

Institution:	University of Northumbria at Newcastle
Unit of Assessment:	19 - Business and Management Studies

a. Overview

Research in this UoA is focused in three clusters: Entrepreneurship, Innovation and SMEs (developed from Operations and Information Systems Management), Risk, Ethics and Governance (developed from International Business and Governance) and Organisational Behaviour, Leadership and Development (developed from People and Organisations). These have each expanded and broadened in scope since 2008.

While there is an emphasis on applied business-relevant research that has a high propensity for impact and that underpins consultancy, corporate learning partnerships and Knowledge Transfer Partnerships (KTPs), this is complemented by outputs making contribution to theory.

b. Research strategy

Strategic aims since 2008

The research strategy of the UoA in 2008-13 was to: extend our research-active academic staff base, in particular by increasing the number of doctorally-qualified staff; increase the quality and quantity of outputs; continue to expand the number of graduate students and doctoral completions; and place emphasis on KTP activity as a source of income and especially as a central pathway to impact.

Achievement of Strategy 2008-2013

Continuing the strategic direction set out in RAE2008, the UoA has achieved the following:

- A total of 64 doctoral awards during the 2014 REF period compared with 39 awards during 2008 RAE period.
- Increased the number of research leaders, appointing eight Professors (increasing the number from four in post in 2008 to 12 in 2013) and three Readers, complemented by investment in established senior staff and early career researcher (ECR) staff.
- Developed a strengthening research culture, as exemplified by publication of 76 outputs encompassing a range of articles in leading journals across Business and Management such as: British Journal of Management, Critical Perspectives in Accounting, Journal of Business Ethics, Journal of Business Research, European Journal of Finance, Policy and Politics, Journal of Marketing, Tourism Management and International Journal of Operations Management.
- Attracted and delivered five new Knowledge Transfer Partnerships, with a contract value of £425,000 in the assessment period.
- Supported young academics into an academic career (and some mid-career professionals converting to academic careers) through our Graduate Tutor (GT) graduate recruitment scheme (established 2005), with 15 GTs currently employed within the UoA. Talent management includes providing pathways for GTs into full-time permanent academic staff. Four former GTs have subsequently taken a semester-long research sabbatical to support development of post-doctoral research profiles.
- Increased the number of doctorally-qualified academics almost fourfold (from 22 to 83) with a strategic commitment to maintain this at a level of at least 60% of academic staff. This included supporting mid-career professionally qualified staff (i.e. those with Accounting and CIPD qualifications) to undertake and successfully complete doctoral research, and then to develop their research through publication and external funding applications.

Strategic Development of Research Clusters 2008-2013

<u>Entrepreneurship, Innovation and SMEs</u>: Research is organised in thematic clusters cutting across traditional business area disciplines. These embrace strategic marketing (McLeay, author of impact case study ICS), and strategy and finance, with particular distinctiveness in and around business improvement, particularly impacting on SME activity and innovation. An example of this is the



combination of McLeay's research on strategic marketing with **Waring**'s (author of ICS) to inform the development of KTPs. **Waring** was a key member of the *Operations and Information Systems* group and has developed her work on socio-technical issues arising from information policy development and systems integration. Two ECRs are making a significant contribution to research in operational and supply chain efficiency (**Heron**, whose work features in an ICS) and supply chain management (**Shokri**). **Vlachos** also has undertaken work in this field including that reported in his paper on 'Lean Thinking in the Hotel Industry'. **Galvin** makes a significant contribution to knowledge in strategic innovation and knowledge acquisition in particular in SMEs. Recent appointments have added an important dimension to this cluster with work by ECR **Wanjiru** that examines direct foreign investment, by **Whalley** that investigates competitive practices, in particular in telecommunications, and by **Zheng** on economic output, innovation and growth.

<u>Risk, Ethics and Governance</u>: An existing area of strength lies in research into organisational ethics and governance, with particular focus on corporate social responsibility and voluntary disclosure. **Shrives** leads in social, environmental and risk, and this work includes research by two ECRs, **Sourer** (who has focused on banking), and **Kaczmarek** (who focuses on board composition). **Harvey** is one of the few empirical researchers working in the field of money laundering and asset recovery, and leads research and outputs from the emergent criminal finance and fraud area. **Beadle** is an exponent of the application of virtue ethics and of the work of McIntyre to understanding the work of organisations. **Realdon** has published research in credit risk, bond pricing and derivatives modelling, and this work is complemented by **Brzeszczynski** who analyses stock market performance.

Organisational Behaviour, Leadership and Development: The third research cluster is built around the work of Fenwick and Mavin, both of whom were key members of the research cluster People and Organisations, in RAE 2008. This cluster is concerned with the impact on individuals of organisational structure and practice, and in this context with the importance of individual diversity and difference, (Mavin and ECR Williams) and the choices that people make through consumer behaviour (Woodruffe-Burton and ECR Lu). It also focuses on the leadership of organisations in the public sector (Fenwick), management judgement, and decision-making (Thomson). In developing this area the cluster will continue to build on the relationships within the Centre for Corporate and Executive Development. Reflecting our strong engagement with management practice, colleagues' research has been used in advice to external organisations. Examples are Mavin's research work which includes advising Sage UK plc. and Newcastle City Council in relation to women in enterprise and women in management and informing the CBI debate on women on boards, and Fenwick's research on leadership in local government which has led to his providing support and advice to local councils.

Future Strategy and Priority Development Areas

The UoA has a number of research priorities over the period from 2014.

- We will expand and further develop the research activities that have coalesced around our principal researchers. These include: Gender, Identity, Leadership and Diversity in Organisation Studies and Management (Mavin); Risk, Responsibility, Ethics and Governance (Beadle); Leadership and Management Development (Fenwick); Criminal Financial Management and Fraud (Harvey) and Organisational and Business Excellence studies (Waring and McLeay).
- The UoA will continue to support its doctoral community and supervisory capacity will be further expanded, given recent senior appointments (Mordue, Brzeszczynski, Whalley, Thomson and Jha).
- The UoA submitted 142 applications for research funding, securing £999,644 of externally and commercially won research income during the REF 2014 period. Work is in hand to develop this further to build on our prior success in KTPs and to secure new sources of prestigious and commercial research funding (e.g. through cultivating applications for research funding to the Economic and Social Research Council, the forthcoming Horizon 2020 programme and, for example, through our relationship with Unilever). We will also nurture established partnerships to replicate the success of those with, e.g., North East



Access to Finance (NEA2F) (Harvey) and Nexus (Fenwick).

 As well as expanding our funding portfolio the UoA will ensure the quality of applications for research funding through its college of peer review and through working with recentlyappointed Research Funding Managers who provide high-level support including sourcing research funding and co-ordinating large scale strategic and multi-partner funding initiatives.

c. People, including:

i. Staffing strategy and staff development

There has been significant investment in the staff of the Unit to improve output quality, thematic coherence and sustainability. Category A staff included in this submission comprise developing, established and experienced staff providing new ideas and sustainability of future research. The strategy pursued to develop research capacity has been built around three dimensions that have provided an inclusive and comprehensive approach to research support and development of all academic colleagues. Three strategies have underpinned staff development to improve research quantity and quality. The first focused on external recruitment of research leaders with new appointments at professorial (Galvin, Mordue, Brzeszczynski, Whalley, Woodruffe-Burton and reader (Thomson and Jha) level. The second supported young researchers into an academic career through our Graduate Tutor (GT) graduate recruitment scheme (12 former GTs are now full-time members of academic faculty), and the third was to support professionally-qualified colleagues to achieve doctoral qualification (19 current staff). These strategies have helped to attract or encourage junior colleagues who have recently completed their PhDs, and eight ECRs are included in this UoA's submission.

Staff Development encompasses a range of support and development activity:

- The University has a 'one-in-six' semester-long sabbatical scheme. During 2013/14 the Unit is supporting five colleagues under this scheme (six in 2012/13). In addition, 27 academic staff were provided with month-long intensive writing sabbaticals in 2010 and 2011 to support completion of outputs and postdoctoral research and publication.
- Professors manage devolved research budgets on behalf of colleagues (totalling £100,000 p.a.) to support conference attendance, participation in external research development, short-term or part-time hiring of research assistants, attracting and supporting visiting academics and travel for external collaborative work.
- The University has introduced the Personal Research and Innovation Plan (PRIP), an on-line tool, to support the individual planning and management of research and related activity. Individual colleagues are appointed a research mentor (a Professor, Reader or experienced researcher) who provides advice and support with the construction and execution of the PRIP which also feeds into the annual system of appraisal.
- Mentors also provide advice on personal promotions, which form a key area of focus for staff retention and career planning. Since 2008, such promotions have included Harvey – Research Lead and Unit Coordinator, Shrives, and Beadle.
- A university-wide Researcher Development Programme runs throughout the academic year, designed to complement the training of PGRs by the Graduate School and to complement that acquired externally. All workshops are mapped to Vitae's Researcher Development Framework, with training and support particularly targeted towards early career researchers. The programme covers essential skills such as developing research proposals, ethics and governance, the bid authorisation process, the commercialisation of research, measuring research impact, getting published and open access publishing. The University also holds an annual two-day Research Conference, enabling all levels of its research community to demonstrate and present their work.
- The Business School has its own year-long Research Development Programme that is structured around two spines. The first spine provides a training pathway to accompany doctoral study, the second a development pathway for postdoctoral research. This is augmented by the Research Seminar Series (with both internal and external speakers), which is further supported by a published Discussion Papers Series. In addition, 2011 (repeated on an annual basis) saw the introduction of a Research Writing Workshop, a two-week intensive programme led by Galvin. McLeay facilitates workshops in consultancy and contract bidding



and more recently **Woodruffe-Burton** has facilitated sessions on engagement with research. Similarly, a number of colleagues contribute to the multi-university Northern Advanced Research Training Initiative (NARTI), including McLeay and **Williams**.

- The University places considerable emphasis on the need to maintain high standards in research quality and integrity. The University Research Ethics Committee is responsible for overseeing research governance across the institution and developing cross-University policy. It is responsible for resources such as the annually-updated Research Ethics and Governance Handbook and for the annual Research Ethics Audit carried out in all Faculties.
- Diversity and inclusion have always been very important to Northumbria, and all staff are required to attend Equality and Diversity training as part of the core training requirements. This covers legislation, the University's policies, decision-making and behaviour.

Early Career Researchers.

At the Unit level, ECRs are allocated a senior researcher as mentor, and can access research funding and sabbatical leave on the same basis as other staff. Recognising the important contribution made by ECRs to the Unit, care is taken to provide routes through to promotion, providing opportunity for them to engage with research leadership activity through joining as second doctoral supervisors or by joining the doctoral management team. A cross-University ECR forum has also been established in order to facilitate interaction among ECRs and researchers outside their usual networks, to enable staff to identify issues of concern and draw these to the attention of relevant colleagues, and to ensure that researcher perspectives inform decisions made in the University that affect them.

ii. Research students

The University's Graduate School was established in 2008 to provide a dedicated central support and administration function for PGR students. The University continues to invest in its doctoral community to ensure that growth continues, supported through a combination of improved student recruitment processes and targeted campaigns. This, together with internal recruitment efforts, has enabled us to maintain PGR student numbers within the Unit as many staff complete doctoral research successfully and as the Unit recruits further research students. The total number of research students has risen from 70 (RAE 2008 period) to 86 (REF 2014 period). 18 current colleagues have been principal supervisors over this period, with a larger number engaged as second supervisors. The University holds an annual PGR Scholarship competition which provides full RCUK-rate stipends. The student tuition fee has been supported through the attraction of external funds, during the assessment period the Unit has attracted eight (with a further three during 2013/14) of these Scholarships, with external funding having been supplied by, for example, Associated British Nutrition, Premier Foods, Marlow Foods, Chartered Institute of Purchasing & Supply (CIPS) and Aurora Training.

The School offers two PGR programmes, the PhD and the Professional Doctorate. The Professional Doctorate is awarded with two titles, Doctor of Business Administration (DBA) and Doctor of Business Leadership (DBL), each defined by the focus of the dissertation. The Professional Doctorate comprises two block-mode taught elements (one on philosophy and methodology, the other primarily focused on analysis) with input from external academics as well as the School's professoriate and other active researchers. All PGR students are invited to attend these sessions. Northumbria's performance in the Higher Education Academy's Postgraduate Research Experience Survey (PRES) is positive in all areas, and particularly relating to progress and assessment, research skills, and professional development. As required the table below provides disaggregated data on doctoral degrees awarded:

Year of award	Research-based Professional Doctorate	PhD	Total
2008/09	6	12	18
2009/10	6	5	11
2010/11	9	11	20
2011/12	3	2	5
2012/13	2	8	10



Reflecting the strategic investment in staff development, the number of completing internal staff doctoral candidates (including GTs) in each of the years above was: 10 (2008/9); seven (2009/10); 13 (2010/11); one (2011/12); and two (2012/13) with 31 non-staff doctoral completions. In addition three awards of PhD by publication were made, one in 2008/9 and two in 2009/10.

Doctoral support

The postgraduate academic community in the Unit comes together as a whole on many occasions through the year, culminating in the Annual Doctoral Conference. Towards the beginning of their second year of study (full-time) and third year (part-time), PGR students are also able to engage in an International Research Summer School, held each year in Turkey in collaboration with Oxford Brookes University. In addition to University level support, PGR students are invited to the doctoral training spine of the School's Research Development Programme and they are also invited to attend Research Seminars. This support is designed to provide PGR students with the skills needed to develop and complete their programmes effectively and to prepare them for their subsequent career. Through the Northern Advanced Research Training Initiative (NARTI), PGR students attend doctoral colloquia (at York, Lancaster and Newcastle Universities) and discipline and/or method workshops (hosted by the collaborating Northern universities). All students are given the opportunity to engage in teaching as part of their professional development and, in many cases the involvement of PGR students in seminar work is also used as a means of managing future talent in the School.

d. Income, infrastructure and facilities

Income

The Units's particular commitment to the application of high-quality research to practice in business community is manifest in our success in forming and sustaining KTPs. The Unit has been a partner in five KTPs over the assessment period arising from the outputs of McLeay and **Waring**:

- Modrec International Ltd. £119,208
- Atlantic Geomatics (UK) Ltd. £121,197
- Sports Aid Trust; ESRC (25%) and Technology Strategy Board (75%) £116,274
- Renown Group Ltd. £122,225; graded as 'excellent'
- International Pipeline Products Ltd. £121,591

Five further KTP's are anticipated in the next five years.

Examples of other funding awarded for research include the work of **Heron** on food localisation funded by *DEFRA*, £179,259 total, (£82,159 in the assessment period), **Harvey** on SME access to finance funded by *North East Access to Finance*, £61,952, **Fenwick** on management effectiveness funded by Nexus, £76,925, and **Mavin** who was awarded £142,000 through the HEFCE Leadership and Governance Initiative for a project on learning and development in Higher Education.

The Unit of Assessment will be helped to achieve its future funding targets by recent University investment in its centralised research support resources. This includes the appointment of experienced bid-writers and contract specialists as well as post-award support for monitoring project spend and assisting production of final reports.

Infrastructure and Facilities

The Unit resides within a striking purpose-built building (completed in 2007) that provides outstanding accommodation, IT infrastructure and facilities for research by both staff and students. The building is used extensively to host research conferences and business networking and innovation events that are important for maintaining research/business relationships. The University's IT Services provide technical infrastructure and equipment, user support and training. Remote desktop access is available for all staff and students. The Unit has its own dedicated and fully equipped PGR research suite containing 16 workstations which contributes to the work of the doctoral student community. In addition to this 'in-house' PGR support, a dedicated research study



area, 'the Research Zone', has recently been opened in the main University Library. It comprises a variety of work spaces and is designed to facilitate peer support and interdisciplinary collaboration by creating a physical research community.

A recent significant addition to the Unit is the 'Trading Room' that incorporates Bloomberg financial market data (£30,000 p.a. investment) that featured in this year's British Science Festival http://www.britishscienceassociation.org/british-science-festival/insight-financial-markets-and-trading. This facility supports the research outputs of **Realdon** and **Brzeszczynski**, among others, including research students. Researchers have access to all usual data analysis packages such as NVivo and SPSS. The University has allocated sums from the HEFCE Research Capital Investment Fund to enable purchase of specialised databases that specifically enhance research outputs (Hong Kong Stock Exchange Data Set; Institute of Grocery Distribution Analysis Tools; and Kompass On-line Business Database) and licence purchase to support research, such as Stata Software and Sawtooth Webhosting Software. Finally, the UoA has purchased relevant software equipment such as digital recorders and voice recognition software to aid interview transcription.

e. Collaboration and contribution to the discipline or research base

Since RAE 2008, there has been a major enhancement of our research profile in such areas as: levels of external engagement; participation in national and international collaborations; the range of inter-disciplinary working; and in our wider contribution to the business and management subject research discipline. The following are examples of such growth.

Examples of collaborative activity

The UoA has international and national research collaboration activity with many universities. These include:

Copenhagen Business School (Sanchez); Complutense University of Madrid Spain (Prieto); Drexel University Philadelphia USA (Callahan); Durham University (Moore and Slack) Edinburgh Napier University (McMillan); Glasgow Caledonian University (Johnston Miller and McTavish); Heriot Watt University (Marston and Abraham); Mount Allison University, Canada (Grandy); Newcastle University (Campbell); Tilburg University (van Duyne); University College Dublin (Brennan); University of Melbourne (Singh) York University (Linsley). In addition:

- **Galvin** has a longstanding research relationship with a colleague at Griffith University producing work on innovation, knowledge and organisational capabilities. (**Galvin** and Rice 2008, 2013) and in knowledge acquisition in SMEs (**Galvin** and Geneste, 2013);
- Mavin collaborates with Grandy (Mount Allison University, Canada and Visiting Fellow) to investigate gender and management (Grandy and Mavin, 2011, Mavin and Grandy 2012 and 2013) impacts of Mavin's work in this field now include informing the CBI debate of women on boards and maximising North East talent; advising Catalyst, the leading global non-profit membership organisation on expanding opportunities for women and business; and advising The Bridge Club Ltd. on gender diversity within the boardroom. Her work has also informed Sage UK plc. Newcastle City Council, the North East Women Leaders' conference (2009) and advising ABS/BAM Directors of Research around the role of leadership in Business Schools.
- Heron collaborates with a colleague at Sheffield University on efficiency gains in supply networks and systems (Heron and Oglethorpe 2011; 2013; Oglethorpe and Heron 2011);
- **Shokr**i collaborates with Nabhani (Teesside University) to work on supply chain, operational and organisational performance (**Shokri** and Nabhani 2009, 2010);
- Shrives maintains longstanding relationships on social and environmental disclosure with Slack (Durham); Campbell (Newcastle); Linsley (York and also Visiting Fellow) and Marston (Heriot Watt). His paper 'Content analysis in environmental reporting research: Enrichment and rehearsal of the method in a British-German context' Beck, Campbell and Shrives (2010) is listed as the sixth (as at June, 2013) most cited in the British Accounting Review since 2008;
- **Beadle** collaborates with Moore (Durham University) (**Beadle** and Moore, 2011) to extend theoretical innovations in virtue ethics. **Beadle's** work in terms of MacIntyrean enquiries in organisations has been acknowledged by Alasdair MacIntyre himself.
- Fenwick works with colleagues at Glasgow Caledonian and Edinburgh Napier universities



(**Fenwick**, Johnston Miller and McTavish, 2012; **Fenwick**, Elcock and McMillan, 2009) in a series of works on leadership within frameworks of local governance part of which focus on cross-border issues in public management.

Examples of journal editorship and board membership:

- Galvin Editor-in-Chief for the Journal of Management and Organization
- Mavin Co-Editor for Gender in Management: An International Journal; Editorial Advisory Board member, The Journal of European Industrial Training and Editorial Review Board member for the Journal of Management Development and member of the Scientific Committee of the University Forum of HRD.
- Shrives Co-Editor of the European Risk Research Network Newsletter and on the Scientific Committee of The European Risk Research Network an organisation which brings together academics and practitioners. He is also on the Editorial Board of *Journal of Applied* Accounting Research
- **Vlachos** Senior Editorial Board of the *American Journal of Management Studies* and on the Editorial Board of *Annals of Management Science*
- Fenwick Editorial Board of The International Journal of Public Sector Management
- McLeay Editorial Board of Arts Marketing: An International Journal
- Woodruffe-Burton Editorial Board of the Journal of Marketing Management
- **Harvey** Editorial Board of the *Cross Border Crime Colloquium* and associated edited annual publication
- Mavin Editor with Grandy (Mount Allison University) of Special Issue, 'Experiences of Women Leaders in Alternative Sites of Organization', Gender in Management: An International Journal Vol. 28 No.6.
- **Beadle** Editor with Moore (Durham) of Special Edition of 'MacIntyre Empirics and Organisation' in *Philosophy of Management*, Vol. 7 No. 1.

Examples of external collaborations with research users

- **Mavin** was Vice-Chair of the University Forum for HRD and previous advisor nationally to the Chartered Institute of Personnel and Development (member of Quality Committee) (until 2010). She also provided advice to the Independent Police Commission.
- Fenwick was invited to advise the Committee on Standards in Public Life.
- Quirke is academic advisor to the UK Home Office on EU fraud and the role of OLAF (the EU anti-fraud office).

Examples of contributions to learned societies and professional associations

- Mavin is a Fellow and Fenwick and Beadle are Academic Fellows of the Chartered Institute of Personnel and Development (CIPD);
- Mavin until recently sat on the ABS and BAM National Research Committees and is founding member and steering group member of the BAM Gender in Management SIG and is a member of the ESRC Peer Review College;
- Heron is a Fellow of Chartered Institute of Logistics and Transport (CILT);
- Shrives is a Fellow of the Institute of Chartered Accountants in England and Wales (ICAEW);
- Woodruffe-Burton is a Fellow of Chartered Institute of Marketing (CIM) and elected member of the Worshipful Company of Marketers.

Examples of academic awards and achievements

- Woodruffe-Burton was Highly Commended Award Winner at the Literati Network Awards for Excellence (2012) for her 2011 paper providing empirical testing of a new user-specific service quality model in the context of disabled students in HE.
- Mavin has been appointed (2013) as a Fellow at the 2013 BAM conference for her outstanding
 academic contribution to business and management scholarship, with best paper in streams
 recognition for Mavin (Leadership) Williams (Identity) and Wanjiru (International Business) at
 the same conference.
- Mavin has been shortlisted on four separate occasions for the Alan Moon Best conference paper prize awarded at the Annual International HRD conference (2009; 2011 and 2013) for



papers on gender stereotypes and women leaders; experiences of gender and entrepreneurial leadership (with Patterson and Turner) and women's friendships at work (with **Williams** and Patterson)).

- **Jha** won best published paper at the International Academy of Management conference (2013) for his paper in *Academy of Management Perspectives*.
- McLeay was awarded best paper in the Non Profit and Social Marketing Track at the Academy of Marketing Conference (2013).
- McLeay and Filieri won Best Conference Paper at the Academy of marketing conference 2012 for their paper 'Understanding consumers adoption of e-WOM through information quality and product ranking'.
- **Shrives** with Sin Huei, and Yeoh won Best Paper award at the Asian Academy of Management conference 2013 for their paper 'Do Business Groups in Malaysia Engage in Resource Redistribution?'

Significant Research Conferences hosted:

- EU Network of Excellence Dynamics of Institutions and Markets in Europe (2007 and 2008).
- The Search for Crime-Money Debunking the Myth: Facts versus Imagery Conference (2008).
- 10th International Conference on HRD Research and Practice Across Europe (UFHRD and AHRD) (2009); Mavin Conference Chair.

Example Research Informed Industry Collaborations

AB-Agri Ltd; ACAS; Atlantic Geomatics (UK), **KTP**; Aurora Training; Culture Creativity and Education; DWP: Framework Specification; Fraud Management Services (UK); North East Access to Finance (**funded research**); International Pipeline Productions Ltd (**KTP**); Lewis Reed; Modrec Ltd. (**KTP**); Nexus; Premier Foods (**studentship**); SAGE UK plc., Sunderland City Council, Scott Bros Environmental Services; Talented Athlete Scholarship Scheme(**KTP**); The Renown Group, (**KTP**).