



Professionalising Research Management

John Green and David Langley

HIGHER EDUCATION
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Preface

This study was commissioned and jointly funded by the Higher Education Funding Council for England (HEFCE) and the Medical Research Council (MRC). It has been conducted with the support of Imperial College London and the University of Bristol. We have also received assistance from John Kirkland and Julie Stackhouse at the Association of Commonwealth Universities (ACU), Ewart Wooldridge and Lesly Huxley at the Leadership Foundation for Higher Education (LFHE), and Tracy Allan and Kath Thompson at HEFCE.

The leaders of the project were Dr John Green (Chief Co-ordinating Officer, Imperial College London) and Dr David Langley (Director, Research and Enterprise Development, University of Bristol).

This study involved a series of interviews with staff at twenty English universities. We are grateful to all those who agreed to participate and to those who helped arrange interviews.

The following people provided invaluable skills and time in the compilation and formulation of this report: Scott Rutherford, Thomas Turner, Graeme Rae, Becca Tilling.

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Glossary of terms

A) A variety of office names and job titles are in use at universities across England. As there is no standardisation of nomenclature, for clarity this study will use the following terms:

Research Management: Refers to all administrative and operational functions dealing with the management of research. It covers pre- and post-award management, contractual arrangements, and can include any functions related to Intellectual Property, Business Development, spinout companies, and Technology Transfer.

Research Office: Refers to administrative and operational offices within universities that are engaged in the management of research.

Director of Research Services: Refers to the administrative staff member leading the management of research.

Research Strategy: Refers to a clear set of defined institutional aims and objectives for research, with specified targets and outcomes, most usually in agreed documentary form and drawn up by the managing executive team of the institution. This may be an element of a larger institutional strategy or a strategy related specifically to research.

Research Income: Refers to the (annual) amount a university receives as income in order to execute research contracts (and therefore is the amount invoiced for research contracts by itself to funders). It includes, but is not restricted to, funding from the seven UK research councils, the government, charities, and commercial or industrial organisations and relates to that which is counted as research for funding purposes by HEFCE.¹

Research Committee: Refers to a committee that monitors research activity within an institution, and which may also establish and monitor the Research Strategy.

B) This study refers to a number of training and support organisations and to a range of positions within university administration. These are referred to by their full name in the first instance and by a recognised acronym thereafter:

ACU: Association of Commonwealth Universities
www.acu.ac.uk

AHUA: Association of Heads of University Administration
www.ahua.ac.uk

ARCIS: Association of Research Centres in the Social Sciences
www.arciss.ac.uk

ARMA: Association for Research Managers and Administrators
www.arma.ac.uk

AUA: Association of University Administrators
www.aua.ac.uk

AUDE: Association of University Directors of Estates
live.aude.netxtra.net/home

AURIL: Association for University Research and Industry Links
www.auril.org.uk/pages/home.php

BUFDG: British University Finance Directors' Group
www.bufdg.ac.uk

CHEMPaS: Centre for Higher Education Management and Policy at Southampton
www.chempas.soton.ac.uk

CPD: Continuing professional development

EARMA: European Association of Research Managers and Administrators
www.earma.org

EU: European Union
cordis.europa.eu/home_en.html

FTE: Full time equivalent

GRMN: Global Research Management Network
www.globalrmn.org

HEFCs: Higher Education Funding Councils

HEFCE: Higher Education Funding Council for England
www.hefce.ac.uk

HEIDI: Higher Education Information Database for Institutions
heidi.hesa.ac.uk

HESA: Higher Education Statistics Agency
www.hesa.ac.uk

IKT: Institute of Knowledge Transfer
www.ikt.org.uk

LFHE: Leadership Foundation for Higher Education
www.lfhe.ac.uk

Praxis
www.praxiscourses.org.uk

PVC: Pro Vice Chancellor

PVCE: Pro Vice Chancellor for Enterprise

PVCR: Pro Vice Chancellor for Research

RAE: Research Assessment Exercise
www.rae.ac.uk

SRA: Society of Research Administrators International
www.srainternational.org/sra03/index.cfm

UKRO: United Kingdom Research Office
www.ukro.ac.uk

Unico
www.unico.org.uk/about

VC: Vice Chancellor

C) Any unattributed graphs are based on the results of this study. In some instances this data has been combined with data drawn from the Higher Education Statistics Agency (HESA) Higher Education Information Database for Institutions (HEIDI). All other data used is attributed in an endnote.

Contents

1	Introduction	4
1.1	Background to the project	4
1.2	Project objectives	5
2	Research and project methodology	6
2.1	Approach to the research study	6
2.2	Selecting the sample	6
2.3	About the sample	7
2.4	Collecting data	8
3	Research findings	10
3.1	The context within which research is managed	10
3.1.1	Strategy	10
3.1.2	Structure	10
3.1.3	Perceptions of Research Management	13
3.1.4	Recruitment	14
3.1.5	Training	15
3.2	Implications of the context within which research is currently managed	16
3.3	Professionalising Research Management	16
3.3.1	Demand for a professional Research Management framework	16
3.3.2	Current training provision	17
3.3.3	Professional accreditation	18
4	Conclusions	19
	Notes	21
	Annex 1 English university Research Income 2006/07	22
	Annex 2 Research Office structures	23
	Annex 3 UK training providers	24
	Annex 4 Standard question list	30
	Annex 5 Interview results	32
	Annex 6 Bibliography	38

1 Introduction

1.1 Background to the project

1.1.1 Universities are recognised by governments worldwide as crucial national assets within an international environment. They fulfil a broad range of activities within the socio-economic context: developing skilled personnel, attracting talent and investment and providing sources of new knowledge and innovation.² As such universities have evolved into highly complex organisations, striving to service the external demands of public and private paymasters and balancing the needs of their internal communities. For all the complexity and competing demands within universities, teaching and research activities are the core business. In particular, externally sponsored research activity has gained increasing prominence in recent decades as universities have sought to increase (and diversify) revenue streams and reduce dependency on block government funding for research (Figure 1). Research is critical for expanding the university knowledge base, driving improvements in teaching quality and facilitating advancements for societal and commercial gains. Research activity is crucial for building a reputation for excellence as a university.

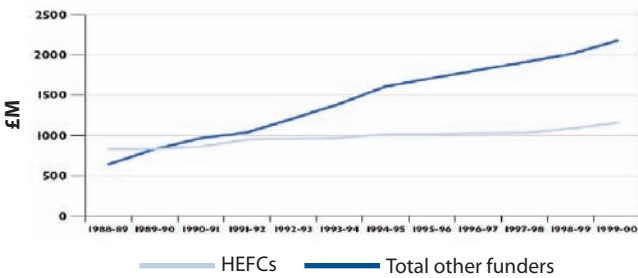


FIGURE 1: Total UK university funding sources³

1.1.2 Developing and sustaining a research portfolio is not straightforward. The landscape in which research grants and contracts are bid for and won has become increasingly competitive and global in nature. Universities that are successful in securing research funding are required to fulfil a range of obligations: research grants and contracts are heavily audited, rigorously monitored and often tied to tightly negotiated milestones and deliverables. At a broader level universities are heavily regulated and scrutinised by governments who seek value and transparency for taxpayer monies. Mechanisms such as the Research Assessment Exercise (RAE) place significant demands on universities to ensure they demonstrate quality and value-added outputs in the research they undertake. Together such competitiveness, complexity and scrutiny within the research arena have created a need to manage the research portfolio more closely. Activities that might once have been left to academic researchers are now more closely integrated with

strategic corporate objectives and require dedicated support services. It is at this interface, between academic research and corporate management, that research support units find themselves.

1.1.3 As a consequence of this, the functions of the Research Office and the demands on staff working in Research Management have become increasingly varied, embracing a number of different activities. A recent definition of Research Management suggested that:

“Research management embraces anything that universities can do to maximise the impact of their research activity. It includes assistance in identifying new sources of funds, presenting research applications and advice on costing projects and negotiating contracts with external sponsors. It incorporates project management and financial control systems. It also involves help in exploiting research results - through commercialisation, knowledge exchange and dissemination to wider society.”⁴

Research Offices carry out many of the following functions:⁵

- Research Strategy and themes
- Horizon scanning
- RAE and metrics
- Benchmarking
- Pre-award skills, research development and costing methodologies
- Internal peer review
- Contract negotiation
- Post award management and adherence to funder and statutory terms and conditions
- Audit (e.g. European Union, research council dipsticks, research governance)
- Specialist knowledge about individual and collaborative disciplines
- Networking with funders
- Portfolio management and reporting, trend analysis
- Project management of large contracts and bids
- Clinical research and governance
- European funded research
- Knowledge Transfer and Intellectual Property
- Spin outs and commercialisation
- Consultancy
- Business systems
- Management information and reporting

As a result, research support staff are involved in a wide variety of roles and tasks, as shown in Figure 2.

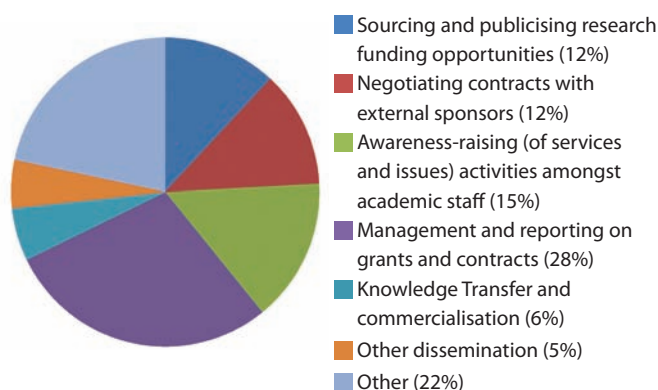


FIGURE 2: Research Management staff activities⁶

- 1.1.4 Research Management has developed in line with the trends affecting research itself. Competitive academic environments require efficient and responsive research support teams. Increasing breadth and complexity in the research portfolio requires broad yet specialist skills and knowledge to deliver effective support. Increasing regulation requires active management and measurement of both academic and administrative support. With such demands, it is surprising that the UK higher education sector is typified by a lack of professional training, qualifications, and clear career progression within Research Management. This results in difficulties in recruiting candidates of the requisite calibre and retaining and developing existing staff.⁷ This is in stark contrast to Research Management in the United States, where university administrators involved in supporting research are considered members of a professional community that provides accredited training and nationally recognised qualifications. However, Research Management in the United States is, unsurprisingly, greater in size. In the UK, the Association for Research Managers and Administrators (ARMA) has around a thousand members; the equivalent organisation in the United States, the Society of Research Administrators International (SRA) has four times as many active members and represents a far larger community of people working in Research Management.⁸
- 1.1.5 There is a specific need to consider how the sector translates good practice and supports staff and senior managers involved in Research Management. There are a variety of stakeholders who have an interest in how research is supported, not least those funding and undertaking the research itself. As such there is considerable scope to evaluate the possibility of recognising Research Management as a professional activity and, if sufficient demand exists for such a framework, exploring how this might be delivered through nationally recognised training and development initiatives.

1.2 Project objectives

- 1.2.1 This study seeks to evaluate two broad objectives: first, to identify the demand within English universities for the development of a professional framework of training for Research Management; and, second, to explore approaches to addressing any identified demand.
- 1.2.2 Through interviews with leading figures from a range of universities, this study explores how Research Management has developed, how it has been shaped and exists today, and how staff involved in supporting research are recognised by functional peers and academic customers. By better understanding these factors, the core objectives outlined above can be put in a useful context that contributes to a holistic study. An understanding of the context will help understand how demand for a professional framework might be addressed. For example, this study seeks to understand whether research support is as clearly defined, structured and recognised as Finance or Human Resources departments, or whether there are differences across administrative sectors that require consideration when formulating a professional framework that could deliver appropriate training.
- 1.2.3 While identifying whether demand exists for 'professionalising' Research Management is a broad objective of this study, more specifically this research aims to assess the strength of that demand and to establish whether or not consensus of opinion exists in how professional training might be delivered. An appraisal of existing sector frameworks and communities has been carried out and potential partnerships and stakeholders identified.

2 Research and project methodology

2.1 Approach to the research study

2.1.1 An inductive approach to research has been adopted in this study.⁹ No specific theory or hypothesis is being tested as part of this research. Instead, information has been collected in an attempt to arrive at key conclusions that can be related back to existing theories or to develop new concepts.

2.2 Selecting the sample

2.2.1 There are 166 higher education institutes within the UK listed on HERO, the higher education gateway website.¹⁰ This number comprises a variety of organisations involved in higher education such as universities, institutes and specialist colleges. Within this total number the majority, approximately 130, are in England, and a relatively small number are in Scotland, Wales and Northern Ireland. The *UK Higher Education Research Yearbook 2007* lists ninety-nine institutions within England that are considered research active (i.e. they receive funding to carry out research-related activities).¹¹ In total, thirteen of the ninety-nine institutions listed in the *Yearbook 2007* are not classified with a university status. This reconciles accurately to current data available from the Higher Education Funding Council for England (HEFCE) which lists the same eighty-six English universities to whom it distributes funding for research-related activities.¹²

2.2.2 Having established the total size of the higher education sector within England and identified eighty-six universities that receive research funding, the next step was to select a robust and representative sample. A sample size of 25% was identified as large enough to give confidence in the statistical significance of any cross-sector data and trends identified, balanced with the time available to complete the study. It was decided that twenty-one institutions, of the eighty-six universities that receive research funding, would be approached to participate in the study. The twenty-one institutions were then selected against the following criteria:

- Total turnover
- Amount of externally sponsored Research Income
- Age of institution
- Geographic location
- Total number of students

2.2.3 The total turnover of an organisation is a key indicator of size and scale of operations. To avoid a bias in this study towards large or small size institutions the sample was selected to cover institutions with a turnover (financial year 2006/2007) of between £0 and £50M, £151M to £250M and over £250M. The size

of externally funded research secured by universities differs greatly and a relatively small number of large institutions secure the majority of available external Research Income (Annex 1). Universities were selected to ensure an even spread of external Research Income using four broad categories: £0-£10M, £10-£50M, £50-£100M and those in excess of £100M. It could be argued that comparisons between universities with such differences in scale is not necessarily comparing like with like. However, it is equally plausible that the challenges of Research Management are similar across universities regardless of size. Ensuring that a range of institutional ages were captured in the sample was also an important consideration. Institutions that existed before 1960 are more likely to have a history of research funding and thus are characterised by opportunities for growth and breadth in developing a research portfolio. Whilst this might lead to greater experience in developing Research Management, it would not be a representative sample without including a range of university ages. As such, institutions were selected from those founded before 1960, between 1960 and 1991, and after 1992. Universities were selected from a variety of locations across England to account for any local distinctions and to avoid bias in any particular area of England. Although student numbers do not necessarily impact on a university's research portfolio, the tension between teaching and research exists across the sector. The bias for one over the other is a significant part of an institution's profile, and so finally, because of their significance in this context, student numbers were also taken into account when selecting the sample. Figure 3 shows a summary of the sample selection.

Selection criteria	Number of institutions
Total turnover 2006/07 (£)	
0-150M	6
151M-250M	8
250M+	7
Amount of externally funded Research Income 2006/07 (£)	
0-10M	7
10-50M	7
50M-100M	4
100M +	3
Age of institution	
Pre-1960	7
1960-1991	7
Post-1992	7
Geographic location	
North East	2
North West	3
North	3
Midlands	6
South East	6
South West	3
Total number of students	
0-15,000	6
15,001-30,000	9
30,001+	6

FIGURE 3: Breakdown of the initial sample institutions by selection criteria

2.3 About the sample

2.3.1 In 2006/07 approximately £2.7bn of external research funding was given to higher education organisations in England. The sample selected for this study represented some £908M of that funding, accounting for roughly a third of this total value. Thus, the number of universities selected for the sample accounts for a disproportional amount of value: essentially the average value of Research Income for the sample selection is higher than that of England as a whole and this trend is consistent over the past six years (Figure 4).

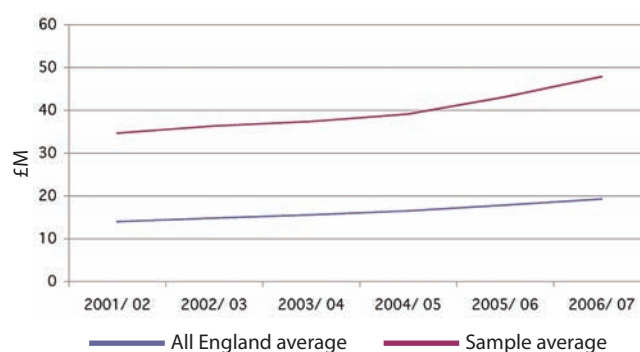


FIGURE 4: Average Research Income of sample compared to all England average¹³

2.3.2 Similarly, the ratio of Research Income to total turnover for the sample is higher than the average for all English universities (see Figure 5) as is the case for Research Income per academic full-time equivalent (see Figure 6). This bias is because the sample specifically includes universities with high levels of Research Income in what is a sub-set of all English universities. As there is a relatively small number of universities with high levels of external Research Income (Annex 1) this inevitably skews the data sets for the sample chosen.

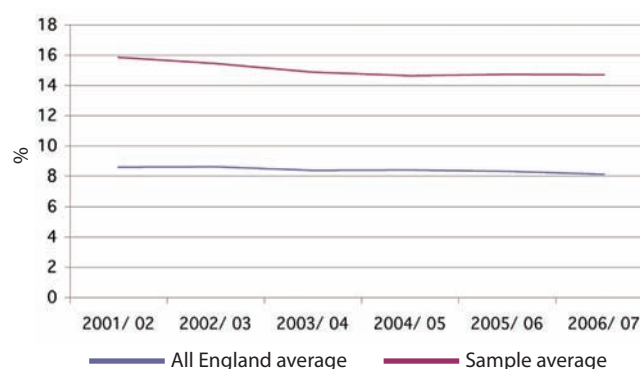


FIGURE 5: Ratio of Research Income to total income of sample compared to all England average¹⁴

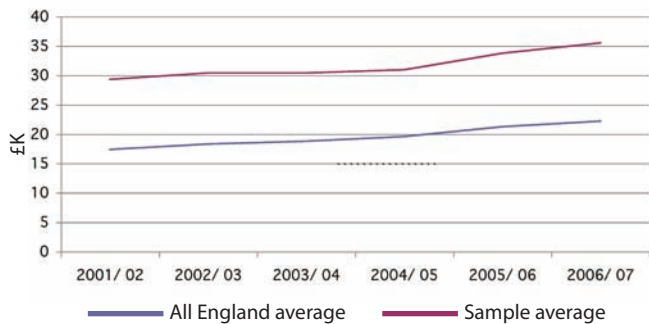


FIGURE 6: Research Income per academic FTE for sample compared to all England average¹⁵

2.3.3 While the sample displays a bias towards higher levels of Research Income, for the six year period in which data for the sample has been analysed the trends are markedly similar. For example, levels of Research Income have increased across all English higher education institutions particularly since 2004/05, and, though it is more pronounced, this is reflected in the sample selection (Figure 4 and Figure 6). Similarly Research Income as a percentage of total income has fluctuated very little in recent years for both the sample selection and across all English universities. The slight decline in this ratio over the full six years is slightly more pronounced for the sample but this is to be expected given that fluctuations will be more apparent in a smaller group of institutions.

2.3.4 It should be recognised that a small number of English universities receive the highest levels of Research Income, while many more are in receipt of relatively low levels of Research Income – the ‘long tail’ pattern (Annex 1). A strictly representative sample, based on the number of institutions receiving funding at each level, would have meant that the sample was dominated by universities with low levels of Research Income and that some research-intensive universities were omitted. It was therefore felt that a more complete picture of the sector could be achieved by skewing the sample toward those with higher levels of Research Income.

2.4 Collecting data

2.4.1 Initially letters were sent to Vice Chancellors (VCs) and Directors of Research at each of the twenty-one target institutions. These explained the background and objectives of the study and invited them to participate. Of the initial selection, four institutions declined to take part. These were replaced with four comparable alternative institutions, all of which were sent the same background invitation letters and all of which agreed to participate. Interviews were then arranged at each university. One institution dropped

out late in the study and was not replaced, reducing the sample to twenty institutions. Due to difficulties in co-ordinating availability it was not possible to interview VCs at many institutions, but senior academic staff, such as Pro Vice Chancellors (PVCs), were able to deputise on all occasions. Interviews were also attended by members of the senior management team within the Research Office. For each university, with three exceptions, this included the Director of Research Services and in most cases one or two senior research managers were also interviewed. At all but two institutions either the VC or PVC was interviewed alongside the Director of Research Services, meaning that the views of both the academic and administrative research lead were captured. A summary of those interviewed is included below (Figure 7).

Role	Number of interviewees
Vice Chancellor	2
Pro Vice Chancellor for Research	17
Director of Research Services	15
Senior Research Management	17
Total	51

FIGURE 7: Breakdown of interviewee numbers by role

2.4.2 Before each visit a pack of secondary data was compiled. In keeping with most public sector organisations, a large amount of data was available for download from each university website. Copies were taken of annual accounts, strategic or corporate plans, and biographical sketches of senior interviewees, together with data from statutory reports. Examples of such reports included annual returns to the Higher Education Statistics Agency (HESA), results from the Research Assessment Exercise (RAE) and recent analysis from Evidence, a company specializing in data analysis and reports focusing on the international research base.¹⁶

2.4.3 Interviews were conducted on a semi-structured basis and covered a broad range of topics including strategy, structures, perceptions, communication and performance measurement. To ensure consistency, a standard question list was prepared to be used at each interview (Annex 4). In practice, it was felt that presenting interviewees with a long list of questions was not the best method to collect information, and so the prepared questions were used as broad topic areas for discussion and not all were asked specifically at each interview.

2.4.4 The interviews were conducted in a single group session and on average lasted for two hours. At all but one there were two interviewers, at least one of whom was one of the project leaders. Independent notes were taken by both interviewers. These were

- compared and collated following the interview and were checked by another member of the project team for bias. Detailed notes that summarised and represented the outcomes of the interview were then agreed. In conjunction with this a high level indicative spreadsheet was devised to capture broad measures in areas that had more quantitative elements (Annex 5).
- 2.4.5 Much has been written on the advantages and disadvantages of interviews as a method of data collection. In this study interviews fitted with the exploratory nature of the research and the need to seek new insights about the sample universities. Interviews are inherently adaptable and a skilful interviewer can follow up particular ideas, probe responses and investigate motives and feelings.¹⁷ Other indicators such as body language, hesitancy or the use of metaphors can be picked up through face-to-face interviews and would not be possible through other mechanisms such as surveys. Interviews also offer each interviewee the opportunity to ‘think aloud’ and uncover issues not previously thought about, which can contribute to a rich set of data.¹⁸ This was certainly apparent during the course of this study and as one PVCR commented, “this [interview] has been something akin to organisational therapy” (University I).
- 2.4.6 There are a number of pitfalls to be negotiated when adopting an interview-based study. While it is important to avoid leading questions and bias during interviews, it must also be acknowledged that interviewees can inadvertently contribute to bias by concealing answers when pushed on sensitive topics of conversation.¹⁹ In some ways, it would seem that the only way to combat these issues is for the interviewer to be aware of the potential for bias both when formulating questions and undertaking interviews. Certainly, during this study the interviewers were keen to try and avoid bias, and vetted the questions with colleagues before settling upon a final list. During interviews, effort was made to ensure questioning was consistent and did not steer answers in a certain direction through tone or body language. Checking back interview transcripts to factual documentation, such as organisation charts or strategic plans, for example, was a further attempt to ensure reliability.
- 2.4.7 Feedback was collated from each interview and the findings were written up. In some cases the interviewees provided further supplementary data post-interview, such as organisation charts or more recent strategic plans, which were used to validate or amend interview write-ups as necessary.
- 2.4.8 Summary profiles of responses from each institution interviewed in this study are available in Annex 5.
- 2.4.9 Interviewees were assured of their anonymity in advance of all meetings and some editing of comments has been carried out to preserve this. Where necessary, quotations have been lightly edited to remove repetitions and non-standard English.

3 Research findings

3.1 The context within which research is managed

3.1.1 Strategy

3.1.1.1 Nineteen of the twenty universities visited in this study were found to have a dedicated, published Research Strategy. However confidence in the effectiveness of having a Research Strategy was at best inconclusive and at worst very low. Only four of the institutions interviewed felt they had fully achieved their strategic research objectives, with most others indicating that their Research Strategy was either under review or likely to be reviewed in the near future. It was also found that only half of the universities in the sample had a dedicated strategic research budget that could be deployed *ad hoc* to support strategic objectives. Moreover, in those institutions where a discrete strategic research budget had been established the amount of money available varied considerably. While it is not possible to draw conclusions as to whether the existence or size of a strategic research budget has an impact upon the effectiveness of strategy itself, certainly those institutions with a strategic budget and a clear process for devising strategy were more confident that their strategic aims had been achieved (University C, University D, University T).

3.1.1.2 The method by which Research Strategies were developed varied across the sample. While all institutions with a Research Strategy in place had an established Research Committee, the involvement of this group as part of the strategy process varied greatly. In over half of the institutions interviewed Research Strategy was agreed by a VC's committee or equivalent without prior routing through a Research Committee, and in one institution was determined by a handpicked "PVC's advisory group" (University T). In four instances, however, the Research Committee was critical to the strategy-making process, and had responsibility for coordinating activities within academic departments and for authorising the final strategy document. It is possible that the variation in devising strategy is linked to the variation that was found within this study in the role of the Research Committee itself. The remit of the Research Committee is largely specific to each institution with different levels of strategic and operational responsibility mixed with institutional governance duties. In institutions where the role of the Research Committee was not clear or where academic committees continued to hold sway there was a tendency for strategy to become too broad or ill-defined. As one interviewee described:

"Committee structures still rule... but we are beginning the process of refreshing our research and Knowledge Transfer strategy with an emphasis this time on deliverables and actions rather than broad strategic themes." (University B)

The role of the Research Committee, and the direction of a Research Strategy, was also influenced by institutional precedent. One interviewee commented that strategy was often "constrained by the history of the institution" (University T).

3.1.1.3 In instances where the Research Committee was responsible for coordinating research, and particularly in cases where strategy sub-groups were created in tandem with the Research Committee, strategy formulation was more coherent. This was demonstrated clearly by three institutions in the study (University C, University D, University T) where strategic documentation included specific strategic deliverables and methods for reviewing performance within the strategic framework. As one interviewee commented, "the Research Committee makes decisions and sets strategy... it actually does something" (University C). Conversely, there were indications that strategy has significantly less impact when institutions do not coherently manage the strategy-making process and when there is a lack of engagement from the bottom of the organisation upwards:

"Having a strategy doesn't make a difference on the ground but it is important that it is published and that it exists for Council to monitor it." (University E)

3.1.1.4 The 2008 RAE had a strong influence on strategy. Such measures inevitably drive strategy formulation and the behaviour of universities. Some institutions reflected that RAE 2008 was overly prominent when devising strategy. As one institution suggested:

"We focussed our 2008-09 strategy on delivering a strong RAE result, but actually this should have been an outcome of delivering good research." (University T)

3.1.2 Structure

3.1.2.1 The findings illustrate areas of consistency and variation in the organisation of Research Management. Every institution interviewed had dedicated academic and administrative leadership for research support through a PVC (or equivalent) and a Director of Research Services. The relationship between these roles was seen as important in balancing the strategic and operational direction for the research support team; it was clear that the priorities were set by one or other of these two roles: half of the institutions in the study felt that research support priorities were set by

the PVC with the other half indicating that priorities were set by the Director of Research Services.

3.1.2.2 Reporting lines for the Director of Research Services varied greatly across institutions. Broadly speaking, three different Research Office structures were in place (Annex 2). These models, however, massage the differences found in structures; it is impossible for three models to capture entirely the variation found in this study. In seven institutions the Director of Research Services reported to a Registrar or Director of Finance and, as one interviewee commented, “was not considered a senior officer of the university” (University B). One institution had recently moved the Director of Research Services to report directly to the Pro Vice Chancellor for Research (PVC) rather than to the Registrar recognising that the Research Office was “not a standard support unit” and that staff “didn’t understand” why they reported to a Registrar (University E). In some instances the Director of Research Services reported directly into an administrative head (e.g. Director of Finance or Registrar) with a dotted line to a PVC. At one institution the head of the Research Office had dotted reporting lines to the Director of Research Services, the PVC and the Pro Vice Chancellor for Enterprise (PVCE), and a direct line to the Director of Finance (University T). Such triangulation of administrative and academic leadership appeared to place great emphasis on strong working relationships and clear understandings of responsibilities. Without strong academic leadership, Research Offices tend to become isolated from academics and, indeed, five institutions indicated that they felt the role of research support was not understood by their academic communities. As one interviewee commented:

“Academics don’t see the corporate or funder-facing role that we do... our role is not understood and our opinions are not valued.” (University Q)

3.1.2.3 The size and shape of Research Offices provided similar evidence of differences in approach across different institutions. More than half the sample institutions (eleven) employed fewer than forty staff within their Research Office, with four others employing between forty and sixty staff. None of the institutions in the sample employed staff numbers of between sixty and one hundred, with three institutions employing over one hundred staff within Research Management. It was unclear how to count staff numbers within two universities in the sample because of the hybrid nature of their structure (Figure 8). The lack of consistent office structures, roles and responsibilities of staff engaged in Research Management means it is impossible to propose the ‘right number’ of staff needed by an institution, a question that was occasionally asked during our visits.

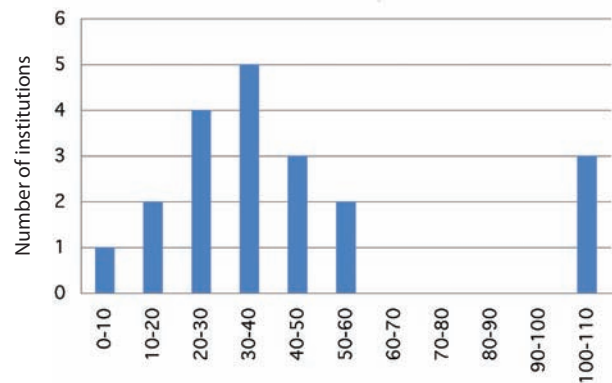


FIGURE 8: Number of institutions against Research Office staff numbers

3.1.2.4 Figure 9 shows interesting variations in the number of staff supporting different magnitudes of Research Income. While it is recognised that there may be differences in the way staff are counted or attributed, these variations are stark, given that they are correlated in broad bandings. The sample implies that, whenever an institution’s Research Income is in the range £0M -£50M, there is a threshold in the size of staff needed to support the activity which is roughly about thirty.

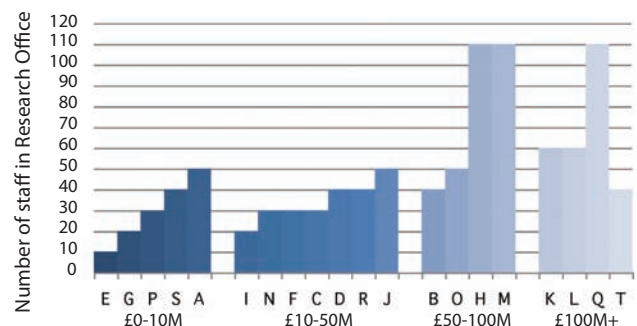


FIGURE 9: Correlation of Research Office staff with Research Income

3.1.2.5 Research Management staff are organised into either central or devolved teams. Fourteen institutions operated mainly centralised support services while four institutions indicated that they had implemented highly devolved structures, although these institutions still retained some aspects of central support aligned corporately. The remaining universities were hybrid structures. All three institutions with staff numbers of more than one hundred operated in a devolved structure; whilst no conclusion might be drawn for the institution with over £100M in Research Income, this staff profile (for those institutions with Research Income between £50M and £100M) does beg the question as to whether devolution is an expensive structure. Across nearly all respondents Research Management was said to have experienced structural change or was likely to be re-organised in the future. How best to organise Research Management is clearly

3.1.2.9 The functions of Research Management varied considerably across the sample. There were highly integrated structures, which included Research Office, Business Development and Technology Transfer, as well as highly separated functions. The location of post award management was a common differentiator across the sample. Twelve institutions managed post award from within the Research Office (Figure 11).

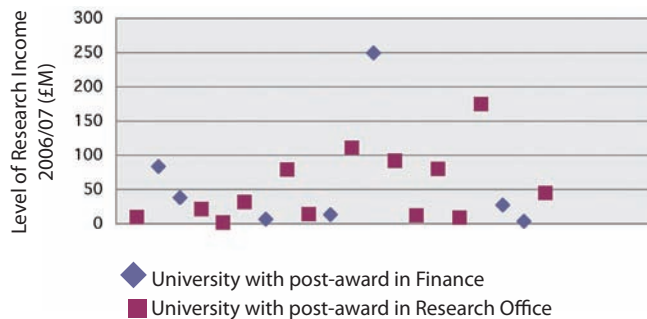


FIGURE 11: Level of Research Income (2006/07)

Eleven institutions operated with a separate Business Development unit. While it is hard to identify a metric which truly measures the effectiveness of Business Development, comparison with levels of externally sponsored industrial research (2006/07) suggests that on average, more industry-related funding could be attributed to institutions where a Business Development team was integrated into a Research Office (highlighted in red on Figure 12). Interviewees also indicated that co-located teams (even when reporting lines might be different) delivered significant benefits in understanding activities and exchanging knowledge across functions. As one interviewee noted, “having a separate Business Development team has made it difficult to come up with a shared plan. Operations might be joined up at the bottom but this is not the case at the top” (University L).

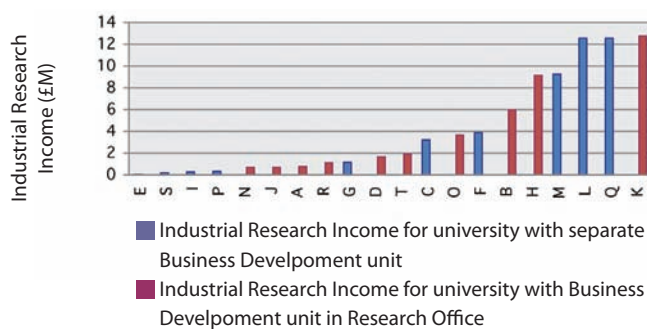


FIGURE 12: Level of industrial Research Income (2006/07)

3.1.3 Perceptions of Research Management

3.1.3.1 Several interviewees indicated that they felt their role as a research support unit was not well understood by academic stakeholders and by other support functions. Sixteen institutions felt that academics recognised that Research Management added value to the organisation, while fifteen institutions felt that other units, such as Finance or Human Resources, understood the role of Research Management. This was supported by the results of a survey of Research Management staff conducted in 2008, in which 59% of respondents felt that Research Management was highly valued by the leadership of their institution.²⁰ While this illustrates a trend towards greater recognition of Research Management as a functional unit, in other institutions the reverse was true; staff in four institutions felt academics did not value their service and five institutions felt that functional peers did not understand what they did. Comments suggested that efforts were being made to communicate the role of the Research Office proactively to academic and administrative stakeholders. There was specific mention of this at two institutions:

“Making other areas of the university understand what the Research Office does is critical to our success.” (University C)

“There is a need here to train new academics to value and understand how to work with the Research Office. Culturally we need to bridge the gap. There’s a need to make academics understand where the money goes and why we invest in... the research support team.” (University O)

3.1.3.2 Directors of Research Services are rarely included at the highest committee level within the university. Only four universities indicated that the Director of Research Services was a member of the senior executive committee (or equivalent), whereas the Directors of Finance and Planning were almost always included at the most senior executive committee. In a third of institutions the Director of Research Services was not involved in the Research Committee. As one academic interviewee commented:

“The Research Committee does not include the Director of Research Services in the membership. Only academics are included on these types of board, not administrative staff.” (University L)

3.1.3.3 The issue does not appear to be linked solely to the differences between academic staff and administrative staff. If this were the case then other directors, such as Finance, would not be members of the senior committee. This is perhaps indicative of the lack of understanding of the role and importance of Research Management. One interviewee commented:

“There is sibling rivalry between us and Finance... they just see research as another income stream. They don't understand that research is more complicated, that it has risks attached to it that go beyond pure accounting.” (University Q)

3.1.3.4 Research activity is a key indicator of institutional performance, yet few universities in the sample recognised that the Research Office, with direct contact with funders and researchers, was best placed to effectively monitor this important income pipeline and so did not utilise the performance information collected by staff in research support.

3.1.3.5 The perception of Research Management by those involved in the function was mixed throughout the sample. Most felt that they belonged to a profession within their institution. However, interviewees at eight institutions felt that Research Management was not considered a professional activity in the same way as Human Resources or Finance.

3.1.4 Recruitment

3.1.4.1 Half the sample found it highly difficult to recruit staff into roles in Research Management (primarily because of difficulties in finding applicants with the requisite skills) whereas half found recruitment relatively easy. There were some minor indications of regional variation within these findings, particularly where a number of universities were located close to each other and provided a local labour pool within which employees could move more freely, or where the university was the major employer in the region, but the findings did not provide conclusive proof that employment was easier or more difficult in particular areas of England.

3.1.4.2 The type of people institutions sought to recruit varied across the sample. Twelve institutions indicated that they were more likely to look for specialist skills together with some previous experience of working in university administration (Figure 13); half indicated that they would look for recruits to have a first degree; and four indicated that ideal candidates would possess a PhD or professional qualification, e.g. in finance or law (Figure 14). This view was consistent with the 2008 Association of Commonwealth Universities (ACU) and Global Research Management Network (GRMN) survey, which found that staff came into Research

Management from a variety of different backgrounds, including business, charities and the public sector, and not just academic or administrative experience in universities (Figure 15).²¹ It is clear that many staff come into Research Management through accident rather than design:

“Most people fall into the career.” (University F)

“Research administrators evolve into the role. They might originally have been chief technicians who started doing a bit of administration.” (University T)

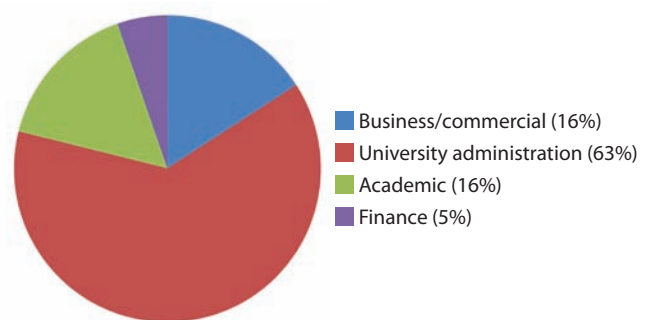


FIGURE 13: Preferred background of recruits

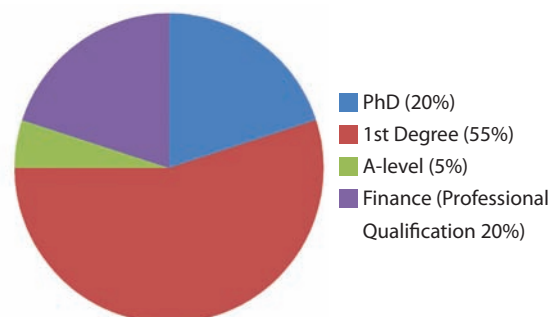


FIGURE 14: Preferred qualifications of recruits

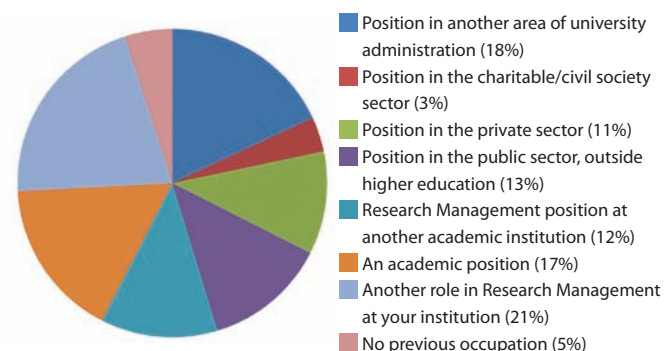


FIGURE 15: Previous backgrounds of recruits²²

3.1.4.3 Fourteen of the twenty institutions indicated that most appointments were external. This was indicative of problems in developing and promoting existing staff, particularly at senior and top-level management. Only two institutions indicated that they deliberately moved staff horizontally within Research Management to build broader expertise. The study encountered two recent appointments at a director level: both were recruited externally; both universities were keen to point out the lack of internal candidates with the requisite breadth of skills and experience. As one interviewee commented:

“The top management pool is aging and shrinking; we had to go to the other side of the world to get the current Director of Research Services.”

3.1.4.4 Coupled with challenges for staff development was the low level of staff turnover in the majority of institutions interviewed. Fourteen described staff turnover as low or very low and only four described turnover as high. It is likely that these factors present difficulties within the sector, as staff, particularly at junior level, see little opportunity for career development and few vacancies in which to achieve promotion or to broaden their experience. Half of the sample felt that career development opportunities were very low or low. Only one explicitly commented that there was the potential to move to a higher level job. The majority of feelings were summed up in the following comment:

“There is no career path in my area and I don’t feel that there is a training structure available for new staff locally or nationally.” (University B)

3.1.4.5 This reflects the picture painted by the 2008 ACU/GRMN survey, which found that the lack of defined career was an issue for the sector as a whole. The staff surveyed were unlikely to remain within Research Management roles when changing jobs, preferring instead to move into other aspects of university administration, roles in the public or private sector, or academic work. Fewer than half said they would move into Research Management positions at either their existing institution or another academic institution.²³

3.1.5 Training

3.1.5.1 Eighteen institutions indicated that they had a dedicated budget for staff training and development within the Research Office and seventeen claimed to have used external training provided by organisations such as the Association for Research Managers and Administrators (ARMA) or Praxis. However, the majority of training used across the sample was delivered internally and relied on the knowledge of existing staff (Figure 16).

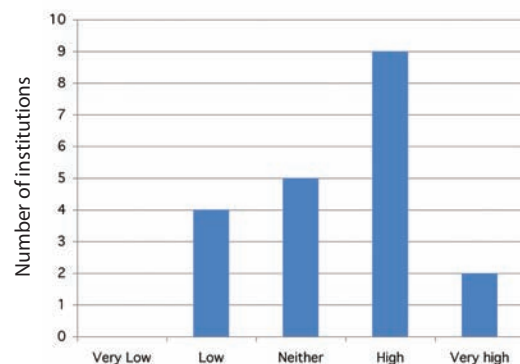


FIGURE 16: Level of in-house training provided

3.1.5.2 The 2008 ACU/GRMN survey showed that a wide range of skills are needed to work in the sector (Figure 17), that there is a need to strengthen training across many of the key areas of support activity (Figure 18) and that training staff effectively and in sufficient quantities is a future challenge for the profession (Figure 19). This was emphasised by interviewees at one institution, who recognised that Research Management was changing, and that this change was driven by academics:

“There is a global acceptance that support services is increasingly professional, driven largely by a sea change in expectation from academics.” (University B)

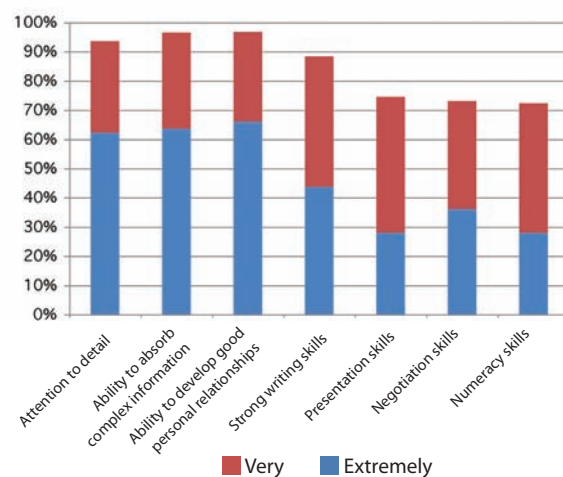


FIGURE 17: Relative importance of skills required of Research Management staff²⁴

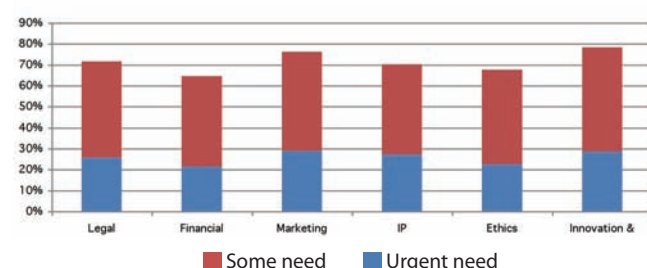
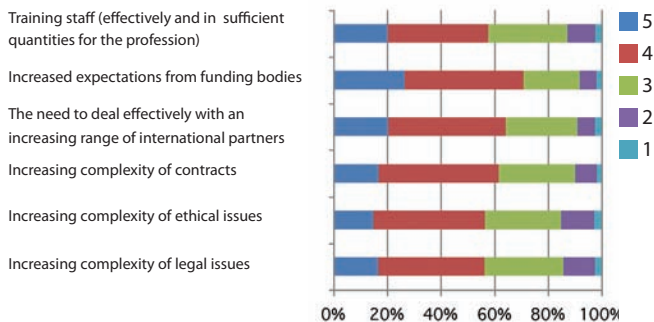


FIGURE 18: Relative importance of different skill areas of training²⁵



Issues rated on a scale of 1-5 with 5 being a serious challenge and 1 being not a challenge

FIGURE 19: Future challenges for the Research Management profession²⁶

3.2 Implications of the context within which research is currently managed

- 3.2.1 The findings described above illustrate a wide range of structures and reporting lines, a variety of nomenclature, varying functional units for delivering the same core functions, discrepancies in recruitment and career development, *ad hoc* or institution-specific training and different perceptions within universities of the role of the Research Office. Despite these considerable variations in organisational design across the sample, fourteen institutions felt that their current structures were effective. Yet, surprisingly, structures seemed also to be under constant review across the sample.
- 3.2.2 This complexity and inconsistency in the way in which Research Offices function is in contrast to other core activities performed by universities. Functions such as Finance, Human Resources or Student Services are organised on broadly similar lines across the sector (and which broadly correlate with their organisation in the public and private sectors). With standardisation of function, structure, job roles and responsibilities, it becomes easier to identify the skills required at each level, and to transfer skills and people from one organisation to another. Similarly, with this standardisation it is possible to make comparisons across the sector and to identify good practice.
- 3.2.3 As a consequence of consistency of structure, organisation and role, it is possible to more readily share and translate good practice, knowledge and experience. In Finance, for example, the British Universities Finance Directors' Group (BUFDG) is the representative body for senior finance office staff in the higher education sector in the United Kingdom and employs a permanent administrative staff. It provides

a strategic financial perspective on higher education activities; collects, analyses and disseminates relevant information; provides training and development for finance directors and their staff; and maintains forums for discussion, consultation and exchange. BUFDG is funded by an institutional subscription of around a thousand pounds per annum and from the proceeds of conference and training activities.²² Similar organisations, all of which employ at least one full-time post, include the Association of University Administrators (AUA), the Association of University Directors of Estates (AUDE), and the Association of Heads of University Administration (AHUA).²³ The existence of organisations of this nature reflects the uniformity found in other aspects of university administration across the UK.

- 3.2.4 The frameworks within which people deliver and manage research are different across the sector. Unlike other core functions such as Human Resources and Finance, Research Management varies from institution to institution, and staff employed in Research Management have different roles and responsibilities. Because there is no standardisation across the sector, as there might be in Human Resources or Finance, it is almost impossible to make staff comparisons, or to have a commonality of career progression, training, and job roles.
- 3.2.5 This begs the question: is it possible to address issues of training in the current context before identifying good practice from across the sector and creating more uniformity in the way research is managed?

3.3 Professionalising Research Management

3.3.1 Demand for a professional Research Management framework

- 3.3.1.1 Almost three-quarters of the sample (fourteen) felt that there was an opportunity to develop a professional Research Management framework. Nearly all institutions were prepared to pay for accredited training that met the needs of their staff and organisation. Comments from interviews indicated, however, that there were both positive and negative aspects to professionalising Research Management and this was stressed by most respondents. A number of institutions highlighted concerns that a profession might exclude potential recruits and create a barrier to entry. As one interview commented:

"Would accreditation help? No, because I want to have as broad a pool as possible to recruit from so it wouldn't help me." (University R)

“If you call Research Management a profession then you create barriers for potential recruits – it has grown out of university administration.” (University J)

Some interviewees questioned whether the ‘profession’ was big enough to attract candidates on to courses (University I), while another warned against “creating a profession just for the sake of it” (University P). Taken in the context of the inhomogeneity of frameworks across the sector these findings are not surprising and reflect an embryonic profession struggling to create an identity. The difficulties and duplication of activities that this causes were referred to by one interviewee:

“There is huge frustration that we work in an educational sector, and we are professional people, but we have been left to just muddle through. The waste in the sector must be huge.” (University T)

- 3.3.1.2 Thirteen interviewees felt that having membership of a professional body was important for Research Management in providing opportunities to network with other institutions, funding councils and government funding agencies:

“There is a need for a more holistic approach to the development of people involved in research support so they can be brought together and systematically trained.” (University G)

“A national training framework would be very useful, especially for less research intensive institutions. The approach should be modular and made relevant to the localised university in question.” (University S)

- 3.3.1.3 Figure 20 plots the sample institutions on a matrix that compares the perceived level of career progression opportunities within each institution against interviewee opinion on the breadth of scope within the sector for the introduction of a professional Research Management framework. Universities located in the top right quadrant show strong support for a professional Research Management framework and have high levels of perceived career development opportunities, while those in the top left quadrant show strong support for a professional Research Management framework and have lower levels of perceived career development opportunities. This spread of institutions at the top of the chart indicates that the majority of institutions strongly support the overall introduction of a professional framework, regardless of the perceived potential career progression opportunities within the institution, implying that the demand for the development of a professional Research Management framework is not just connected to the need to improve careers within the sector.

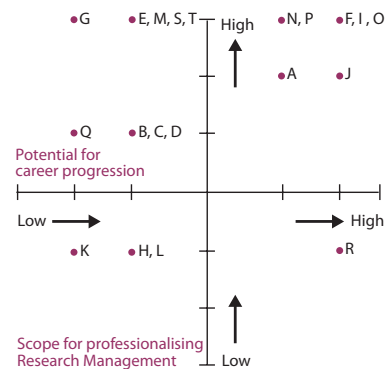


FIGURE 20: Potential for career progression compared with scope for the introduction a professional Research Management framework

3.3.2 Current training provision

- 3.3.2.1 There are currently two organisations in the UK – ARMA, the Centre for Higher Education Management and Policy at Southampton (CHEMPaS) – that specifically support research managers and administrators. There are four organisations – Institute of Knowledge Transfer (IKT), Unico, Praxis, Association for University Research and Industry Links (AURIL) – aimed at supporting Knowledge Transfer professionals. The IKT has begun to offer accreditation to course providers, including the Leadership Foundation for Higher Education (LFHE), to ensure high standards of professional development within Knowledge Transfer.²⁹ One organisation – the United Kingdom Research Office (UKRO) – supports EU research funding managers, and at least three other organisations – The Missenden Centre, Association of University Administrators (AUA), Association of Research Centres in the Social Sciences (ARCISS) – offer generic university administration support and provide for Research Management staff as a subset of that group. Annex 3 contains a detailed summary of these sources of training and support.
- 3.3.2.2 Such organisations offer training as well as a forum for networking. The community support aspects (through such activities as networking at training events and conferences and through email discussion lists) are highly valued and several institutions cited it as the main reason for membership of ARMA.
- 3.3.2.3 Training provision in the sector is varied. The majority of training available is in the form of seminars, single and multi-day courses, and workshops, and is offered by providers such as Praxis, ARMA, AUA, The Missenden Centre and ARCISS. These courses cover a broad spectrum of management topics. In addition, postgraduate qualifications, such as the Postgraduate Certificate in the Management of Research, are offered by CHEMPaS, AURIL and AUA.

3.3.2.4 Most institutions in the sample used training courses provided by ARMA and Praxis. Other organisations such as AURIL, IKT, AUA and The Missenden Centre were also used but much less widely. Interviewees felt that Praxis courses were particularly useful for staff new to Knowledge Transfer and were of a high quality. Areas for improvement identified by interviewees broadly related to issues concerning cost and relevance to local, specific needs. One institution described Praxis courses as “very expensive” (University D), a sentiment echoed in several others, while another commented that:

“We use Praxis to develop legal skills within our team but the courses could do with being tailored to local needs.” (University R)

3.3.2.5 Courses provided by ARMA were thought to give an excellent introduction to Research Management, particularly for junior members of staff who had attended the ARMA three-day introductory course. The networking and ‘funder visit’ opportunities provided by ARMA were consistently referred to in interviews as useful aspects of staff development:

“Being a member of ARMA has proved a useful forum for networking and building contacts.” (University F)

3.3.2.6 Gaps in the service provision were highlighted by a number of institutions, particularly the *ad hoc* nature of courses and the lack of forward planning: people did not know when, or if, courses were scheduled, and courses were arranged on an intermittent basis, making it difficult to organise staff training over the long-term:

“ARMA provides good courses and training is improving but a lot of it is too *ad hoc*. There is no ARMA programme in advance for the year. It runs on goodwill and delivery depends on the expertise of individuals. There’s no master plan or coherence to the training programme.” (University M)

One institution questioned whether ARMA had “the capacity to run an accredited training institute” (University F).

3.3.2.7 In general, the current external training provision was thought useful in enabling staff to be trained quickly and efficiently. Difficulties in finding courses that suited specific institutions at a suitable level at a suitable time and at a suitable price were the chief gaps in service delivery. The provision in the core area of Research Management (as opposed to specialisms such as Knowledge Transfer) is very patchy with no coherence or consistency in the quality or scope of the courses.

This points to a need for better training in Research Management but, as one interviewee asked, “is the profession big enough to attract sufficient people onto courses?” (University I). In contrast, the PVCR at one institution felt there was a “massive market for training and career development pathways in Research Management, which will encourage universities to take their people and jobs more seriously” (University P). The fact that the provision is patchy begs the question whether a disparate set of providers can respond with quality courses to a relatively small community.

3.3.3 Professional accreditation

3.3.3.1 The most common view of accreditation for Research Management was that any qualification must be of high quality and pitched at a level that caught the attention of employers and staff within the sector. As such, the majority of institutions indicated that accreditation should take the form of a postgraduate qualification which gave staff a depth and breadth of theoretical understanding across the sector:

“An accreditation would need to be achieved over time and with experience. You should not just be able to walk in off the street and pick this certificate up.” (University Q)

3.3.3.2 Institutions were also concerned that local needs should be addressed and that a modular, progressive approach needed to be taken towards accreditation. It was felt that flexibility around course modules and schedules should be high priorities for any accreditation framework:

“Accreditation could be useful especially if it took account of ‘prior learning’ and operated within a broad generic framework with specific work-based focused project work.” (University A)

4 Conclusions

- 4.1 The Research Management function requires a vast range of skills and knowledge (including costing and negotiation skills through to specialist knowledge of EU and other funders, Intellectual Property, and commercialisation). Universities have developed dedicated Research Strategies and appointed academic and administrative heads to ensure that research activity is proactively managed. However, Research Management has developed in an organic fashion. Reporting lines, structures, roles and responsibilities differ widely from institution to institution. It is this disparity which leads to two conflicting issues. Firstly, that such growth has led to confusion surrounding the role of research support – to the extent that staff working in such units are not sure if they are part of a clearly defined community, let alone a professional one. Secondly, though there is consensus on the need for a professional, accredited framework to manage and develop research support within England, the mechanisms through which it might be delivered are less clear.
- 4.2 The lack of consistency in Research Management is evidenced by the number of different combinations of Research Office, Technology Transfer and Business Development units grouped together or separated into distinct entities. In the sample, interaction and understanding between these units varied significantly from co-located, efficient teams to disconnected silos of operations. Expansion of support staff numbers in line with growing research portfolios has led to large variations in staff to Research Income ratios and in structural design of the Research Office. As management within the sector learn to adapt and understand the nature of research support there has been some ‘reinvention of the wheel’, for example, through devolving or centralising of staff.
- 4.3 The Research Management function requires a vast range of skills and knowledge (including costing skills and negotiation skills, through to specialist knowledge of EU and other funders, Intellectual Property, commercialisation). Unsurprisingly, as these skills have increased in range and complexity, the way in which they are provided has evolved organically and in idiosyncratic ways. This is compounded by the diversity of universities involved in research.
- 4.4 Thus the context in which research is managed is hugely different across the sector, illustrated by:
- The varying importance, development and monitoring of Research Strategies
 - The range of funds set aside to prime a Research Strategy
 - The differing role and number of committees involved in strategic and operational aspects of research
- Varying accountabilities of Research Office staff, particularly at senior level. The dual leadership of the Research Office by the PVCr (academic) and Director of Research (administrative) places increased significance on establishing clear responsibilities and strong working relationships between occupants of the two roles
 - Significant differences in importance and involvement attached to the Director of Research Services (compared with other administrative directors)
 - Significant variations in structure and number of staff in Research Offices, with no obvious correlation with metrics
- But, strikingly, within each university there is overall confidence of their own structure, whilst, somewhat anomalously, there is also significant evidence of constant and ongoing change to those structures.
- 4.5 Maybe it is not surprising that many find recruitment into Research Management difficult – this must, to some extent, be the result of trying to recruit into an ill-defined, inhomogeneous activity, which, if hard to describe from within, may be nigh impossible to identify and understand when outside it – and maybe, unsurprisingly, many people just “fall into the career”, and many others never identify it as an opportunity. Once in the ‘career’ the lack of defined structures within research administration, combined with decreasing levels of staff turnover, has created a body of staff with little opportunity for career development. It is clear that the majority of universities interviewed encountered difficulties in developing staff with a broad range of skills and, in turn, there was an overt lack of internal candidates for senior Research Management positions.
- 4.6 The training landscape is as inhomogeneous as the landscape it attempts to serve. Many universities deliver most of their training internally, thereby emphasising and embedding the inhomogeneity rather than reflecting and consolidating generic skills and competencies.
- 4.7 Given the complexity and inconsistency in many aspects of Research Management, it is unsurprising that the community of research managers are, unlike other core administrative functions, not comparable in terms of job roles, responsibilities, functions and, so, skills.
- 4.8 Therefore, before turning to the questions to be addressed by this project, and whatever the answers to them may be, should the focus be on moving to greater consistency across the sector, identifying and translating good practice, and harmonising the

community so that training and development can be provided to a clearly defined and easily understood community? If so, the first step may be to consider developing networks, such as BUFDG in Finance, for Research Management; such a move may draw together a 'federated leadership' within the sector and may also address the identified gap in senior talent within Research Management.

The following sections draw conclusions about professionalising Research Management, based on the assumption that the environment is ready to receive it, which is fundamentally brought into question by the above.

- 4.9 Most universities in the sample see the opportunity for developing a professional framework for Research Management though there is less agreement on the form and nature this should take. This is probably unsurprising given the disparate nature of the landscape. Concerns were expressed about whether the community is of sufficient size to support an accredited training regime, and whether the existence of formal qualifications might inhibit recruiting skills from outside the community.
- 4.10 The challenge is to understand how an embryonic community, within an irregular landscape, aggregates so as to develop. Many of the views expressed were introspective and defensive of the current position.
- 4.11 The current provision of training and development is highly fragmented with a range of providers of varying professionalism with a haphazard range of provision. Contrasting this with the major university support services (e.g. Human Resources, Finance and Student Services) may be inappropriate since they are mature, long-established, large professions. But other communities (such as Knowledge Transfer) are equally small but far more agglomerated, integrated and holistic in their provision.
- 4.12 So what is inhibiting the development of a professional community of Research Management? Respondents do not identify the ability of staff to be released for training or funds for training as inhibitive. Is it because there is no leadership within the community (once again reflected by the concern that the pool for recruitment to senior level posts is very small)? Leaders need support: is the community large enough to support an executive function for a professional body?
- 4.13 So to address the project's objectives:
- Is there a demand for the development of a professional framework for Research Management?
- There is a significant demand and appetite for a professional Research Management framework, although the nature of this framework is less obvious. This study has, however, found that universities would

expect a professional framework to be nationally recognised and respected broadly across the entire sector. Training delivered through this framework should be high-quality, modular and flexible enough to meet the varied needs of institutions and their research administration teams.

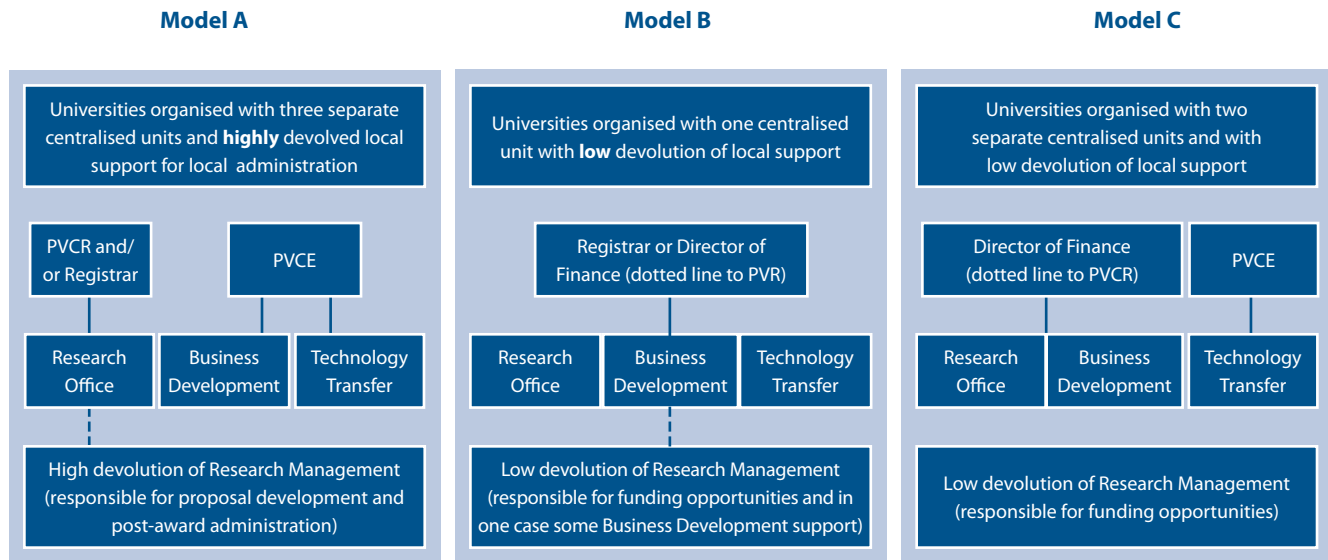
What possible approaches are there to addressing the demand?

It is clear that there is demand for a professional, respected and flexible mechanism for delivering high quality training in Research Management. Equally, none of the current offerings available for universities to choose from are holistic enough to develop the skills they wish for in their staff, nor do they have the right level of flexibility or availability. The approaches to dealing with this disparity are unclear and reflective of a sector that is variable and developmental with staff that generally find it difficult to determine career direction. It is the irregularity of Research Management that creates difficulties in building a coherent professional framework that is broad enough to cater for the needs across the sector. Technology Transfer is one area of university research support that has started to build consistency in structures and remit, indicating that relatively small communities of staff involved in Research Management can begin to form professional frameworks. A broader, more comprehensive framework is required that engages with current providers and senior staff within the sector to develop good practice, greater consistency and a network of Research Management professionals. Universities and funders need encouragement to support this direction as an investment, which could deliver significant and lasting value in return, and as an alternative to increased spending on retrospective audit.

Notes

- ¹ Organisation for Economic Co-operation and Development, *The Measurement of Scientific and Technological Activities. Proposed Standard Practice for Surveys on Research and Experimental Development*, (OECD: 2002) defines research as: "Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications. The term R&D covers three activities: basic research, applied research and experimental development."
- ² G. Boulton and C. Lucas, 'What are universities for?', *League of European Research Universities* (September 2008).
- ³ Department of Trade and Industry, *Investing in Innovation*, (DTI: 2002).
- ⁴ Association of Commonwealth Universities and Global Research Management Network, *Research Management Staff Survey 2008*, (ACU/GRMN: 2008).
- ⁵ See R.W. Bushaway, *Guides to Good Practice: Managing Research*, (Open University Press: 2003).
- ⁶ John Kirkland, 'Profiling the Research Administrator: where we are and where are we going?', presentation at ARMA conference, June 2008. Presentation based on the results of the 2008 ACU/GRMN Research Management Staff Survey.
- ⁷ Association of Commonwealth Universities, *International research management: benchmarking programme*, Report to HEFCE by the Association of Commonwealth Universities, May 2006, (ACU: 2006).
- ⁸ ARMA website: www.arma.ac.uk; SRA website: www.srainternational.org/sra03/index.cfm. Estimates suggest that around 150,000 people work in Research Management in the United States. See Elliott C. Kulakowski and Lynne U. Chronister, *Research Administration and Management*, (Jones & Bartlett: 2006). A comparison can also be made between the United States and Europe. The European Association of Research Managers and Administrators (EARMA) has about 250 ordinary and 80 institutional members, linked to a network of over 1000 people engaged in Research Management in Europe. EARMA website: www.earma.org
- ⁹ M. Saunders, P. Lewis and A. Thornhill, *Research Methods for Business Students*, (Pearson Education: 2007).
- ¹⁰ HERO website: www.hero.ac.uk/uk/home/index.cfm
- ¹¹ Evidence, *UK Higher Education Research Yearbook 2007*, (Evidence: 2007).
- ¹² HEFCE website: www.hefce.ac.uk/pubs/hefce/2006/06_08
- ¹³ Based on data taken from the Higher Education Statistics Agency (HESA) Higher Education Information Database for Institutions (HEIDI) and data from institutional annual accounts. HESA/HEIDI website: heidi.hesa.ac.uk
- ¹⁴ Based on data taken from HESA/HEIDI.
- ¹⁵ Based on data taken from HESA/ HEIDI.
- ¹⁶ HESA website: www.hesa.ac.uk; RAE 2008 website: www.rae.ac.uk; Evidence website: www.evidence.co.uk/?PHPSESSID=8f807b42805c5f1842fc7fdb8b9e33b6
- ¹⁷ J. Bell, *Doing Your Research Project: A guide for first-time researchers in education, health and social science*, (Open University Press: 2005).
- ¹⁸ Saunders, Lewis and Thornhill, *Research Methods for Business Students*.
- ¹⁹ Bell, *Doing Your Research Project*; Saunders, Lewis and Thornhill, *Research Methods for Business Students*.
- ²⁰ Kirkland, 'Profiling the Research Administrator'.
- ²¹ Kirkland, 'Profiling the Research Administrator'. See also Julie Stackhouse, 'Profiling the profession', *Research Global*, June 2008.
- ²² Kirkland, 'Profiling the Research Administrator'.
- ²³ Kirkland, 'Profiling the Research Administrator'.
- ²⁴ Kirkland, 'Profiling the Research Administrator'.
- ²⁵ Kirkland, 'Profiling the Research Administrator'.
- ²⁶ Kirkland, 'Profiling the Research Administrator'.
- ²⁷ BUFDG website: www.bufdg.ac.uk
- ²⁸ AUA website: www.aua.ac.uk; AUDE website: live.aude.netxtra.net/home; AHUA website: www.ahua.ac.uk
- ²⁹ IKT website: www.ikt.org.uk/members/events.aspx

Annex 2: Research Office structures



Note: variation can occur in activities where post-award Research Management is carried out by the finance function.

Annex 3: UK Training Providers

Association of Research Centres in the Social Sciences (ARCISS)

ARCISS is a membership organisation for research centres in the UK committed to social science research. Over fifty independent and university research centres are currently members.

ARCISS supports the work of its members by organising seminars, workshops and one and two-day conferences. Recent events have covered research ethics, human resource management in research centres and changes to research council support for university research.

ARCISS also campaigns and represents members' interests with government agencies and research funders. In recent years it has made submissions to the Office of Science and Technology on the sustainability of university research, to the Higher Education Funding Council on the RAE and its review of research funding, and to the Economic and Social Research Council on its thematic priorities

ARCISS works to develop good practice in the management of research centres and to facilitate networking. The ARCISS mailbase and its directory of member organisations allow for the exchange of information, experience and advice.

Association for Research Managers and Administrators (ARMA)

ARMA is a professional association for research managers and administrators in the UK. Members work in universities, funding bodies, the NHS and independent research organisations, as well as organisations providing services to research support offices. Their activities are focused on encouraging professional development and networking amongst research managers and administrators.

ARMA provide a series of training and information events, including an annual conference, a series of one-day seminars, and short study tours to funding bodies. They also support the exchange of knowledge and best practice through focused discussion groups and a number of email lists. They offer a structured programme of training courses, including a series of one or two-day training seminars covering key topics in depth and a residential workshop programme, with two-day workshops offered at three levels. Each autumn they run an induction workshop for new research administrators; in spring they run a workshop for administrators with around three to five years' experience; and in winter they offer a workshop for experienced research managers.

They publish a series of occasional papers to which members are encouraged to contribute and offer a small number of bursaries to support individual professional development activities.

ARMA was incorporated as a company limited by guarantee in 2006. They have around 1150 individual members and a small number of commercial members (commercial bodies offering service of interest to research managers).

Association of University Administrators (AUA)

AUA is a membership-led professional body for those interested in advancing their career in higher education. There are around 4000 AUA members based in universities, higher education colleges, higher education related bodies such as Universities UK and funding councils, and further education institutions.

AUA is committed to raising the profile of higher education management and administration and to developing best practice and the highest standards of professionalism. The AUA's code of professional standards, endorsed by the Association of Heads of University Administration (AHUA) and a growing number of institutions, provides a framework of core values and principles to underpin the profession of university administration.

AUA provides professional development opportunities for university and higher education managers and administrators, including information services, events and conferences and the AUA Postgraduate Certificate in Professional Practice. This is a portfolio-based scheme validated by the Open University. Achievement of the award demonstrates knowledge of key areas within the higher education sector, transferable skills and evidence of the 'professional journey' undertaken. AUA also organises an annual programme of seminars, workshops and conferences that is the largest professional development conference in the higher education calendar, with around 130 sessions and keynote presentations.

The AUA's online services include a number of email discussion groups: aua-news, for electronic bulletins including weekly press digest and fortnightly professional development bulletin; and aua-forum, an email list for sharing information and best practice. A number of special interest groups have been established to allow members with similar interests to share good practice and develop their understanding of specific areas of higher education policy and practice.

AUA works closely with the British Council and the Association of Commonwealth Universities.

Association for University Research and Industry Links (AURIL)

AURIL is a professional association representing all practitioners involved in knowledge creation, development and exchange in the UK and Ireland. It works to ensure new ideas, technologies and innovations flow from institutions into the market place. It is the largest Knowledge Transfer association in Europe, with more than 1600 members from universities, NHS Trusts and public sector research establishments.

AURIL has widespread international recognition through its success in influencing UK government policy. It has working relations with the Confederation of British Industry, Universities UK, the UK Intellectual Property Office, the Department of

Innovation, Universities and Skills, HM Treasury and the Higher Education Funding Councils.

AURIL received a grant of nearly £500,000 from the Department of Trade and Industry for the development and delivery of a programme of Continuing Professional Development courses. The programme's Postgraduate Certificate in Knowledge Transfer, accredited by the Open University Business School started in November 2004. A Professional Award for Knowledge Transfer Practitioners, developed in collaboration with the Open University, was launched in 2005. The award is aimed at staff whose role includes managing the creation, application and exploitation of knowledge within their organisation, including universities, the public sector, the NHS, multi-nationals and charities.

Centre for Higher Education Management and Policy at Southampton (CHEMPaS)

CHEMPaS is an interdisciplinary focus for teaching, research and professional development in the field of higher education. It aims to combine leading edge research with professional practice in higher education.

A range of courses supported by the Association for University Research and Industry Links (AURIL) are available. These programmes are intended for academic staff and staff working in professional services. Programmes are delivered as short residential units in Southampton and elsewhere in the UK. Individual course units may be taken for professional development without assessment.

Programmes offered in the management of research and enterprise include:

- MSc in the Management of Research and Enterprise in Higher Education and the Public Sector (full-time or part-time)
- Postgraduate Certificate in the Management of Research in Higher Education and the Public Sector (part-time)
- Postgraduate Certificate in the Management of Innovation and Enterprise in Higher Education and the Public Sector (part-time)
- Diploma in the Management of Research and Enterprise in Higher Education and the Public Sector

Institute of Knowledge Transfer (IKT)

The Institute of Knowledge Transfer is a membership-led organisation that has been established to set standards for development of the Knowledge Transfer profession and to address issues surrounding accreditation, certification and training. Using the latest information technology, the Institute aims to help Knowledge Transfer professionals work effectively by drawing on the best international practice. It is dedicated solely to meeting the needs of the individuals involved in Knowledge Transfer.

In recognising course providers IKT looks for high standards of organisational management and Knowledge Transfer relevant training which will benefit practitioners in the sector. They look for an approach that embraces the continuing need for change and development relevant to the target business sector of the course participants and which lead to successful outcomes for the continuing health of the business sector. The Leadership Foundation's Knowledge Exchange Leadership Programme has been recognised as one such example.

The IKT is keen to help Knowledge Transfer professionals work more effectively by providing support and guidance on a range of relevant Knowledge Transfer training and development and Continuing Professional Development (CPD) courses and qualifications.

The IKT aspires to provide the following member services:

- A national Knowledge Transfer portal/extranet
- A tool-kit resource of strategy and policy guides and a database of useful practical templates and precedents
- Online Knowledge Transfer CPD
- Virtual events, web-casts and collaborations
- A collaborative platform for interdisciplinary and cross-organisational research and Knowledge Transfer
- An on-line Knowledge Transfer journal
- An abstract service providing evidence-based information on research and best practice
- Technology brokering
- A regular web-based news and publication service

The Leadership Foundation for Higher Education (LFHE)

The Leadership Foundation provides a dedicated service of support and advice on leadership, governance and management for UK universities and higher education colleges. It is committed to developing and improving the management and leadership skills of existing and future leaders of higher education.

The LFHE aims to bring together people from different institutions to share mutual needs and capabilities, to share learning, and to encourage each other to persevere with their personal and organisational development. As part of this, they aim to maintain networks for all their key events and programmes.

They offer a broad range of training and development courses, seminars, workshops and conferences, a telephone helpline and advisory service, consultancy advice, grant and investment schemes, a range of online information and resources, and a quarterly magazine (*Engage*) and supplement.

The Missenden Centre

The Missenden Centre is part of Bucks New University and holds not-for-profit development courses. Seminars offer small groups of academic and administrative staff, especially those in leadership and managerial roles, an opportunity to share and examine current concerns on topical issues. Participants share up to twenty-four hours informal but intensive discussion within a format developed to provide a constructive outcome for senior people with high level responsibilities but little time to spare.

Seminars include:

- Learning from litigation
- Student support and customer satisfaction
- Effective supervision (professional and part-time doctorates)
- Research Strategy post RAE 2008
- University futures, 2010 and beyond
- Successful bidding for research funding

Praxis

Praxis is a national training programme aimed at technology transfer professionals working in universities, research institutions and industry. It delivers professional training and development courses for personnel in technology transfer offices in the UK.

Their programme features a range of courses led by experts from universities, industry and government, featuring a mix of seminars, interactive workshops and case studies. Courses are offered on subjects including:

- Fundamentals of Technology Transfer
- Creating spinout companies
- Advanced licensing skills
- Research contracts
- Business Development

The programme curricula are designed by a volunteer committee comprising experts from universities, industry and government who are actively involved in different key aspects of the commercialisation of research.

Praxis is non-profit making but market-driven. It aims to deliver courses that meet a market need for the profession and to maintain the financial stability necessary to deliver courses at a price that makes them accessible to staff at all levels.

Praxis was formed in 2002 by a group of technology transfer directors in response to a lack of appropriate training for their staff. It was set up with funding from the Cambridge-MIT Institute and supplemented in 2003 with funds from the Department of Trade and Industry.

United Kingdom Research Office (UKRO)

The UK Research Office (UKRO) is the UK's leading information and advice service on European Union funding for research and higher education. Established in Brussels in 1984, UKRO is jointly funded by all seven UK research councils and receives subscriptions from over 140 research organisations, principally in the UK.

UKRO's mission is to promote effective UK participation in EU-funded research programmes, higher education programmes, and other related activities by:

- Supporting sponsors and subscribers through early insight and briefing on developments in European programmes and policies
- Disseminating timely and targeted information on EU funding opportunities
- Providing high quality advice, guidance and training on applying for and managing EU projects
- Exchanging information between the UK research and higher education community, the institutions of the EU, and other countries participating in EU programmes

UKRO provides the following information and advice services to sponsoring and subscribing organisations:

- An enquiry service providing guidance, information and advice on EU policies and accessing EU funding opportunities
- Specialist training courses, focus groups and information events providing insight into EU programmes
- An annual visit from a UKRO European advisor to provide training, information and/or surgery sessions tailored to the subscriber's requirements
- Annual conference for European officers
- Information services
- UKRO website

Unico

Unico was founded in 1994. It represents the technology exploitation companies of UK universities and provides a forum for exchange and development of best practice. Member companies transfer technology and expertise through the formation of spin-out companies, licensing, consultancy, training, design and development projects, contract research, testing and evaluation, and problem solving.

Unico aims to support university Technology Transfer professionals and associated activities. It does not offer direct support to the companies established to pursue commercialisation of technologies that arise from research, nor to university companies that are not research-related.

An electronic discussion group and twice-yearly meetings enable Unico members to exchange and develop best practice. UNICO conferences focus on topics such as:

- spin-out company management
- investment finance
- seed and venture funds
- accounting
- taxation
- legal issues
- technology licensing
- consultancy

Unico also conducts and publishes an annual commercialisation survey.

Name	Type of body	Aimed at	What they offer
Association of Research Centres in the Social Sciences (ARICSS)	Membership organisation	Social science research centres	Events, seminars and publications
Association for Research Managers and Administrators (ARMA)	Professional association	All research managers and administrators	<p>Training and information events:</p> <ul style="list-style-type: none"> • Annual conference • One-day seminars • Short study tours to funding bodies • Focused discussion groups • Email lists <p>Training courses:</p> <ul style="list-style-type: none"> • One and two-day training seminars • Residential workshop programme • Workshops for varying levels of experience
Association of University Administrators (AUA)	Professional body	All higher education administrators	<p>General higher education administration courses and events:</p> <ul style="list-style-type: none"> • AUA Postgraduate Certificate in Professional Practice • Seminars , courses, workshops and conferences
Association for University Research and Industry Links (AURIL)	Professional association	Practitioners involved in knowledge creation, development and exchange in the UK and Ireland	Global innovation network , events, annual conference, and CPD Framework
Centre for Higher Education Management and Policy at Southampton (CHEMPaS)		All higher education managers	<p>A range of qualifications including:</p> <ul style="list-style-type: none"> • MSc in the Management of Research and Enterprise • Postgraduate Certificate in the Management of Research • Postgraduate Certificate in the Management of Innovation and Enterprise • Diploma in the Management of Research and Enterprise
Institute of Knowledge Transfer (IKT)	Professional association	Knowledge Transfer professionals	<p>Recognises course providers and CPD scheme.</p> <p>Online support:</p> <ul style="list-style-type: none"> • National Knowledge Transfer portal/extranet • Tool-kit resource of strategy and policy guides and a database of useful practical templates and precedents • Online Knowledge Transfer CPD • Virtual events, web-casts and collaborations • Collaborative platform for interdisciplinary and cross-organisational research and Knowledge Transfer • On-line Knowledge Transfer journal • Abstract service providing evidence-based information on research and best practice • Technology brokering • Regular web-based news and publication service
The Leadership Foundation for Higher Education (LFHE)	Membership organisation	Existing and future leaders of higher education	<p>Dedicated service of support and advice on leadership, governance and management for UK universities and higher education colleges.</p> <p>CPD training, events, conferences, forums, and publications.</p>

Name	Type of body	Aimed at	What they offer
The Missenden Centre	Membership organisation	Academic and administrative staff involved in research	Development courses and seminars, such as: <ul style="list-style-type: none"> ● Research strategy post RAE2008 ● University futures, 2010 and beyond ● Successful bidding for research funding
Praxis	National training programme	Technology transfer professionals	A range of courses led by experts from universities, industry and government, featuring a mix of seminars, interactive workshops and case studies, including: <ul style="list-style-type: none"> ● Creating Spinout Companies ● Fundamentals of Technology Transfer ● Advanced Licensing Skills ● Research Contracts ● Business Development
United Kingdom Research Office (UKRO)	Information and advice service	European Union funding for research and higher education	Information and advice on EU funding, including an enquiry service. Specialist training courses such as 'Introduction to FP7 contracting and financial management'
Unico	Membership association	Knowledge Transfer professionals	Twice-yearly conferences. Directors' Forum in conjunction with Praxis.

Annex 4: Standard question list

Organisation

Strategy

Do you have a Research Strategy in place?

When was it published?

Does it have actions and how many of these have been realised?

Do you have a strategic research budget?

What are the broad strategic objectives of your institution?

Do you include research and enterprise?

How will you measure success?

What are the research strengths of the institution?

Are they world class or niche?

What percentages of your staff are active in research?

If you have a Research Strategy in place:

Who was it determined by?

Who manages it?

Has it delivered against its objectives?

What mechanisms do you use for measuring achievements against objectives?

If you have a strategic research budget in place:

How is this deployed?

Who manages it?

What size is it?

What plans do you have to maintain or increase your Research Income?

How is your research managed?

How is Research Management generally perceived by Principal Investigators?

What role does Research Management have in terms of managing risk?

To what extent would you welcome help to develop Research Management – perhaps around people, processes and systems?

How important is the regional research/innovation agenda?

Structure

How has Research Management/developed within your institution?

What are your existing structures and roles?

Are these effective?

Do you have a Pro Vice Chancellor or Dean for Research?

What do they do?

Do you have a university Research Committee?

What do they do?

Do you have a dedicated Research Office?

What are their roles?

If you have a dedicated Research Office:

How many staff does it have?

How is it resourced?

Is it adequately resourced?

Who determines its priorities?

How is it led?

Does it have a strong leader?

Where does it fit in the organisational structure?

Is it represented on the management board (or equivalent)?

Do you feel that it is respected/valued within the organisation?

What activities is it responsible for?

What activities would you like to provide?

What activities, if any, do you currently undertake that you think should be dealt with elsewhere?

What activities are devolved to faculties, schools, departments, academics?

How have the roles and workload changed in recent years?

If you do not have a dedicated Research Office:

How is Research Management delivered at your institution?

How much is devolved to faculties, schools, departments, academics?

How have the roles and workload changed in recent years?

How do you manage 'grand challenges' and international research e.g. Framework Programme 7, National Institute of Health?

How do you manage relationships with corporate and industrial funders?

What are the challenges of working with National Health Service/National Institute for Health Research?

Do you have joint/single Research Management Unit offices?

How do you manage relationships with other higher education institutions on multipartner, multidisciplinary projects?

Do people across the institution know who is responsible for what?

Is the role of the Research Office clearly understood?

How much do academic staff do themselves or duplicate activities and why?

How do you assess or quantify this?

Institutional perspectives

How is Research Management perceived by academic staff?

How is Research Management perceived by other support staff?

What does the Research Office do to promote itself within the organisation?

Interfaces

Is Research Management clearly defined?

Does Research Management understand academic expectations?

How do those working within Research Management interface with and communicate roles to academics and the wider university administration?

What systems or procedures are in place to manage and maintain these interfaces?

Do these systems work?

Are they adhered to by academics?

Communications

What communications are there between the university administration, Research Management and the academic staff?

Who within the institution leads on big calls and inter-faculty proposals?
How are academics' grievances with the Research Office dealt with?
What mechanisms are in place to deal with any problems before they escalate?

People and stakeholders

Recruitment and retention

How easy or difficult is it recruiting staff for Research Management?
Do you recruit generically or to specialist remits within the Research Office?
From what experience and backgrounds do you tend to recruit?
What qualifications do your staff usually have when recruited?
How do you assess them for the skills they will need in Research Management?
Do you tend to recruit staff with the skills necessary already present, or do you train people in the job?
Do you make more internal or external appointments and promotions?
How high is the staff turnover in Research Management?
What opportunities and support are available for further professional development?
What, in your view, are the attractions of a job in Research Management?
What, in your view, might put a candidate off a job in Research Management?

Training/career pathways/qualifications

Do you think of Research Management as a professional activity? c.f. Finance, Estates, HR etc.
What education and training do you offer for your staff?
Do you offer specific training/development budget as part of a new hire induction?
Do you use internal or external training providers?
What training is available in those skills specific to Research Management?
How great are the progression opportunities?
How are progression opportunities managed?
What mechanisms are in place to ensure staff progress and are professionally developed?
What scope do you think there is for more specific Research Management training?
What sort of training would be most useful?
Who, of those who manage research in your institution (e.g. academics, departmental administrators, Research Office) could benefit most from training?
Would you pay and release staff for accredited training?
Should there be a nationally recognised professional framework for staff development?
How could this be best shaped?
If a Masters level qualification in Research Management were available, would you be interested in involving some of your

Research Office staff?
Would accreditation of Research Management make recruitment and retention any better?
Have you sent staff on training courses?
Have they been useful?
Do you see a need for fundamental, operational training vs. professional, higher level (e.g. MSc) training

Performance and resources

Reporting

What processes do you have in place for analysis and reporting of research information (at an institutional and Research Office level)?
Who is responsible for this?
Do you benchmark against other institutions?
Do you pay attention to league tables?
What, if any, resource is allocated to the management of research intelligence?
Who sees Research Management information?
Do you set key performance indicators for academics and Research Management?
Does each group know what the others key performance indicators are?
How, by whom and to whom, are trends monitored?
How, by whom and to whom, is Research Income monitored?
How, by whom and to whom, is performance monitored?
What action, if any, is taken as a result of reports?
Is the action effective?
Is there accountability?

Workload

What do Research Management staff spend their time doing?
What tasks take up the most resources/time? Are these the 'right' things?
What are the greatest challenges or tensions you face in research and Research Management?
Do Research Management staff find their work rewarding?

Annex 5: Interview results

The tables on the following pages summarise the results from the conducted interviews with the sample universities. Where there are no answers, none were given at interview. In order to give some quantitative measure it has been necessary to attribute numerical values to some of the answers.

The groupings have been informed by the answers given. For example: Does the university recruitment consist of mainly internal or external appointments? Entirely external, Mostly external, Half internal and half external, Mostly internal, Entirely internal.

Quantitative Questions	University A	University B	University C	University D	University E	University F	University G
Research Strategy							
Research Strategy in place?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Research Strategy published?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Research Strategy actions realised?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Research Strategy actions realised?	Partially	Partially	No	Yes	Yes	Yes	Partially
Strategic research budget?	Yes	No	Yes	Yes	No	No	No
Research and Enterprise as one office?	Yes	Yes	No	Yes	No	No	No
Research Strategy determined by?	Research Committee	VC committee	Research Committee	Research Committee	Management Board	VC Committee	VC Committee
Strategic objects delivered?	Partially	No	Yes	Yes	Yes	Yes	Partially
Importance of regional research/innovation agenda?	4 - Important	4 - Important	4 - Important	4 - Important	4 - Important	5 - Highly important	4 - Important
Existing research structures and roles?	Central Research Support 4 - Effective	Central Research Support 4 - Effective	Central Research Support 4 - Effective	Central and Devolved Hybrid 4 - Effective	Central Research Support 2 - Ineffective	Central Research Support 5 - Highly effective	Central and Devolved Hybrid 4 - Effective
Pro Vice Chancellor or Dean for Research?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
University Research Committee?	Yes	Yes	Yes	No	Yes	Yes	Yes
Dedicated Research Office?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Number or research support staff?	40-50 staff	30-40 staff	20-30 staff	30-40 staff	0-10 staff	20-30 staff	10-20 staff
Research support adequately resourced?	Yes	No	No	Yes	No	No	Yes
Research support priorities set by?	PVCR	PVCR	PVCR	VC	Dean of Research	PVCR	
Strong research support leadership?	Yes	No	No	Yes		Yes	
Research support represented at management board?	No	No	No	No	No	Yes	No
Research support respected/valued by organisation?	Yes	Yes	Yes	Yes	No	Yes	Yes
Extent of research support devolution?	4 - Centralised	4 - Centralised	4 - Centralised	4 - Centralised	4 - Centralised	5 - Highly centralised	2 - Devolved
Role of research support clearly understood?	Yes	Yes	Yes	Yes	No	Yes	Yes
Perception of research support by academic staff?	4 - Value added	4 - Value added	4 - Value added	4 - Value added	2 - Low value added	5 - High value added	4 - Value added
Perception of research support by other support staff?	4 - Value added	4 - Value added	4 - Value added	4 - Value added	1 - Very low value added	5 - High value added	4 - Value added
Research support functions clearly defined?	Yes	Yes	Yes	Yes	No	Yes	
Academic expectations understood by research support?	Yes	No	Yes		No	Yes	
Research support procedures work well?	Yes	Yes	Yes	Yes	No	Yes	
Research support systems work well?		No	No	No	No	No	
Big calls and inter-faculty proposals led by whom?			Academic stakeholders	Research funding officers		Research support office	
Comms							

	University A	University B	University C	University D	University E	University F	University G	
Recruitment	Quantitative Questions	University A	University B	University C	University D	University E	University G	
	Recruiting staff for research support easy or difficult?	4 - Easy	2 - Difficult	4 - Easy	4 - Easy	1 - Very difficult	1 - Very difficult	2 - Difficult
	Recruit generalist or to specialist?	Specialist	Mix Generalist/Specialist	Generalist	Mixed Generalist/Specialist	Mixed Generalist/Specialist	Mixed Generalist/Specialist	Mixed Generalist/Specialist
	Preferred experience of recruits?	Business/Commercial	University admin	University admin	Academic	Academic	University admin	University admin
	Preferred qualifications of recruits?	PhD	First degree	First degree	PhD	First degree	Professional qualification	First degree
	Recruit with skills already or train on the job?	4 - Some-on-the-job training	4 - Some-on-the-job training	3 - Partly skilled	3 - Partly skilled	3 - Partly skilled	4 - Some-on-the-job training	4 - Some-on-the-job training
	Mainly internal or external appointments?	3 - Half internal/Half external	4 - Mostly internal	2 - Mostly external	1 - Entirely external	3 - Half Internal/Half external	1 - Entirely external	2 - Mostly external
	High staff turnover in research support?	1 - Very low	3 - Neither high nor low	4 - High	1 - Very low	4 - High	1 - Very low	2 - Low
	Research Management a professional activity?	Yes	No	Yes	Yes	No	No	Yes
	Level of education and training for your staff?	4 - High	4 - High	4 - High	4 - High	3 - Neither high nor low	2 - Low	4 - High
Training/Career/Qualifications	Training/development budget for new hire induction?	Yes	Yes	Yes	Yes	Yes	Yes	
	Internal or external training providers?	2 - Mostly external	2 - Mostly external	2 Half internal/Half external	2 - Mostly external	2 - Mostly external	2 - Mostly external	2 - Mostly external
	Level of opportunities for progression?	3 - Neither high nor low	2 - Low	2 - Low	2 - Low	2 - Low	4 - High	1 - Very low
	Scope for more specific Research Management training?	4 - Broad scope	4 - Broad scope	4 - Broad scope	4 - Broad scope	5 - Very broad scope	5 - Very broad scope	5 - Very broad scope
	Pay and release staff for accredited training?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Accredited professional framework a good idea?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Accreditation improves recruitment and retention?	4 - Little positive impact	5 - High positive impact	3 - Makes no impact	3 - Makes no impact	5 - High positive impact	5 - High positive impact	5 - High positive impact
	Staff sent on training course (e.g. ARMA, Praxis)?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Training courses useful?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Operational or professional (e.g. MSc) training?	Research Office	Professional	Professional	Mixed Ops/Prof	Professional	Professional	Mixed Ops/Prof
Management Information	Responsibility for information management?	Research Office	PVCR	Research Office	Director of Research Services	Director of Finance	Research Office	
	Benchmark against other institutions?	Yes	Yes	Yes	Yes	No	Yes	
	Attention paid to league tables?	Yes	Yes	Yes	Yes	Yes	Yes	
	Level of resources for research Management Information Systems?	Yes	3 - Adequate resource	2 - Low resource	2 - Low resource	2 - Low resource	2 - Low resource	
	KPIs installed for academics?	Yes	Yes	No	Yes	No	Yes	No
	KPIs installed for research support?	Yes	No	No	No	No	No	No
	KPIs mutually understood by academics & research support?	Yes	Yes	No	Yes	No	Yes	No
	Research intelligence acted upon?	Yes	Yes	Yes	Yes	No	Yes	Yes
	Actions resulting from research intelligence effective?			Yes	Yes	No	No	
	Clear accountability for actions resulting from research intelligence?			No	Yes	No	Yes	
W/load	Research Office staff find work rewarding?	4 - High satisfaction	4 - High satisfaction	4 - High satisfaction	4 - High satisfaction	3 - Neither satisfied nor unsatisfied	5 - Very high satisfaction	
	Research Office staff feel pressured?	Yes	Yes	Yes	Yes	Yes	Yes	
	Research Office staff satisfaction survey in place?	Yes	Yes	Yes	Yes	No	Yes	

Quantitative Questions	University H	University I	University J	University K	University L	University M	University N
Research Strategy							
Research Strategy in place?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Research Strategy published?	Yes	Yes	Yes	Yes	Yes	No	Yes
Research Strategy actions?	Yes		Yes	Yes	Yes	Yes	Yes
Research Strategy actions realised?	Yes		Yes	Partially	Partially	No	Partially
Strategic research budget?	Yes		Yes	Yes	No	Yes	Yes
Research and Enterprise as one office?	Yes	No		Yes	No	No	Yes
Research Strategy determined by?	Research Committee	VC Committee		VC Committee	VC Committee	VC Committee	VC Committee
Strategic objects delivered?	Partially			Partially		No	No
Importance of regional research/innovation agenda?	5 - Highly important	3 - Neutral importance		2 - Unimportant			4 - Important
Existing research structures and roles?	Central Research Support	Central Research Support	Central Research Support	Central Research Support	Central and Devolved Hybrid	Devolved Research Support	Central Research Support
Effectiveness of current research structure and roles?	4 - Effective	4 - Effective	4 - Effective	4 - Effective	4 - Effective		3 - Neither ineffective nor effective
Pro Vice Chancellor or Dean for Research?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
University Research Committee?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Dedicated Research Office?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Number or research support staff?	100-110 staff	10-20 staff	40-50 staff	50-60 staff	50-60 staff	100-110 staff	20-30 staff
Research support adequately resourced?	No	Yes	Yes	Yes	Yes	Yes	No
Research support priorities set by?	Director of Research Services	PVCR	Director of Research Services	PVCR	Director of Research Services	PVCR	Director of Research Services
Strong research support leadership?	Yes	Yes	Yes	No	Yes	Yes	Yes
Research support represented at management board?	No	No	No	No	No	No	Yes
Research support respected/valued by organisation?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Extent of research support devolution?	4 - Centralised	5 - Highly centralised	4 - Centralised	4 - Centralised	Neither devolved or centralised	2 - Devolved	5 - Highly centralised
Role of research support clearly understood?	Yes	Yes	Yes	Yes	Yes	Yes	No
Perception of research support by academic staff?	4 - Value added	4 - Value added	4 - Value added	4 - Value added	4 - Value added	4 - Value added	4 - Value added
Perception of research support by other support staff?	4 - Value added	1 - Very low value added	4 - Value added	4 - Value added	4 - Value added	2 - Low value added	3 - Neither low nor high value added
Research support functions clearly defined?	Yes	Yes	Yes	Yes	Yes	Yes	No
Academic expectations understood by research support?	Yes		Yes		Yes	Yes	No
Research support procedures work well?	Yes	Yes	Yes	Yes	Yes	No	Yes
Research support systems work well?	Yes	No	No	No	No	No	No
Big calls and inter-faculty proposals led by whom?	Informal academic committee	Research funding officers	Research support office	Informal academic committee	Academic stakeholders	Informal academic committee	Research support office
Comms							

Structure

	University H	University I	University J	University K	University L	University M	University N	
Recruitment	Quantitative Questions	University H	University I	University J	University K	University L	University N	
	Recruiting staff for research support easy or difficult?	2 - Difficult	1 - Very difficult	2 - Difficult	4 - Easy	2 - Difficult	2 - Difficult	5 - Very easy
	Recruit generalist or to specialist?	Specialist	Mix generalist/specialist	Generalist	Mix generalist/specialist	Mix generalist/specialist	Generalist	Mix generalist/specialist
	Preferred experience of recruits?	Business/commercial	University admin	University admin	Finance	University admin	University admin	Business/commercial
	Preferred qualifications of recruits?	PhD	First degree	First degree	A-level	Professional qualification	First degree	Professional qualification
	Recruit with skills already or train on the job?	4 - Some on-the-job training	5 - Complete on-the-job training	5 - Complete on-the-job training	4 - Some on-the-job training	2 - Mostly skilled	4 - Some on-the-job training	2 - Mostly skilled
	Mainly internal or external appointments?	2 - Mostly external	2 - Mostly external	2 - Mostly external	1 - Entirely external	2 - Mostly external	2 - Mostly external	2 - Mostly external
	High staff turnover in research support?	2 - Low	4 - High	2 - Low	2 - Low	3 - Neither high nor low	4 - High	1 - Very low
	Research Management a professional activity?	Yes	No	Yes	Yes	Yes	Yes	No
	Level of education and training for your staff?	3 - Neither high nor low	4 - High	4 - High	4 - High	4 - High	4 - High	4 - High
Training/Career/Qualifications	Training/development budget for new hire induction?	Yes	Yes	Yes	Yes	Yes	No	Yes
	Internal or external training providers?	3 - Half internal/Half external	2 - Mostly external	2 - Mostly external	2 - Mostly external	2 - Mostly external	4 - Mostly internal	2 - Mostly external
	Level of opportunities for progression?	2 - Low	4 - High	4 - High	1 - Very low	2 - Low	2 - Low	3 - Neither high or low
	Scope for more specific Research Management training?	2 - Little scope	5 - Very broad scope	4 - Broad scope	2 - Little scope	2 - Little scope	5 - Very broad scope	5 - Very broad scope
	Pay and release staff for accredited training?	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Accredited professional framework a good idea?	No	Yes	Yes	Yes	No	Yes	Yes
	Accreditation improves recruitment and retention?	3 - Makes no impact	5 - High positive impact		3 - Makes no impact	4 - Little positive impact	5 - High positive impact	5 - High positive impact
	Staff sent on training course (e.g. ARMA, Praxis)?	Yes	Yes	Yes	Yes	Yes	No	Yes
	Training courses useful?	No	Yes	Yes	Yes	Yes	Yes	Yes
	Operational or professional (e.g. MSc) training?	Professional	Professional	Professional	Professional	Professional	Professional	Professional
Management Information	Responsibility for information management?	Research Office	PVCR	Director of Research Services	Research Office	Director of Research Services	Director of Research Services	Director of Research Services
	Benchmark against other institutions?	Yes	Yes	No	Yes	Yes	No	Yes
	Attention paid to league tables?	Yes	Yes	No	Yes	Yes	Yes	Yes
	Level of resources for research Management Information Systems?	3 - Adequate resource		3 - Adequate resource		3 - Adequate resource	3 - Adequate resource	2 - Low resource
	KPIs installed for academics?	Yes	No	No	No	No	No	No
	KPIs installed for research support?	No	No	No	No	No	No	No
	KPIs mutually understood by academics & research support?	No	No			No	No	No
	Research intelligence acted upon?	Yes	No	No	No	No	No	Yes
	Actions resulting from research intelligence effective?	Yes	No	No	No	No	No	No
	Clear accountability for actions resulting from research intelligence?	Yes	No	No	No	No	No	No
W/load	Research Office staff find work rewarding?	5 - Very high satisfaction	4 - High satisfaction	5 - Very high satisfaction	4 - High satisfaction	4 - High satisfaction	4 - High satisfaction	4 - High satisfaction
	Research Office staff feel pressured?	Yes	Yes	Yes	Yes	Yes	Yes	No
	Research Office staff satisfaction survey in place?	Yes	Yes	Yes	Yes	No	No	Yes

Quantitative Questions	University O	University P	University Q	University R	University S	University T
Research Strategy						
Research Strategy in place?	Yes	Yes	Yes	No	Yes	Yes
Research Strategy published?	Yes	Yes	Yes	No	Yes	Yes
Research Strategy actions?		Yes	Yes	No	Yes	Yes
Research Strategy actions realised?		Partially	No	No	Partially	Yes
Strategic research budget?	Yes	Yes	No	No	No	Yes
Research and Enterprise as one office?	Yes	No	No	Yes	No	Yes
Research Strategy determined by?	Management board	VC Committee	VC Committee		Research committee	Research committee
Strategic objects delivered?	Yes	Partially	Partially		Partially	No
Importance of regional research/innovation agenda?	5 - Highly important	3 - Neutral importance	4 - Important	4 - Important	5 - Highly important	
Existing research structures and roles?	Central Research Support	Central and devolved hybrid	Devolved Research Support	Central and devolved hybrid	Central Research Support	Central Research Support
Effectiveness of current research structure and roles?	4 - Effective	2 - Ineffective	2 - Ineffective	4 - Effective	4 - Effective	4 - Effective
Pro Vice Chancellor or Dean for Research?	Yes	Yes	Yes	Yes	Yes	Yes
University Research Committee?	Yes	Yes	No	Yes	Yes	Yes
Dedicated Research Office?	Yes	Yes	Yes	Yes	Yes	Yes
Number or research support staff?	40-50 staff	20-30 staff	100-110 staff	30-40 staff	30-40 staff	30-40 staff
Research support adequately resourced?	No	Yes	Yes	Yes	Yes	No
Research support priorities set by?	Director of Research Services	PVCR	Director of Research Services	Director of Research Services	Dean of Research Services	Director of Research Services
Strong research support leadership?	Yes	No	No	No	No	No
Research support represented at management board?	No	Yes	No	No	Yes	No
Research support respected/valued by organisation?	No	Yes	No	Yes	Yes	Yes
Extent of research support devolution?	5 - Highly centralised	2 - Devolved	1 - Highly devolved	4 - Centralised	4 - Centralised	5 - Highly centralised
Role of research support clearly understood?	Yes	No	No	No	Yes	No
Perception of research support by academic staff?	3 - Neither low nor high value added	3 - Neither low nor high value added	2 - Low value added	4 - Value added	4 - Value added	4 - Value added
Perception of research support by other support staff?	3 - Neither low nor high value added	3 - Neither low nor high value added	2 - Low value added	3 - Neither low nor high value added	4 - Value added	4 - Value added
Research support functions clearly defined?	Yes	No	Yes	No	Yes	Yes
Academic expectations understood by research support?	No	No	No	No	Yes	Yes
Research support procedures work well?	Yes	No	No	Yes	Yes	No
Research support systems work well?	Yes	No	No	Yes	No	No
Big calls and inter-faculty proposals led by whom?	Informal academic committee	Research funding officers	Research funding officers	Research funding officers	Research strategy managers	Research strategy managers
Comms						

	University O	University P	University Q	University R	University S	University T	
Recruitment	Quantitative Questions	4 - Easy	4 - Easy	4 - Easy	4 - Easy	4 - Easy	
	Recruiting staff for research support easy or difficult?	3 - Neither difficult nor easy	4 - Easy	4 - Easy	4 - Easy	4 - Easy	
	Recruit generalist or to specialist?	Mix generalist/specialist	Mix generalist/specialist	Mix generalist/specialist	Generalist	Generalist	
	Preferred experience of recruits?	University admin	Academic	University admin	University admin	University admin	
	Preferred qualifications of recruits?	First degree	Professional qualification	First degree	PhD	First degree	
	Recruit with skills already or train on the job?	2 - Mostly skilled	3 - Partly skilled	2 - Mostly skilled	4 - Some-on-the-job training	3 - Partly skilled	5 - Complete-on-the-job training
	Mainly internal or external appointments?	3 - Half internal/Half external	2 - Mostly external	4 - Mostly internal	2 - Mostly external	2 - Mostly external	3 - Half internal/Half external
	High staff turnover in research support?	2 - Low	1 - Very low	2 - Low	2 - Low	1 - Very low	2 - Low
	Research Management a professional activity?	No	No	Yes	No	Yes	Yes
	Level of education and training for your staff?	3 - Neither high nor low	3 - Neither high nor low	4 - High	4 - High	2 - Low	2 - Low
Training/Career/Qualifications	Training/development budget for new hire induction?	Yes	Yes	Yes	Yes	Yes	
	Internal or external training providers?	2 - Mostly external	3 - Half internal/Half external	3 - Half internal/Half external	3 - Half internal/Half external	4 - Mostly internal	
	Level of opportunities for progression?	4 - High	3 - Neither high nor low	1 - Very low	4 - High	2 - Low	
	Scope for more specific Research Management training?	5 - Very broad scope	5 - Very broad scope	4 - Broad scope	2 - Little scope	5 - Very broad scope	
	Pay and release staff for accredited training?	Yes	Yes	Yes	No	Yes	
	Accredited professional framework a good idea?	Yes	Yes	Yes	No	Yes	
	Accreditation improves recruitment and retention?	5 - High positive impact	5 - High positive impact	3 - Makes no impact	3 - Makes no impact	4 - Little positive impact	
	Staff sent on training course (e.g. ARMA, Praxis)?	Yes	Yes	Yes	Yes	Yes	
	Training courses useful?	Operational	Mixed Ops/Prof	Professional	Mixed Ops/Prof	Professional	
	Responsibility for information management?	Director of Research Services	Director of Research Services	Director of Research Services	Director of Research Services	Research Office	
Management Information	Benchmark against other institutions?	Yes	Yes	Yes	No	No	
	Attention paid to league tables?	Yes	Yes	Yes	No	Yes	
	Level of resources for research Management Information Systems?	4 - High resource	4 - High resource	3 - Adequate resource	3 - Adequate resource	2 - Low resource	
	KPIs installed for academics?	No	No	No	No	No	
	KPIs installed for research support?	No	No	No	No	No	
	KPIs mutually understood by academics & research support?	No	No	No	No	No	
	Research intelligence acted upon?	Yes	Yes	No	No	No	
	Actions resulting from research intelligence effective?	Yes	Yes	No	No	No	
	Clear accountability for actions resulting from research intelligence?	4 - High satisfaction	3 - Neither satisfied nor unsatisfied	2 - Low satisfaction	4 - High satisfaction	4 - High satisfaction	
	Research Office staff find work rewarding?	Yes	No	Yes	Yes	Yes	
W/load	Research Office staff feel pressured?	No	No	No	No	No	
	Research Office staff satisfaction survey in place?	Yes	No	Yes	Yes	Yes	

Annex 6: Bibliography

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