally under state (as opposed to federal) legislative control, but where funding traditionally has come from the Federal Government. The Federal Government remains the main source of funds, but the direction of travel is to radically change this by removing the current fee cap on institutions. In 2011 TEQSA (The Tertiary Education Quality and Standards Agency) was established for regulatory and quality assessment purposes. In 2012 performance indicators linked to funding were introduced. A recent presentation in Ireland by Professor Stephanie Fahey (IUA Symposium 2014) mentioned how the Federal Government proposed new legislation in 2014 to cut university contribution per education discipline cluster by an average of twenty per cent and has promised that if a university is in financial difficulty, it will not bail it out, leaving it to dissolve or be bailed out by the regional state. The Chief Officer has executive powers with a leadership/management team as the Senior Team and is answerable to the Senate/Council as Governing Authority.

In the **U.S.** (Finkelstein 2012), where almost half of its universities are public, universities themselves have been advocating for more autonomy to help increase their efficiencies as the state funding models become more performance based. McGuinness (2014) states that the state role in regulation of the universities in the U.S. is changing to one that provides public institutions with the management flexibility needed to reform core practices balanced against accountability for performance related to state goals. This is leading to a decreasing involvement of statewide coordinating boards in issues that are more appropriately the responsibility of institutional governing authorities. In addition, Finkelstein reports that the Federal Government is taking on more regulatory powers. The Chief Officer has executive powers with a leadership/management team as the Senior Team and is answerable to the Board of Trustees as Governing Authority.

In **Finland** (Saint 2009; Cai, Kivisto and Zhang 2011), reform legislation has continued in recent decades. Since the 1990's, Finland has had a binary higher education system comprising of 16 research universities and 25 universities of applied sciences (polytechnics). Each type of higher education institution serves different purposes and polytechnics will not be permitted to become universities in future. Some foundation/private universities also exist.

The 2009 reforms brought radical changes in that universities became legally independent of the state, Governing Authorities must have at least 40 per cent external membership, the Chief Officer is now chosen by the Governing Authority and accountable to it and no longer needs to be a professor of the university in question. By being legally independent of the state, universities "*were pushed towards the market*" (p. 10).

The Finnish government had already increased autonomy for universities and set up evaluation processes in the previous decade. In the new framework outlining the relationship between government and the universities, the universities have institutional autonomy while the government is able to guide the development of higher education in the desired direction through legislation and policymaking. Three year funding plans are agreed with the institutions which allows the government to orientate universities in line with national priorities and review progress at the end of each funding period, while the universities have the freedom to decide how to use the funds.

In the **U.K.** (IUA 2012), like Australia, universities are legally independent and self-governing. Public funding is now typically less than private funding, the latter mainly from increased student fees. Recent developments include the increasing the maximum fee level to £9,000 and a reduction in direct public funding. While universities are quite autonomous, pressure can be applied from funding bodies via funding allocations, with the Research Evaluation Framework also having a significant impact. As students, alumni and other sources of private income grow, so too will the likelihood of increased attention to institutional accountability from these stakeholders, on top of the quality and performance assessments made by public bodies, namely the Quality Assurance Agency (QAA) and funding councils. The Vice Chancellor or Principal as Chief Officer is appointed by the Governing Authority with full executive responsibility for the academic and administrative affairs of the university. Although beyond the scope of this report to fully detail, the 2015 Green Paper proposes a radical marketisation of the UK system with a significantly increased role envisioned for purely private operators.

In **Ireland**, a binary higher education system like Finland, the Universities Act 1997 ('the Act') sets out the statutory framework within which the universities operate. The Act describes how "*the functions of a university shall be performed by or on the directions of its governing authority*" (2015: 13). The legislation dictates the make-up of the Governing Authority, requiring external members from a variety of interest group including regional, political, cultural, educational and graduate groups. Between one and four are appointed by the Minister for Education. The size of governing authorities under the legislation varies between 20 and 40 members (See Appendix A for current). The IUA Report to the Minister for Education and Skills (2012) recommended that the Governing Authorities' membership be of the order of ten to 20 members, with a majority of external members and selection based on a competence framework, as opposed to the representational model set out in the Act. These recommendations have not yet been implemented.

The Chief Officer for Irish Universities is appointed by the Governing Authority, usually after an open competitive selection processes. In TCD, the Provost is elected, a process which is also competitive, with the most recent election being open to non-university staff. Together with the Governing Authority, the Chief Officer has legal authority for all matters relating to the functions and objects of the university subject to the regulatory framework contained in the Act and the relevant University

Statutes. Six universities appoint an external Chair while in one the role is combined with that of Chief Officer.

As regards accountability and evaluation in Ireland, notable inclusions in the Act (Irish Statute Book 2015) are the sections outlining “*Staff*”, “*Planning and Evaluation*” and “*Finance, Property and Reporting*”. The Higher Education Authority’s ‘National Education Strategy to 2030 report’ (HEA 2011: 27), states as a key objective that “*the Institutions will be...fully accountable for both quality and efficiency outcomes*”. Furthermore, the strategy encourages institutions to diversify their funding sources to include student and private sector contributions owing to the lower funding commitments of the state. The HEA ‘Towards a Performance Evaluation Framework: Profiling Irish Higher Education’ document (HEA 2013) outlines the performance criteria against which Irish universities will be measured.

In terms of autonomy, the Higher Education Authority’s strategy report (HEA 2011: 27) states that “*Institutions will be autonomous, collaborative and outward looking, effectively governed...*”. The EUA produced ‘The Autonomy Scorecard’ (Estermann, Nokkala and Steinel 2011) based on 2010 data for higher education systems across Europe. Ireland, in comparison to Europe’s 27 other systems measured, was seen to be in the top autonomy tier overall in percentage terms. This shows Ireland universities operate with a high degree of formal autonomy in the European context.

Extracting dimensions relevant to this report, Ireland ranked sixth out of 28 at 81% for Organisational Autonomy, meaning universities here may freely decide on the structure of their Faculties/Colleges and Schools/Departments and create a variety of for-profit and not-for-profit legal entities. Ireland ranked eleventh out of 28 at 66% for Financial Autonomy in matters of setting fees, keeping surpluses etc. Ireland ranked eleventh out of 28 at 82% for Staffing Autonomy, meaning the ability to decide on recruitment and promotions. Ireland ranked 1st out of 28 at 100% for Academic Autonomy, meaning universities can decide on all aspects of academic autonomy as regards the number of study places and selection of students.

Essentially the Irish government, similar to international trends, gives more formal autonomy to universities regarding their internal governance particularly as it pertains to academic autonomy. But as regards operational and management autonomy, it exerts considerable state direction via fee setting, via funding performance accountability, via quality assessment, via regulatory compliance demands, via direction in relation to HR practice and via the legislature dictating the external governance aspects – i.e. the Governing Authority and Chief Officer.

The impact of this level of state direction would, if the data were to be compiled based on 2014 data, likely skew the figures downwards under the ‘Financial Autonomy’ and ‘Staffing Autonomy’ scores and demonstrate how the Irish Government, irrespective of previous legislation, will exert a certain level of state control of the university system through the imposition of additional legally binding legislation if it thinks the circumstances of the day warrant this action.

In overall terms, and similar to the U.S., Australia, the U.K., Finland and, increasingly, many other countries worldwide, the relationship between autonomy and accountability is embedded into the relationship between the university and the state in Ireland via legislation.

But the EUA (Estermann, Nokkala and Steinel 2011:69) cautions that:

“The frequent divergence between formal and practical autonomy has already been pointed out. This study and other EUA reports have shown that one of the key challenges of governance reforms lies in the practical implementation of regulations. To implement legal reforms successfully, they need to be accompanied by support for institutional capacity building and human resources development. In order to make full use of greater institutional autonomy and to fulfil new tasks, additional management and leadership skills are needed. Support to facilitate the acquisition of such skills is essential for successful governance reforms.”

Universities have not stood still in response to the changed higher education landscape, the changed mission and role they now play and the legislative changes referenced above...with or without the necessary levels of support.

INTERNAL GOVERNANCE AND MANAGEMENT ASPECTS

In this section we look at how the university governs and manages itself differently in light of the changes described above. This analysis is undertaken in the context of the university models of internal governance and management, which includes management styles and ideals.

The Glion Declaration II (Rhodes 2000: 201) states:

“There is a world of difference between governance and management. Governance involves the responsibility for approving the mission and goals of the institution, the management of its resources, the approval of its policies and procedures; and an informed understanding of its programmes and activities. Management, in contrast, involves the responsibility for the effective operation of the institution and the achievement of its goals within the policies and procedures approved by the Board; the effective use of its resources, the active support and performance of teaching, research and services; the maintenance of the highest standards of scholarly integrity and professional performance. The responsibility of the Board is to govern but not to manage.”

Applying this to university structures it can be said that the role of the Governing Authority is to govern and the role of the Senior Team is to manage. This delineation may serve a Governing Authority and a Senior Team well, but throughout the modern university, with its matrix of management structures, committees, and advisory bodies and so on, governance and management have become intertwined, especially at Faculty/College and School/Department levels.

So what is internal governance and management of a university - something universities ‘do’, or a way of formally governing and managing using the formal structures that exist? Much published material discusses the ways of governing, managing and leading universities with a mix of descriptors – “managerialism” (UNESCO 2004: 1), “models of university governance” (Lucianelli 2013), “models of university management” (Farnham 1999: 18) and so on. The language of business now pervades the modern university where terms such as “labour market considerations” (Felt and Glanz 2002: 7) “competitiveness” (Aarrevaara, Dobson and Elander 2009: 7), “globalisation of higher education as a business” (Kim 2008) “quality assurance”, “stakeholders” (Aarrevaara 2012: 81), “academic entrepreneurship” (Kwiek 2008: 1) etc., until recently rarely heard of in a higher education setting, are commonplace. On this theme Parker (2002) asserts that commercial values have usurped the previously dominant knowledge focused values in universities.

Have newer management structures and newer business and leadership/management approaches to running the university now replaced the traditional governance models and structures, or are they somehow intertwined? The coexistence of these different governance and management dimensions appears to be assumed, as the following commentators have outlined via their models of governance and management. Carnegie and Tuck (2010: 432) state:

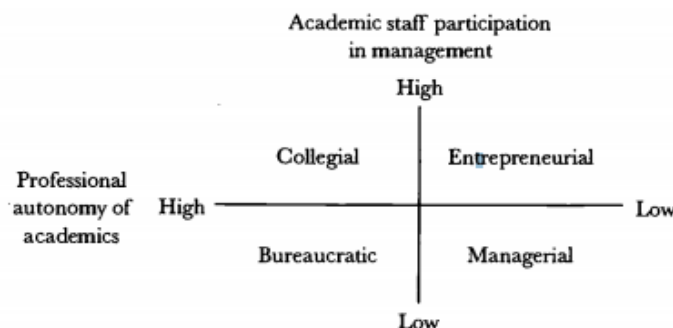
“...university governance is not just what ‘university councils do’ but rather it encompasses the full complexity of a university’s Council, Executive, Deans, Department Heads, Research Directors and typically extensive committee systems, and review and advisory panels”.

This includes both external governing structures (Council in Australia which equates to Governing Authority), Executive (includes the Chief Officer and Senior Team and very much a corporate management structure with management aims), Deans and Department Heads (traditionally academic, arguably now both...to be discussed below), Research Directors (modern cross institutional management role), committee systems (traditional collegial academic management and leadership) and advisory panels (both traditional academic collegial structures and modern executive add-ons to help manage universities and Faculties/Colleges).

Governance throughout the university appears to be more and more intertwined with management. The following models of governance and management aim to illustrate the different dimensions the respective authors believe to be present in universities.

Felt and Glanz (2002: 18) summarise Farnham’s (1999: 18) four models of university management using the two variables of the professional autonomy of academics and the academic staff participation in management:

Models of university management



- Collegial – combining high levels of professional autonomy with high levels of staff participation in management...the predominant model until the 1970’s;
- Managerial – limited autonomy for academics combined with a management style that is more akin to the private sector. Generally it is a top down model of management in a hierarchical organisation with actioning of its corporate, financial and academic plans through executive management systems and structures. Ultimate goals are often defined by external forces, with academics tasked with finding ways to fulfil them;
- Bureaucratic – the individual has autonomy but the university functions as a mechanistic and role-based institution, with powerful administration establishing and administering often cumbersome rules and procedures;
- Entrepreneurial – a task based organisation focused on searching for new markets for the university and for financial security through maximising diversified funding.

Fried (2006) lists what he calls the five principal mechanisms of control or coordination by way of explaining the different dimensions of governance and management in higher education institutions across Europe, two external and three internal namely:

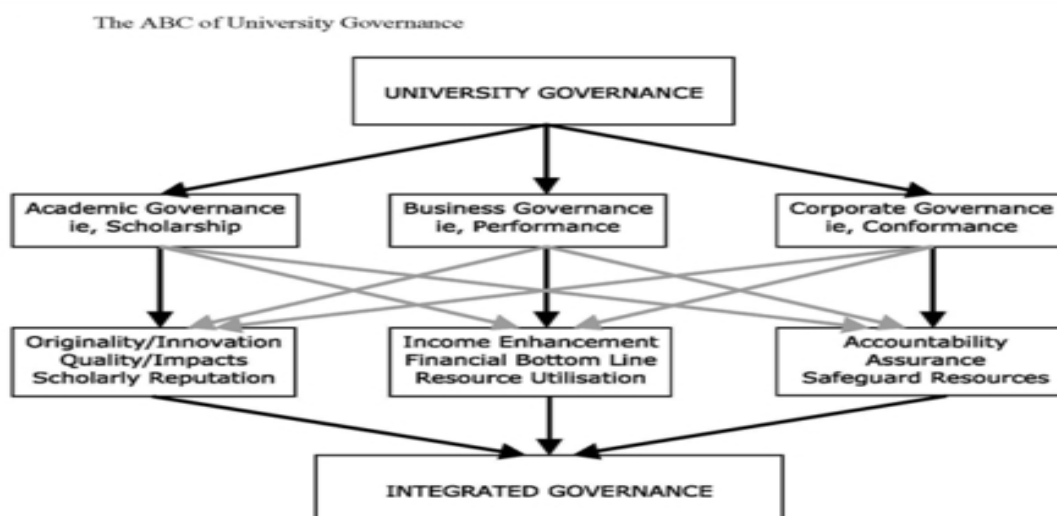
- External Regulation – refers to the authority of the state or region for laying down the rules of operation for Higher Education Institutes;
- External Guidance – refers to the steering power and coordination by such external stakeholders as the government/state and those external members of university Governing Authorities. A modern day example would include external advisory bodies;
- Managerial Self Governance – refers to the hierarchical position of senior leadership and management in universities in terms of goal setting and executive decision making;
- Academic Self Governance – refers to governance through consensus within and among the academic communities as to the necessary actions that need to be taken;
- Competition – refers to the underlying rationale for the coordination of priorities of and decision making in higher education on institutional as well as system level.

Fried (2006: 82) proposes an integrated view in describing university structures as:

“formal and informal institutional devices through which political and economic actors organise and manage their interdependencies” and that they “serve to enhance or promote the legitimacy and efficiency of the social system by way of organising negotiation processes, setting standards, performing allocation functions, monitoring compliance, reducing conflict and resolving disputes”.

The above models seek to clarify how governance and management are being performed, how universities behave as organisations and how universities are now being led and managed. They reflect the changes in higher education institutions where traditional academic values and decision making processes have been combined with newer more managerial and corporate values and decision making processes.

To help universities move forward into the future by way of integrating the newer dimensions with the more traditional dimensions in a satisfactory manner, and indeed to protect the older more traditional academic values of freedom and collegiality, Carnegie and Tuck (2010: 438) propose a more holistic view of university governance (in Australia), the ‘ABC model’, standing for ‘Academic’, ‘Business’ and ‘Corporate’ governance respectively, as outlined below.



As the diagram illustrates, academic governance relates to scholarship; business governance relates to performance; and corporate governance relates to conformance. We have highlighted previously how the introduction of performance assessment and accountability through government-driven legislative reforms have been layered on top of traditional academic governance in universities. The ABC model seeks to bring all these dimensions within a unified conceptual framework.

In this regard the model aims to resolve the tension the authors have identified between the newer governance dimensions of business and corporate governance with the older more traditional academic governance. The aim is to help the university be less of 'them' and 'us' and more 'we'. The model seeks to address a number of issues in avoiding:

- The proverbial 'silo effect' where one academic Faculty/College, School/Department or subject/discipline works in a solitary way to the detriment of the cross-disciplinary, collaborative ways of working;
- The organisation 'centre' focusing on business and corporate governance issues while being perceived to be paying insufficient attention to the academic (governance and staff) needs;
- The academic community focusing entirely on the academic (self-regulating, collegial) governance aspect while paying insufficient attention to the reality of modern day business management and corporate governance demands;
- The 'top down' managerialism approach subsuming traditional academic values while acknowledging the current university roles of scholarship and contribution.

From our research, the ABC model and its outworking has proven to be the most useful of those evaluated in demonstrating how competing governance and management dimensions can coexist, how they can interdepend and how they can complement rather than hinder each other. As our research has shown, universities globally have incorporated business, corporate and management aspects, approaches and structures into their governance fabric. The issues facing modern universities subsist throughout their management structures both at the centre and at School/Department and Faculty/College level. As such, we see the model as being particularly useful in Ireland, especially in terms of contextualising the roles of F/CH and HoS/D, as will be discussed later. This conclusion was investigated in the fieldwork undertaken in Phase Two of the project.

THE IMPACT OF CHANGE ON HIGHER EDUCATION SYSTEMS AND UNIVERSITIES

If universities have generally reacted to the changes outlined above in a similar way, and generally integrated the academic, business and corporate dimensions into their approach to university governance and management, externally and internally, does this mean that an element of homogeneity between university systems has resulted? Essentially, if similar environments have led to similar changes at institution level, for similar reasons, are systems behaving the same and are universities more alike in terms of how they organise themselves internally and how they perform?

In this context, Kogan and Bleiklie (2007) mention how their research demonstrates that being affected by common external forces that push all higher education systems in the same direction does not necessarily mean universities are becoming more similar to one another. Distinctively national features still exert a heavy influence on the formulation of reform policies. National peculiarities have survived and some of the oft cited differences between regions - the Anglo-Saxon world vis a vis continental Europe for example, still exist. Similar environmental forces tend not to lead to homogeneity between systems in their view.

At institution level, they add that existing institutionalised systemic features shaped by academic elites, corporatist structures, state structures, academic institutions and disciplines militate against universities that adopt similar approaches to organisational (re)structuring having common outcomes.

Their view is that while the change in universities has often been explained as having occurred directly as a result of predetermined, predefined reforms, almost in a cause and effect way, the truth may be more the result of a process of ‘sedimentation’ or organic growth. The ABC model would appear to reinforce this integrated view and arguably aim to reflect the outcome of this process.

They put forward the hypothesis that newly introduced ideals and values, expectations and requirements, including newer aspects of internal governance and management as described above, are layered over older ones, namely traditional academic leadership/management structures and academic values. More often than not, change is organic and gradual rather than radical, and any predetermined reforms, where they exist, tend to accomplish less than originally announced. This ‘sedimentation’ process prevents the cause and effect link from occurring and likely explains how common approaches to change often lead to university specific results rather than homogenous system wide results. The changes would appear to be driven by the newer forces earlier described, while the older more traditional values appear to shape how these changes are implemented in reality.

This analysis implies that while universities and the systems they inhabit have adapted to the same type of external forces, even if they change their external and internal governance and management aspects in similar ways, the resultant outcomes are often different...from system to system, and from university to university. In short, no two higher education systems are the same, and no two universities within the same system are the same. Similar, yes, but the same - no.

To quote Harvard’s Faust again (2010: 8):

“There is no one model for a university’s success, no disembodied ‘global research university’ to which we all should aspire. Our variety supports our strength.”

The lessons learned from the international experience can be applied to the Irish situation. Because Ireland has just seven universities and is competing globally for students, academic staff, funding etc., the opportunity exists to have a common approach towards the governance and management of universities, externally and internally, whilst allowing each individual institution to have its own unique place in the higher education system here.

For Ireland’s higher education authorities and universities, the messages are:

- Adopting similar approaches to system and university developments around the world, but in the Anglo American world in particular, will likely lead to them following a similar direction to those modelled systems and universities in terms of system and university governance and management approaches but....
- Recent analysis indicates that the outcomes from institution to institution vary due to national, regional and especially institution-specific factors and...
- For the way forward, there is no one university system to be followed ‘to the letter’ nor is there a university that can be followed as the ‘best practice model’. Rather universities still need to decide at institution level, notwithstanding national and regional legislative constraints, how to find their own best way to govern and manage internally and to find their own way to appeal to its external and internal stakeholders, interest groups and, especially, students;
- The ABC model can be a constructive reference model to help universities move forward in a similar governance and leadership/management direction whilst allowing institutions enough space to satisfy local needs;
- The ABC model can be particularly useful as a way of positioning the competing demands and expectations of the F/CH and HoS/D roles – since investigated in Phase Two.

5. COMPARISON OF ACADEMIC LEADERSHIP/MANAGEMENT STRUCTURES

If no one ‘best practice model’ of success exists simple replication is not an option. Therefore one is entitled to ask if there is any merit in comparing academic leadership/management structures in Ireland, as contributing factors to ‘success’, with those internationally at all.

The validity in comparing academic leadership/management structures will be in learning about aspects of structures elsewhere to see what, if any, can be and/or are worth adapting locally in Ireland by the Irish Universities together and/or individually. Furthermore, if a university structure is compared in tandem with earlier higher education system comparisons, any structure will be compared in its true context.

The caveat for the analysis to follow, for reasons outlined in the previous section, is that any example quoted is not intended to be a representative sample of its home university system. The comparison will therefore compare and contrast in an observational way without aiming to build a ‘best practice model’ to follow.

The comparison will look at four areas in particular:

- **Restructuring rationale** – to investigate how sample universities have changed their structures. To this end, the comparison of internal academic leadership/management and governance structures examines examples of internal restructuring rationales at an organisational level. There is insufficient empirical evidence to suggest that planned changes in any one university have led to expected results. On this basis, the comparison will outline why and what changes occurred without commenting on how effective these changes have been, thereby avoiding the assumed cause and effect dynamic for reasons previously explained.
- The **institutional structures at the macro level** focusing on the internal role of the Chief Officer and the make-up of the Senior Team – to investigate similarities and differences.
- The **institutional structures at the micro level** to explore Faculty/College and School/Department structures, together with an analysis of how the roles of F/CH and HoS/D operate with associated local leadership/management structures and teams.
- **Succession Planning, Selection, Preparation, Support and Development, Reward and Recognition** of the relatively recently introduced F/CH and HoS/D roles.

Note: The level of detail is higher for Irish universities because the relevant information was sourced via detailed questionnaires returned from the HR departments of the seven Irish universities plus clarifying follow up phone calls and emails. University websites and email follow up queries were solely used for International universities.

RATIONALE FOR INTERNAL RESTRUCTURING

Given that external governance environments and expectations of universities have changed, it is inevitable that at least some universities would restructure internally to facilitate the external drivers of change and the changed role of the university.

The Hanover Research Council report (2009) gives examples of academic restructuring – structures, programmes, content etc. – from the U.S., Australia, Canada, New Zealand and the U.K.

Bolden et al. (2008) mention how, in their survey of 12 U.K. universities, all had undergone substantial restructuring in the 2000's. Restructuring included rationalisation of Faculties/Colleges, Schools/Departments, committees, professional support services and the Senior Team.

In Finland, the legal reforms referred to earlier have led to mergers of some universities and internal restructuring of others (Väänänen 2012).

The NUIG Academic Planning and Resource Committee's 'Academic Structures – A Proposed Way Forward' (NUIG 2006) proposed internal restructuring of Faculties, Schools and Departments in NUIG, many of which were since implemented, and refers to the then recently completed similar internal restructuring processes in TCD, UCD and UCC, processes that are still evolving to this day.

What was the rationale for restructuring?

The Hanover Research Council report (2009) summarised the key reasons for overall academic restructuring in the sample universities in the U.S., Australia, Canada, New Zealand and the U.K. as being to:

- Facilitate inter-disciplinary and cross-cultural interaction;
- Open up traditional disciplinary borders;
- Increase inter-institutional collaboration;
- Encourage students to spearhead experimental research content and delivery;
- Reconsider traditional faculty hierarchies.

In Finland, the key aims for the 2009 reform act (Väänänen 2012) were to:

- Improve the quality of teaching;
- Implement the Bologna-model with bachelor degrees to the Finnish university system;
- Ensure shorter mean time used for the university degree;
- Improve the quality of research;
- Renew recruitment process of students.

Bolden et al. (2008) mention the reasons in the U.K. as being to:

- Flatten organisational hierarchies;
- To devolve greater strategic and operational autonomy to academic Faculties/Colleges, Schools and/or Departments.

To get a more detailed insight into why universities might have restructured, five examples are cited based on the availability of the relevant documentation - the University of Eastern Finland (UEF) in Finland, the University of Glasgow (UG) in the U.K., NUIG, TCD and UCD in Ireland.

UEF, covered in a case study by Väänänen (2012), was restructured as part of the legal reforms to merge two existing universities under one new name, on three campuses, to form a public university.

In essence, this created a new university from two existing institutions whereby the new university was expected to incorporate both existing structures into one and change the teaching, research and administration to enable this new entity to be formed. The results are:

- A new name: University of Eastern Finland;
- 13 faculties consolidated into four;
- Deans have very broad operating power;
- About one hundred and fifty person years were reduced from the administration and the resultant resources transferred into research and teaching;
- A new research strategy was created;
- Many bachelor and master programs were consolidated, tenure track-established and a funding model based on results was established.

UG stated in its Human Resources Report on the 'Roles and Responsibilities of the College, School (and subject) and Research Institute' (2013: 6) that its objectives for restructuring were to:

- *"Facilitate collaboration, multi disciplinarity and joint-working.*
- *Enhance efficiency and effectiveness of academic units.*
- *Facilitate improved research performance.*
- *Improve communication to stimulate creativity.*
- *Enhance the postgraduate research student environment.*
- *Support strategies to improve student success.*
- *Build on the high quality student experience.*
- *Improve administrative support and efficiency."*

Year on year desired long term improvements were listed as (2013: 24):

- *"Improved success rates for research awards.*
- *Increased research income (including increased market share).*
- *Greater number of staff securing research awards.*
- *International student recruitment targets met.*
- *Improved University performance in national and international league tables.*
- *Financial sustainability."*

NUIG (2006: 6) states its reasons for restructuring as being:

"to develop structures that will combine the capacity for taking strategic decisions at institutional level with optimising the teaching and research capability of academic staff individually and with colleagues within, and across, traditional disciplines in the interest of all its stakeholders, but particularly its students."

A summary of the advantages suggested for the restructuring include:

- New larger structures will facilitate the development of new programmes;
- Larger units will achieve critical mass in academic terms which will allow the university to respond more effectively to the fourth level Ireland challenge;
- Large structures will facilitate the development of research programmes within and between disciplines and help teaching programmes to be more research-led;
- Restructuring will allow research institutes, centres and units to be formally incorporated into the university's academic structures;
- Duplication and overlap of courses between cognate disciplines will be reduced;
- Disciplines are more likely to be aware of, and avail of, courses offered by other disciplines;
- Larger units are more likely to attract new/replacement appointments;
- New appointments can be more strategically focused in a larger unit;

- Schools will provide a basis for transparent workload models in the interest of fairness to staff and equity of resource allocation;
- Sabbatical leave can be more easily facilitated in larger units;
- Research funding bodies are more likely to look favourably on funding submissions from larger interdisciplinary units;
- The administrative burden on academic staff will be alleviated through a greater spread of administrative duties and the appointment of administrative staff to support the totality of the administrative function;
- Non pay budgets can be pooled;
- Larger units will create opportunities for support staff, including technical and administrative staff, to play a greater role in the university;
- Larger units will be in a position to share expensive infrastructure.

In TCD (TCD 2007: 1), the Board of Trinity College decided on a new approach to the allocation of resources, and the organisation of the College. Accordingly, Schools were formed from the then existing sixty four departments, and their operation was to be supported by a *"faculty-light"* arrangement. Restructuring subsequently followed where existing Departments were incorporated into Schools and Faculties under a new structure that involved three Faculties.

A number of key principles emerged in TCD which were deemed paramount in considering academic, administrative and support services reorganisation and restructuring, namely (TCD 2007: 1):

- *"Academic coherence in the organisation of disciplines with the university.*
- *Academic pre-eminence in the strategic and financial planning of the university.*
- *Devolved decision making, and, financial accountability and autonomy to academic units.*
- *Administrative and support services reorganisation to facilitate and underpin teaching, learning and research.*
- *Student representation in new committee and academic structures was not to be any less favourable."*

In 2005, UCD, in its 2005-2008 strategy document (UCD 2005: 28) states that external reviews of UCD have repeatedly asserted that:

"The division of the academic community into an excessively large number of Faculties and Departments:

- *"Is a major impediment to academic collaboration, performance and progress.*
- *Results in significant duplication of academic effort and inhibits innovation in the teaching arena.*
- *Is a barrier to interdisciplinary research and limits the capacity to launch major research initiatives or attract large research grants.*
- *Limits sabbatical and research leave opportunities.*
- *Complicates and diffuses administrative effort and expertise and thereby limits the effectiveness of both UCD's academic and administrative staff.*
- *Prevents effective communication and decision making.*
- *Limits the capacity for multi-annual strategic and financial planning.*
- *Dissipates valuable resources.*
- *Impairs UCD's ability to brand effectively and its ability to raise funds effectively from the private sector."*

In outlining how Schools would replace Departments as the core academic units within the newly formed Colleges, the strategy report refers to the following principles for the formation of Schools (UCD 2005: 29):

- *“The primary objective of any change in structures should be to deliver improvements in research, teaching, learning and student life.*
- *Existing departments should be merged to form a School only where there is genuine disciplinary coherence or potential synergies between the departments.*
- *A School should ordinarily be large enough to achieve critical mass in teaching and research, yet not so large as to reduce the sense of identity and belonging or prevent effective management by the Head of School.*
- *Schools should ordinarily be large enough to warrant a well-developed and efficient administrative and support structure and career development programmes for academic, administrative and technical staff.”*

Common to all four examples are the description of the new structures – i.e. how the new Faculties/Colleges and Schools/Departments were to be set up, financed, administered and staffed. Critically, the introduction of the formal positions of F/CH and HoS/D were introduced, with role descriptions describing the remit of each. This appears to mark the denomination of these roles as formal leadership/management positions. Themes observed from the above examples include, but are not limited to:

- Interdisciplinary and inter institutional collaboration to improve research, teaching and student affairs;
- Improving the quality of teaching and research;
- Devolution of decision making away from the ‘centre’ to Faculties/Colleges and Schools/Departments via flatter structures;
- Improving organisational efficiencies;
- Improving student affairs and supports;
- Improving strategic planning;
- Improving administrative supports and services to decrease administration duties for academics;
- Improve budgeting and financial efficiencies;
- Staff selection and management.

Grouping the above factors using the ABC model portrays these themes as follows:

Academic	Business	Corporate
<u>Scholarship</u>	<u>Performance</u>	<u>Conformance</u>
<ul style="list-style-type: none"> • Quality of Teaching and Research. • Interdisciplinary and Inter Institutional Collaboration to Improve Research, Teaching and Student Affairs. • Student Support Activities. 	<ul style="list-style-type: none"> • Organisational Efficiencies. • Devolved Strategic Planning. • Administrative Efficiencies. • Budgeting and Financial Efficiencies. • Devolution of Decision Making. • Staff Management. 	<ul style="list-style-type: none"> • Quality Assurance <i>(implied)</i>.
<ul style="list-style-type: none"> • Staff Selection. 		

These restructurings point to the copper fastening of the business and corporate dimensions as integral parts of the governance and leadership/management of the universities.

The restructuring processes explicitly state the presence of such dimensions as being critical to the growth of the universities in their efforts to adapt to the changing world around them.

Given the newly created roles of F/CH and HoS/D are integral to the restructuring that has taken place, one would expect the nature of these roles and the local structures in which they operate to reflect the changed governance and management needs of the modern university.

The following analysis results from a comparison of structures (macro and micro), roles (descriptions) and role related processes (selection, preparation, support, development, reward and recognition) in 11 universities, one each from the U.S., Australia, the U.K. and Finland, together with the seven Irish Universities. Again, for consistency, the universities to be compared include the University of Glasgow and the University of Eastern Finland. Included also due to their home systems being discussed earlier, are GeorgiaTech in the U.S. (GT) and the University of Western Australia (UWA).

INSTITUTIONAL MACRO STRUCTURES

The Organisation Charts were compared across the listed universities to gain insight into the overall organisation structure of each institution by exploring the:

- Layout of Faculty/College and School/Department Structures to indicate numbers and types of each.
- Presence of additional or one-off structures embedded within the overall structure.

University staff and student numbers are given in Appendix B to indicate university size.

The Management Structures were examined under the following headings:

- Governing Authority.
- Senior Team mapped out by position type.

Changed External Environment

Explicit references to the changed external evaluation and regulatory environment have recently appeared through the listing of positions such as 'Institutional Research', 'Performance' and 'Quality' on some Senior Teams in Ireland with positions such as 'Legal Affairs and Risk Management' on international university comparator Senior Teams.

Changed University Role

The changed role of the modern university is evident especially with regard to the "*Contribution*" element in light of the newer externally focused positions on the Senior Teams, for example 'Government and Community Relations', 'Internationalisation', 'Knowledge Exchange' for international university comparators and 'External Affairs', 'Development', 'Global Relations', 'External Relations' in Ireland. In addition, there is a greater prevalence of predominately externally manned advisory bodies albeit in international university comparators more so than in Ireland.

Changed External Governance

Universities have changed their External Governance aspects, namely the Chief Officer role and the Governing Authority. Chief Officers now have executive roles. The variation in the makeup of the Senior Teams may be explained by the freedom of the Chief Officer to decide on the roles s/he wishes to have present, the changing university strategies, a combination of both or other reasons. Governing Authorities have external members in all cases reflecting wider international trends.

Macro Structures

Irish university Senior Teams have much the same arrangements as the international university comparators, other than the U.S. example where many extra members exist (GT also bucks the international trend by having a large Board of Trustees).

Irish universities have set up their organisations in much the same way as international comparators indicating that they see the same need for bigger Faculties/Colleges. The nature of the positions represented on the Senior Team in Irish Universities is much the same as those of the international university comparators. However some differences are evident. HR is treated differently from university to university. A possible remnant of the older Irish structures is the presence of the Secretary on the Senior Team, a position not seen on the international Senior Teams. Arguably the biggest difference between Irish and international universities is that administration is becoming one large function in its own right in some of the international university comparators but in Ireland it tends to be more distributed.

Structures tend to be a consequence of the complexity and scale of the organisation, with larger, more complex organisations normally having a greater number of vertical line management layers. For the 11 universities explored here, the three largest and of similar size, i.e. GT, UG and UCD, are inconsistent in the placing of F/CH on their respective Senior Teams, in that that UG and UCD have F/CH on their respective Senior Teams whereas GT does not. Perhaps the flatter the structure, i.e. the presence of F/CH on Senior Teams, the greater the intention to enable the 'academic voice' to be clearly heard as part of the institutional decision making processes.

INSTITUTIONAL MICRO STRUCTURES AND THE ROLES OF F/CH AND HoS/D

The comparison of the micro structures at Faculty/College and School/Department level and of the role holders of such academic units is designed to compare the structures and the documented descriptions of the F/CH and HoS/D roles. In relation to the latter, this analysis serves the purpose of investigating if there was merit in describing such roles in a generic way across for the seven Irish universities and to investigate how closely the roles in the selected international comparators match the Irish roles under the headings of the role purpose, the key responsibilities and the principal duties.

The following criteria are used to compare the roles of F/CH and HoS/D in the context of the micro university structures. University job descriptions and websites are used for these international comparators along with additional email information received.

- Who role reports to;
- If it holds the budget or not;
- The term of office;
- If the role has a Faculty/College/School/Department (depending on whether F/CH or HoS/D) leadership/management team or not to help run the academic unit;
- The documented role purpose;
- The documented key responsibilities and principal duties.

A commentary on the findings is outlined below.

Part Two of this report outlines the reality of the role as defined by the sample of role holders interviewed and by those who attended subsequent focus groups.

Changed External Environment

The changed external environment is more obviously present in the roles of F/CH and HoS/D in all 11 universities sampled than in their macro structures through the presence of the quality assurance and regulatory compliance aspects of the roles.

Changed University Role

The external promotion aspect of the roles of universities provides evidence of “*Contribution*”, including international, regional, education, community and industry links. While academics have always engaged externally, there is a growing expectation that outside links may now contribute to the university to a greater degree, especially in relation to fundraising and income generation.

There is a greater tendency for “*Contribution*” to be incorporated at Faculty/College and School/Department level, not just at Senior Team level. In the international university comparators assessed, the local advisory boards mark this trend while in Ireland it seems to be evidenced more directly by the inclusion of these aspects in some F/CH and HoS/D job descriptions.

Changed External Governance

The Chief Officer appears to decide who is on the Senior Team and there is no consistent approach among the international university comparators as to whether F/CH sit on the Senior Team or not, whereas in Ireland they generally do.

Micro Structures

Faculties/Colleges are set up to have devolved decision making authority, often originating from the restructuring processes earlier explained, and as a consequence F/CH are listed in all the sample universities as the overall accountable manager and leader of the Faculty/College.

From a decision making perspective, organisations are normally set up such that senior managers make strategic decisions on behalf of the organisation, managers of functional areas make tactical decisions on behalf of the area/group of units and managers of single units make operational decisions. F/CH that sit on Senior Teams in the universities sampled appear to be expected to make strategic decisions with Senior Team members on behalf of the university as senior managers, and tactical decisions on behalf of the Faculty/College. Where they do not sit on the Senior Team, the job descriptions do not indicate that their level of decision making is less than F/CH who do. Part Two of this report will bring clarity to this question in the Irish context.

F/CH tend to work within formal Faculty/College management structures where a Faculty/College management team is usually present to help them manage the administration of the Faculty/College. In the international university comparators, the administration element of Faculty/College management teams appears to be stronger than it is in Ireland, where advisory boards, bigger administrative teams, sometimes containing roles that mirror the university Senior Team in terms of their titles, are normally present. In some instances, F/CH are said to run Faculties/Colleges in conjunction with Faculty/College managers, for example. However, the Faculty/College management structures that F/CH lean on in the international university comparators tend to include specific student-related positions more explicitly than in Ireland, where the role of students is usually confined to a description of the role rather than being reflected in the structures.

F/CH in Ireland are comparable to the sampled international F/CH in terms of their remit and the key responsibility headings that capture the role. The core set of key responsibilities are common to F/CH in all universities compared and these are used as the basis for the interview questionnaires to validate these findings.

For the international universities sampled, there seems to be a clearer separation between the roles of F/CH and HoS/D from comparing the role purpose and the key responsibilities. As described above, F/CH appear to have a clearly defined senior leadership/management strategic and tactical decision making role whereas HoS/D appear to have a more functional and operational role.

In Ireland, it is not as clear as to the differences between a F/CH and a HoS/D as regards the relative levels of decision making between the two roles. From the role purposes listed, it would appear that the F/CH has the strategic role and that the HoS/D has the more tactical/operational role. Yet from the key responsibilities listed in job descriptions, this distinction is more blurred. Findings in Part Two bring clarity to this uncertainty.

One would expect a HoS/D to be limited to a mix of tactical and operational decision making responsibilities as they are in charge of a small group of units or a single unit. Yet all job descriptions refer to a strategic expectation in terms of the nature of their role. This level of decision making is the one that stands out as the most unclear aspect of the role based on the information provided – i.e. are HoS/D expected to implement strategic and perhaps tactical decisions already made at higher levels as well as day to day, week to week short term operational decisions, or are they expected to and empowered to actively make more tactical or strategic decisions for their Schools/Departments across all areas....academic and administrative planning, resources, budgets/financing, staff etc.? Again, findings in Part Two bring clarity to this question.

In Ireland, HoS/D generally do not have School/Department management structures in place. Given the more operational nature of much of a HoS/D's job, one would expect greater levels of administrative support and a more structured approach to its provision, especially when HoS/D are generally expected to continue acceptable levels of teaching, research and contribution activities as were present before they were appointed. The international universities sampled show a presence of structured School/Department management teams and administrative support structures to assist the HoS/D and to a greater extent than in Ireland.

It is important to note that the roles of F/CH and HoS/D are typically described under the 'Why' and 'What' headings, namely the role purpose and key responsibilities that the role holder is to 'do'. The 'How' to 'do' the role in the form of role-specific competences or competency frameworks is absent in Irish universities and was not evident in international comparators either. Where competency frameworks exist, they tend to be relevant to either academic roles generally or for all university staff irrespective of role. The closest example of a competency framework of relevance to F/CH and HoS/D roles is in TCD where leadership competences for the top university leaders have been recently developed. These competences are not specific to F/CH and HoS/D roles but apply to TCD leadership roles generally.

THE ABC MODEL – CAPTURING THE KEY RESPONSIBILITIES OF THE ROLES

We earlier discussed the potential of the ABC model to position the changes to the roles of F/CH and HoS/D. As was discussed in relation to the macro structures, the purpose of the roles of F/CH and HoS/D and such structures as exist around them, again point to the mix of the academic, business and corporate governance and management functions. The universities sampled exhibit structures, roles and responsibilities that include all three dimensions.

Looking specifically at the Irish universities, it is apparent from the key responsibilities listed that all universities describe the roles in similar terms as regards ‘what’ needs to be done. The similar descriptors for both F/CH and HoS/D roles show that, on paper, all universities appear to want the respective roles to be performed in similar ways, albeit with one operating at Faculty/College level and the other operating at School/Department level. The more detailed descriptions of the principal duties highlight the local nuances attaching to the roles.

By taking the key responsibility headings common to both roles and mapping under the ABC Model headings, the model captures the way roles are now defined well. We have added ‘Staff’ to show the overall staff responsibility relevant to the role as one that spans across the other headings.

Academic	Business	Corporate
<u>Scholarship</u>	<u>Performance</u>	<u>Conformance</u>
Academic Leadership – i.e. Teaching, Learning and Research related Leadership to include Internal and External Promotion of their Unit and Student Affairs.	Strategic Academic and Administrative Planning. Finance, Budgetary, Resource and Infrastructure Management. Staff Performance Management.	Quality Assurance and Regulatory Compliance.
Staff Staff Selection and Development		

Deans of Subject and Heads of Discipline were traditionally academic leadership and academic figurehead roles. But today, F/CH and HoS/D are very much academic management roles as well as academic leadership roles. These roles now incorporate the business and corporate dimensions, using Carnegie and Tuck’s descriptors, side by side with the academic dimension, in many cases originating from the restructuring that has occurred. The staff dimension is relevant to both roles.

While Carnegie and Tuck (2010) mention that the mix of the three dimensions applies to everyone that works in a university, the roles of F/CH and HoS/D in Ireland are certainly now at the axis of where the three dimensions meet. Universities, especially the international examples referred to in this report, employ role descriptions and structures to demonstrate the distinct importance these roles now hold in the leadership and management of the modern university. For F/CH, the strategic role of senior leader/manger of their Faculty/College appears reasonably clear. For HoS/D in Ireland, a more precise description of the decision making nature of the role would be useful as guidance to HoS/D and to better distinguish between the two roles. The findings and analysis presented in Part Two of this report provides the necessary clarification around this issue.

SUCCESSION PLANNING, SELECTION, PREPARATION, SUPPORT AND DEVELOPMENT, REWARD AND RECOGNITION OF F/CH AND HoS/D ROLES

This section investigates if any succession planning processes are employed, and how people are selected, prepared for, supported, developed, rewarded and recognised for the roles. Websites and email queries were used to collate the relevant information for the international universities except for GT, where website information was unavailable and email queries were not responded to.

International Universities

For both F/CH and HoS/D, the overriding observation is that the positions are well planned in every sense – from role definition and responsibilities as outlined in previous sections to preparing candidates to take up the roles to the comprehensively thought out benefit packages. The benefit packages in particular appear to signal the importance the respective universities give to the positions of F/CH and HoS/D as leadership/management positions in the university. For HoS/D one can only assume they help overcome the reluctance academics have traditionally had to taking up such positions due to the often negative perceptions attaching to the HoS/D role (Bolden 2008).

Associate Professors or Professors are the preferred minimum academic grade for taking up either F/CH or HoS/D positions, appointed early to allow for preparation and development and with a minimum four year term in all cases. Role performance evaluation and review is often standard for both roles.

No evidence of a deliberate approach to succession planning – i.e. developing a pool of future leader/managers in advance of vacancies being present - was evident in those universities sampled.

Irish Universities

Succession Planning

Steps to improve the leadership/management capability of a wider pool of potential successors to the roles in question is largely absent from the information specifically asked of HR staff via questionnaires.

Selection

HoS/D are generally selected internally as is the case for the international universities. Selection in Ireland involves a mix of interview, election, formal and/or informal appointments. F/CH are as often selected via open external interview as they are via internal processes. There is no standard process for selecting an F/CH or a HoS/D across the universities sampled.

Two universities make deliberate attempts to have newly appointed candidates in place far enough in advance of the successor taking up the role to enable hand over, shadowing, development and exposure to the role in advance of the role being officially taken up. International universities tend to take deliberate steps to have newly appointed HoS/D in place early for the same reasons.

Three universities insist on Associate Professor or Professor grades for F/CH and one university insists on these minimum grades for HoS/D. This leaves room for Senior Lecturer or possibly Lecturer in some universities taking up leadership/management roles at a time in their academic careers when maintaining their research output will be difficult due to the time constraints attaching to the F/CH and HoS/D roles.

In contrast, all 3 international universities specify Professors for F/CH roles and Associate Professors or Professors for HoS/D roles, except UEF who allows Doctoral holders take HoS/D roles.

Preparation

With two exceptions, universities generally don't have replacements selected and appointed in advance, providing for a handover period between role holders. Those universities that neither select nor appoint early offer supports but not in such a deliberate way. Selecting and appointing F/CH and HoS/D early seems a good way to develop the candidates before they are exposed to the full rigors of the role rather than providing most supports when candidates are in the midst of the early hectic days of their new positions.

Support and Development

F/CH tend to be offered coaching as the main development intervention in the first year after being appointed, whereas HoS/D are offered a mix of interventions, to include formal training courses in leadership or management with 360 feedback/profiling, in house induction/ awareness of internal supports, training and formal or informal mentoring. Shadowing or formal hand overs tend to happen in the two universities which appoint candidates early. Coaching is available for HoS/D after being appointed but is less employed than other supports or is available on request only. After one year in the role, supports tend to either reduce or are available on request only for both roles.

F/CH tend not to need the range of supports that HoS/D receive, especially in areas such as induction and awareness of university supports. This is reflective of their relatively longer time in the university than HoS/D, added to the fact that they generally would have held some form of leadership/management role prior to becoming F/CH. That said, one might expect more of the universities to offer formal training courses/feedback/profiling to F/CH who have likely not held such important leadership/management roles previously.

Most noticeably, development supports tend to be provided and/or offered more for the time period after HoS/D and F/CH are appointed than beforehand.

Reward and Recognition

Recognition is the area where there is the biggest divergence between how Irish universities treat the F/CH and HoS/D roles compared with the international university comparators.

Recognition devices are employed in university contexts as a way of recognising the importance of the leadership/management positions involved, as a way of rewarding those who are appointed and as a way of compensating academics for the time they will lose teaching and/or performing research while they hold the roles.

In Ireland, there is no standard way to recognise those who take up F/CH and HoS/D positions. Processes, where they do exist, include HEA approved allowances, sabbaticals, research grants, higher pay scales and extra paid staff to replace F/CH or HoS/D teaching or research time lost.

In contrast, the two bigger international university comparators have a more comprehensive and reasonably similar package of benefits, while the smallest one pays monetary sums. There is a caveat in that almost all benefits are performance related, not simply handed over and kept without evaluation.

The range of benefits for F/CH includes a company car, research leave, academic positions post term, allowances, bonuses, higher pay scales linked to the position; the range for HoS/D benefits includes Associate Professor/Professor-scale salary allowances, professional development support, research and/or teaching grants, allowances, sabbaticals, potential lifelong allowances and a recognition that holding the position of HoS/D will be a significant contributory factor in academic promotions.

6. EMERGING THEMES FROM PHASE ONE

The following themes have emerged:

- The university sector in Ireland has changed in line with international trends in that
 - The government has reformed the sector through legislation that provides for externally appointed members to Governing Authorities and that has given executive powers to Chief Officers;
 - Government funding for the sector has reduced leading to the need for universities to actively seek alternative sources of revenue;
 - Government influence and control have increased leading to an era of performance evaluation and quality assessment that is now reflected in the nature of positions on university Senior Teams and in the responsibilities of F/CH and HoS/D;
- Universities have restructured internally with similar logic to international comparators in that they
 - Appeal to and/or are reacting to outside forces and influences and in doing so have added “*Contribution*” as a key part of their missions as universities to sit alongside the traditional teaching and research missions. This newer dimension is also reflected in the Senior Team positions and internal structures of universities, the latter via external Advisory Boards more present in international university structures than in Ireland;
 - Have restructured many disciplines into larger Faculties/Colleges and Schools/Departments that are responsible for academic and non-academic governance and leadership/management;
 - Have introduced the newer roles of F/CH and HoS/D to be functional leaders/managers of these new structures;
 - Have defined the roles of F/CH and HoS/D to be very much academic leadership/management roles that can be summarised as having a mix of academic and non-academic areas of responsibilities unlike the more traditional Heads of Discipline or Subject Dean roles that have academic areas of responsibilities and are more academic leadership roles;
 - Tend to define F/CH and HoS/D roles with much the same purpose and key responsibilities in Ireland and internationally. However international universities tend to have separated the two roles more clearly than in Ireland, particularly in relation to the decision making aspect of the role. International universities tend also to have a greater level of School/Department management or administration structures working alongside HoS/D to help them manage their Schools/Departments.
- Despite the similarities, each university is differentiated from its peers due to a mix of some or all of its national higher education system and regional nuances together with its own unique history, traditions and ways of governing.;
- There is no one ‘best practice university model’ that should be replicated. That said, there are many best practices worth adapting to local need;
- Universities assessed typically do not deliberately identify and nurture a pool of future leadership/management talent in advance...i.e. succession planning tends not to happen based on the documented evidence;
- Universities in Ireland aim to define, select, prepare, support and develop, and reward and recognise these new leadership/management roles in the context of the changed university mission, structures, strategies and visions, as have international university comparators. Universities in Ireland do not have common approaches to these areas across all seven universities unlike international university comparators.

- Themes common to the selected international universities but different to Irish universities can be observed as follows:
 - Replacement F/CH and HoS/D are normally appointed early to allow for planning, preparation and development. F/CH can be internally or externally appointed whereas HoS/D are normally appointed internally.
 - Professor is normally the minimum academic grade for selecting an F/CH with Associate Professor the norm for a HoS/D.
 - The minimum term observed for an F/CH or HoS/D is four years, with five years the norm.
 - Both F/CH and HoS/D positions are significantly recognised and rewarded via:
 - Service as HoS/D in particular being recognised as a very important contributor to academic promotion possibilities.
 - Position related higher pay scales, bonuses and allowances.
 - Research and/or teaching support and professional development.
 - Post term academic positions and sabbaticals.
 - F/CH and HoS/D are subject to annual performance review and evaluation where the role itself and/or associated benefits may be withdrawn if necessary.
- While the absence of the ability to use payments and allowances is a significant obstacle in the context of reward and recognition specifically, there are a range of other options that could be used very effectively.

7. PHASE ONE AREAS FOR FURTHER CONSIDERATION

The following areas were listed as being worthy of further consideration and are incorporated into the Phase Two interviews to explore the merits of each with the role holders:

- Is the ABC Model of Governance and Management - 'the ABC model' - a useful reference model for defining the F/CH and HoS/D roles?
- How can the two roles be better defined?
- Is there a need to communicate the fact that the two roles are formal management and leadership positions more publicly and/or explicitly?
- Are there additional ways to reward and recognise both roles?
- Is there any merit in enhancing the structures that F/CH and HoS/D work with to manage by considering student related positions, external advisory bodies or more formal School/Department management structures.
- Is it possible to formulate a common sectoral approach to succession planning in areas such as:
 - Formal career development process for academics to begin as early as possible in their careers to include formal university leadership/management training;
 - Exposure to other leadership/management roles in a more deliberate manner.
 - How early successors are appointed;
 - The length of terms for each role;
 - The preferred academic grade successors should already have attained;
 - The possibility of appointing successors in 'batches' to facilitate group development and peer networking.

Face to face interviews and focus groups were employed to explore the above aspects of the roles from the interviewees' perspectives as role holders. The interviews and focus groups provide many insights into verifying what actually happens currently versus what interviewees say should happen, where different. Part Two of this report outlines the analysis, conclusions and recommendations.

Part Two

8. AIMS OF THE INTERVIEW PROCESS

Phase Two analysis aims to validate Phase One findings, add to the understanding of the roles by eliciting the views of many role holders and to produce project deliverables relevant to both roles. The areas for further consideration outlined in part one are included in the list below.

The sample size represents approximately half of F/CH and approximately a quarter of HoS/D. The conclusions drawn are based on a synthesis of the views expressed by the individuals interviewed.

Specifically, this phase of the project sought to uncover more understanding about the following in respect of each cohort:

- The Role Profile for each role under the following sub headings:
 - Role Purpose...*why the role is necessary*;
 - Key Responsibilities under each ABC Model heading...*the high level areas that, when added together, constitute the role. Note that the ABC Model headings referred to for the remainder of this documents are those of 'Academic', 'Business', 'Compliance' and 'Staff' where 'Compliance' was deemed to be a better descriptor than 'Corporate' in the Irish context*;
 - Principal Duties...*the detailed descriptors that summarise what the role means specific to and in the context of its institution, Faculty/College and/or School/Department as relevant*;
- Effective Behaviour Framework...*the behaviours needed to do the role well*;
- Reward and Recognition;
- Motivation to take up the Roles;
- Succession Planning, Selection and Preparation;
- Support and Development;
- Administration and Structures;
- The issues that impact on the ability of role holders to perform well.

9. METHODOLOGY

Interview questionnaires were designed using the information gathered in Phase One together with input from initial informal meetings with a sample of F/CH, HoS/D, Registrars, Presidents, HR Directors, Learning and Development (L&D) Officers/Managers and IUA staff.

Informed consent forms were provided to interviewees prior to the interview commencing – see a sample informed consent form in Appendix C. These forms outlined the background to the interview, its purpose, format and an assurance of anonymity and confidentiality. All interviewees signed an individual informed consent form before the meeting began. Electronic recording of interviews was not employed.

Interviews were conducted in February and March 2015. The data gathered in Phase One was used to populate the questions used in the interview manuscripts. Where prepopulated answers were sought information was gathered by way of answers to open questions, choosing one or more options from a list of prepopulated answers, or ranking of answers on one of several Likert-type scales. Interview answers were not weighted.

Following the initial round of interviews, focus groups were held to canvass views on the emerging findings and to validate the appropriateness, accuracy and extent of the information being produced. Focus groups took place in July and August 2015. In total, six F/CH and 16 HoS/D attended in three separate locations. Two focus groups were employed for F/CH interviewees and five focus groups were employed for HoS/D interviewees. Interview findings, proposed models, frameworks and pathways relevant to both roles were presented before processing the feedback from participants and further refining the findings.

Specific to the production of the Effective Behaviour Frameworks for both roles, external consultants, Seven Psychology at Work, performed a rigorous quality assurance assessment of the process used. Their report is referenced in the bibliography.

Provisional models, frameworks and pathways were completed in October 2015 and presented to the HR Director Group, the IUA Registrars Group and IUA Council for their endorsement. Having considered feedback from the above groups, all models, frameworks and pathways were finalised and incorporated into this report.

10. NUMBERS AT A GLANCE

NUMBERS INTERVIEWED BY ROLE TYPE AND UNIVERSITY

	F/CH	Approx. % of Total Sector Cohort	HoS/D	Approx. % of Total Sector Cohort	Totals
Dublin City University	2		4		6
Maynooth University	2		7		9
National University of Ireland Galway	2		5		7
Trinity College Dublin	1		4		5
University College Cork	2		10		12
University College Dublin	4		11		15
University of Limerick	2		5		7
Totals	15	48%	46	26%	61

RELEVANT INTERVIEWEE DATA

The key statistics regarding those interviewed holding both respective roles are outlined in the table below. A brief extract of some statistics pertinent to the roles include:

F/CH

Most F/CH interviewed are lead/manage large academic units, are already Professors/Associate Professors, are mostly male, mostly members of their university Senior Team and mostly reporting to a President/Provost. Circa one in four are Senior Lecturers and circa two in five are under age 50.

HoS/D

Most HoS/D interviewed lead/manage academic units with less than 40 staff members, circa 40% are female, most are over age 50, and half are Professors/Associate Professors. Just over two in five are under age 50 and half are Lecturers/Senior Lecturers.

	F/CH	HoS/D
Gender	73% male, 27% female.	57% male, 43% female.
Age	60% aged 51-60, 33% aged 41-50 and 7% aged 31-40.	46% aged 51-60, 41% aged 41-50, 11% aged 61-70 and 2% aged 31-40.
Academic Grade	73% currently Professors, 27% Senior Lecturers.	11% Lecturer, 39% Senior Lecturer, 13% Associate Professor, 37% Professor...a 50:50 split between Professor/Associate Professor and Lecturer/Senior Lecturer.
Senior Team Members	87% are members of the Senior Team, 13% are not.	
Faculty/ College Type	54% reside in Science/Health/ Engineering Faculties/Colleges whereas 46% reside in Arts/Business/Law Faculties/Colleges.	50% reside in Science/Health Engineering Faculties/Colleges and 50% reside in Arts/Business/Law Faculties/Colleges.
Reporting	74% report to the President/Provost, 13% to the Registrar and 13% to the Deputy President.	93% report directly to the F/CH, 7% are Department Heads reporting to a Head of School. Many mentioned a sense of reporting indirectly to several figures, often the President/Provost, Registrar/Vice President Academic and/or Bursar.
Previously a HoS/D	20% of F/CH never held a HoS/D role.	
Academic Unit Size	Of those interviewed 53% lead academic units with 200+ staff members.	Of those interviewed 33% lead academic units with less than 20 staff members, 38% lead academic units with 21 – 40 staff members, 13% lead units with 41 - 60 staff members with the balance of 16% leading units with 61+ staff members.
Desire to Take Role	87% wanted to improve the Faculty/College on taking the role.	83% wanted to improve the School/Department on taking the role.
Satisfaction Levels	80% are fairly or very satisfied in the role.	82% are fairly or very satisfied in the role.
Current Role Holders v Ex Role Holders	100% are current role holders.	96% are current role holders and 4% are ex-role holders. 7% hold roles in an 'Acting' capacity.

11. ROLE PROFILES

Role Purpose

HEAD OF FACULTY/COLLEGE

F/CH consider themselves to be leaders of academic units somewhat more than managers of administration units. They consider the purpose of the role to be multi-dimensional consisting of four key dimensions - coordinating, strategising, influencing and representing. The influencing/representing dimensions are less strongly felt for those that do not sit on their university Senior Team, being less clear regarding the extent of the authority and seniority of their roles. This latter group would prefer to be members of their Senior Team to avail of opportunities to have influence over key decisions, to represent Faculty/College interests, to have a university perspective from working at a senior level and to facilitate and channel effective communication up and down the institution.

Leadership emerges as being centred on a mix of contributing to university leadership and providing leadership and strategic direction to the Faculty/College. Simultaneously, F/CH are expected to provide influence for the benefit of the Faculty/College while best representing its interests and to represent the university. Running the Faculty/College operationally is also core to the role as they have described it. This involves hands on management themselves and helping HoS/D to manage their Schools/Departments in a coordinated manner. The following text describes the role purpose which results from the work to date:

THE PURPOSE OF THE F/CH ROLE IS MULTIFACETED AS FOLLOWS:

TO PLAY A KEY ROLE IN THE FORMATION OF UNIVERSITY STRATEGY AND THE LEADERSHIP OF THE UNIVERSITY;

TO PROVIDE EXECUTIVE LEADERSHIP, ACADEMIC OVERSIGHT, SUPPORT AND STRATEGIC DIRECTION TO THE FACULTY/COLLEGE, ITS SCHOOLS/DEPARTMENTS AND STAFF, ENSURING THAT STRATEGIC PLANS ARE DEVELOPED, ALIGNED AND IMPLEMENTED IN LINE WITH UNIVERSITY STRATEGIC PLANS;

TO PROVIDE INFLUENCE AND REPRESENTATION FOR THE FACULTY/COLLEGE THROUGHOUT THE INSTITUTION AND FOR BOTH THE FACULTY/COLLEGE AND THE UNIVERSITY EXTERNALLY;

TO BE RESPONSIBLE FOR THE OPERATIONAL MANAGEMENT OF THE FACULTY/COLLEGE THROUGH THE GENERATION OF ADDITIONAL RESOURCES, THE TRANSPARENT ALLOCATION OF RESOURCES, THE MANAGEMENT OF FACULTY/COLLEGE STAFF AND THE COORDINATION OF SCHOOLS/DEPARTMENTS IN CONJUNCTION WITH HoS/D.

HEAD OF SCHOOL/DEPARTMENT

Interviewees predominately see themselves as leaders of academics through the provision of strategic vision, direction and support to ensure coherence in School/Department activities and staff. They also see themselves as the representer of staff, the School/Department and the subjects/disciplines. Providing these forms of leadership is core to the purpose of the role.

Allied with the above is the need to be operational managers and decision makers ensuring that people are managed, academic work gets done, objectives are met, administration is managed, policies are implemented, resources are managed and student needs are catered for.

The ‘decision maker’ aspect of the role was not emphasised as much by the interviewees. The fact that this aspect has apparently lower importance may originate from the representative nature of the role, a role performed in a predominately collaborative, consultative manner where many referred to the collegial nature of decision making without the HoS/D having to be the sole decision maker. As against that, several HoS/D reiterated in the focus groups how much ‘the buck stops with me’, stressing how much they feel they are the ultimate decision maker in many areas on behalf of their School/Department, irrespective of how much staff consultation actually occurs. This latter point was especially relevant to the compliance related activities.

This apparent conflict may simply be a reflection of the varying forms of leadership at play – i.e. strong unilateral decision-making leadership at one extreme versus the more collegial and shared leadership at the other extreme – or may indicate insufficient profile/authority attaching to the role in some Schools/Departments as some interviewees indicated. Regardless of the degree of collegial decision making, interviewees indicated that they are still accountable for how well the role is done.

Significantly, whereas F/CH see the role as predominately a mix of ‘Academic’ and ‘Leadership’ to use the terms on which they were asked for opinions, HoS/D see the role as more of a mix of ‘Leadership’ and ‘Management’. One can conjecture that this is due to the more operational and staff-facing nature of the latter’s role.

From discussing the role with the HR Director Group, the expectations of the role would be all of the above with probably a greater emphasis on the operational and staff management element than HoS/D might give it themselves. Yet when discussing the HoS/D role with F/CH, they tend to want the role to be less operational and more strategically academic. This mix of views needs to be addressed between the various parties, a process that might be best completed locally on a School/Department by School/Department basis to ensure local expectations and needs are aligned.

The following text describes the role purpose for the HoS/D role which results from the work to date:

THE PURPOSE OF THE HoS/D ROLE IS THREEFOLD:

- **TO LEAD THE DEVELOPMENT OF A SCHOOL/DEPARTMENT STRATEGY IN THE CONTEXT OF BOTH ACADEMIC DISCIPLINE NORMS AND UNIVERSITY STRATEGIC PLANS, IN DOING SO SUPPORTING THE COHESIVE DEVELOPMENT OF THE SCHOOL/DEPARTMENT, ITS STAFF AND STUDENTS;**
- **TO REPRESENT AND PROMOTE THE BEST INTERESTS OF THE SCHOOL/DEPARTMENT WITHIN THE UNIVERSITY AND EXTERNALLY;**
- **TO BE RESPONSIBLE FOR THE OPERATIONAL MANAGEMENT OF THE SCHOOL/DEPARTMENT TO ENSURE THAT IT RUNS SMOOTHLY, AND THAT DECISIONS ARE MADE IN CONSULTATION WITH STAFF AND IN ACCORDANCE WITH SCHOOL/DEPARTMENT STRATEGIC OBJECTIVES, UNIVERSITY POLICIES AND STUDENT NEEDS.**

Key Responsibilities

The ABC Model was suggested as a potential effective framework to outline the key responsibilities of the respective roles in Part One. Interviewees concurred, with many commenting on the simplicity and clarity it gave to the description of the respective roles.

HEAD OF FACULTY/COLLEGE

The following table outlines those that are now identified as being reflective of the role of F/CH under the A', 'B', 'C' and 'S' categories more so than those originally presented in the Phase One ABC Model.

<u>Key Responsibilities – F/CH</u>		
<u>Academic</u> <ul style="list-style-type: none"> • Facilitating Academic Leadership. • Promotion and Representation of the Faculty/College Externally. • Internal Representation of the Faculty/College. • Enhancing Teaching and Learning. • Enhancing Research. • Managing Student Affairs. 	<u>Business</u> <ul style="list-style-type: none"> • Developing the University and Faculty/College Strategic Plans. • Implementing University and Faculty/College Strategic Plans. • Bringing in Additional Resources. • Discussing/Agreeing the Faculty/College Budget. • Monitoring the Budget/Controlling Costs. • Management of Staff and Performance. • Coordination of Schools/Departments. • Administration and Structures. • Physical Resource Management. 	<u>Compliance</u> <ul style="list-style-type: none"> • Academic Standards, Quality Assurance and Student Policies. • Business and Risk Related Policies. • Staff Policies. • Governance and Accountability.
<u>Staff</u> <ul style="list-style-type: none"> • Recruitment, Development and Retention of Talent. • Conflict Resolution. 		

HEAD OF SCHOOL/DEPARTMENT

<u>Key Responsibilities – HoS/D</u>		
<u>Academic</u>	<u>Business</u>	<u>Compliance</u>
<ul style="list-style-type: none"> • Facilitating Academic Leadership. • Promotion and Representation of the School/Department Externally. • Internal Representation of the School/Department. • Enhancing Teaching and Learning. • Enhancing Research. • Enhancing the Student Experience. 	<ul style="list-style-type: none"> • Developing the School/Department Strategic Plan. • Implementing the School/Department Strategic Plan. • Bringing in Additional Revenue. • Discussing/Agreeing the School/Department Budget. • Monitoring the Budget/Controlling Costs. • Management of Workload and Performance. • Administration and Structures. • Physical Resource Management. 	<ul style="list-style-type: none"> • Academic Standards, Quality Assurance and Student Policies. • Business and Risk Related Policies. • Staff Policies. • Governance and Accountability.
<u>Staff</u>		
<ul style="list-style-type: none"> • Staff Recruitment, Retention and Role Assignments. <ul style="list-style-type: none"> • Conflict Resolution. • Staff Development. 		

Differences emerge between the two cohorts in relation to how they separately view the HoS/D role. There is a call from F/CH for the role of HoS/D to be less operational and more strategically academic in focus and to a greater extent that HoS/D interviewees would have expected. Later in this report, HoS/D call for greater one on one interaction with and feedback from F/CH.

It is imperative that Senior Teams, F/CH and HoS/D consult locally, perhaps in consultation with HR, to agree what the priorities are for any given position and modify accordingly. Should this happen, there would be greater clarity between F/CH and HoS/D in any given academic unit as to who is responsible for what, to what extent, and what the priorities are at any given point in time.

Principal Duties

Principal duties have been provided to the institutions as lists under each key responsibility heading to help form a customisable role profile list for each role. These are taken from the 11 university job descriptions compared in Phase One but reassigned from their original job description headings to the respective ABC Model key responsibility headings for each role.

The sample role profiles below shows how they can be extracted from the customisable lists and inserted under each of the new headings. In its entirety, each role profile aims to provide a framework that enables local university leadership/management to pick and choose which principal duties are most relevant to the respective roles on an academic unit by academic unit basis. It is envisaged that no more than two to three principal duties would be chosen under each heading to produce an accurate and concise document of no more than three to four pages in length. In this way the role profiles capture the common elements to the respective roles – i.e. role purpose and key responsibilities – while allowing sufficient room to customise for local use via the insertion of relevant principal duties.

Sample Role Profiles

A SAMPLE ONLY example is shown here with just one randomly chosen sample principal duty populating each key responsibility heading in each of the two profiles below.

HEAD OF FACULTY/COLLEGE

Role Profile for F/CH – <u>SAMPLE ONLY</u>	
<u>Purpose:</u>	<p>The purpose of the F/CH role is multifaceted as follows:</p> <ul style="list-style-type: none"> • To play a key role in the formation of University Strategy and the leadership of the University; • To provide executive leadership, academic oversight, support and strategic direction to the Faculty/College, its Schools/Departments and Staff, ensuring that strategic plans are developed, aligned and implemented in line with University strategic plans; • To provide influence and representation for the Faculty/College throughout the institution and for both the Faculty/College and the University externally; • To be responsible for the operational management of the Faculty/College through the generation of additional resources, the transparent allocation of resources, the management of Faculty/College staff and the coordination of Schools/Departments in conjunction with HoS/D.
<u>Reports To</u>	President

Academic	
Promotion and Representation of the Faculty/College Externally	Strategically develop, direct and promote an internationalisation strategy that will raise the profile and reputation of the Faculty/College and support the global ambitions of the University.
Internal Representation of the Faculty/College	Serve as the official representative of the Faculty/College within the University and be responsible for the general leadership and overview of Faculty/College activities.
Facilitating Academic Leadership	Play a pivotal role in academic development of the University and provide academic leadership to the Faculty/College.
Enhancing Teaching and Learning	Develop a Faculty/College Teaching and Learning strategy in the context of the overall University strategy.
Enhancing Research	Lead and develop Research and Knowledge Exchange in the Faculty/College.
Managing Student Affairs	Continue to improve, to promote and to enhance the quality of the Student experience.
Business	
Developing the University and Faculty/College Strategic Plans	Be responsible for the strategic planning and development of the Faculty/College.
Implementing the University and Faculty/College Strategic Plans	Lead the implementation of the Faculty/College strategic plan and contribute to the implementation of the University strategic plan.
Discussing/Agreeing Faculty/College Budget	Be the Faculty/College accounting officer and be responsible for Faculty/College financial and budget planning in line with University financial guidelines.
Bringing in Additional Resources	Ensure a strategy and business plan are prepared to diversify income flow and surpluses away from non-HEA/traditional sources through fund raising activities, Research and partnerships.
Monitoring the Budget/Controlling Costs	Be responsible for financial and budget implementation and monitoring and for the Faculty/College financial administration generally.
Management of Staff and Performance	Be responsible for the management of staff performance, the timely completion of performance reviews and the implementation of the University Performance Management policy.
Coordination of Schools/Departments	Embrace and develop the Faculty/College's interdisciplinary approach by blending Research with Education in a variety of Disciplines.
Administration and Structures	Be the chief administrator for the Faculty/College and manage the administrative affairs of the Faculty/College.
Physical Resource Management	Be responsible for the allocation of academic facilities and the stewardship of the physical buildings.

Compliance	
Academic Standards, Quality Assurance and Student Policies	Ensure the Faculty/College meets the quality, accreditation and development needs of the disciplines.
Business and Risk Related Policies	Ensure compliance with University policies and procedures with regard to administration efficiency and effectiveness.
Staff Policies	Ensure a duty of care owed to staff is exercised particularly in relation to the maintenance of a working environment free from bullying, harassment or discriminatory practices.
Governance and Accountability	Chair and/or be a member of University Leadership/Management, Institute Boards, Statutory Bodies or Committees as requested.
Staff	
Conflict Resolution	Promote cooperation between Schools/Departments and staff.
Recruitment, Development and Retention of Talent	Manage recruitment, selection, induction, probation and administration of staff in conjunction with the Human Resources Department.

HEAD OF SCHOOL/DEPARTMENT

<u>Role Profile for HoS/D – SAMPLE ONLY</u>	
<u>Purpose:</u>	<p>The purpose of the HoS/D role is threefold:</p> <ul style="list-style-type: none"> • To lead the development of a School/Department strategy in the context of both academic discipline norms and university strategic plans, in doing so supporting the cohesive development of the School/Department, its Staff and Students; • To represent and promote the best interests of the School/Department within the university and externally; • To be responsible for the operational management of the School/Department to ensure that it runs smoothly, and that decisions are made in consultation with staff in accordance with School/Department strategic objectives, university policies and Student needs.
<u>Reports To</u>	F/CH

Academic	
Promotion and Representation of the School/Department Externally	Ensure the School/Department needs and interests are appropriately represented to key individuals and groups external to the University.
Internal Representation of the School/Department	Represent the interests of the School/Department in the university and the Faculty/College both formally and informally.
Facilitating Academic Leadership	Give academic leadership to the School/Department, embracing the range of subjects and disciplines represented in the School, by providing a coherent academic vision and by inspiring the highest standards of research and teaching in the School/Department.
Enhancing Teaching and Learning	Ensure the effective delivery of high quality teaching and the maintenance of academic standards.
Enhancing Research	Enhance the quality and volume of research by encouraging and enabling demonstrable research achievement within the department.
Enhancing the Student Experience	Ensure that the School/Department's responsibilities to students in respect of admission, teaching, progress and pastoral care are met.
Business	
Developing the School/Department Strategic Plan	Create a School/Department strategic plan that address Research and academic activities, priorities, plans and initiatives, budgets and resource allocation within the School/Department and HR and staff planning.
Implementing the School/Department Strategic Plan	Be responsible for the translation and communication of university strategy and policy as it applies to the School/Department.
Bringing in Additional Revenue	Pursue opportunities to increase revenue for the School/Department and the Faculty/College.
Discussing/Agreeing School/Department Budget	Have responsibility for all financial matters, including financial planning and sustainability.
Monitoring the Budget/Controlling Costs	Manage the School/Department finances through effective planning, budgetary and expenditure control.
Management of Staff and Performance	Allocate duties to staff to ensure the effective and efficient performance of the School/Department's teaching, research and service functions.
Administration and Structures	Direct the administrative affairs of the School/Department and provide effective administrative leadership.
Physical Resource Management	Be responsible for the general management, subject to university policy, of the School's physical facilities and equipment, including the allocation of rooms and other space.

<u>Compliance</u>	
Academic Standards, Quality Assurance and Student Policies	Have knowledge of and ensure compliance with academic regulations, quality standards and processes in relation to teaching, learning and assessment.
Business and Risk Related Policies	Manage resources in accordance with approved University resource allocation policies and procedures.
Staff Policies	Have knowledge of and ensure compliance with HR policies and procedures within the School/Department.
Governance and Accountability	Provide information to relevant University Faculties/Colleges, Schools/Departments and Units.
<u>Staff</u>	
Conflict Resolution	Promote cooperation between Schools/Departments and among staff and provide a collegial staff environment.
Staff Recruitment, Retention and Role Assignments	Take responsibility for staff recruitment matters that fall within the remit of the School/Department, including the School/Department Administration Staff.
Staff Development	Create an environment that provides appropriate learning opportunities (e.g. through development reviews/staff training) that enable staff to fulfil their potential and support succession planning processes.

12. EFFECTIVE BEHAVIOUR FRAMEWORKS

One of the project aims is to produce a set of 'Core Characteristics' for each role - essentially a competency/behaviour framework.

We have employed the terminology of an Effective Behaviour Framework over a Competency Framework in order to keep the focus on the behaviours needed to align with the newly developed role profiles. It is intended that the behaviour frameworks outlined below will help with the succession planning, selection, preparation, support and development processes pertaining to both roles in association with the respective role profiles. The frameworks outlined here reflect the finalised versions.

The behaviour headings are listed below with the first seven the same for both roles. The last one, 'Influencing at all levels' is specific to the F/CH role only.

- **Leading By Example**
- **Working Collaboratively**
- **Being an Effective Communicator**
- **Managing Resources**
- **Decision Making**
- **Strategic Thinking**
- **Facilitating Ongoing Improvement, Innovation and Development**
- **Influencing at all Levels...F/CH only**

These behaviours are of equal importance and complementary to each other. For each behaviour listed, a summary descriptor explains the meaning of each. Twelve detailed behaviour indicators have been written to map out desired effective and undesired ineffective behaviours. Three effective behaviour indicators are listed for three different contexts – behaviours for self, for working with other people/staff and for working in the institution. Three ineffective behaviours are included to illustrate 'what not to do' under each behaviour heading.

The complete version of the effective behaviour frameworks for both roles are documented in the following pages. While there is some overlap, the effective behaviour framework for F/CH is different to that for HoS/D and each behaviour heading has its own separately written twelve behaviour indicators.

HEAD OF FACULTY/COLLEGE

Leading By Example – F/CH

Creates a climate in which people want to do their best. Promotes confidence and positive attitude through honesty, professionalism and high ethical standards in all interactions. Displays an on-going commitment to academic learning and self-improvement.

Effective Behaviours

Self	People	Institution
Sets a positive example for others to follow in all aspects.	Encourages and supports staff commitment to continuous learning.	Works constructively with staff across all Schools/Departments and related units.
Behaves in an open and honest manner.	Engages staff in a positive and energetic manner.	Exercises political nous and judgement.
Continuously strives to improve on own academic standing.	Fosters a working environment that encourages transparency.	Ensures local needs and interests are aligned to the broader University strategy and vision.

Ineffective Behaviours

Takes the credit for others actions.

Breaches confidentiality.

Promotes Faculty/College needs to the detriment of the needs of the University.

Working Collaboratively – F/CH

Builds and maintains relationships with a network of people to develop mutually beneficial outcomes. Uses diplomacy, tact and interpersonal skills in order to support others in reaching consensus.

Effective Behaviours		
Self	People	Institution
Works co-operatively with others to get things done.	Takes the time to get to know others and encourages different perspectives.	Promotes an open and transparent working environment.
Listens actively and responds appropriately.	Removes barriers to effective team working.	Inspires confidence to support and advance University strategic objectives.
Treats individuals with respect, appreciates diversity, and is inclusive of all.	Promotes cross-disciplinary opportunities to achieve shared academic objectives.	Leverages opportunities to develop and build relationships with other Institutional leaders and with external stakeholders.
Ineffective Behaviours		
Fosters 'silo thinking'.		
Makes decisions without adequate School/Department consultation.		
Avoids sharing information that is appropriate to share.		

Being an Effective Communicator – F/CH

Effectively conveys information and expresses thoughts and facts in a manner that will persuade, convince and influence others. Demonstrates effective use of listening and questioning skills and displays openness to other people's ideas and thoughts.

Effective Behaviours

Self	People	Institution
Asks questions to clarify meaning and to ensure understanding.	Creates a positive climate for open dialogue.	Develops mutual understanding between different stakeholders both within and outside the University.
Uses an open and receptive style in communications.	Tailors style according to the needs of the individual and/or the group.	Speaks in a dynamic and inspiring manner, recognising the need to make an impact and to persuade.
Manages own emotions when communicating.	Promotes professional communication standards when interacting with others.	Understands and knows what to communicate and to who.

Ineffective Behaviours

Withholds or provides inaccurate or misleading information.

Tends not to listen to others.

Avoids communicating if the message is difficult or perceived to be unpopular.

Managing Resources – F/CH

Effectively manages all people, financial and infrastructure resources in line with Institutional goals and policies, and does so in a fair manner with consideration given to compliance & regulatory frameworks.

Effective Behaviours

Self	People	Institution
Adopts a holistic approach to managing resources in line with University policies and agreed limits.	Constantly seeks ways to generate additional Faculty/College resources.	Explores ways to employ shared resources and services for the benefit of the Faculty/College.
Demonstrates an understanding of University policies and regulatory frameworks.	Proactively resolves any risks to progress.	Seeks ways to minimise unnecessary risk to the Faculty/College and University.
Identifies risks and takes corrective action as required.	Demonstrates fairness and transparency in the allocation of respective budgets to Schools/Departments.	Drives initiatives to remove barriers to local and institutional success.

Ineffective Behaviours

Fails to take advantage of University shared services and resource opportunities.

Generates an unauthorised budget deficit.

Fails to notify others of risk.

Decision Making – F/CH

The ability to make informed, effective and timely decisions in a manner that is both consultative & empowering to staff and inclusive of student needs.

Effective Behaviours

Self	People	Institution
Gathers accurate facts and information to ensure quality decisions.	Involves staff in decision making where appropriate and takes account of student needs.	Brings the strategic institutional perspective to Faculty/College and University decision-making process.
Takes responsibility and accountability for decisions that impact on stakeholders, both internal and external.	Fosters an environment that encourages and empowers people to make decisions.	Strives to get buy in for institutional decisions.
Demonstrates a fair and objective approach to decision making.	Supports staff in knowing what is strategically important versus what is urgent.	Seeks external perspective when necessary to help with local decision-making processes.

Ineffective Behaviours

Makes decisions without appropriate consultation.

Makes decisions without thinking through the consequences.

Delays decision making unnecessarily.

Strategic Thinking – F/CH

The ability to understand and take into account the Institution's long-term vision and objectives in the oversight of Faculty/College activities. Views the University within the broader context, contributes to the University's strategic direction and takes a long term view on the Institution's success.

Effective Behaviours

Self	People	Institution
Makes connections between facts and events that are not readily obvious.	Articulates an engaging strategic vision that is integrated into the broader University.	Takes a long-term view of the success of the University.
Assimilates and makes sense of complex or conflicting data and different perspectives.	Encourages others to scan the wider environment to avail of strategic opportunities.	Understands the University in its entirety and the impact actions in one area will have on other areas.
Thinks broadly around the strategic issues affecting the University.	Shares with others own view of the desirable future state of the Faculty/College and University.	Develops and leverages relationships with key Institutional members and external stakeholders.

Ineffective Behaviours

Fails to generate plans in keeping with University strategic plans.

Abdicates responsibility for own and Faculty/College outcomes.

Focuses self and team on non-core/secondary activities.

Facilitating On-going Improvement, Innovation and Development – F/CH

Possesses the ability and desire to improve performance through the use of creative, innovative and quality-driven approaches. Develops and fosters a culture of continuous improvement.

Effective Behaviours

Self	People	Institution
Demonstrates a mind-set of continuous improvement and a lifelong learning ethos.	Promotes and develops academic, leadership/management and administration talent.	Turns own and others ideas into workable plans.
Actively seeks ways to improve current methods, systems and processes.	Promotes a learning and development culture across the entire team to support all to realise their potential.	Fosters an institutional culture of creativity, innovation, on-going improvement and development.
Questions traditional ways of doing things.	Fosters an environment in which others seek out and adopt new ways of working.	Creates a mind-set of shared learning amongst peers.

Ineffective Behaviours

Does not develop self or others.

Accepts the status quo and does not foster an innovative mind-set among staff.

Does not facilitate handovers, shadowing or other development activities.

Influencing at all Levels – F/CH

Communicates ideas and information in an engaging manner. Works co-operatively with others and builds relationships within and outside of the Institution.

Effective Behaviours

Self	People	Institution
Makes a positive impact on people.	Creates an understanding of the benefits and purpose of the University's policies and procedures in a constructive manner.	Identifies key decision makers and works with them to achieve a mutually desirable outcome.
Seeks to understand other people and what is important to them.	Regularly engages with Schools/Department and staff for a two-way feedback exchange.	Recognises the need to make an impact and to persuade by building strategic relationships internally.
Maintains personal toughness and resilience in challenging circumstances and situations.	Willing to compromise to achieve satisfactory outcomes.	Scans the external environment for opportunities to influence and to build relationships.

Ineffective Behaviours

Does not actively engage with others.

Relies solely on status or position within the University to exert influence.

Influences for the benefit of own Faculty/College but to the detriment of other stakeholders or the University.

HEAD OF SCHOOL/DEPARTMENT

Leading By Example – HoS/D

Creates a climate in which people want to do their best as part of a cohesive, cooperative group effort. Promotes confidence and positive attitude through honesty and professionalism in all interactions. Displays an on-going commitment to academic learning and self-improvement.

Effective Behaviours

Self	Staff	Institution
Builds trust through modelling desired behaviours.	Creates a positive, energetic, cohesive working environment for academic and administrative staff and students.	Creates a vision for own School/Department
Treats others with respect.	Recognises, values, and develops staff scholarship activities and outcomes.	Demonstrates respect for all subjects/disciplines.
Communicates a positive “can do” energy and enthusiasm.	Deals head-on with uncomfortable problems and situations; does not let them fester.	Ensures local needs and interests are aligned to the broader University strategy and vision.

Ineffective Behaviours

Puts themselves before the needs of colleagues or the University.

Says one thing and does another.

Personalises issues.

Working Collaboratively – HoS/D

Builds and maintains relationships with a network of people to develop mutually beneficial outcomes. Uses diplomacy, tact and interpersonal skills in order to support others in reaching consensus.

Effective Behaviours		
Self	Staff	Institution
Uses social ease, openness and warmth to build candid and trusting relationships.	Leverages internal relationships by promoting shared goals and values.	Involves appropriate stakeholders when making decisions on matters of strategic importance to the Faculty/College and University.
Treats individuals with respect, appreciates diversity, and is inclusive of all.	Encourages others to address and resolve conflicts within the team.	Nurtures existing and potential relationships across the Faculty/College and University to facilitate the achievement of strategic goals.
Finds common ground with others to achieve consensus.	Recognise the effort and contribution of the team; shares wins and successes.	Builds strong positive relationships with key internal and external stakeholders.
Ineffective Behaviours		
Fosters “silo thinking”.		
Avoids sharing information without adequate School/Department consultation.		
Works in isolation.		

Being an Effective Communicator – HoS/D

Effectively conveys information and expresses thoughts and facts in a manner that will persuade, convince and influence others. Demonstrates effective use of listening and questioning skills and displays openness to other people's ideas and thoughts.

Effective Behaviours

Self	Staff	Institution
Listens and shows a genuine interest in other people's views.	Fosters a two-way communication working environment.	Understands and knows what to communicate and to whom.
Shows empathy when handling sensitive or difficult issues.	Communicates at the right level of detail for the other person/s.	Actively promotes and provides information across the Institution to encourage cross School/Departmental working.
Openly shares information with the appropriate audience.	Models interpersonal communication that invites participation and dialogue at all levels.	Promotes the School/Department and the University in the wider environment.

Ineffective Behaviours

Withholds or provides inaccurate or misleading information.

Fails to communicate with others.

Talks over/interrupts others.

Managing Resources – HoS/D

Effectively, fairly and transparently manages all people, financial, and infrastructural resources in line with institutional goals, policies and procedures.

Effective Behaviours

Self	Staff	Institution
Adopts a holistic mind-set in managing resources in line with University policies.	Ensures equity in the allocation of workload relative to staff capabilities.	Acquires and effectively manages resources in line with University policies and agreed limits.
Demonstrates an understanding of University policies and regulatory frameworks.	Demonstrates a transparent and fair approach in the distribution of resources.	Seeks ways to minimise unnecessary risk to the School/Department and Institution.
Identifies risks and takes corrective action as required.	Encourages staff responsibility for delivering and facilitating agreed outcomes.	Develops, implements and evaluates effective School/Department policies in line with University policies.

Ineffective Behaviours

Takes unnecessary risks.

Ignores policy breaches.

Distributes workload unfairly.

Decision Making – HoS/D

The ability to make informed, effective and timely decisions in a manner that is both consultative & empowering to staff and inclusive of student needs.

Effective Behaviours

Self	Staff	Institution
Compromises to achieve satisfactory outcomes for the benefit of everyone where appropriate.	Involves staff in decision making where appropriate and takes account of student needs.	Ensures two-way communication of decisions to and from the School/Department.
Influences people to gain “buy in”.	Facilitates staff to prioritise between what is urgent and important when making decisions.	Gathers relevant institutional information to facilitate good decision-making.
Takes responsibility and accountability for decisions made on behalf of the School/Department.	Provides explanations for decisions made to enable staff buy in, even without full agreement from all.	Seeks external perspective when necessary to help with local decision-making processes.

Ineffective Behaviours

Makes decisions without appropriate consultation.

Avoids accountability.

Avoids making unpopular or difficult decisions.

Strategic Thinking – HoS/D

The ability to understand and take into account the School/Department's long-term vision and objectives when carrying out and overseeing day-to-day School/Department activities. Views the School/Department and the University within the broader context and takes a long term view of success.

Effective Behaviours

Self	Staff	Institution
Actively seeks new ways of looking at issues and goes beyond past experience in creating new strategies.	Encourages staff to think strategically by proactively looking ahead to identify opportunities and challenges.	Anticipates and acts upon the forces that will shape the sector or academic environment in the future.
Thinks broadly around the strategic issues of the School/Department.	Communicates the vision and strategy in a way that inspires and energises staff.	Establishes long-term School/Department strategies, aims or projects.
Considers the institutions long-term vision and objectives when carrying out or overseeing day-to-day tasks and activities.	Develops and implements strategic plans which affect own School/Department staff.	Generates partnerships and external networks capable of advancing strategic objectives.

Ineffective Behaviours

Fails to generate plans in keeping with University strategic plans.

Abdicates responsibility for own and staff outcomes.

Focuses self and team on non-core/secondary activities.

Facilitating Ongoing Improvement, Innovation and Development – HoS/D

Possesses the ability and desire to improve performance through the use of creative, innovative and quality-driven approaches. Develops and fosters a culture of continuous improvement.

Effective Behaviours

Self	Staff	Institution
Demonstrates innovation in thought and deed.	Supports and facilitates all staff to fulfil their potential.	Advocates an innovative spirit to promote new and creative ways to meet School/Department and Institutional aims.
Seeks out learning opportunities and feedback by reflecting and learning from others.	Shows good judgement about which creative ideas and suggestions will work.	Promotes the application of individual and Institutional learning at work.
Applies original thinking in own approach to job responsibilities.	Promotes an innovative mind-set and attitude towards School/Department activities.	Creates a mind-set of shared learning amongst peers.

Ineffective Behaviours

Does not develop self or others.

Accepts the status quo and does not foster an innovative mind-set among staff.

Lack of facilitation of handovers, shadowing or other development activities.

13. MOTIVATION TO TAKE UP THE ROLE

Potential incentives to take the respective roles were listed as: the opportunity to shape the unit being led, remuneration, research support and greater contribution to academic promotion from performing well in the role.

F/CH appear to have a strong Faculty/College ‘representational/enhancing’ need stemming from the fact that they come from the academic community they now lead in most cases. Motivated to serve the university corporately seems secondary to this. This need is present in almost all cases irrespective of whether Professor or Senior Lecturers hold the roles. While many are encouraged to take the role, they are not obliged to do so. The reasons they agree and accept this request are founded upon a desire to improve, to contribute, sometimes combined with having a sense of duty to lead - a sense of “*giving something back*” (Professor interviewed). A majority express high satisfaction levels in the role.

For HoS/D there is little doubt that interviewees wish to improve their School/Department and/or subjects/disciplines and this is the biggest motive for them to want to take the role. Unlike F/CH, there is a much greater level of persuasion at play in encouraging academics to take the HoS/D role due to the relatively large amount of ‘negative press’ associated with it. The reality to be confronted is that this research points to people at all levels in universities, including some role holders themselves, regularly referring to the thankless nature of the role. Factors underpinning this include trying to balance the need to keep staff happy/avoid conflict while ensuring the core work gets done on one hand, while being on the receiving end of the policies of the institution on the other hand....not to mention balancing one’s own academic work with the requirements of the role. In the circumstances, one must applaud the significant majority of HoS/D that are doing the best they can in such a prevailingly negative selection atmosphere, where as often as not encouragement to take the role is a mode of persuasion as much as a positive acknowledgement of a candidate’s abilities and competence to do the role to the required standards.

Despite the negative perceptions attaching to the HoS/D role, most interviewees have high satisfaction levels, with many expressing surprise at the more positive aspects of the role and the enjoyment they get from them. This enjoyment appears to be derived from progressing the people and/or the School/Department in some way. More often than not this is described as being achieved in spite of many administrative, interpersonal, institutional and other issues encountered.

But given the importance attaching to F/CH and HoS/D roles from an institutional leadership/management perspective, it is not ideal that many need to be persuaded and/or feel obliged or are effectively told to take the roles. Part of this derives from the rotational nature of the roles but it also emphasises the need for developmental supports to enhance the competency of role holders and the need for additional initiatives to enhance the attractiveness of the roles.

In light of the foregoing comments, it is reasonable to conclude that both HoS/D and F/CH are intrinsically motivated to take on the respective roles but the next section qualifies this statement somewhat in terms of the desired reward and recognition role holders seek having done so.

14. REWARD AND RECOGNITION

The above analysis shows that both sets of interviewees tend to volunteer to take on the role despite the relative lack of rewards and recognition offered to them as incentives. Indeed the reward/recognition device most frequently offered to take the role, i.e. remuneration, is the one of least value to them. But while in the role and when transitioning out of the role at the end of their term, role holders' reward and recognition expectations are more nuanced.

The motivators while in the role and while transitioning out of roles at term end are discussed in the context of current and potential options available. The same options as above were presented to interviewees. In the case of leaving roles at term end, sabbatical was listed as a replacement option in the interview questionnaires instead of having the opportunity to shape the unit.

WHILE IN THE ROLE

While not overtly insisting on rewards or recognition devices as incentives to take the roles, there is a palpable sense that they would prefer greater reward and recognition having done so. For both cohorts, the altruistic reasons of contributing to the academic unit being led continues to drive them while in the role but the inadequate role recognition and rewards agitates many.

Most F/CH have position-related authority and recognition already because most are members of their institution's Senior Team, they generally have already secured academic promotion (i.e. three quarters of interviewees are at professorial grades), tend to have established research careers and are well remunerated from taking the role by way of their academic grade. For half of HoS/D interviewees this holds true, but for the non-professorial other half, the form of reward and recognition is key to emphasising the importance of the role as an institutional leadership/management role. Many F/CH and HoS/D interviewees stressed that without a greater emphasis on the respective roles being recognised adequately, the roles will not be sufficiently perceived as separate leadership/management roles leading to an undermining of the authority of the roles. This has negative consequences for HoS/D role holders especially when trying to lead/manage some staff who can defer instead to more academically and/or institutionally senior colleagues for direction, effectively bypassing the HoS/D role when the situation suits their purposes.

There is an acknowledgement that research can suffer from taking the roles. This in turn may negatively impact on the likelihood of academic promotion. It is for such reasons that F/CH Senior Lecturer interviewees in particular express a willingness to be recognised and rewarded through having more support for their own research to help maintain/improve their research careers and prefer that their performance as F/CH contribute to their own academic promotion prospects to a greater degree: *"if I am less promotable from becoming [F/CH] that will be very disappointing"* (Senior Lecturer interviewed). Obviously such needs are not as relevant to the professorial grades at F/CH level.

For HoS/D interviewees there are subtle differences between the expectations among the two sets of professorial and non-professorial grade interviewees. While in general the opportunity to shape the School/Department is the main motivator while in the role for all interviewees, it is much more so for Lecturers/Senior Lecturers than for Associate Professors/Professors, for whom academic promotion is the main motivator somewhat surprisingly. Furthermore, remuneration is not the least important motivator for Lecturers/Senior Lecturers showing it to be of more significance to this group.

This is most likely due to the fact that greater numbers within this cohort are at non-professorial grades, are at an earlier stage in their academic careers and are often younger in age where the need to secure academic promotion and be paid more for what they do are of greater value to them for a mix of professional and personal reasons. It can therefore be concluded that this group do want extra remuneration while in the HoS/D role to a greater degree than the professorial interviewees and that they are, relative to F/CH, slightly less intrinsically motivated.

In relation to the likelihood of those taking the roles being already well remunerated, having established research careers and having already been academically promoted, it would obviously be easier if only Associate Professors or Professors took up the role of F/CH or HoS/D. This would result in the above forms of recognition and reward not being needed to the same extent. But not one interviewee answers that being a 'good academic' on its own, i.e. to get to professorial academic grade, is enough to be a 'good' F/CH or a good HoS/D...a question asked in the interviews. On the contrary, they list a myriad of additional qualities, skills, abilities and competences that a 'good academic' would need to do either job well. In short, just because the provision of recognition devices, rewards and supports would be made easier if only established Associate or Full Professors took on this roles, it far from guarantees that s/he would be the 'best' person to do the job. Since the consensus from interviewees is that Senior Lecturers should be the most junior grade taking up F/CH roles and Lecturers for HoS/D roles respectively, there remains an expectation that those more junior to Associate Professors or Professors will still hold both roles. As a consequence, reward and recognition benefits do need to be offered to role holders.

POST TERM

Both academic grade groups within the respective interviewee cohorts value (continuation of role-related) remuneration (if it were offered) as being least important post term, as is research support at that stage. Sabbaticals are valued most by each cohort to get a break after their term and in doing so refocus on their academic careers. Understandably academic promotion is more valued by the Lecturers/Senior Lecturers than it is by Associate Professors/Professors while conversely sabbaticals are more valued by Associate Professors/Professors than Lecturers/Senior Lecturers. The reality at present, however, is that over half of the interviewees in each group do not expect to receive any form of recognition or reward post term.

A need that did arise from the interviews was that of offering support to role holders to help them to transition out of the roles as the end of term draws near. Some interviewees also mentioned how they are unsure what to do next post term. A conversation with each role holder at that point in time would be valued where some options to help them decide what to do post term and what support they might need in that context would be useful.

If the example of international universities sampled in Phase One is to be followed, a package of benefits could be put together and offered to cater for the expectations interviewees have. This would serve the purpose of providing due recognition and reward for the importance of the challenging leadership/management and academic roles these academics play in Irish universities. It would also highlight a key insight presented in this report that while remuneration is important to incentivise the roles, it is by no means the most valued or the only vehicle to achieve this. It should be stressed that some interviewees caution against over-incentivising the role fearing the attraction of the 'wrong' candidates for the wrong reasons – i.e. personal gain over a willingness to contribute for the betterment of the School/Department, Faculty/College and university. These sentiments were echoed by the IUA Registrars and Council Groups. A carefully thought out mix of options could address this issue and suggestions are presented later in this report.

15. SUCCESSION PLANNING, SELECTION AND PREPARATION

Interviewees are asked about a number of areas relevant to selection for the role. Views are canvassed on actual experience of the areas as well as their views on the potential for alternative approaches.

To ensure the following findings are assessed in the right context, it should be noted at this point that approximately two thirds of F/CH interviewees and approximately two fifths of HoS/D interviewees are in the third year of their respective terms. Furthermore, all bar one F/CH interviewee are in their first term while almost three quarters of HoS/D interviewees are in their first term, with one interviewee in the HoS/D cohort holding a 'permanent Head' arrangement that remains until s/he chooses to no longer avail of it. The balance have chosen to take up extendable/repeat terms and so are in either their second or third terms.

- Succession planning – i.e. the deliberate efforts to identify and nurture future leaders well before vacancies arise.
 - There is no evidence of this form of succession planning occurring from the information analysed. At best questions are asked as to who might be a suitable successor at the point in time when a term is nearing its end. But this is usually part of the selection of the next successor as opposed to identifying future leaders at a much earlier point in time.
- The minimum term length:
 - Approximately half of F/CH think five years should be the minimum term (a match to the current status) with three years being the other option chosen by the other half. No one recommends four years as the minimum term.
 - Approximately two thirds of HoS/D think three years should be the minimum term, with five years the second favoured option. Five years seems to be answered as regards having enough time to do the job right/well while three years was mentioned as regards not being too long to have a negative impact on an interviewees' research careers. This latter objection might be removed if a variety of complementary initiatives outlined in this report were implemented. Three years is the actual term in place for most. Almost all interviewees in both cohorts answer that second or extendable terms should be available as options but some suggest different options such as rolling annual terms for example.
- The source of successors:
 - Most interviewees answer that successors should be (and in fact almost all are) selected from the 'home' academic unit predominately to ensure sufficient knowledge of the subjects/disciplines. If an alternative option is chosen, an externally selected successor is the next preferred source. Several interviewees emphasise the need to select the 'right' person for the job irrespective of source.

- Academic loyalties:
 - Academics' natural 'home' is the academic communities in which they work. When asked to rank which group/entity they most identify with, just a third of F/CH interviewees and a lower portion of HoS/D interviewees choose the university as an organisation or university management as the entities/groups they most identify with. When choosing to take up F/CH and HoS/D roles, interviewees answer that they do so predominately to improve the academic unit being led/managed – again more aligned with academic motives than a desire to lead/manage on behalf of the institution. It can be stated that loyalties reside with some or all of academic colleagues, subjects/disciplines and the academic units they lead/manage. One can extrapolate that academics in general have much the same loyalty hierarchy.
 - If academics' loyalties are least directed towards the institution, communicating and implement necessary institutional policies is challenging. The ability of F/CH and HoS/D to "take people with you" (F/CH interviewed) in a leadership context is compromised when those being led/managed primarily have an individual and subject/discipline focus while those leading/managing strive to balance the needs of the institution with those of their academic colleagues. Despite this, many temporarily choose to fill university leadership/management roles with a very small minority choosing to subsequently make university leadership/management their main career.
 - Selection processes to appoint F/CH and HoS/D ideally should uncover candidates who, despite innate loyalties to academics/subjects/disciplines/academic units, will lead/manage for the betterment of institution as well as the betterment of the above groups/entities. Without more robust selection processes, it will be difficult to secure buy in for and implement necessary university decisions, policies etc. that F/CH and HoS/D may not always agree with and that academics may strongly disagree with while maintaining a sense of loyalty to those being led/managed. This is amplified by the rotational nature of the roles and the need to 'fall back in' to the collegial environment once a term is complete.
- Minimum academic grade:
 - For F/CH, approximately three quarters answer that role holders should already be Associate Professors or Professors with the balance saying Senior Lecturer. No one suggest F/CH should be appointed from the Lecturer cohort.
 - Approximately ninety percent of HoS/D interviewees answer Senior Lecturer or higher academic grade as the minimum grade for their role with some mentioning the lack of academic credibility of Lecturers as the reason for their choice. Approximately a third suggest that Associate Professor be the minimum grade.
 - Approximately half of all interviewees first considered a leadership/management role at Senior Lecturer grade.
- The role of Professor:
 - Professors are at the top of the academic 'tree'. Their traditional role is one of 'thought leader' where the Professor led the subject/discipline as such and, as structures changed, they often led/managed the School/Department. An expectation remains that Professors continue to take up the leadership/management mantle by taking up the formal F/CH and HoS/D roles. Due to an absence of a single Professor or a sufficient number of Professors in some cases, or the absence of willing volunteers in other cases, Associate Professors or Senior Lecturers have been selected as F/CH while the same cohort plus Lecturers have been selected as HoS/D. Unless a number of steps proposed in this report are implemented, one must assume that Lecturers and Senior Lecturers will continue to hold such roles.

- Senior Lecturer F/CH and especially Senior Lecturer and Lecturer HoS/D need the help of the professorial academics to ensure that the required academic ‘thought’ leadership is provided in a cooperative manner. If this does not happen, the likelihood of potential replacements being motivated to take on the roles will be diminished due to the perceived and/or real lack of support from the professorial body in the unit being led/managed.
- If candidates should have leadership/management experience:
 - The vast majority of interviewees state that prior leadership/management experience is desirable before taking on either role and the majority of both interviewee cohorts have had such experience.
 - A fifth of F/CH have not held the HoS/D role even though it would appear logical to see HoS/D as a normal stepping stone to F/CH.
 - Approximately a third of HoS/D have had no prior leadership/management experience. All HoS/D are expected to perform to acceptable levels in a significant staff-facing role. However, without prior leadership/management experience, performing well in the role is less likely.
- The appointment process when a vacancy arises:
 - Approximately half of interviewees in each cohort think it right to ask candidates to take on the role before any official selection process begins, either as a step on its own or together with an application process. This indicates the presence and acceptability of collegial informal selection processes. Significant minorities also think that formal selection processes should occur. While most interviewees in both cohorts did an interview, significant numbers are never interviewed for the role but are simply appointed, elected or are just asked to take the role by various individuals. Where individuals are asking potential candidates to consider the role as a form of selection, one wonders what criteria they are informally evaluating such candidates against. The earlier presented role profiles and effective behaviour frameworks could be incorporated into existing selection processes to add greater clarity around what is expected of role holders in each role.
 - Some F/CH in particular highlight the need for more strategic HR input in the recruitment and retention of high performing talent. HR and F/CH discussions should clarify what this means in reality and how best to address it.
- The length of the lead-in period prior to starting in the role:
 - Approximately a half of each cohort interviewed desire a six month or greater lead in period while most want either a three to six month or longer lead in period. In contrast, approximately two thirds of each cohort actually had a lead in period of less than one month with less than ten per cent of F/CH and approximately a quarter of HoS/D getting a three to six month lead in period. No F/CH interviewee and very few HoS/D interviewees had six month or longer lead in periods despite it being the preferred lead in period for each cohort.
 - A general review of the timing of current appointments versus when the newly appointed role holders actually begin would be useful. The earlier the appointment, the longer the lead in period; the longer the lead in period, the more prepared people are in advance and the transition period into the role will be made easier, which is in everyone’s interest.

- Pre-Term Developmental Supports
 - F/CH mention a handover, having access to a 'Boss' and having access to a coach as the types of supports that are of most value to them before they begin their term. The most frequent types of support they actually receive include a handover and a split between formal training/profiling/meeting other F/CH. Significantly, other than supports that are arranged by F/CH themselves, just over half receive no additional planned support of any kind pre term. Formal training is of medium level importance and where provided would need to be pitched at the right level for the F/CH cohort.
 - HoS/D interviewees value a handover, an induction on institutional policies and procedures, 'who to go to for what' and having 'access to a mentor' as the top four support types...all more practical in their nature. A handover, mentoring from other HoS/D, training and a mentor are the top four provided. While training is useful pre-term, some mentioned it as being of more value after starting in the role when they are able to identify what additional skills they need having 'lived' the role for a period of time first.
 - Given that the majority of interviewees are in their first term, it is reasonable to conclude that first term role holders will continue to be the majority of newly appointed successors. But many internally appointed candidates have not had any formally arranged supports and most of those who get support only get formal mentoring. Shadowing, handovers and mentoring from colleagues tend to be organised within academic units which means that training, provision of a formal mentor, a formal induction, coaching and profiling are the most common types of formally arranged interventions.

16. SUPPORT AND DEVELOPMENT - DURING AND POST TERM

DURING TERM

Both sets of interviewees get a great deal more support and development after they begin their term than before they start. Training, coaching, mentoring and profiling in particular are all facilitated by HR/L&D while having 'access to 'Boss' and mentoring from other role holders tend to happen by default through shared meetings. HoS/D in particular tend to meet other HoS/D quite a bit – formally and informally. When elaborated on in the interviews, the benefit from meeting peers this way is to get a mix of general and more issue specific advice. There is also a close match in terms of the supports HoS/D think they should get with what they actually get while in the role –access to a 'Boss', mentoring and training.

The more practical 'on the job' supports are more effective and are more valued by the majority of interviewees. 'Access to 'Boss', access to other institutional leader', coach, mentor and handovers were listed as being of most value by F/CH. HoS/D value handovers, inductions, mentoring and shadowing processes highly (inductions, handovers and shadowing are included here because they are offered after role holders start term more often than beforehand). All interventions listed are focused on how to do the role in a pragmatic way. Furthermore where training is referred to, even if lower in priority, the more practical, job related type is valued as distinct from the theoretical. This may also indicate a skills gap that arises from the lack of adequate prior skills development pre term.

The room for improvement for F/CH centres on the need to align the preferred types of supports with those provided most frequently. The more practical supports listed above are of greater priority than formal training for F/CH. For HoS/D, the improvement called for is in relation to providing support to greater numbers because the most common form of support provided in a deliberate way, i.e. training, mentoring and 'Who to go to for what', are still only formally provided to at most half the interviewees. Half get no formal support after they start in the role. As earlier mentioned, there is a caveat in that some were offered support and development opportunities but did not take them.

Interviewees highlighted the option of mentors of a different type than they are currently offered as being of value to them. Such mentors might include previous role holders, other role holders, Presidents and other Institutional leaders/experts, as well as mentors from other institutions (both in Ireland and abroad) or mentors from industry/business. The listing of 'access to other institutional leader' and 'mentoring' as two of the top four types of supports requested by F/CH indicates an opportunity to use this form of support for the F/CH role holders in a variety of ways, both formal and informal. Feedback from HoS/D suggests they are interested in such mentoring approaches also, especially in relation to international subject/discipline mentors.

POST TERM

Post Term, the support and development offerings tend to 'dry up' unless specifically asked for or are already available (i.e. sabbaticals). A consistent need emerged for career guidance and development. F/CH indicated a need for help in guiding them forward through their careers - both their academic careers and their leadership/management careers. Approximately half of HoS/D share this same need stating they are undecided as to what to do next. Support would be useful in these contexts and while transitioning out of the role generally.

Opportunities exist to provide more deliberate career guidance and development throughout academic progression from junior to senior academic grades and junior to senior academic leadership/management levels respectively, including post term.

17. ADMINISTRATION AND STRUCTURES

Virtually all F/CH interviewees have the support of a Faculty/College management team. The management team always consists of the F/CH plus HoS/D and generally includes additional members such as Associate Deans, Assistant Deans, Faculty/College managers and so on. Irrespective of composition, this type of management team is quite standard across the seven institutions. However School/Department management teams are not standard in terms of their existence or composition. Leadership/management may be provided by the HoS/D alone or in conjunction with committees such as research and teaching & learning. For approximately two thirds of interviewees it is performed in conjunction with small management teams including some of the following: Programme or Course Directors, a Deputy HoS/D, Associate or Assistant Deans, Subject Heads, Group Heads, (Chief) Technical Officers/Technicians, Student Representatives and so on.

All Faculties/Colleges have the support of an administrative office. It contains a manager for two thirds of interviewees, a personal assistant is employed for the majority and a third have the use of a dedicated financial manager/analyst to support them. The remainder just have more general administration support staff present or occasionally have the use of managers at School/Department level instead. Administration staff tend to be based in the Faculty/College office but occasionally are distributed throughout the Schools/Departments.

Some administrators have function-specific roles such as marketing, international student recruitment etc. Interviewees from two Faculties/Colleges have HR Business Partners for dedicated HR support.

School/Department administration may be shared between Faculty/College offices and local administrators and is not uniform across the universities in terms of how it is structured. Almost all Schools/Departments have an office but some smaller ones have possibly one or just a part time/shared administrator while others have several. A personal assistant to the HoS/D is present occasionally. Administrators can have general duties but more often than not have dedicated function specific roles linked to, for example, programmes, students or external developmental activities.

In general F/CH administration is better resourced in terms of the staff present in the Faculty/College offices. This may be due to the fact that the structures are relatively new and when they were set up they were resourced with administrators to meet well defined needs. Some HoS/D interviewees suggest that it may have been easier for F/CH to hire support staff because they have held the budgets in most cases. While a minority want to hire a manager for greater personal support, most are reasonably satisfied that the levels of support they have is sufficient.

For HoS/D the situation is quite different. HoS/D need help and support in a number of areas. On many occasions interviewees refer to the large volume of sign offs, staff interactions and student queries that they need to tend to, many of which they feel could be done by competent administrators or may not need to be done at all by implementing system or process improvements. Almost half say that better university communication, structures and extra support roles (e.g. a Deputy HoS/D, a School/Department manager or a personal assistant), together with extra administration support, would be beneficial. F/CH interviewees support the above assertions with approximately one in three answering that they would prefer if HoS/D would spend less time on administration and approximately half say they would prefer if HoS/D were more strategic and less operational.

Causal factors cited include changed expectations of Schools/Departments and of the HoS/D role by institutional leadership and stakeholders. This has taken the form of the institutional desire for HoS/D to develop and implement changed strategies, the increase in the time consuming monitoring and reporting of financial and other data, the changed nature of the School/Department offerings in the form of new or different programmes, student types etc., the changed demands on the HoS/D role in terms of compliance loads, and the need for some academics to hold multiple roles to include HoS/D, cross university and own academic roles.

The above points suggest that some structures may be no longer fit for purpose, some personnel may no longer be sufficiently skilled for the roles they are now expected to do and some systems/processes may no longer be sufficiently capable of meeting the demands of the work being done in today's Schools/Departments. Unlike Faculty/College offices, many legacy administration arrangements still exist in School/Department units and some are no longer fit for current administrative demands.

This feedback highlights a real need to reevaluate where HoS/D spend their time and if there are ways that the unnecessary aspects of their role could be transferred to other administration staff, systems or processes. All of these areas need to be revisited to improve the way work gets done such that HoS/D can be more effective leader/managers and to help HoS/D to continue to develop their own academic careers.

18. F/CH AND HoS/D ROLE PERCEPTIONS OF THEIR ROLES

Both F/CH and HoS/D interviewees have a good understanding of the differences between the two roles and broadly share this same understanding, namely that F/CH have a wider ‘whole of university’ perspective than HoS/D, are more obviously externally focused than HoS/D, contribute more to university leadership than HoS/D, have less hands-on staff management responsibilities than HoS/D and have a multi-School/Department focus versus a singular School/Department focus. This ‘teasing out’ of the differences between the roles, achieved via interviews and focus groups, has clarified some earlier stated lack of clarity in this regard in Part One of this document.

In terms of strategic decision making, F/CH generally make strategic decisions in an inclusive way with their leadership/management teams which includes HoS/D. Faculty/College strategic decisions tend to be informed by School/Department strategies and institutional strategies where the F/CH role is to ensure all strategies are aligned. F/CH also play a significant role in contributing to institutional strategy formation.

HoS/D have a greater tendency to involve the School/Department staff in some way for School/Department strategic decisions but, for approximately a third of those interviewed, the F/CH may not be a part of that decision making process.

These decision making dynamics means that HoS/D are at the core of the strategic decisions that are made at School/Department level generally, but not always, with F/CH. Conversely F/CH are at the core of institutional strategic decision making, unlike HoS/D, whose input is limited to the School/Department strategic decisions.

In terms of what each cohort wants more of/less of/differently from the other, F/CH interviewee answers focus mostly on the key responsibilities that they would prefer HoS/D would pay more attention to - improvements centre on the role itself and how they would prefer it to be performed differently....more strategic, more academic, more staff development and less operational in particular. While they acknowledged that HoS/D need more support to help them make the changes they seek, they don’t volunteer who is responsible for making this happen.

HoS/D interviewees, in contrast, focus less on the role itself, but rather on issues that impact on the role. In broad terms, they mostly focus on what F/CH themselves need to do differently to help them as distinct from commenting on the F/CH role per se. The help requested is to benefit the School/Department, the HoS/D personally and the role, the latter via reward, recognition and support. Specifically, they want F/CH to improve the level of individual support provided to HoS/D to get more personal feedback and guidance as well as seeking a range of improvements as regards how they interact with F/CH in the context of decisions made at institutional level that impact on the School/Department. There is an expectation from HoS/D that F/CH need to play a greater role in resolving their concerns.

Almost half of HoS/D interviewees would prefer more one: one interaction with their F/CH. This shows that there is a need for more one: one conversations, reinforcing earlier findings. Such individual conversations could be used to ensure that the above issues are communicated and dealt with more effectively and more often.

The need for HR to be more strategically supportive of Faculties/Colleges and Schools/Departments is called for by both sets of role holders. The closer engagement suggested in this report would help HR and academic units to have a better ‘meeting of minds’ such that each understands what the other needs and how to provide it for mutual benefit.

19. ACADEMIC TENSIONS

At the risk of stating a truism F/CH and HoS/D are academics first and foremost. As several interviewees commented, when they chose to become an academic, they did so to focus on their own individual scholarly activities of research, teaching and service/contribution in particular, and not to be a leader/manager. Their colleagues share this same focus. Despite this individual focus they do work as employees of an institution and, like any organisation, the institution has an impact on their behaviour 'on the ground'.

Steven Kerr, in his article "*On the folly of rewarding A, while expecting B*" (Kerr 1995: 9), discusses the concept of organisations saying they want one type of behaviour but actually rewarding a different type of behaviour. Specific to universities, he says:

"Society hopes that professors will not neglect their teaching responsibilities but rewards them almost entirely for research and publications".

Anecdotally, research is still perceived to be the behaviour that is rewarded most by the institution. This is despite assertions to the significant value placed on teaching and service/contribution activity. The interviews set out to test this perception by asking what the relative priorities are regarding academic promotion...a key driver of behaviour for many. When asked how each teaching, research, service/contribution and performance as F/CH or HoS/D contributes to promotion, research emerges as the clear main contributor, then service/contribution and next performance in the role. Teaching – part of the core scholarship activity that most impacts on students – is ranked the lowest contributor by each cohort. Interestingly, the F/CH cohort believe their performance in the role contributes to their own academic promotion to a much greater degree than the HoS/D cohort do.

In feedback received from the IUA Registrars Group, Registrars mention how academic promotion criteria balance the complementary criteria of teaching, research and service/contribution without undue favour towards research. They add that the results of academic promotion contests would statistically support this assertion.

A mini analysis of the published criteria (on university websites) to achieve an academic promotion to the Associate Professor or equivalent grade for five of the seven Irish universities would appear to support the above. On surveying the published material, the academic promotion criteria are seen to be mapped out in significant detail, presumably in an attempt to help applicants to fully understand what standards they need to meet across all contributory factors in advance of applying. Teaching and research are generally similarly scored in relative terms, while service/contribution is the area that tends to be lowest scored. This approach is in line with government policy thinking on the matter as referred to in the 'National Strategy for Higher Education to 2030' as quoted below:

"The roles of teaching and research should be afforded parity of esteem. This should be reflected in resource allocation, in promotion criteria, and in the metrics used to assess performance at individual, institution and system level".

It can be stated that universities have well published and detailed quantitative approaches to deciding academic promotion outcomes. Despite this, interviewees are in no doubt as to what they believe is the major contributor in reality – i.e. research. No matter what quantitative system or process is used for academic promotions, no matter how objective it is intended to be, HoS/D and F/CH beliefs are most certainly that one's own research is the most important contributor to promotion but one's own teaching, while acknowledging it needs to be of a sufficient standard, is least important. This indicates a gap between the published realities versus the more widely held perceptions.

When F/CH and HoS/D are not Professors or Associate Professors, they are doing their best to enhance their own academic careers in the search for academic promotion. By choosing to take on the roles, their research and academic promotion prospects are severely constrained for most where academic promotion criteria are not perceived to value their role as institutional leader as much as they would like and because their personal research suffers. The more constrained their research careers become, and the less likely they are to secure academic promotion, the less academic credibility they will have among their peers and the academics they lead/manage. This in turn undermines their ability to do the role of either F/CH or HoS/D, especially for those areas that demand an improvement in academic work from others.

If research behaviour in particular continues to be perceived to be rewarded more than teaching, academic staff will continue to strive to prioritise research over teaching. This impacts directly on HoS/D as it is their responsibility to allocate workload in their Schools/Departments. Doing so is not easy if academics rally against teaching hours in favour of research hours.

Without taking steps to bolster the belief in the objectivity of academic promotion processes academics who might otherwise take on the F/CH and/or HoS/D roles are less inclined to do so due to the impact on their own research and academic careers. This leads to the shrinking of the pool of available successors which has an impact on the succession planning and selection of future role holders.

20. PERFORMANCE MANAGEMENT, STAFF MANAGEMENT AND STAFF DEVELOPMENT

MANAGEMENT OF STAFF AND PERFORMANCE

The Oxford Dictionary defines ‘Performance’ in the context of an organisation as *“how well or badly you do something; how well or badly something works”* (Oxford Dictionaries 2015). Managing performance, as performance is defined above, is consequently making sure that something is done well or is working well.

A recurrent theme throughout the analysis of the interview findings for both roles, again more so for HoS/D interviewees, is the relative unimportance given to ‘Management of Staff and Performance’ as a key responsibility. The same observation applies to ‘Managing Performance...’ as a competence/behaviour. Explanations for this low relative importance appear to be focused on a lack of appetite for a performance management system among some interviewees and a lack of tools to tackle underperformers.

The system is perceived to involve a formal setting of specific objectives against which all academics who report into F/CH and HoS/D would be measured annually or more frequent. Objections include:

- A lack of belief in the need for any system that involves setting and measuring academic objectives on the basis of a skepticism that measurements will ‘count what can be measured rather than measuring what counts’, a limitation also highlighted by the HEA (2013: 33) during their assessment of two international ranking systems. As a consequence, they believe that insufficient attention will be paid to this more unmeasurable core academic work if performance management as referred to in this context takes hold. Or as one interviewee answered, there is a fear that a performance management system would result in *“a target reaching culture with too much admin and too much box ticking”* (HoS/D interviewed).
- A lack of interest in the system due to the perceived time it would take up to do annual reviews with many staff members, time most interviewees do not have to spend.

Interviewees focused a lot on underperformers leading to the conclusion that other than a system, many interviewees perceived staff performance management to really mean ‘underperformance management’ in terms of managing the performance of staff in the academic setting. And in this context, interviewees listed the following barriers to effective staff (under) performance management:

- There is a belief that an F/CH or a HoS/D is unable to make a poor performer into a performer and a belief that it is hard to tackle rogue performers. For the more extreme rogues for example, one HoS/D mentioned that it is hard to tackle someone who wants to “*burn the house down while wearing a fireproof suit*”! (HoS/D interviewed)
- There is belief that there is nothing you can do if you get a ‘no’ because F/CH nor HoS/D have the tools, levers or system. Incidentally, interviewees also believe they do not have the means to reward good performers which they believe is also an important part of their role.
- There is a belief that academics understand that role holders only hold the role temporarily and therefore don’t take the role seriously or don’t take attempts made to tackle underperformers seriously enough. Perhaps longer term lengths, especially in relation to current three or four year terms, might help to counter this belief.
- There are comments about how tackling underperformers is hard when there is a lack of sufficient support or a lack of sufficient HR action.

The acceptance of performance management as a means to tackle underperformers in particular will only take hold to a more significant degree if the negative beliefs about a system and how to tackle underperformers are overcome and if buy in from F/CH, HoS/D and academics is secured. This statement is not intended to absolve F/CH and HoS/D of all responsibility and accountability in this regard in that there are many approaches they can and do take to avoid underperformance and to try to manage it as best as they can. However the prevailing view is that they believe there is only so much that can be done rather than believing they can do nothing at all.

If some interviewees do not have sufficient belief in a system as outlined above and if many believe they cannot tackle underperformers, one would expect that they are in disagreement with the concept of performance management or a performance management system in any guise but this is not true for the vast majority. When asked if the role of F/CH and HoS/D, i.e. their own roles, be subject to formal performance management evaluation, all F/CH interviewees answer ‘yes’ and over three quarters of HoS/D interviewees answer ‘yes’. The reasons are slightly different for both sets of answers.

F/CH interviewees’ top reasons are an even split between looking for feedback to do their own role better and wanting to be treated no differently to anyone else in that where performance management evaluation exists/should exist for all, then their own role should not be an exception. Many think such evaluation would hold people to account with a small minority seeking more university Senior Team interaction/support via a performance management evaluation mechanism.

Almost half of HoS/D interviewees who answer ‘yes’ state a desire for accountability/tackling poor (HoS/D) performers as their main reason. Almost a third want more feedback so they can do their jobs better – echoing previous analysis where HoS/D interviewees want more feedback from their F/CH generally - and circa a fifth believe they should not be excepted where formal performance management evaluation should or does exist for everyone else. Those who answer ‘no’ give the following as reasons - too much ‘box ticking’, believing role holders would ‘play the system’ for personal gain and a lack of need for such evaluation because of a belief that Quality Reviews can perform this function better instead.

The above findings point to an acceptance by the vast majority of interviewees that performance management evaluation is acceptable if it applies to everyone, if it helps to hold people to account by removing underperformers and if it is a means to get feedback to help perform better in the role. This form of performance management is more focused on real evaluation and development rather than bureaucratic objectives/ratings. That said, while there is a desire for a system to root out underperformers, this is difficult to do without some form of objective-setting and corresponding measurement.

Being in the more staff-facing role, many HoS/D interviewees do see managing performance as a means to simply work with people to make sure they do their jobs, usually by way of informal, one: one conversations rather than a resorting to a system or, as one interviewee described it, *“helping people to perform without them realising it”* (HoS/D interviewed). This latter comment in particular points to what is often better described by interviewees as staff management ideally through the use of good people skills. Staff management is therefore perceived to be the dealing with staff to ensure work gets done, workload is allocated equitably and any issues involving staff, conflict etc. are dealt with as they arise. In a sense, staff management is largely perceived to be an achievable aspiration where issues can generally be resolved. If such issues cannot be resolved, an (under) performance management process, as it is predominately understood, takes over. But achieving successful outcomes in response to underperformance is largely perceived to be a more unachievable aspiration.

In the focus groups HoS/D interviewees mention how important it is to show an interest in the scholarship activity of all staff and the need to recognise scholarly achievements. But in the overall context of staff and performance management, they appear more comfortable being a facilitator of academic staff scholarship activity rather than a driver of it. In this sense the emphasis is on ensuring academics have the means and support available to perform well as academics and ensuring they don't underperform as distinct from actively driving high academic performance.

From the above points, it is clear that there is a lot of ambiguity around performance management and how it relates to staff management. In short is it some or all of the following:

- Is it 'underperformance management'? If so there are many steps that need to be taken to convince F/CH and HoS/D of its merits. To put it bluntly, if F/CH and HoS/D are to really believe underperformers can be managed, they need to believe that the ultimate sanction would be taken if a extreme underperformer – i.e. will s/he actually lose their job? If not, they, and academics in general, will believe that no matter how bad an underperformer's performance might be, they will never face the ultimate sanction. This not only send the wrong message to others tempted to underperform but it undermines the ability of a F/CH or HoS/D to do the job as regards this aspect of it. For the less extreme underperformers, many F/CH and HoS/D – those who believe they can change behaviour or that they can do something despite getting a 'no' - do make an effort to prevent and tackle such underperformance. But they still need to be helped to improve their skills and need to be given stronger tools/support to have more confidence that more positive outcomes are attainable.
- Is it rewarding good performance? If so F/CH and HoS/D need to be given the means to achieve this. Job allowances, for example, are referred to by some interviewees by way of reference to small budgets that some HoS/D used to have available to them to reward good performers at their own discretion. It should be noted that care needs to be taken with academic staff that the default individual focus is not the only form of performance that can be rewarded through any performance management approach in an era where more collaboration is expected among disparate groups of academics. Ideally group performance and not just individual performance gets rewarded, else such collaborative behaviour will tend not to happen.

- Is it helping people to perform to expected levels through ongoing questioning and feedback week in week out – i.e. staff management as it is predominately understood or arguably true performance management as some HR experts might describe it? If so, again F/CH and HoS/D need to be given the skills and confidence to do as was quoted above, namely helping people to perform without them realising it.
- Is it driving high performance? Are F/CH and HoS/D expected to exert more influence, persuasion, support etc. to try to get a higher level of performance than previously? If so, there is a risk that such attempts will be perceived as negative pressure rather than positive facilitation. This can easily lead to an atmosphere less conducive to the high levels of performance sought – again ‘rewarding A [accountability against preset measures of performance], while hoping for B [desired high quality teaching, research and contribution]’. The UK is referenced by some interviewees in this context where the perception of an atmosphere not conducive to academic work due to the highly performance-driven nature of the approach to managing academics exists.
- Is it a system involving objectives and measurements– a performance evaluation system. If so, local agreements need to be arranged to help all understand exactly what it hopes to achieve, what it means, how it operates and who it applies to. If it helps to tackle underperformers, secure feedback and applies to all then it may well be welcomed.
- Is it the above plus a ratings system where ratings are assigned to measure performance in a very specific way – A performance rating system. Again local agreements would be necessary to implement such a system. This form is currently in place in one Irish university. We found no evidence of any appetite for performance rating-related remuneration.

Clarity needs to be brought to the role of F/CH and HoS/D in the context of the overall management of staff and performance.

STAFF DEVELOPMENT

Neither set of interviewees rank developing staff as academics high in relative importance for their own roles. F/CH rank it high in importance for the HoS/D role however. It is concluded that staff development is more directly relevant to the HoS/D role being the more staff-facing role.

For HoS/D, there was a sense from interviewees that they expected academics to be self developing academically, with the exception of newer or younger academics who they expressed a desire to more actively support. In the HoS/D focus groups, a greater importance was given to developing staff as academics where the role of HoS/D was seen to involve facilitating the achievements of academics, acknowledging the achievements of academics and having enthusiasm for and an interest in the scholarship activities of staff generally. But such development is general rather than specific in nature as discussed in the previous section.

In general universities have a formal performance development review process – a series of one: one conversations at regular intervals, formal and recorded. The willingness of interviewees to have their own roles subject to formal performance management evaluation was stated above. One of the main reasons for acceptance was to get feedback from their ‘boss’ as to how well they are doing and to be helped to do the job better. In this sense, a revitalised staff development review process for all academic (and administration) staff might help to encourage more formal and specific staff academic development opportunities aimed at helping people to develop their academic careers.

Ironically, in the context of this project, developing staff as leaders was ranked lower in importance by both interviewee cohorts. In effect, playing an active role in seeking to develop future leadership cohorts or succession planning to plan the next successor is not a priority for most interviewees.

Despite being of lesser significance in the interviews, the role of administration staff and structures within the academic units did emerge in answer to questions probing the role of local administration and how fit for purpose it is. Specific to staff development, a need was highlighted to develop administration roles, structures and role holders. As stated earlier, if a review of administration systems/processes was completed first to improve any inefficiencies that may exist, decisions could subsequently be made around the administration roles necessary at local level, what each role is to achieve and how to develop existing role holders to fulfil any changed duties that may be necessary.

21. LEADERSHIP DEVELOPMENT

An expectation of this project includes the need to incorporate the *“Design of a suite of leadership development interventions on a clustered basis across the seven universities for individuals in, or aspiring to, such [F/CH and HoS/D] roles”*. For suitable interventions to occur, it is important that leadership development is not confused with leader development.

LEADERSHIP DEVELOPMENT V DEVELOPING LEADERS

Iles and Preece (2006: 19) explored the differences between these terms in a review of relevant literature. In conclusion, they state that:

“Leader development refers to developing individual-level intrapersonal competencies and human capital (cognitive, emotional, and self-awareness skills for example), whilst leadership development refers to the collective leadership processes and social capital in the organisation and beyond, involving relationships, networking, trust, and commitments, as well as an appreciation of the social and political context and its implications for leadership styles and actions”

“Organisations should place greater emphasis on experiential learning so as to foster behavioural and practice changes. Organisations can introduce formal mentoring and job rotation programs, ‘stretch assignments’, and opportunities for more senior responsibilities to build the experience base.

These activities have been found to be powerful stimulants of experiential learning.”

“...as the learning of leadership takes time to be operationalized, leadership development programmes should be continuous and ongoing, rather than single events with no follow-up.”

Bolden et al (2008: 71), in assessing leadership and leader development in the U.K, state that:

“...leadership development should not just be regarded as the development of ‘leaders’ but a broader organisational development intervention”

“...all leaders and manager academics would benefit from increased support and recognition of their own leadership development and learning through greater interaction, engagement and input from the most senior people in the organisation”

“As support networks were identified as one of the main benefits arising from formal development programmes, participants should be encouraged (and supported) to continue interacting beyond the end of the programme.”

The recurring themes of the above observations and conclusions is that leadership development includes but is not limited to the development of those in leadership positions. The Integrated Pathway Approach for supporting and developing F/CH and HoS/D presented in the ‘conclusions and recommendations’ section mirrors the above sentiments where a medium-to-long term view of development is taken, where a range of formal and less formal training and other supports are suggested, where developing leaders and leadership in the context of the institution rather than just developing the leader in isolation is stressed.

Interviewees have suggested many of the above points in terms of tangible and ongoing, institutional and other supports they value. The nature of their roles as defined in this report - i.e. the need for F/CH and HoS/D to be strategic, having broad 'beyond-institution' perspectives etc. – now lend themselves to a mix of personal, inter-/intrapersonal, institutional and sectoral interventions such as are alluded to in the quotations above.

There is room for a sectoral approach to leader development in that grouping HoS/D and F/CH onto separate sectoral programmes would be beneficial in terms of timing, numbers attending, skills exchange, cost effectiveness and peer mentoring/networking opportunities. This can be further enhanced by including attendees at programmes with international participants present, whether arranged locally or internationally.

In terms of a broader leadership development approach, in which leaders would be developed in the context of both the higher education environment generally and the institutions in which they reside specifically, a sectoral approach would prove useful. This would facilitate the transmission of consistent messages about leadership of the higher education sector and about an understanding of the challenges facing the sector itself. It is envisaged that such sectoral approaches would be layered on top of existing institutional offerings instead of replacing them.

WOMEN IN LEADERSHIP

The issue of gender diversity and the presence or not of sufficient women in leadership was mentioned informally by some F/CH and HoS/D in the informal pre-interview fact finding process more so than in the interviews themselves. It was also raised as an issue by the IUA Registrars Group. Unconscious bias has been identified as a real dynamic that negatively affects the prospects of women progressing into the more senior academic and leadership roles.

Avivah Wittenberg Cox of 20-First, international gender diversity consultants, when presenting to the UCD 14th Annual IUA HR Conference in October 2015, put forward the view organisations should attract both men and women to leadership roles but using messages tailored differently to each gender cohort. Taking this advice, institutions and academic units need to consider their selection processes carefully as regard the messages they transmit to attract suitable candidates to avoid the unconscious bias against women candidates or potential candidates.

The pitfalls of current selection processes was already discussed in earlier sections of this report and such pitfalls apply to the need for gender diversity as well. More care needs to be taken to ensure the gender diversity message is transmitted when so many potential actors are involved in selection processes, both at the institutional and the local academic unit levels. Current Athena Swan-related initiatives are helping to reinforce and action this need and the recommendation in this report aim to reinforce the positive gender diversity message as it pertains to women in the F/CH and HoS/D leadership roles. It is envisaged that formal leadership development approaches outlined later in this report will include some that are targeted specifically at future and current women leaders but in a way that complements the institutional need for developing a gender diverse leadership cohort rather than solely focusing on developing potential female leaders in isolation. This serves to reinforce the need for a broader leadership development approach in tandem with and inclusive of leader development initiatives.

22. SECTORAL APPROACH TO THE REMUNERATION OF F/CH AND HoS/D ROLES

The need for a mix of ways that might be used to reward and recognise the roles and those who fill them was suggested in earlier sections.

Some potential rewards/recognition devices could be employed including those currently employed in Irish and international universities and those put forward by interviewees. These options could be offered to better entice successors into roles, to better recognise the role, to better reward role holders and to better ease them on to the next stage of their academic or leadership careers. Nonetheless, a key issue remains as to whether these roles should be directly monetarily or otherwise rewarded and recognised remains.

This report has clarified that F/CH and HoS/D roles are distinctive standalone positions that demand role holders to perform them in addition to their ‘normal’ roles as academics. It is not true to say that the F/CH and HoS/D roles are roles that simply involve some few additional tasks that their ‘normal’ roles as academics can easily accommodate. On the contrary, this report has clearly set out the nature of the roles and the demands expected of the role holders by the institutions in all cases.

The real issue therefore is: should academics be given some form of additional remuneration to take and do the roles of F/CH and HoS/D?

One reason put forward for not remunerating the roles is that those who fill them are perceived to be ‘well paid’ already – i.e. the salary level the role holder is on is perceived to be sufficiently high. This is subjective and different stakeholders will have a view as to the level of pay an academic receives at any of the academic salary scales and how appropriate these salary levels are for the nature of the academic work being done. But the salary scale of any academic is a separate issue. Such scales are set by Government and academics are paid accordingly.

Of more relevance is whether role holders should be paid for the significant extra responsibilities attaching to the F/CH and HoS/D roles that are separate to and that are above and beyond their ‘normal’ academic roles. In 2012, Hay Group produced a report for the IUA entitled ‘Final report on academic remuneration’ (HayGroup and IUA 2012: 11) in which they set out a comparison of remuneration in Ireland versus their selected international comparators:

“Irish institutions are also out of step in their inability to pay senior academics to take on additional responsibility. Without this flexibility, there is a danger that it will be difficult to get the right people to take the job of dean, assistant dean or head of school, and that these roles will not be seen as important and valuable. The financial cost of solving this problem would be marginal, and could surely be accommodated within current university budgets, especially given the now significant level of non-exchequer income earned by universities.”

These sentiments were echoed by both interviewee cohorts.

In the interest of ensuring balance to this discussion, some interviewees did point out the danger of over-remunerating the roles which they perceived as possibly leading to the ‘wrong’ type of Academic being attracted to take the roles. This latter view is based on a fear that someone will seek out such roles to ‘feather their own nest’ to the detriment of the unit being led/managed and the Academic colleagues therein. This fear was also echoed by the IUA Registrars and IUA Council Groups.

Traditionally allowances were used to remunerate the roles, especially for those below Professor grade. Such allowances were discontinued for new appointees during the period of recent austerity and a new architecture has yet to be introduced. As stated above, if the example of international comparators referenced in this report is to be followed, a suite or ‘package’ of benefits could be offered of which remuneration is just one. Details of such an approach is set out in the ‘conclusions and recommendations’ section.

The overall consensus is that without some form of remuneration, some of the ‘right’ potential applicants will be deterred from applying or volunteering to put themselves forward for the roles and, again referring back to earlier sections of this document, many of those who do take up the roles will feel that their contribution and effort is being taken for granted. Furthermore, as Hay Group identified and echoing sentiments expressed by both sets of interviewees, without remunerating the roles in some way, the roles will not be given the authority and importance they deserve. But the level of remuneration does not need to be excessively high to balance the earlier stated fear of excessively incentivising academics to take the role for the monetary reasons alone or for other solely personal gains.

The IUA Registrars Group indicated that it might be worthwhile to seek a sectoral approach to reward and recognition of the roles such that all institutions would have a broadly similar set of ‘tools’ available to them. The suggestion to have a common approach to reward and recognition in this manner is being considered by all seven institutions.

23. ISSUES FOR FURTHER EXPLORATION

The following issues have an impact on both roles and are worthy of further exploration.

BUDGETS AND ‘THE MONEY FOLLOWS THE STUDENT’ APPROACH

Due to the timing of notification of overall institutional grant allocations (final recurrent grant allocations are generally notified to institutions in December/January of the academic year in question) often final (Faculty/College/School/Department) budgets are only received during the financial year in which they are being monitored. This impedes the process of trying to secure, monitor and report on budgets...key responsibilities for both roles. To state the obvious, it is unreasonable to expect a F/CH or HoS/D to monitor and a control budget if the budget is only made available to them by institutions, in turn dependent on final agreed budgets from the the HEA, in the middle of the financial year being monitored.

From a funding perspective, the HEA allocates funding to the universities via it’s ‘Resource Grant Allocation Model (RGAM)’ where the funds allocated to the institutions are allocated as follows according to its own publications (HEA 2014):

- An annual recurrent grant, allocated to each institution using a formulaic approach.
- Performance related funding, benchmarked against best national and international practice, with emphasis on setting targets and monitoring output
- Targeted/strategic Funding which supports national strategic priorities and which may be allocated to institutions on a competitive basis.

The annual recurrent grant is allocated using a principal whereby ‘the money follows the student’ with weightings for the different types of courses (based on subject price groupings) and different student types (i.e. undergraduate, postgraduate teaching and postgraduate research) to reflect the different

levels of costs incurred to run them. Within institutions, models to allocate funding received by the HEA to Faculties/Colleges and Schools/Departments generally use 'the money follows the student' principal based on student full time equivalents (FTEs) using a variation of the weightings referred to above. Some interviewees referred to some issues with the 'money follows the student' approach:

- Some courses cost more to run than the existing weightings allow for. This negatively impacts on their budget allocations and their efforts to cover their costs.
- Some courses are limited as to the numbers they are allowed to take in, for example due to accreditation restrictions. Consequently student numbers cannot be increased, increased budget allocations cannot be secured and resource-driven growth cannot occur. If Schools/Departments/subjects/disciplines are not growing, they face the possibility of institutional pressures to financially justify their existence.
- 'On the ground', F/CH and HoS/D are feeling the pressures of an emphasis on growing student numbers to improve revenue, particularly from international students. Any increase in students without a parallel increase in staff has a negative impact on student/faculty ratios. This has 2 negative consequences:
 - From an academic perspective, interviewees referred to the impact on student quality when the focus is more on numbers rather than attracting the 'right type' of students.
 - Regarding university rankings, Nicholas Sequeira from the QS Rankings organisation, in a recent presentation to the IUA Institutional Researchers group (QS 2015), mentioned how the increase in student/faculty ratio in Irish universities has been the single biggest factor that has negatively impacted on Irish university rankings in the most recent ranking results. If student numbers rise without comparative staff increases, ratios will continue to rise and rankings will continue to be negatively affected.

It would appear that institutions are being rewarded for student quantity from annual recurrent grant funding and internal funding perspectives, i.e. the largest funding source, yet being asked to improve quality standards in a variety of areas from a performance funding viewpoint, the lesser of the funding sources...achieving conflicting objectives.

SUSTAINABLE FUNDING FOR HIGHER EDUCATION

The Issue of funding for the sector in general, and the university sector in particular, is the 'elephant in the room'. The lack of funding and sufficient resources impinges on the F/CH and HoS/D roles in many ways – staffing, infrastructure, administration, student numbers, research investment and so on. Much has been said and written on this issue and the Cassells Group (DES 2015) is currently tasked with coming up with options for the sustainable funding of the higher education sector. While it is not the brief of this project to explore this issue, it is important to state that the lack of funding and resources will continue to have a huge negative impact on academics, on the ability of universities to grow in the strategic manner they and the Government would like and on F/CH and HoS/D as key leaders/managers.

THE EMPLOYMENT CONTROL FRAMEWORK (ECF)

The ECF is a particularly acute source of grievance among interviewees. It has already been stated that it has hit the administrative/HR functions hard too. For interviewees, the impact manifests itself in relation to the inability to hire staff of the right calibre at all academic grades and levels. Many fear this staffing constraint will lead to an excessive ‘greying’ of the sector, a lack of ‘new blood’ entering the sector in sufficient numbers, a reduction in the teaching quality from an excessive number of contract or junior staff and so on. There is a general call for a removal of such staffing restrictions to allow the sector to grow to meet the expectations of all stakeholders.

SECTORAL AND INSTITUTIONAL FLUX AND ITS IMPACT ON HoS/D

Many HoS/D interviewee comments indicated a frustration with the level of ongoing significant changes being introduced at institutional level arising from both sectoral and institutional decisions and initiatives. As one interviewee said in reflecting the level of felt dissatisfaction:

“It is a very exciting job, completely different to my previous roles. But it is an impossible job...I am expected to do my previous role plus this role plus quality reviews plus institutional review plus, plus, plus...the capacity to do the role is not enough. I can do this job but don’t ask me to do too much”
 (HoS/D interviewed)

Another HoS/D interviewee, in answering the ‘anything else to add’ closing question, commented on the lack of adequate information systems, with a specific reference to numbers of graduates in his/her School/Department not matching numbers circulated at institution level, and the impact on workload, time and decision making:

“Information systems should be talking to each other and should correlate to what’s actually happening...to know how things are going...to help me make decisions...to avoid being asked for the same information repetitively in a similar format.”
 (HoS/D interviewed)

There is a sense that many decisions, requests for information and initiatives are passed down the institution until they end up on the desk of HoS/D in particular. Consequently there appears a greater expectation that HoS/D are expected to process more requests and implement many more decisions and initiatives than what would appear to have been the case previously. The above reflects a significant increase in the administrative and compliance burden on institutions generally. Examples of such initiatives, requests and decisions are new institutional policies, institutional and quality reviews, HEA data gathering requests, programme changes, student mix changes and so on.

Essentially, HoS/D interviewees would prefer some stability at sectoral and institutional levels to avoid the sense that something significant changes every six months, as one interviewee indicated. In addition, they want better streamlining of information such that all systems ‘talk to each other’ such that everyone can see and avail of the same information ideally in the same place.

The constant state of flux has a massive impact on the capacity and ability of HoS/D to fulfil their responsibilities and to meet the expectations placed on them by the institution. This plea for stability is not to be confused or misinterpreted as a form of resistance to change in any way. On the contrary, interviewees acknowledge the changing environment and fully understand the need to adapt. It is simply a plea for help to enable them to better manage what is often perceived to be an ever increasing and demanding workload.

24. CONCLUSION AND RECOMMENDATIONS

ROLE CLARIFICATION

The respective roles of F/CH and HoS/D have been described in a way that lends itself to common Role Profiles and Effective Behaviour Frameworks for each role. These descriptions and frameworks can be used to:

- Bring greater clarity to the roles in a way that provides commonality of description across the seven universities yet in a way that facilitates sufficient customisation at local level;
- Show all stakeholders how these are standalone strategic leadership and management roles that serve the institutions, the academic units being led and managed, the subjects/disciplines and staff;
- Enhance the approaches to succession planning, selection, preparation, support, development, reward and recognition in relation to these roles.

It is proposed that the role profiles and effective behaviour frameworks be adopted for immediate use to help begin the process of enhancing the leadership and management capabilities of all F/CH and HoS/D in the Irish universities across all of the above headings.

It is imperative that role holders are clear as to the role and its priorities at any given time. To this end, one: one conversations with whoever they report to from a leadership/management perspective, in conjunction with HR if necessary, are worthwhile.

MOTIVATION TO TAKE THE ROLE

F/CH and HoS/D are primarily motivated to take the roles to improve the academic unit being led/managed...i.e. they are intrinsically motivated to take the role.

Extra remuneration as a motivator to take the roles is lowest in relative importance but is still wanted by role holders. It is important to stress that while role holders do want increased reward personally, they also want increased recognition of the importance, authority and credibility of the role as being a key strategic leadership/management role in the institution.

It must be emphasised that there is a need to strike the right balance between rewarding role holders on one hand and making the role so attractive that the 'wrong' candidates might apply for reasons of personal gain more than for the greater good.

REWARD AND RECOGNITION

F/CH and HoS/D roles are being filled despite the negative views of many interviewees on many issues. Neither remuneration nor promotion are the driving motivators for taking and 'doing well' in the role in the current circumstances where both are less likely to be offered. HoS/D are quite intrinsically motivated while in the role, but less so than F/CH. But certainly, having taken on and performed well in the role, both cohorts would strongly prefer to be more appreciated and recognised/rewarded for the contribution they are making and unhappy when, as tends to be the norm, this does not happen.

There is a preference for additional remuneration to be paid to role holders as a reward and recognition device to better recognise the role generally. This is of greater relative importance to the Lecturer and Senior Lecturer cohorts who hold either role than it is to the Associate Professors or Professors.

Remuneration of these temporary roles for taking on additional significant leadership/management responsibilities needs to be considered and finalised at a sectoral level – a need highlighted in previous sectoral reports as far back as 2012. It is time the sector agreed a common approach to remuneration with the Department of Education and Skills. The key agreements sought are as follows:

- Commit to permit the remuneration of F/CH and HoS/D roles as standalone leadership/management roles;
- Agree a specific means to enable this remuneration to occur;
- Apply any new agreements to academic grades below full Professor grade only;
- Agree if conditionality should apply, i.e. should remuneration be provided:
 - On appointment to the role of F/CH and HoS/D for the full duration of term irrespective of subsequent performance levels in the role;

OR

 - On appointment to the respective roles where it is intended that remuneration will remain for the full duration of term but this will only happen subject to satisfactory performance reviews at agreed intervals throughout term.

Institutions need to consider offering remuneration, with or without performance evaluation, as part a package of benefits in a way that balances the need to encourage candidates to take these roles without over incentivising the roles and attracting the ‘wrong’ candidates as a consequence. Potential headings under which taking a role and performing well in it can be recognised are presented as follows and have been populated by best international practice, current Irish best practices and suggestions from interviewees:

Job Related

- For F/CH not currently on their institution’s Senior Team, appointing to the Senior Team to enable them to have a greater academic input on behalf of their Faculty/College;
- More active promotion/raising of the profile of the role throughout the university as a leadership/management role;
- Teaching backfill to cover the reduced time spent teaching when taking on the role;
- Career development support;
- From Lecturer grade onwards to help people to begin to think about academic, leadership and management positions earlier in their careers;
- Active provision of leadership/management opportunities via quality assessment/review committees and other such vehicles that provide insight into how other academic units get things done, make decisions and so on;
- During term to support and develop role holders according to identified needs;
- Post term to offer career guidance to help role holders to decide what to do and how to adjust to their next role when their term is finished;

Research Related

- Sabbaticals;
- Research staff to facilitate continuation of own research;
- Research funding to facilitate continuation of own research;

Academic Promotion

- Temporary academic promotion (title) for the duration of the term;
- Increased contribution to academic promotion from being an acceptable performer in the role. How academic promotion is advanced from taking on the role and performing in it needs to be clarified and communicated so everyone knows the extra ‘credit’ they will get in advance the rather than only finding out at some future point;

Remuneration Related

- Appointing at a higher pay scale than the pay scale one is already at when taking the role for the duration of term;
- Paying an allowance for taking on the role for the duration of term;
- Paying a position related salary for the duration of term.

Selected international comparator universities provide a suite of benefits to their corresponding role holders under the above four headings. Such an approach would be valued by role holders in Ireland and is worthy of implementing either at a sectoral level or separately within each institution or both.

SUCCESSION PLANNING, SELECTION AND PREPARATION

Succession Planning – i.e. the deliberate development of future strategic F/CH or HoS/D some years in advance of being appointed – is effectively nonexistent from the information analysed with rare exceptions. Improved succession planning would increase the pool of available and willing leader/manager successors by nurturing a group of academics more familiar with the concept of leadership/management in the institutional setting and from which greater numbers of more willing volunteers would emerge.

The wider use of more deliberate succession planning processes would identify more suitable successors. Greater efforts need to be made to tackle this issue and the next phase of this project will focus on efforts to improve processes in this area together with related support and development provision. A best practice guidance paper will be produced for sectoral implementation.

F/CH roles tend to be filled in a straightforward manner due to the perceived seniority and authority attaching to the role since almost all institutions have F/CH as members of their Senior Teams.

Filling HoS/D roles can be a struggle due to the lack of suitable (in a leadership/management context) or willing volunteers. The prevailing perception of the HoS/D role is that of a thankless role (due to perceived conflict, workload issues etc.), one that detracts from core academic work and one that impedes potential academic promotion prospects. More needs to be done to promote the authority and importance of roles, something that can be achieved through better selection, preparation, communication and reward/recognition processes.

A review of the priority of support types made available as preparation for the role would be useful to ensure what is offered ties in with what is valued most. Suggestions for improving training are discussed in later sections, as is the creation of an Integrated Pathway Approach, one that may prove very useful in streamlining the succession planning, selection and preparation of future role holders.

HR could benefit from being involved in the succession planning, selection and preparation processes to a much greater degree than is currently the case. It is in their interest to do so to minimise the lack of understanding/application of HR policies relevant to both roles.

HR can play a greater part by working more closely with academic units to first ensure that a more strategic view is taken of succession planning and selection decision making processes. They can offer support by way of helping to design suitable interview or other such devices to be added to existing selection processes where needed. All selection processes should incorporate the newly developed role profiles and competency frameworks for both roles.

HR can more proactively offer to help academic units to have a suite of appropriate options available to help to prepare successors for roles. For their part, successors need to avail of such offerings to a greater degree because several interviewees admitted to not availing of existing offers of support.

The Integrated Pathway Approach proposed below will provide a framework for the implementation of the above recommendations.

SUPPORT AND DEVELOPMENT

Most support and development interventions are provided to role holders after they begin term. Interventions tend to be both formal, for example training, formal mentoring programmes, coaching, inductions etc., and informal, for example via peer networks, peer mentoring, which are hugely valued by interviewees.

The nature and timing of existing interventions needs to be reviewed in that some interventions are more valued by interviewees and/or at certain points in time than are currently offered. The converse is also true, where some interventions are offered now even though they are less valued than other desired interventions.

Institutions provide support and development at the institution level and currently nothing is provided at a sectoral level. The Integrated Pathway Approach outlined below proposes a suite of support and development interventions along chronological lines from early career academics to post F/CH academics. It is intended that any proposed interventions layer over existing offerings rather than replacing them and that this approach will incorporate both institution-specific and sectoral provisions and will incorporate existing and potential women in leadership initiatives.

HR can play a key role in formulating and driving a leadership development strategy at local level. The IUA can play a key sectoral role to help reinforce the social capital enhancing nature of future initiatives both directly by facilitating intervention provision and support provision. HR in tandem with their L&D units need to take the time to ensure that leadership development is much more than a programme, a course or a focus on the individual.

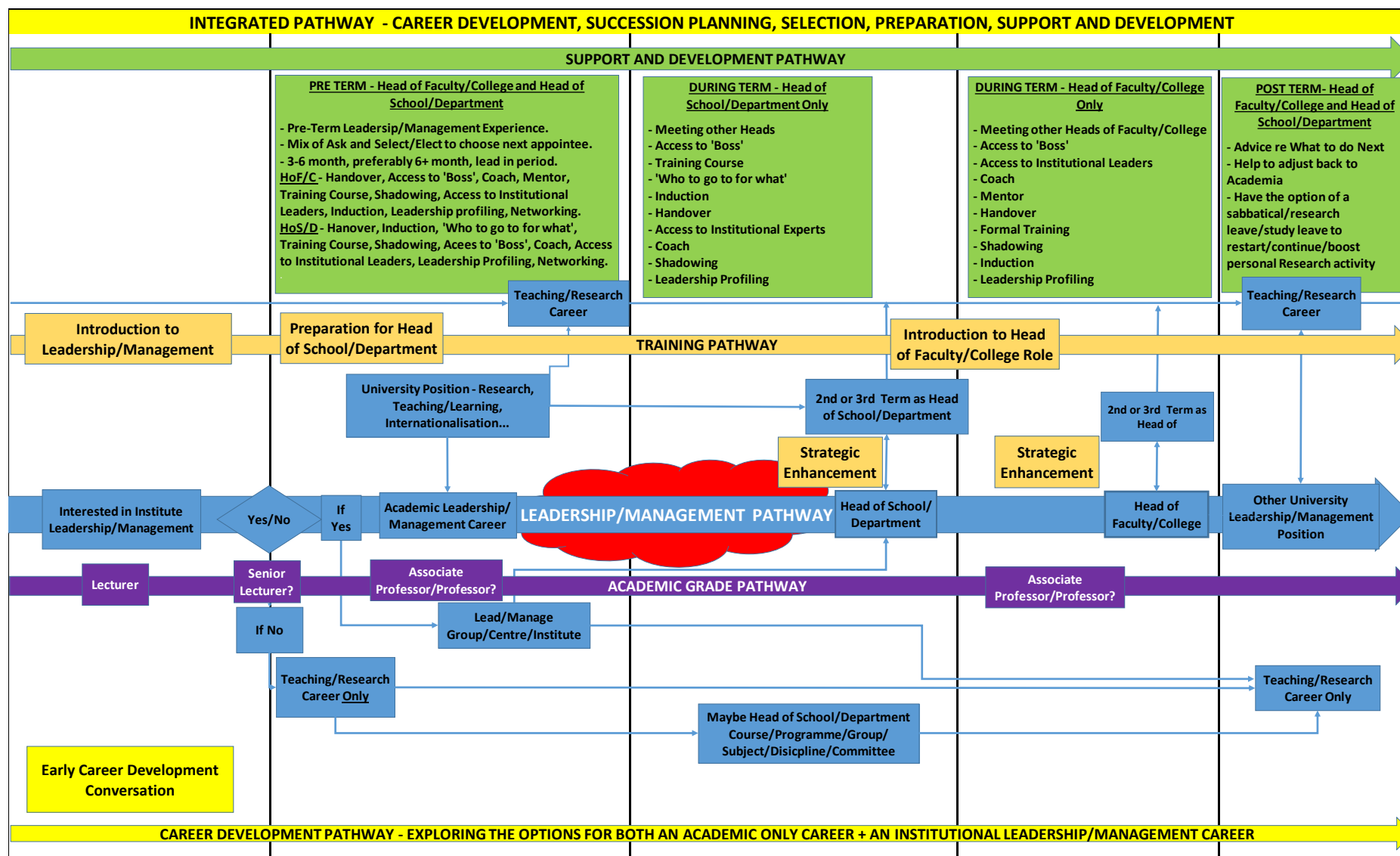
Institutional Senior Teams need to be made aware of the need for longer term leadership development strategies at institutional level that address the needs of leaders at all levels and be cognisant of the need for their active involvement in any leadership development initiatives that emanate from such strategies. This includes the need to fund leadership development initiatives throughout the sector to a significantly greater degree than is currently the case.

INTEGRATED PATHWAY APPROACH

To meet the needs for ongoing career guidance and development, for succession planning, for preparing successors in advance of term start, for developing role holders during term and for post term support, a chronological Integrated Pathway Approach is recommended for both roles. Specific aspects of this approach is further elaborated on in later sections.

- Succession Planning – to deliberately identify aspiring future leaders:
 - Target existing leader/managers within Schools/Departments/Centres to narrow down the target population – to be referred to as level three leaders (level one leaders are at the F/CH level while level two leaders are at the level of HoS/D);
 - Identify those interested in leadership/management roles early in their careers;
 - Provide leadership/management development to this cohort of aspiring leaders;
 - Provide training to introduce academics to the HoS/D role specifically to help them to be more confident about what the role is/ is not and in their ability to perform it well;
- Pre term once a successor has been identified for either role, bring forward the timing of the appointment of successors to allow for approximately six month lead in times...in effect aiming to appoint successors no later than the Easter prior to a September start;
 - Provide a suite of supports to include but not limited to:
 - A Formal Handover;
 - A Formal Induction/‘Who to go to for what’ in university;
 - A Mentor – Formal and Informal;
 - A Formal Training Course;
 - Shadowing Outgoing Role Holder;
 - Access to ‘boss’;
 - A Coach;
 - Access to Other Institutional Leader/Expert;
 - Self-Awareness Interventions - Feedback/Leadership Profiling etc.;
 - Active Networking Opportunities.
- During Term – Assuming the above steps have been taken, a new cohort of suitable leaders emerge who are better prepared for the roles.
 - Their needs will now be more hands on/“on the job” in nature where indicated preferences lead to the following types of useful supports:
 - Access to ‘boss’;
 - A Mentor;
 - A Formal Training Course;
 - Access to Other Institutional Leader/Expert – (typically Registrar/President);
 - A Coach;
 - Self-Awareness Interventions - Feedback/Leadership Profiling etc.;
 - Active Networking Opportunities.
- Post Term – assuming a renewable term option has been declined.
 - A suite of supports can be provided to help role holders to better transition out of the roles and may include:
 - Career Development Advice – “*Exit Planning*”;
 - Sabbaticals;
 - Reintegrating into Academia;
 - Study Leave;
 - “Kick starting” own Research.

A graphic representation of such an approach is outlined below.



There is an opportunity for HR and L&D units to ‘close the gap’ that appears to exist between them and the F/CH and HoS/D groups in the context of support and development provision. By engaging more closely, by being more upfront about the each other’s needs, by being more proactive generally, the strategic needs of the F/CH and HoS/D on one hand and HR /L&D units on the other hand will be better met. One hopes the restrictive nature of the staff available to HR under the ECF doesn’t obstruct such proposed approaches.

For both leader and leadership development, there is an opportunity to relook at the range of approaches and interventions currently being provided, including the issue of women in leadership, compare them with the feedback from F/CH and HoS/D contained in this report on an institute-by-institute basis and seek to further improve the timing, nature and extent of the existing offerings.

In the context of this project, the Integrated Pathway Approach can provide a framework for the development of strategic institutional leaders, including future and current F/CH and HoS/D, in the knowledge that any participants who engage with such pathways will be able to apply their improved leadership capabilities to any position they hold once their term is complete. The benefits of such an approach should be felt throughout the institution and the sector.

The following pages outline some suggestions with regard to how the Integrated Pathway Approach might be implemented. The possibilities below aim to include the learnings from earlier analysis together with ideas emanating from discussions with L&D staff in all seven Irish institutions.

Taking each component separately:

Career Development

Recent mentoring initiatives in universities point to a need to provide ongoing support and development to academics. Earlier commentary indicated active support provision to junior and new academics. The IUA Researcher Career Framework Group includes career development for researchers as one of its aims.

This report calls for the inclusion of discussions around a broader definition of career development to include leadership/management careers and not just academic careers. Given most HoS/D interviewees first considered the HoS/D role at Senior Lecturer grade, the called for career development conversations need to occur earlier, i.e. at Lecturer grade. These can include informal conversations with Principal Investigators, HoS/D, F/CH and colleagues, but the more formal kind should include personal development reviews with a ‘boss’ that some institutions currently employ together with group conversations as part of formal leadership development training.

The Integrated Pathway Approach calls for such conversations to be formalised throughout an academic’s career from Lecturer through to Professor, thereby prompting academics to at least consider HoS/D and F/CH roles to a greater extent than is the case currently.

Succession Planning

This project will investigate the merits of offering sectoral initiatives to sit side by side with institutional initiatives as part of a suite of succession planning and pre-term development supports in Phase Three of the project. This phase will formulate best practice procedures for selection of successors for both roles under the variety of selection-related areas outlined in this report and as part of the aforementioned succession planning guidance paper, including:

- The minimum term length;
- The source of successors;
- Academic loyalties;
- Minimum academic grade;;
- The role of Professor;
- Prior leadership/management experience;
- The appointment process when a vacancy arises;
- The length of the lead-in period prior to starting in the role;
- Pre-Term developmental supports;

Preparation Interventions

This should include a mix of local initiatives such as handovers, shadowing, induction (inclusive of ‘who to go to for what’ information) and informal mentoring. Formal interventions arranged via HR/L&D include coaching, self-awareness training, leadership development training, management training, sectoral networking and international mentoring. The focus of the above is to provide support to allow successors to ‘hit the ground running’ when they start. Further support and development can be provided in a way that builds on this development foundation during term.

Formal Training

Formal training is but one of a number of valuable interventions. In relation to experiential learning, GeorgiaTech University, one of the selected international universities for this report, publish on their website that:

“We believe that learning happens when both transfer of knowledge and behaviour change have occurred.”

The Irish universities currently offer a mix of traditional classroom-based programmes and blended learning programmes. What is suggested as a component of the Integrated Pathway approach is shown here as a chronological approach to training, where programmes might be of the following type, nature, timing and content, for example, and supported by other interventions such as action learning, coaching, mentoring, project etc. to support the above-referenced transfer of learning...see table on the next page. The aim is to achieve incremental skills and role related behaviour development.

It is envisaged that self-awareness training, profiling, 360 feedback, leadership profiling and other such devices would complement any formal training programmes being run.

Purpose – the ‘Why’	Target Group – the ‘Who’	Timing – the ‘When’	Nature of Content – the ‘What’ of the Role	Effective Behaviours – the ‘How’ of the Role
Exploring Leadership and to build a pool of future leaders.	Academics interested in a leadership role.	Continuous – perhaps 1/year.	Exploration of what Leadership and being a Leader are in the institutional/sectoral context.	Effective Behaviour Framework- Driven Skills
Introduction to HoS/D	Academics interested in HoS/D role.	In the 1-2 years before the next successor is needed.	Exploration of the role and what is expected of role holders based on the Role Profile.	
Preparation for HoS/D	For newly appointed HoS/D.	During the 6 month period before starting in the role.	Targeting preparation for the first 3-6 months of the role to ensure a good start is secured.	
HoS/D Strategic Enhancement.	HoS/D early in their first term.	6 months - 1 year into the HoS/D term.	Strategically improving the School/Department.	
Introduction to F/CH.	For HoS/D who are interested in the role.	In the 1-2 years before the next successor is needed.	Exploration of the role and what is expected of role holders based on the Role Profile.	
Preparation for F/CH.	For newly appointed F/CH.	During the 6 month period before starting in the role.	Targeting preparation for the first 3-6 months of the role to ensure a good start is secured.	
Faculty/College Strategic Enhancement.	F/CH early in their first term.	6 months - 1 year into the F/CH term.	Strategically improving the Faculty/College.	
<i>The skills to be provided would be taken from the Effective Behaviour Frameworks as relevant to the programmes being run and participants therein. The above programmes would be complemented by the suite of interventions listed in the Integrated Pathway Approach to maximise learning transfer and behaviour change. Institution-specific and sectoral programmes would be complementary components of the above approach.</i>				

Women in Leadership

The intention is to ensure that any leadership development interventions complement existing and future women in leadership initiatives on one hand and appeal to both men and women leaders equally on the other hand. It is recommended that a fifty: fifty male: female attendee ratio for group development initiatives be targeted unless numbers in the target population for such initiatives prevent it.

Mentoring

Informal mentoring tends to occur where groups of role holders at the same level meet at intervals, venues and regularity decided on by themselves. Many interviewees spoke highly of such mentoring as valued peer support networks. Normally such networks provide support to F/CH and HoS/D in relation to the challenges they face as role holders. Formal mentoring is currently called for by role holders and/or is offered by HR and L&D units. Mentoring of this form has been traditionally viewed as having someone to contact in 'an hour of need'. As often as not, interviewees mentioned how they may or not avail of such mentors.

Interviews and focus groups identified a more nuanced view of mentoring that, if used, would offer a more targeted type of mentoring and one that might include any of the following as valid mentors for role holders:

- Internal Mentors
 - Institutional mentors – to provide expertise in any specific area or on any specific issue. Examples would include experts in HR, finance, governance, strategy etc.;
 - Role holder mentors – including but not limited to previous role holders who can offer advice on how to meet the challenges of the role;
 - Academic mentors – academic role models to which role holders would like to aspire;
 - Political mentors – typically confidants at a senior institutional level to whom role holders can go to find out how to progress an issue by tapping into the political and institutional savviness the mentor is perceived to have.
- External Mentors
 - Subject/discipline mentors – to provide guidance as to how to improve the subject/discipline being led;
 - Business mentors – to provide expertise from the business arena that would be of use in the academic setting;
 - International mentors – to include all previously listed mentors, with a tendency towards academic and subject/discipline mentors in particular.

As with other proposed interventions, a more creative approach to mentoring could be hugely beneficial to role holders. Mentoring is also one of the most effective interventions, if set up correctly, with minimal if any financial cost.

Peer Networking

Peer networking becomes a natural outcome of any group-related intervention and it is intended to add sectoral and/or international peer networks to existing intra institutional networks.

Sectoral Interventions

Part of this project's 'raison d'être' is to set up sectoral interventions and interviewees broadly welcomed such initiatives.

ADMINISTRATION AND SUPPORTING STRUCTURES

A wide variety of leadership/management and administration supports and structures exist locally with more consistency evident at Faculty/College level than School/Department level. When both cohorts were asked for suggestions to improve leadership/management structures generally in their academic units, an array of suggestions were received. A reassessment of such supports in academic units to assess the efficiency of system and process as well as the suitability of staff and skillsets to the changing nature of academic and administration work would be worthwhile. The use of external advisory bodies, mentioned in the Phase One sections of this report, as a means to complement and add value to local leadership/management structures would be worth considering as part of this review. The nature and extent of administration support should be reviewed to assess, at a minimum:

- If administration processes and systems can be streamlined;
- How well existing administration skillsets match up to expectations;
- Decide if systems, structures, personnel and/or skillsets need to be improved.

While investment may be difficult in today's higher education climate, an exploration of administration processes and systems may lead to improvements in themselves and not every improvement is to be found through monetary investment alone. It may be possible to 'engineer out' some process inefficiencies, it may be possible to use in-house and/or student expertise to secure technology improvements, current role holders may have simple solutions with significant impact if asked and so on.

INTERACTION BETWEEN F/CH AND HoS/D

Both cohorts interviewed want greater feedback from their 'boss' as to how they are doing in their roles. This need is greater for HoS/D than F/CH. HoS/D want F/CH to take an interest in their School/Department and constituent subjects/disciplines, they want equal treatment within the Faculty/College structures and fairer and more transparent allocation of resources. Most HoS/D want better working relationships through better/greater levels of interaction, greater one: one support and more feedback. They also want improvements in terms of their input into decision making and the communication of decisions/decision making rationale where their involvement in such decisions is limited or absent.

F/CH interviewees want HoS/D to focus on different priorities as regards their key responsibilities – mostly academic, staff and strategy in nature. They would like HoS/D to be less operational and less burdened by the more routine administrative tasks.

While HoS/D and F/CH attend many formal meetings for institution leadership/management and governance purposes, the role of the one: one meeting, either informal or formal, in the leadership/management of staff at all levels in the institution is undervalued. Each cohort needs to ensure regular one: one meetings occur to discuss and agree how to address the above-stated and other needs to the mutual satisfaction of each.

ACADEMIC ISSUES

The relative contribution to Academic Promotion for those who choose to fill HoS/D and F/CH roles is worth reevaluating to ensure it is adequately rewarded under its 'Service/Contribution' element. In doing so, Irish universities would be more aligned with the approaches taken to this issue by the selected international comparators referenced in Part One of this report.

Academics perceive research to be their behaviour that is most rewarded in academic promotion competitions. This causes problems in terms of managing academics' workload when their personal research priorities can be in conflict with the more balanced teaching, research and service/contribution priorities of the academic unit.

Whether different from current approaches or not as a result, the extent to which taking these leadership/management roles contributes to academic promotion needs to be openly explained in the communication of academic promotion decisions throughout the institution. This will help to rebalance existing perceptions that research is rewarded more than teaching or service/contribution.

PERFORMANCE MANAGEMENT

Role holders generally do see the need to be staff managers as part of the leadership element of their roles...ensuring cohesiveness, being the unit leader and manager etc. but they are more comfortable managing staff to fulfil their workload allocations and to avoid conflict than they are with driving improved performance in a more proactive way.

There is a strong call for adequate tools to root out the more extreme underperformers. Of particular concern is how to achieve this helping role holders to receive constructive feedback and how to improve. The latter would be welcomed by both interviewee cohorts.

In the context of the management of staff and performance it is clear that interviewees are broadly accepting of a performance evaluation mechanism that applies to all, that helps tackle underperformers and that gives them feedback on their own roles and how to improve. A system that involves excessive objective setting, excessive measurement, excessive administration, performance ratings, performance-related pay, or a system that is too cumbersome and time consuming to administer, is broadly unwelcome.

Performance management, its various meanings, applications and impact on user groups needs to be reassessed at sectoral and institution levels, agreed, communicated and actioned.

Interviewees see the need to develop new or more junior academics more so than experienced academics. Clarke et al. (2015) highlighted how more needs to be done to support mid-career academics throughout the higher education sector in Ireland. This echoes the findings in this report where interviewees don't see the need to support such staff beyond ensuring 'normal' work gets done, with the exception of recognising good performers. F/CH and HoS/D could also play an important role in helping to identify future strategic leaders/managers. Currently, this aspect of their role is of little relative importance to them. The need to take an active role in the development of staff as academics and as potential leaders needs to be emphasised as a core expectation of the role to all HoS/D and F/CH role holders.

SECTORAL APPROACH TO THE REMUNERATION OF F/CH AND HoS/D ROLES

These rotational roles are standalone leadership/management positions with significant academic, business, compliance and staff responsibilities. Sectoral agreements to the remuneration of role holders is called for.

ISSUES FOR FURTHER EXPLORATION

Sectoral/institutional budgeting processes, the need for sustainable sectoral funding, the ECF and the ongoing flux in the sector - all issues that have significant impact on F/CH and HoS/D - need further exploration to investigate how such impacts can be minimised.

25. APPENDICES

Appendix A – Irish University Governing Authorities

	DCU	MU	NUIG	TCD	UCC	UCD	UL
Name	Governing Authority	Governing Authority	Údarás na hOllscoile	Board	Governing Body	Governing Authority	Governing Authority
Total	30	31	41	32	39	40	35
External	17	16	22	2	21	20	17
Notes	<i>Including Linkage Agreements Members as External Members</i>	<i>Including Administrative Officer</i>	<i>Including 'In Attendance'</i>	<i>Including 'In attendance'</i>			

Source – University Websites November 2014.

Appendix B – Comparator Universities

The universities included and, as applicable to International Universities, reasons for inclusion, are:

University Name/Reason	Country	No. Staff†	Student No.*	Rankings (most recently published on respective websites, December 2014, including US Best Global (USBG))
Georgia Tech <i>Suggested by stakeholder.</i>	U.S.	6490 Academic (44%) Non Ac (56%)	23109	THE 27 Shanghai 99 QS 107 USBG 61
University of Western Australia <i>Suggested by Prof. Stephanie Fahey, EY Australia, as a close match to an Irish Research University.</i>	Australia	3722 Academic (71%) Non Ac (29%)	19674	THE 157 Shanghai 88 QS 89 USBG 113
University of Eastern Finland <i>Selected by Project Manager as example of recently restructured system in Scandinavia and of similar size to Irish Universities.</i>	Finland	2574 Academic (70%) Non Ac (30%)	15000	THE 351-400 Shanghai – 401-500 QS 267 USBG 421
University of Glasgow <i>Selected by Project Manager due to much published information on its restructuring process and rationale.</i>	U.K.	6844 Academic (46%) Non Ac (54%)	25000	THE 94 Shanghai 101-150 QS 55 USBG 112
DCU	Irish	1209 Academic (61%) Non Ac (39%)	11845	THE Under 100 No. 92 Shanghai N/A QS 366 USBG N/A
MU	Irish	749 Academic (55%) Non Ac (45%)	9745	THE Under 100 No. 67 Shanghai N/A QS 6-650 USBG N/A
NUIG	Irish	2003 Academic (57%) Non Ac (43%)	16497	THE 251-275 Shanghai N/A QS 280 USBG N/A
TCD	Irish	2819 Academic (48%) Non Ac (52%)	15636	THE 138 Shanghai 151-200 QS 71 USBG 210
UCC	Irish	2507 Academic (49%) Non Ac (51%)	19056	THE 276-300 Shanghai 401-500 QS 230 USBG 422
UCD	Irish	2978 Academic (51%) Non Ac (49%)	25278	THE 226-250 Shanghai 201-300 QS 139 USBG 276
UL	Irish	1436 Academic (55%) Non Ac (45%)	13282	THE Under 100 N/A Shanghai N/A QS 501-550 USBG N/A

† Source: University websites for International Universities, December 2014; HEA 'Towards a Performance Evaluation Framework: Profiling Irish Higher Education' report for Irish Universities, December 2013.

*Source: University websites for international Universities, December 2014; HEA Statistics for 2013-2014, December 2014.

Appendix C – Example of Informed Consent Form

Informed Consent Form



This Informed Consent Form is for Heads of School/Department and Heads of College/College Principals/Executive Deans/Deans who are invited to participate in a role holder survey as part of the Academic Leadership Development Project.

Project Manager: Brian McDonald, Irish Universities Association

This Informed Consent Form has two parts:

- Information Sheet (to share information about the survey with you)
- Certificate of Consent (for signatures assuming you choose to participate)

A copy of the signed Informed Consent Form is available to you on request only.

Part I: Information Sheet

Introduction

I am Brian McDonald and I work for the Irish Universities Association (IUA). I am Project Manager of the Academic Leadership Development Project at the request of the IUA. The project involves the following as its key objectives:

- To map the academic management structures in Irish v selected international universities.
- To map the approach to the selection, preparation, recognition and development of Heads of School/Department and Heads of College/College Principals/ Executive Deans/Deans.
- Bring greater clarity of definition to the above roles and the competences/behaviours needed to perform them well.
- Help set up a suite of development interventions to enable the Irish Universities to potentially take a common approach to developing those who fill these roles.

The first phase of the project is complete – namely the mapping of academic management structures in Ireland versus selected international comparators and the mapping of the selection, preparation, recognition and development processes. The second phase of this project involves researching the role of Head of School/Department and Head of College/College Principal/Executive Dean/Dean in Irish universities with a view to better defining the roles, the competences/behaviours required for the roles and the validation or otherwise of the findings from Phase One.

This phase will be completed using face-to-face interviews to survey role holders, analysing the findings and reporting conclusions and recommendations. You have been invited to participate in the survey via a face to face interview where I will read out the questions, you will provide answers and I will record these answers on the paper questionnaire. Before you undertake this interview, I ask you to read the information below so you are comfortable with it. Feel free to ask me any question before, during or after the questionnaire has been completed. Please ask me to stop as we go through the information and I will take time to clarify anything you are unsure of.

Purpose of the research

The aim of the project I am working on is to better clarify the scope and nature of Head of School/Department roles in the 7 Irish universities as well as that of Head of College/College Principal/Executive Dean/Dean, articulate the associated competences/behaviours, and to explore how those who fill the roles are best selected, prepared, recognised and developed. The information recorded from this and other questionnaires will be collated, analysed and reported on to form the basis for recommending a potentially common approach to the above areas by the 7 Irish universities.

Type of Intervention

This interview is one of approximately 50 - 60 interviews that will be completed by role holders in Head of School/Department and in Head of College/College Principal/Executive Dean/Dean positions across the 7 Irish universities. Other positions may well be surveyed, but the type of roles to be surveyed and the numbers of these have not yet been decided.

Participant Selection

I asked your HR department to provide a representative sample of Heads of School/Department and Heads of College/College Principals/Executive Deans/Deans. You are being invited to take part in this research so that you will honestly represent your view as part of a representative sample of your fellow HoS/D or your fellow Heads of College/College Principals/Executive Deans/Deans.

Voluntary Participation and the Right to Refuse or Withdraw

Your participation in this research is entirely voluntary. It is your choice whether to participate or not. The choice that you make will have no bearing on your job in any way. You may change your mind later and stop participating even if you agreed earlier. However, if you decide not to participate in this study after your interview has been completed and answers taken away, please email me at to withdraw your information from this survey and I will withdraw it instantly. You do not have to share any knowledge or opinions that you are not comfortable sharing. I will give you an opportunity at the end of the interview to review your remarks, and you can ask to modify or remove portions of those, if you do not agree with my notes or if I did not understand you correctly.

Procedures

This survey will be performed using paper based interview questionnaires containing a number of questions. Only the interviewee and I will be present and the survey will take approximately 1 – 1 ½ hours to complete.

These are examples of the types of questions we will ask.....

“What training or development support did you get before and after you took up your position?”

“Using a 1-5 scale of relevance, where 1 is ‘not part of my role’ and 5 is ‘a critical part of my role’, please rate each of the following aspects of your job...”

Benefits

There may be no direct benefit to you but this mostly depends on the length of time you will be in the role...if you are still in the role in the next year-to-two years you are more likely to benefit directly from any improvements introduced. Your participation will help to identify a set of recommendations to enable the 7 universities to formulate a potentially common approach to defining the position you hold and to better support and develop those who fill it. By completing this survey, you will benefit a wider audience of current and future role holders, and your institution.

Confidentiality and Anonymity

The survey answers will be grouped separately into those completed by Heads of School/Department and those completed by Heads of College/College Principals/Executive Deans/Deans. Neither your name nor its link to your university will be used once your interview is complete. A number will be used instead. All your answers will therefore remain anonymous. If your answers are referred to directly in any report, this will be done by way of reference to your number or as an anonymous quote, not your Name, Gender, School, Department, Faculty, College or your University.

Sharing the Results

The findings from the analysis of the surveys will be collated and produced in the form of a report. This report will be distributed to the Irish universities via the Irish Universities Association.

Who to Contact

If you have any questions, you can ask them now or later. If you wish to ask questions later, you may contact me at brian.mcdonald@iua.ie. You can ask me any more questions about any part of the survey, if you wish to. Do you have any questions?

Part II: Certificate of Consent

I have been asked to participate in a survey about my role as HoS/D or my role as Head of College/College Principal/Executive Dean/Dean. I have read the foregoing information, or it has been read to me. I have had the opportunity to ask questions about it and any questions I have been asked have been answered to my satisfaction. I consent voluntarily to be a participant in this study.

Print Name of Participant _____

Signature of Participant _____

Date _____
Day/month/year

Statement by the researcher/person taking consent

I confirm that the participant was given an opportunity to ask questions about the study, and all the questions asked by the participant have been answered correctly and to the best of my ability. I confirm that the individual has not been coerced into giving consent, and the consent has been given freely and voluntarily.

A copy of this signed Informed Consent Form will be provided to the participant on request only.

Brian McDonald: Signature _____ **Date** _____
Day/month/year

26. REFERENCES

- 20-First. 2015. *Presentation to the 14th Annual IUA HR Conference*. University College Dublin. Academic Planning and Resource Committee.
2006. *Academic Structures A Proposed Way Forward for NUI Galway*. National University of Ireland Galway.
- Aarrevaara, T. 2012. *Cycles of University Reform: Japan and Finland Compared*. I. Dobson, & F. Maruyama (Eds.), (pp. 79-92).
- Aarrevaara, T., Dobson, I., Elander, C. 2009. 'Brave New World: Higher Education Reform in Finland'. *Higher Education Management and Policy* Volume 21/2, (pp. 1-18).
- Bolden et al. 2008. *Developing Collective Leadership in Higher Education*. Leadership Foundation for Higher Education.
- Bolden et al. 2012. *Changing Conceptions, Identities, and Experiences in UK Higher Education*. Leadership Foundation for Higher Education.
- Cai Y., Kivistö J., Zhang L. 2011. *Higher education reforms in Finland and China: experiences and challenges in post-massification era*. Higher Education Group, University of Tampere.
- Carnegie, G, Tuck, J. 2010. 'Understanding the ABC of University Governance', *Australian Journal of Public Administration*, vol. 69, no. 4, pp. 431-441.
- Collins, Dr. Marie. 2015. *Presentation to the 14th Annual IUA HR Conference*. University College Dublin.
- Education and Culture DG. 2008. *Higher Education Governance in Europe: Policies, Structures, Funding and Academic Staff*. European Commission.
- OECD. 2003. 'Changing Patterns of Governance in Higher Education'. *Chapter 3; Education Policy Analysis*. The Organisation for Economic Co-operation and Development (OECD).
- Estermann et al. 2011. *University Autonomy in Europe II, the Scorecard*. European Universities Association.
- Farnham D. 1999. 'Managing Academic Staff in Changing University Systems'. *International Trends and Comparisons*. The Society for Research into Higher Education.
- Faust, D. 2010. *The Role of the University in a Changing World*. The Royal Irish Academy, Trinity College, Dublin.
- Felt, U., Glanz, M. 2002. *University Autonomy in Europe: Changing Paradigms in Higher Education Policy*, University of Vienna.
- Finkelstein, M. 2012. 'Governance of the US University: Organisational Structure and Changing Power Relationships in Comparative Perspective'. *International Symposium on the Construction of a Modern University System*. Seton Hall University, USA.
- Fried, J. 2006. *Higher education governance in Europe: autonomy, ownership and accountability – A review of the literature, Higher education governance between democratic culture, academic aspirations and market forces*. Jürgen Kohler and Josef Huber (eds.), Sjur Bergan, Series editor.
- Gosling, J. and Mintzberg, K. 2003. The Five Minds of a Manager, *The Harvard Business Review*, from the November 2003 Issue.
- Gunasekara, C. 2006. Reframing the Role of Universities in the Development of Regional Innovation Systems. *The Journal of Technology Transfer*. January 2006 Volume 31, Issue 1, (pp 101-113).
- HEA. 2014. *Recurrent Grant Funding Model – Summary*. Higher Education Authority.
- HEA. 2010. *Employment Control Framework for the Higher Education Sector*. Higher Education Authority.
- HEA. 2011. *National Strategy for Higher Education to 2030*, Higher Education Authority.
- HEA. 2013. *Towards a Performance Evaluation Framework: Profiling Irish Higher Education*. Higher Education Authority.
- Väänänen, H.K. 2012. *Is 1+1 > 2*. University of Eastern Finland and University of Turku.
- Oxford Dictionaries. 2015. <http://www.oxforddictionaries.com/definition/learner/performance>. Oxford Dictionaries.
- DES. 2014. *Expert group is expected to present options for higher education funding by end of 2015*. Department of Education and Skills.
- Human Resources. 2014. *Roles and Responsibilities of the College, School (and subject) and Research Institute*. University of Glasgow

- Iles, P. and Preece, D. 2006. 'Developing Leaders or Developing Leadership?' *The Academy of Chief Executives' Programmes in the North East of England. Leadership*, 2(3), (pp. 317-340) Teeside University.
- IOTI/DIT. 2008. *Report of the SIF Cycle 1–Project Four, The Use of a Management Competency Framework to Enhance the Development of Managers Within the Sector*. Institutes of Technology Ireland/Dublin Institute of Technology.
- IUA. 2008. *SIF1 Towards a HE Academy Project, Enhancing Leadership, Governance and Management in Irish Universities*. Irish Universities Association/Create/InterContext.
- IUA. 2012. *University Governance, Report to the Minister for Education and Skills*. Irish Universities Association.
- IUA. 2014. *21st Century Universities – Performance and Sustainability*, 2014 Irish Universities Association Symposium.
- Kerr, S. 1995. On the Folly of Rewarding A, While Hoping for B, *Academy of Management Executive*, Vol. 9 No. 1.
- Kim, T. 2008. *Changing University Governance and Management in the U.K. and elsewhere under Market Conditions: Issues of Quality Assurance and Accountability*. Intellectual Economics. Brunel University.
- Kogan, M., Bleiklie, I. 2007. 'Organisation and Governance of Universities'. *Higher Education Policy* 20, 477–493.
- Krucken, G. 2011. *A European Perspective on New Modes of University Governance*. International Centre for Higher Education Research (INCHER), University of Kassel, Germany.
- Kwiek, M. 2008. 'Academic Entrepreneurship vs. Changing Governance and Institutional Management Structures at European Universities'. *Policy Futures in Education* Volume 6 Number 6.
- Laredo, P. 2007, *Towards a Third Mission for Universities*. UNESCO Workshop, Université de Paris Est and University of Manchester.
- Lindqvist, M. 2012. 'The Roles of Universities in Regional Development' *News Issue* 2 2012.
- Lomaia, A. 2006. *Educational reforms in Georgia – A Case Study*. Council of Europe Publishing.
- Lucianelli, G. 2013. 'University Governance at the Crossroads: The Italian Case'. *International Journal of Business Research and Development* Vol. 2 No. 2, pp 20-34.
- Neave, G. 2004. 'The Bologna Process and the Evaluative State: a Viticultural Parable'. *UNESCO Forum Occasional Paper Series*, Paper No. 7.
- Parker, L. 2002. It's Been a Pleasure Doing Business With You: A Strategic Analysis and Critique of University Change Management. *Critical Perspectives on Accounting*. 13 (5-6): (pp. 603 – 619)
- Rhodes, F. (2000) *The Glion Declaration 2000: University Governance at the Crossroads*, Saint, W. 2009. *Guiding Universities: Governance and Management Arrangements around the Globe*. Human Development Network, World Bank.
- Sequeira, N. 2015. *Presentation to Irish University Association Institutional Researchers Group*. QS Rankings Organisation/IUA.
- Seven Psychology at Work. 2015. *Competency Framework Review*, Irish Universities Association.
- Smith, P., Babb, J., Bunting, S. 2012. *Final Report on Academic Remuneration*, Hay Group/Irish Universities Association.
- Sursock, A., Smidt 2010. *Trends 2010: A decade of change in European Higher Education*. European Universities Association Publications 2010.
- Trinity College (2007), *Briefing Paper for Trade Unions and Staff Associations Restructuring*, Trinity College Dublin.
- UCD. 2005. *Strategic Plan 2005*. p.20 + 21, University College Dublin.
2015. *Universities Act 1997*, <http://www.irishstatutebook.ie/1997/en/act/pub/0024/>. Irish Statute Book.
- University Academic Restructuring, Hanover Research Council, 2009
- UNESCO. 2004. Managerialism and Evaluation in Higher Education. *UNESCO Forum Occasional Paper Series, Paper No. 7*.

27. ABBREVIATIONS

F/CH	Faculty/College Head(s)
HoS/D	Head(s) of School/Department
DCU	Dublin City University
MU	Maynooth University
NUIG	National University of Ireland, Galway
TCD	Trinity College Dublin
UCC	University College Cork
UCD	University College Dublin
UL	University of Limerick
IUA	Irish Universities Association
EUA	European Universities Association
IOTI	Institutes of Technology Ireland
DIT	Dublin Institute of Technology
HEA	Higher Education Authority (Ireland)
GT	GeorgiaTech
UWA	University of Western Australia
UEF	University of Eastern Finland
UG	University of Glasgow
DES	Department of Education and Skills (Ireland)
HR	Human Resources
L&D	Learning and Development
U.K.	United Kingdom
U.S.	United States of America
LFUK	Leadership Foundation, United Kingdom
OECD	The Organisation for Economic Co-operation and Development

28. ACKNOWLEDGEMENTS

We wish to acknowledge the help of the following whose contribution to the production of this report has been significant and is greatly appreciated.

Ned Costello, Chief Executive, IUA, and IUA staff.
 Tony McMahon, Director of Diversity and Inclusion, TCD.
 IUA Human Resources Director Group Members.
 IUA Registrars Group Members.
 IUA Council Members.
 Irish University Training Network Members.
 Richard Laughlin, University College London.
 Jouni Kekäle, University of Eastern Finland.
 HR and L&D staff in the Irish Universities.
 Dr. Qiantao Zhang.
 Leadership Foundation, U.K.
 Stephanie Fahey, Ernst and Young Australia.
 Jacqui Tuck, Federation University, Ballarat, Australia.

Above all, sincere thanks to those holding F/CH and HoS/D roles who volunteered their time and who were so honest in answering all questions posed to them in interview and focus group settings.



Maynooth University
National University
of Ireland Maynooth



NUI Galway
OÉ Gaillimh



Trinity College Dublin
Coláiste na Tríonóide, Baile Átha Cliath
The University of Dublin



UCC
University College Cork, Ireland
Coláiste na hOllscoile Corcaigh



**UNIVERSITY
of LIMERICK**
HOLYOUE COLLEGE