Institution: Sheffield Hallam University

Unit of Assessment: 19 Business and Management Studies

a. Overview

Business and Management research at SHU is located within Sheffield Business School. Since 2011 the School has developed the 'Sheffield Business School Research Institute' within which Business and Management research has developed collaboratively with research in Tourism and Hospitality (5 staff submitted in Unit of Assessment 26 Sport and Exercise Sciences, Leisure and Tourism), and Food (2 staff in Unit of Assessment 3 Biological Sciences). The Research Institute remit includes both the development of research and strategic impact and the development of synergies throughout the research community via seminar series and other activities.   The Graduate Centre (PhD, MRes and DBA programmes) is located within the Research Institute. Overall responsibility for research and PGR provision lies with the Assistant Dean (Research) although in connection with the latter he works closely with the Head of the Graduate Centre. The Research Board, constituted of the Business School Research Leaders and Professoriate, is responsible for development of strategy and its implementation.

b. Research strategy

The research strategy supports the development of academic and applied research that is relevant to key issues in business and management and is closely aligned to the SHU corporate vision that 'our research strength will be concentrated in specific subject areas of international standing and designed to promote solutions that have a positive impact on the quality of life, solutions to questions of public policy, and contribute to the knowledge economy' The period since RAE 2008 has witnessed a decline in the overall number of research-active staff primarily through retirements. The leadership of the Business School is committed to using recruitment and staff development strategies to enable strategic growth and development of research. Changes in staff interest and the recruitment of new staff has meant some reconfiguration of the focus of research in the unit. Key headlines assessing the degree to which strategic goals in RAE 2008 have been achieved are discussed immediately below, with fuller details laid out in later sections.

i.   *To develop research and outputs that contributes, at international and national levels, to research in business and management.* Success in this area is evidenced through the development of outputs in international journals of repute. This has been particularly enhanced by the strategic recruitment of three staff in new research roles (two Research Professors and an Assistant Dean for Research) at senior professorial level since 2012, all of whom are included in this submission. A key feature of staff development is that the Research Board has put in place (2013) a structure for research that places new and experienced researchers within one of six core themes: People Work and Organisation, SME and Entrepreneurship, Accounting and Finance, Strategy and Organisation, International Business and Economics, Ethical Organisations. Each of these themes has a Research Leader who is a member of the Research Board. As the themes develop they will undertake research related activities such as disciplinary and inter-disciplinary workshops and the provision of local mentoring and support for new researchers. These activities will complement the seminar series and other activities that are at Institute level.

ii. *To undertake research, consultancy and knowledge transfer activities which give added value to organisations, yield data which can be developed into research outputs and an income stream to Research and Business development.* The commitment to add value to external partners from industry and commerce as well as public and third sector organisations and which also have been developed into research outputs is illustrated by two highlighted areas of development since 2008. These are Social Enterprise (led by Ridley-Duff and Coule) and Charities (led by Morgan).

iii. *To develop those members of the business and management academic community who are not already research-active but who wish to become so.* Although the Business School is committed to further enhancing the quality of outputs from research-active staff there is also a commitment to the development of new researchers through release from teaching,

staff development and mentoring.

Overarching objectives for the five-year horizon 2014-2019

i. *Developing the national and international reputation of research in business and management within the Business School.* This will be achieved through a focus on the authorship of outputs for international journals which will continue to be supported through targeted investment. The Unit of Assessment aims to increase the number of research-active staff producing outputs of national and international quality to 18 by 2019. The continuing development of mentoring, seminars, conferences and other activities will facilitate the development of a research culture.

ii. *Promoting academic research as a career option through recruitment and career progression.* There is a clear strategy for the recruitment of new staff, succession planning and staff development; this is detailed in the 'People' section below.

iii. *Developing and implementing a clear impact strategy.* As discussed in document 3a a key objective is to work towards a much clearer and well defined presence of research in a greater range of projects undertaken by the Business School with non-academic clients than is the case at present. We shall continue to develop research, consultancy and knowledge transfer activity through, for example, the use of HEIF funding in 2014 of some £60,000 towards the development of bids for knowledge transfer and research related activities. There will be an initial focus on Knowledge Transfer Partnerships followed by European and ERDF funding applications.

iv. *Developing research income.* The appointment of the new Assistant Dean (Research), alongside the two newly appointed Research Professors with a specific remit to develop research income along with their other responsibilities, will give impetus to the development of research-led income particularly in approaches to UK central bodies, charities the Research Councils, and Knowledge Transfer Partnerships. A sustainable strategy for growth in income in the period 2014-2020 is to double to over £2,000,000 the income recorded 2008-2013

v. *Strengthening the PGR programmes and further improvement of the PGR completion rate:* This will involve increasing the number of existing PhD bursary schemes through Business School funding and the continued development of the DBA programme (especially through European partnerships). Improvement of the PGR completion rate will be achieved through further development of existing policies of recruitment and structured monitoring of student progress through formal review processes involving the student and supervisory team.

c. People, including:
i. Staffing strategy and staff development

The **staffing strategy** is framed by the principles of the *Concordat to Support the Career Development of Researchers*, which guides institutional policies and practice in relation to research staff. The University's commitment to the principles of the Concordat to support the career development of researchers has been acknowledged by receiving the HR Excellence in Research Award from the European Commission. Key investment in 2012-13 includes: a dedicated Researcher Development Advisor (1 FTE), a training suite addressing research integrity and a participation in an international collaborative project to develop Professional Skills for Research Leaders resulting in a high quality online training framework for early to mid-career researchers (£80k). The researcher career agenda is supported by a working group integrating research staff and PGR training and development.

SHU aims to create an environment that respects the diversity of all stakeholders and enables them to achieve their full potential and to contribute fully in University life. SHU has a gender, race

and disability equality scheme which ensures compliance with all relevant legislation. Examples include 1) commitment to good practice in employing people with a disability ("Positive about disability"), 2) a 'Right to Request Flexible working Policy for parents and carers and 3) in July 2010 SHU achieved the Bronze award for the Athena SWAN Charter 'Women in Science, Engineering and Technology' recognising our foundation for eliminating gender bias and developing an inclusive culture.

The overall approach to the provision of resources for staff to undertake research within the unit is that both new to research and experienced staff submit a detailed application for hours for release from teaching and administrative duties and other funding in March each year. Each application is rapporteured by a member of the Research Board and resources are distributed through the Board on the basis of the merits of each application within the overall budget for research support. Other supported activities include attendance at national and international conferences.

The **recruitment strategy** has been focused on addressing the Business School's need for experienced researchers and research leadership in the context of the retirement of five professors and one resignation since RAE 2008. A newly appointed Assistant Dean Research (Newman in 2013) provides strategic research leadership. This complements the appointment of two Research Professors in 2012 (McElwee and Richardson) and the appointment of the Head of the Graduate Centre (Tietze in the period 2011-2013). Since the beginning of 2012 it has been Business School policy that new academic staff appointments should have a doctoral qualification and it is anticipated that many of these new staff will make a significant contribution to REF2020. The Graduate Tutor and PhD bursary schemes (both of which recruit three students per annum) are based on the principles of providing PGR training whilst encouraging participants to become active members of academic staff with a view to them being offered a full employment contract after the completion of doctoral studies. Academic mentoring to both staff new to research and members of the Graduate Tutor Scheme is provided as appropriate and delivered by the current and emeritus professoriate with a focus on the production of research outputs.

Succession planning is built through several initiatives. The Business School continues to support existing research-active staff applying for Professor status. There will be a continuation of provision (through the Business School staff development budget) for staff to undertake PhD studies (Investment of £16,245 in 2012/13) including support for 'writing up sabbaticals' to complete doctoral theses. Staff wishing to undertake the PhD route are supported to take modules on the MRes in Social Science Research Methods (Business and Management) and to register part-time for a PhD. An alternative route for academics wishing to enhance their research profile is through the Doctorate in Business Administration. From 2011 to 2013 some 18 staff from this Unit of Assessment have started on this programme (an investment of £82,108 in 2012/13). Both these schemes are specifically designed to enhance sustainability of research within the Business School over the longer period through publications from doctoral studies. Succession planning is also through the provision of 'bursary schemes' to assist staff new to research to produce outputs (e.g. Coule 1, 2 and Ridley-Duff 1, 2). In 2012/13 some £60,500 of Business School funding used to release staff new to research to provide remission from teaching and administrative duties.

As part of the **staff development** strategy the Research Institute ensures that, subject to annual review, staff with experience in research can submit bids for release from teaching and administrative duties (In 2012/13 some £113,000 was allocated for this purpose). Staff are required to submit an application that provides details of proposed research and anticipated outputs which need to be targeted at international journals of repute or monographs. Their programme of research and its progress is discussed with a member of the Research Board at specified intervals during the year.

The Research Institute is creating a research environment that provides integrative and developmental mechanisms to foster and maintain engagement. There is a regular, weekly *Research Support Series* and workshops are hosted for staff each year; examples include an externally facilitated 2 day 'academic writing workshop' (2011 and 2012), an externally and internally facilitated 'impact workshop' and 'impact case study writing workshop' (2012 and 2013).

Additionally, subject specific research talks and seminars are hosted and organised through groups within the Research Institute. Recent examples include lectures by Charity Practitioners and Visiting Professors from New Zealand (Victoria University, Wellington) and the USA (Boston College).

Research standards and quality are maintained through a number of internal quality control procedures including the Research Board and the Business School Research Ethics Committee which is closely aligned to the University Ethics Committee (UREC) which has established research ethics policies and procedures to ensure good practice and sustain programmes of excellent and ethical research. Policy is regularly revised to comply with EU and national legislation and standards of good practice. The SHU approach to promoting research integrity is recognised by the European Science Foundation (Fostering Research Integrity in Europe, ESF, December 2012) and SHU participates in the UK universities research ethics network to establish quality kite marking for research ethics committees. Research involving direct contact with participants or where there may be other ethical issues, must be subject to ethical review. A risk assessment approach is encouraged to safeguard the physical and psychological well-being of participants and researchers. The policy is also concerned with research quality promoting the highest standards of integrity, impartiality and respect for data. UREC instigated the development of a SHU research data archive ensuring material related to published studies can be securely stored in line with data retention policies. Good practice research guides have been developed, examples include: Good Research Practice for Authorship, Good Research Practice for Peer Reviewers, Insider Research Guidelines, Researcher Safety; all policies are available on a central website.

UREC reviews and approves all procedures operating within the Business School Ethics Committee and researchers. UREC oversees a series of annual workshops for staff and postgraduate research students involving internal and external facilitators

ii. Research students
The Business School houses two PGR programmes within the Graduate Centre. These are the Doctor of Business Administration (83 students; all part-time) and 57 PhD students (29 part-time and 28 full-time as of 31/07/13).

Academic Year	PhD (P/t and F/t) Completions	DBA (Part-time) Completions
2008 - 2009	2	1
2009 - 2010	3	1
2010 - 2011	3	1
2011 - 2012	6	0
2012 -2013	2	5

The completion rate of 16 PhD students in the period 2008-13 compares favourably with RAE 2008 when 15 PhD completions were recorded. There were no DBA completions in RAE 2008 as it was still then a developing programme. The overall figure for the period 2008-13 of eight completions with five in 2012-2013 suggests that the rate of completions reflects of the emerging maturity of the programme.

Policies and regulatory frameworks relating to admissions, monitoring of student progress, arrangements for progression, responses to information provided by the annual student monitoring, addressing any potential concerns about student progress, and issues relating to supervision are closely aligned to those of the University. They are implemented through the Business School Research Degrees Committee and the Business School Research Ethics Committee.   All the staff in this submission are supervisors on the PhD/DBA Programmes, Coule is Programme Leader for the DBA, Richardson is the Course Leader for the MRes (Business and Management) and there will be a new appointment to Head of the Graduate Centre following the resignation of the current postholder.

PGR students are located in a dedicated space in the Business Park where they have access to

PC's, telephone, free printing and photocopying. They have the same level of access to library facilities as staff. Each student has access to a budget of £1500 over three years for attendance at conferences. The Research and Innovation Office employs the Researcher Development Adviser, who collaborates with the PhD course leader in order to develop dedicated development programmes for PGR students with an emphasis on employability.

SHU took part in the 2013 HEA Postgraduate Research Experience Survey (PRES). Comparator data from this were excellent, placing SHU and this Unit of Assessment well above sector average scores in all seven main scales. 90% of SHU respondents, (and 89% of those from this Unit of Assessment), expressed overall satisfaction with their research degree experience. Students are also given the opportunity to nominate a member of staff for the Inspirational Research Supervisor Award. In July 2013, 136 nominations were received and five awards were subsequently made including Johnston from this unit. All new supervisors are required to attend the SHU Research Supervisor Development Course.

PGR recruitment: The Business School Head of Programme Area - Research Degrees (HOPA) is responsible for recruitment in line with target student numbers and recruits new students in partnership with a Director of Studies. The admissions criteria align with the Quality Assurance Agency and UKBA guidelines. Induction takes place annually at University level and is supplemented with an electronic resource which is available on the Research Student Blackboard site (a Virtual Learning Environment). The Business School also runs local induction events

PhD students' **research training** is mapped to the domains of the Vitae Researcher Development Framework (RDF). Training operates at three levels: 1) training provision to attain competence in research methods, integrity, skills and philosophy, 2) training in skills common to cognate disciplines, and 3) transferable skills training. The first of these is achieved through attendance, according to need, on all or part of the MRes programme. This programme gained full ESRC Recognition in 2004; this only ceased with the ESRC decision to move to Doctoral Training Centres. The other two domains are met through regular training events that focus on research and employability issues such as 'Ethics', 'Research Integrity', and 'Developing Papers from your Research'. These are hosted, alongside annual events such as the 'Doctoral Conference' and a two-day Annual Residential Workshop. An annual Research Developmental Needs Analysis (to be replaced in 2013/4 by the Vitae Researcher Development Planner) identifies training needs which are addressed through resources made available by the University. The University has invested in the on-line skills training package 'Epigeum' which is available to all research students and staff via a Virtual Learning Environment.

Supervision: All students have a team-based supervisory team with specific roles and responsibilities as outlined in the SHU Code of Practice. The University has a bespoke supervisory policy and a supervisor register; teams are appointed by Research Degrees Sub-Committee on the basis of expertise in the research area and combined experience of supervising to completion. The Research Supervisor Development Programme (RSDP) develops effective supervision skills in staff and shares good practice. RSDP is a modular programme and is supported by a Virtual Learning Environment. Since 2008, some 204 SHU staff members have successfully completed the programme. A complementary research degree examiner workshop takes place annually.

Progress Monitoring: Student progress is formally monitored in the first three months for full-time students and six months for part-time students. The Approval of Research Programme (RF1) form is independently assessed by two rapporteurs on behalf of RDSC; the RF1 also includes a check on the research ethics status of the research. A new and additional review stage was introduced in 2011 at the 10 month stage of the research degree candidature to assess progress and to confirm suitability for doctoral study.

Progress is also monitored via the Confirmation of PhD registration stage at the 12 month mark for full-time students and 24 months for part-time students. This rigorous assessment of the candidate's ability to succeed at doctoral level involves the candidate presenting a 6000 word

progress report outlining the potential contribution to knowledge of the project, supplemented by an oral assessment. The candidate must present and defend their work in front of peers in a seminar or a mock viva. Rapporteurs provide independent assessment on behalf of RDSC. Research ethics approvals are checked again to ensure approvals are in place.

Students on the Doctor of Business Administration programme undertake two years of Complementary Studies (which are conducted and assessed at doctoral level) at the end of which they produce a 6,000 word progress report and participate in an oral assessment. They proceed to the thesis stage (thesis of 60,000 words and a *viva voce* examination). This is a part-time programme which attracts senior managers nationally and internationally and is subject to the same regulatory framework as the PhD programme.

d. Income, infrastructure and facilities

During the assessment period, over £1M of external research income was generated. A large proportion of this (£940k) is from UK Government bodies and Health and Hospital Authorities, including Sheffield Teaching Hospitals NHS Foundation Trust and Stockport PCT. This reflects the Unit's approach of undertaking research projects with an applied focus, results from which help generate empirical data to underpin outputs. Income of £36,830 has been awarded from charitable sources, such as The Big Lottery and NAVCA, complementing the focus of researchers such as Morgan, Coule and Ridley-Duff, and their engagement with third sector partners.

As part of an on-going strategy to develop a track record of securing Research Council funding, the Unit targeted ESRC Festival of Social Science Funding in 2012, securing £5286 in total for 4 events. In 2013, the ESRC has allocated a block of funding to Sheffield Hallam and the University of Sheffield for delivery of Festival events; the Unit has secured funding for 3 events. Further development of the strategy is represented by an award of funding for an ESRC seminar series (Richardson; ES/L001268/1).

In terms of **infrastructure,** research and PGR strategy is developed through the Sheffield Business School Research Institute and the Research Board. The Research Board is responsible for the development of the structure within which research is conducted, overall management of the research budget, providing assistance to research staff seeking external funding and processes for allocation and monitoring of research time for researchers. A member of the Research Board acts as Research Leader to each of the six themes discussed above.

A dedicated administrative team supports research activity including researcher projects and events. A Senior Administrator oversees the research portfolio, including the Faculty Ethics and Research Degrees Committees, and the Research Board. The Business School has dedicated computer facilities for all staff and students and is integrated with the University's network and IT staff. This includes online access to library services and national data resources. The nearby SHU Learning Centre integrates quality academic library information resources in electronic and hardcopy format with excellent IT facilities meeting the varied needs of researchers. Staff are strongly encouraged to deposit their work in SHURA (SHU Research Archive) an open access repository containing scholarly outputs and publications.

SHU research support is provided by the Research and Innovation Office. This has 16.2 FTE staff and is tasked with maximising intellectual outputs from market-driven research. It also facilitates approaches to Research Councils and other bodies to generate research funding. It supports the exploitation of research and creates commercial technology transfer relationship with external organisations.

e. Collaboration and contribution to the discipline or research base

The **intellectual contribution** made by members of the unit falls into two broad themes (a) governance in relation to the third sector and social enterprise, and (b) innovation, enterprise and organisational learning.

In relation to theme (a) Ridley-Duff has developed understanding of communitarian philosophies

and values and how they provide trajectories for alternative governance and decision-making approaches. Coule's work focuses on issues of governance, sustainability and strategy that question conventional assumptions about the nature of the third-sector and voluntary organizations. In particular, her contribution draws on institutional theory to articulate the role of agency in both service innovation and service stability. Morgan's work is located in the non-profit or charity sector where his work provides novel insights in the work of independent examiners as a new form of sub-audit assurance regime as well as on changes in definition of 'charity' and how they impact of the wider voluntary sector.

In relation to theme (b) McElwee's research investigates entrepreneurship as located in the rural economy and provides a contribution to the field of 'community-based enterprise' as well as to the development of entrepreneurial skills in the farming community. Johnston's work focuses on innovation networks specifically their spatial nature and on the use of networks that enable firms to access knowledge and facilitate innovation. Conceptually the notion of 'social capital' is contrasted with 'network capital' as a more collective form of networked knowledge resource. In her work on innovation Richardson's research represents a critical exploration of the paradoxes and contradictions inherent in Lean Management and global IT outsourcing practices with a particular emphasis on gender dimensions. Newman's contribution concentrates on social-psychological aspects of consumerism in a variety of settings. His research ranges from an exploration of the operation of the interactions between pleasure, arousal and dominance in the context of consumption through to research into consumer boycotts in Lebanon.

Collaboration with academics: Members of the UOA have developed relationships that have proved beneficial to the development of research. The staff included in this submission have authored publications with academic (and in two outputs practitioner) colleagues in the UK or overseas. At an individual level staff collaborate with universities as distinguished visiting academics, as senior members of learned societies, as members of professional bodies, and act on editorial boards. McElwee is Chair of the Rural Entrepreneurship Subject Interest Group for the Institute for Small Business and Entrepreneurship. He was appointed as Visiting Professor at University of Economics and Business, Vienna, Austria in 2012. He is editor of *International Journal of Entrepreneurship and Innovation.* Morgan sits on the Charity Technical Committee of the Institute of Chartered Accountants in England and Wales. He serves on the Editorial Management Board of *Voluntary Sector Review*. Morgan is leading research (2013) into '*International Financial Reporting for the Not For Profit Secto*r' for the Consultative Council for Accountancy Bodies in collaboration with the University of Dundee, University College Dublin, and Victoria University of Wellington New Zealand. Newman founded the British Academy of Management SIG Marketing & Retailing group and chaired it from 2003-2010. He was appointed in 2012 as Visiting Professor at the Faculty of Business Management at the Universiti Teknologi MARR Malaysia and Visiting Professor of Marketing at the University of Mansoura, Egypt. Richardson was appointed Visiting Scholar to the Massey University in New Zealand in 2009 and was appointed to the Scientific Advisory Board for the Centre of Interdisciplinary Gender Research at the University of Gothenburg, Sweden, in 2011. She is collaborating with Salford University, Uppsala University and Radboud University Nijmegen for the ESRC Seminar Series 'Home-based Teleworking in the European Labour Market' for which she is the research leader.

For its PGR provision the University has created a collaborative partnership with Leeds Metropolitan University to facilitate the development of research skills. The Business School developed a partnership with the University of Sheffield Management School to run joint PGR Conferences in 2011 and 2012. PGR students have access to workshops held by the Northern Advanced Research Training Initiative. This is an ESRC RDI funded initiative in which a regional network of universities offers access to advanced research methodology workshops and conferences. The Business School hosted two workshops in 2012 and in 2013 has committed £3600 towards its continuation as recognition of its significance for advanced training for our research students.