

## **Guidance on Workload Allocation and the Management of Performance**

***Note: This document should be read in conjunction with the Terms & Conditions of Employment for Academic Staff.***

### **Section 1**

#### **1 The University Mission**

All work undertaken by staff should be in line with the University Mission:

*"The aim of the University of Wolverhampton is to be a first class regional university dedicated to high quality provision.*

*Our priority is to enable and encourage individuals to realise their full potential and to achieve academic excellence through a flexible, innovative and vocationally focused curriculum. The University is committed to making a major contribution to the social and economic prosperity of the West Midlands with its programmes of applied research, technology transfer and consultancy. We strongly support cultural diversity and equality of opportunity in all our activities at home and abroad."*

### **Section 2**

#### **2 Academic Workload Principles**

- 2.1 Each School has an annual plan, approved in March for the following academic year which will include, amongst others, plans for academic developments, student recruitment and retention, the delivery of teaching and learning, third stream activities and international recruitment and delivery.
- 2.2 The plan will result in a more detailed set of plans at the level of the Subject Group or its equivalent. The Subject Group plan will include:
  - the courses and modules delivered within the team
  - current and projected student numbers
  - third stream activities and objectives
  - outreach/community activities and objectives
  - research/scholarship activities and objectives
  - international activities
- 2.3 Each School Plan will identify a number of activities and new developments. Teaching duties and teaching-related administration and management (see Appendix 1) will form the core activities for the majority of academic staff.
- 2.4 Research, Scholarship and Third Stream activities form the flexible element of an individual workload and are subject to the principles of the Performance Management with clear outcome-related objectives and time allocations (See Sections 3.8, 3.9 and 3.10). These objectives, and progress towards them, will be periodically reviewed with a summary assessment completed at the end of each year through the appraisal process.
- 2.5 The determination of the Academic Workload of an individual member of staff, which will include some of the activities described in 2.3 and 2.4, is the

responsibility of the Dean of School and will normally be discharged through appropriate line management.

- 2.6 Academic Workload balancing is a matter of professional judgement, taking into account an individual's experience, skills and aspirations and the need to value and balance a range of different activities. Teaching commitments will be subject to the constraints and considerations as expressed in the academic contract. The teaching element must be based upon actual teaching hours/contact time and incorporate the assumption that one hour of teaching generates approximately one hour of preparation and marking activity.
- 2.7 The planning for the next academic year will normally have been completed by 30<sup>th</sup> June. The individual workload for a member of staff may not be fully determined if there are aspects of delivery in the School Plan which remain unresolved.
- 2.8 Each School will establish a Workload Review Committee to consider complaints from staff regarding their proposed workload - where initial discussions with line management have failed to resolve matters (Appendix 2). It is envisaged that decisions made by the committee will be final. However, this does not affect the right of any individual to seek redress via the university's grievance process.

#### 2.9 Key considerations for Workload Planning

In accordance with the national academic contract in allocating responsibilities, the following factors shall be taken into account.

1. Each Academic will have a clear indication of next year's work commitments by 30<sup>th</sup> June each year, and the work distribution should be known within schools and subject teams.
2. Outcome-related objectives will be established and reviewed for all areas of agreed academic activity (*See Section 3. which follows*). Both the activities and objectives will be established through consultation. In this way individuals are able to participate in determining those commitments.
3. Whilst University and School plan priorities will drive activity and work, all staff will have the opportunity to inform those priorities. (For example, through School Boards, etc..)
4. All individual workloads will be subject to the limitations on weekly teaching hours and annual Workload as described in the Terms & Conditions of Employment (Academic Staff).
5. The factors to be taken into account in determining the workload of an individual lecturer will include:
  - 5.1 Number of modules taught
  - 5.2 Size of modules (number of students and complexity of operations)
  - 5.3 Number of module leaderships held
  - 5.4 Respect for academic interests
  - 5.5 Limit on evening work commitments
  - 5.6 Personal responsibilities
  - 5.7 Reasonable notice of the requirement to teach in new areas/topics
  - 5.8 The 550 hours limit per year for formal scheduled teaching (or equivalent)
  - 5.9 The 18 hours per week limit of formal scheduled teaching
  - 5.10 Other academic duties (eg responsibility for student placements)
  - 5.11 Approved research commitments
  - 5.12 Third stream commitments

- 5.13 International delivery commitments
  - 5.14 Duties as a locally elected Trade Union representative (as per the University Trade Union recognition agreement)
  - 5.15 University specified roles (eg Teaching and Learning Co-ordinators)
  - 5.16 Agreed academic studies (eg Post Graduate Certificate in Learning & Teaching, Masters or PhD studies) Note: *These should be taken into account sufficiently that the formal qualification is realistically achievable.*
  - 5.17 Duties with respect to University promotion and external representation
6. In general, it would be expected that only staff of more than one year's teaching experience, who have not yet been allocated any major administrative responsibility and are not involved to a substantial extent in research or consultancy, would be allocated the largest teaching commitment.
  7. It is not anticipated that any member of staff would be required regularly to teach on more than two evenings per week, unless he or she has volunteered to do so. Normally, the maximum teaching hours in any week should be 18, though there may be an occasional need to exceed this in an individual week by mutual agreement, or there may be exceptional circumstances where an individual member of staff volunteers to exceed this number for a period, with specific reasons.
  8. There is no reason why individual teachers should not have space left unspecified within their planned workload, but available to address new activities which were not quantifiable when the workload was set, or to allow for unforeseen but not fully quantifiable developments. However, this should not be normal practice for all staff every year and should not constitute the typical pattern in a school.
  9. Where a planned module or activity does not go ahead, it is reasonable for staff left with unused time within their planned workload to be asked to undertake a new activity. However, this should follow discussions which have involved the appropriate line management *and* the lecturer concerned.
  10. Planned workloads, and the means of arriving at these, should be fair and equitable.
  11. In all cases, any subsequent request from line management or lecturer for variation from the agreed workload should respect the need for adequate notice. (See Appendix 6)
- 2.10 Each School will publish the method of calculating teaching hours that corresponds to the entitlement of students to class contact and individual academic tutorials. This document will also include the agreed method of calculating what proportion of the time devoted to other pedagogical activities (e.g. field trips and teaching practice supervision) will count as teaching.

### **Section 3 Principles of Performance Management**

- 3.1 Performance Management relates to Teaching, Research, Scholarship, Third Stream activities and Academic Related Management and Administration.
- 3.2 The principle of Performance Management is to agree a set of outcome objectives, which are reviewed periodically.

- 3.3 The term "Performance Management" does not imply nor intend the use of Performance-related Pay.
- 3.4 The outcome objectives will be the delivery arm of the University Planning (and Delivery) Process as described in Appendix 3.
- 3.5 The Dean will determine the School outcome objectives as part of the planning cycle and will broadly allocate objectives to teams or individuals.
- 3.6 Performance management of teaching will be expressed by module delivery and an indication of the numbers of students expected to be enrolled on the module.
- 3.7 As part of this process, agreed outcome objectives will be agreed for the Self-Managed Research and Scholarly Activity (SMRSA) for each member of staff.
- 3.8 Specific Research activity will normally be through approved secondment to one of the Research Institutes, or exceptionally by an allocation of time by the School. For RI secondments, a member of staff will normally be seconded for a proportion of their total workload for an agreed period of time. These will be by agreement between the individual researcher, their Dean and the Director of the RI. For both RI secondments and School allocations there will be agreed research outcomes, which may include:
1. PhD supervision
  2. Publication in referred journals
  3. Grant applications
  4. Conference papers
  5. Other national and international activity
- 3.9 Third Stream activity will be managed through the Performance Management Process recognising the special skills, aptitude and interest that are often required. Outcomes will relate to specific activity and may be expressed in a wide variety of ways which may include:
1. External income generation
  2. External reports and consultancies
  3. Overseas course delivery
  4. Funding application
- 3.10 Pedagogic research and development will normally be through approved CeLT-funded projects and will normally be expressed through a fractional secondment. School-based pedagogic projects may also be initiated to meet specific School requirements. In both cases, outcomes will relate to clearly defined pedagogic developments, evaluation and research. These may include:
1. Publications in educational journals
  2. Presentations at conferences
  3. Internal publication/note on educational methods or evaluations
  4. Development of specific learning materials
  5. Module(s) mounted on WOLF

#### **Section 4 Proportioning of the Academic Workload**

- 4.1 The proportion of time an individual should devote to any of these activities is a matter for professional judgement, which is necessarily made on an individual basis, bearing in mind the needs of both the individual lecturer and the institution.

- 4.2 The academic workload is subject to agreed national limits expressed as contact teaching hours.
- 4.3 The academic workload will include some combination of the following elements:
1. Scheduled Teaching
  2. Teaching-related preparation and marking
  3. SMRSA
  4. Specific Research Activity
  5. Third Stream Activity
  6. Pedagogic Research and Development
  7. Staff Development for New Starters
  8. Personal Tutor Allocation
  9. Academic Administration and Management
  10. Non Specific Duties (see Appendix 5)
- 4.4 As per the national contract, on the matter of the working week, it is not appropriate in a professional contract to be specific as to the exact hours of availability for duties. However a reasonable norm may be helpful, although this should not be regarded as either a minimum or a maximum.
- 4.5 To assist in the proportioning of the Academic Workload, a notional working week of 37½ hours is used to represent the annual balance of workload. This is shown schematically in Appendix 4.
- 4.6 The process of Academic Workload planning can be considered to apply on an annual basis to the sum of the time available for formal scheduled teaching (550 hours max) plus the directly related Teaching Preparation and marking (on a one-for-one hourly basis) (550 hours max) plus the remaining flexible capacity (242.5 hours). In the illustrative example, this results in an allocated workload of 1342.5 hours based on the notional 37.5 hour week. (See Appendix 4)

Footnote: The rather strange figure of 1342.5 hours arises as follows:

Working year = 42.6 weeks x 37.5 hours	=	1597.5 hours
Notional agreed allocations for:		
Self-managed Scholarship and Research 4.8 weeks x 37.5 hours	=	180 hours
Teaching-related Administration 2 weeks x 37.5 hours	=	75 hours
		1342.5 hours

- 4.7 Time allocations for the various elements identified in 4.3 are determined as follows (expressed as actual hours):-
1. Scheduled Teaching contact hours (X hours)
  2. Teaching-Related Preparation & Marking (X hours)
  3. SMRSA (180 hours)
  4. Specific Research Activity (SRA hours)
  5. Third Stream Activity (TSA hours)
  6. Pedagogic Research and Development (PRD hours)

- 7. Staff Development for New Starters (SDNS hours)
- 8. Personal Tutor Allocation (50 hours)
- 9. Academic Administration and Management (AAM hours)
- 10. Non-Specific Duties (NSD hours)

4.8 The detailed process of allocation will vary but it is probable that for the majority of staff the Scheduled Teaching and Teaching Related Preparation & Marking will be determined first resulting in an annual load of 2X hours (where  $2X + 50 \leq 1100$  hours)

4.9 The balance of other activities will result in an individual workload having some of the following elements, adding up to 1342.5 hours in the illustrative example (using the notional 37½ hour working week):

$$2X + 50 + (\text{SRA}) + (\text{TSA}) + (\text{PRD}) + (\text{SDNS}) + (\text{AAM}) + (\text{NSD})$$

4.10 In arriving at the appropriate workload balance for an individual member of staff, managers will take into account a range of other non-specific duties academic staff engage in on an individual basis normally associated with the notional time for Teaching Related Administration (75 hours) and the Flexible Capacity (242.5 hours minimum). An indication of what should be taken into account within the category of non-specific duties is shown in Appendix 5. The result of this accommodation is that for any member of staff having the maximum teaching load of 525 actual hours it would not be reasonable to expect them to take on any other significant duties (such as Academic Administration and Management role or third stream activities).

4.11 Development for new Starters

Special arrangements will be made for new starters in Higher Education in recognition of their need for additional preparation time and to encourage further personal professional development by the completion of higher academic awards.

For staff who are new to HE they will receive an allocation of 200 hours in year 1 and 100 hours in year 2. Additionally they may also be eligible for 200 hours in year 1 and 100 hours in year 2 to follow an approved programme of study leading to a higher degree (Taught Masters, MPhil or PhD).

i.e.	Year 1	Year 2
New Starter Allowance	200	100
Qualification Allowance	<u>200</u>	<u>100</u>
	400 hours	200 hours

4.12 Personal Tutor

Each member of Academic staff will receive an allocation of 50 hours to enable them to act as a Personal Tutor for a group of students in line with Academic Board Policy. This allocation is transferable if the member of staff has a substantial secondment (See Sections 3.8, 3.9 and 3.10), which prevents them from acting as a Personal Tutor.

## **Section 5    Workload Planning and Appraisal**

- 5.1 The proportioning of the Academic Workload is completed on an annual cycle and determines the workload and required outcomes for the coming year.
- 5.2 The Appraisal process has three outcomes:
- i)            Performance Review
  - ii)          Agreed and Prioritised Key Areas and Objectives
  - iii)         Staff Development and Support Plan
- 5.3 Academic Workload Planning contributes to the objectives for the forthcoming year and is undertaken after annual appraisal.

## **Academic Administration and Management**

Academic staff are expected to complete administration associated with their own teaching and this is recognised in the Teaching Related Administrative time of 2 weeks (or 75 hours).

In addition some staff may undertake Academic Administration and Management. They may also undertake other duties related to the external promotion, marketing and admission.

This paper groups similar roles within generic groups and indicates an annual time allocation.

### **GROUP A**

#### **Division Leader, Subject Leader, Head of Department.**

Involves, for example, management of human resources, curriculum development, physical resource, assessment boards, quality assurance and local planning process.

	<u>Medium</u>	<u>Large</u>
	250 hours	500 hours
fte staff	5-15	16+

### **GROUP B**

#### **Award Leader, Pathway Leader, Year Tutor.**

These are responsible for leadership of academic frameworks and could normally be defined around the University terminology of the Award where a number of Awards could form a Scheme.

	<u>Small</u>	<u>Medium</u>	<u>Large</u>
	75 hours	150 hours	300 hours
fte students	up to 150	151-450	over 450

### **GROUP C**

Admissions, Marketing and External Liaison.

A range of roles undertaken academic staff, often in close partnership with administrative staff, which are broadly involved with external liaison, outreach work leading to increased participation, academic marketing and admissions.

An allocation range between 100 and 200 hours is recommended depending upon the individual workload.



## **Workload Review Committee**

### Outline & Purpose

Under the arrangements for Academic Workload planning, each School will have a Workload Review Committee (WRC) comprising the Dean (or his/her nominee), the School Teaching/ Learning Co-ordinator; a Reader/Professor and a NATFHE representative who is a member of the teaching staff and is chosen by the staff of the School. This Committee will meet, as required, to consider complaints from staff that their planned workload or any proposed changes to workload are unreasonable or unfair. The purpose of the committee is to resolve such disputes to the mutual satisfaction of relevant parties, or to provide a clear explanation as to why this has not proven possible. Note: All members of the WRC must be present in order for the meetings to take place.

It is envisaged that decisions made by the committee will be final, however, this does not affect the right of any individual to seek redress via the university's grievance process.

### Lodging an Objection

As a pre-requisite, in order to be eligible to have their issues considered by the WRC, any staff member who objects to their planned workload or any proposed changes must first have exhausted negotiations on the subject with their immediate line management. Management must respond within two weeks of an objection being lodged.

In lodging their WRC objection they must provide the committee with a brief written note summarising two main areas:

- the main points of contention regarding the workload
- the explanation and response that line management has so far provided

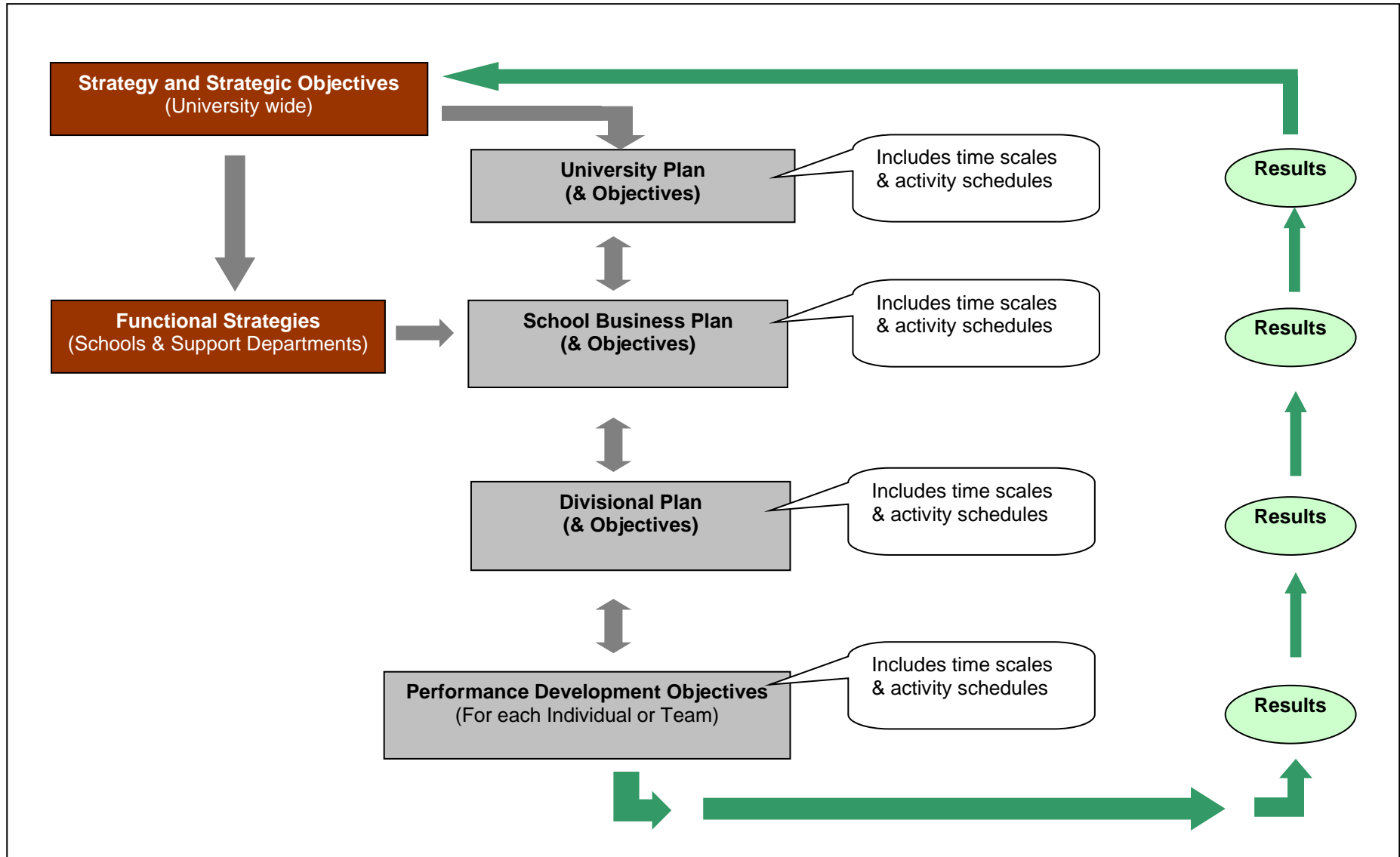
### WRC Meeting & Output

Once this brief written submission has been provided to the WRC, it will ask the relevant line management to provide brief written comments or explanation on the points raised. Once this is received, the committee will then arrange a meeting as soon as possible and seek to reach a decision based upon the written detail. If this is not possible then the committee can reconvene with both parties present in order to resolve the matter.

### Continuity Record

A brief written record of each case summary and decision will be maintained by each WRC and used as reference material to inform future considerations and decision making. In this way the WRC will maintain a visible and consistent basis of principles that inform their judgement and decisions university-wide.

# University Planning Process



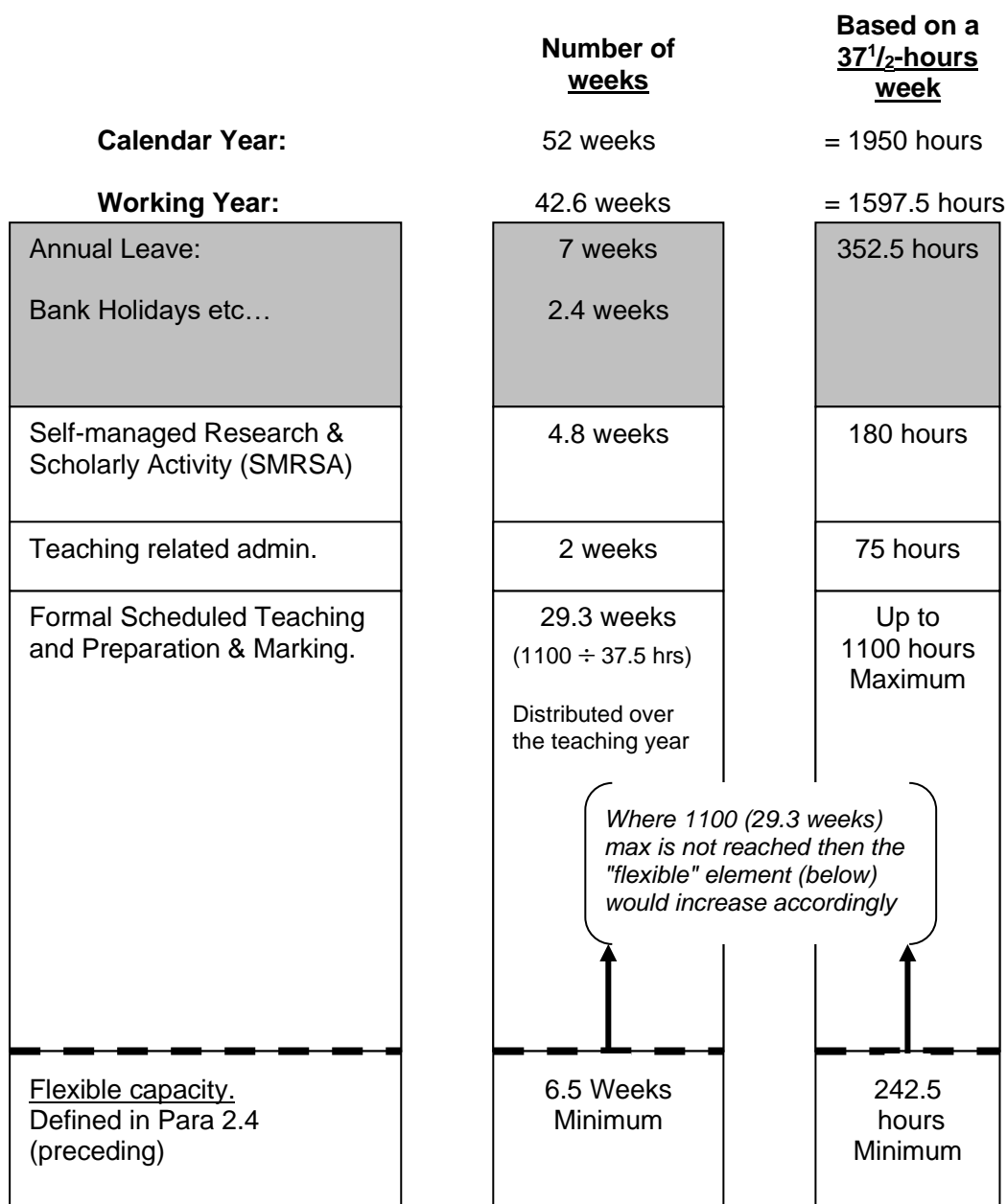
# The Proportioning of Academic Workload

## The Academic Year

The following representation is designed to illustrate the extent and potential content of an individual academic's working year. In order to do this, a notional example of a working week (based on 37<sup>1</sup>/<sub>2</sub> hours) have been used as a guiding benchmark however, it should be noted that no such actuality is specified within the National Academic Contract nor should it be inferred from this document:

*"On the matter of the working week, it is not appropriate in a professional contract to be specific as to the exact hours of availability for duties... . However... a reasonable norm may be helpful... it is not to be regarded as either a minimum or maximum."*

*National Academic Contract:  
Working Hours Section, Para 1.3.1*



## **Non-Specific Duties**

The following activities should be considered within the workload balance for an individual member of staff as appropriate:

Obligatory training and staff development  
Subject Boards and related activity  
Academic meetings and communications  
Appraisal  
Open Days  
Clearing  
Module leadership  
and Internal moderation of student work

## **CALENDARS & NOTICE**

Each Dean will publish a calendar in June for the next academic year. The calendar will show the dates of the main teaching programmes in the Schools, Bank Holidays and University closure dates, and the dates, which will be available for annual leave and SMRSA time for the majority of academic staff. Deans will discuss the need for variations, for example to cover Clearing, with the staff affected.

Once leave dates and SMRSA dates have been established, requests for variation may be made by academic staff, giving two months notice in the case of annual leave and two weeks notice in the case of SMRSA time. Reasonable requests which take into account the needs of the School in general, and co-workers in particular will not be refused by the Dean.

Deans may also ask staff to vary their leave and SMRSA dates, giving two months notice in the case of annual leave and two weeks notice in the case of SMRSA time. Such requests from the Dean must be fully discussed with the lecturer concerned and the alternative arrangements for leave and SMRSA must be reasonable.