

<p>Institution: University of York</p>
<p>Unit of Assessment: 19 – Business and Management Studies</p>
<p>a. Overview</p> <p>The York Management School is a relatively young department at York. The School was created in 2007 from the Department of Management Studies, itself newly created in 2004. Since 2008 the School has embarked on significant growth, taking its place amongst the small-to medium-size Business and Management schools within the UK that have a full range of teaching and research portfolios</p> <p>A key priority has been developing research capacity to achieve vitality and sustainability. The School conducts methodologically rigorous research of international quality that makes a distinctive and effective contribution to scholarly, policy, business, and societal debates about the role, purpose, and outcomes of management at all levels (individual, group, organisation, society) and in all settings. The School utilises insights and rigour from the wide variety of disciplines embedded in the University, whose own vision statement of 'knowledge for health, prosperity and well-being of people and society' has a close affinity with the School's values.</p> <p>There are six discipline-based subject groups: Accounting and Finance, Human Resource Management, International Business and Strategy, Marketing, Operations Management, and Organisational Behaviour, Theory, and Technology. Staff in these groups also contribute to three research clusters: Evolution of the modern corporation and organisations, People, work, and organisations, and Alternative organisation, governance, and ownership.</p> <p>b. Research strategy</p> <p>In pursuit of the vision above, the strategic objectives in the RAE 2008 submission were to achieve significant increases in staffing, doctoral students, grant income, and research support so as to enhance research expertise and performance. Achievements have included:</p> <ul style="list-style-type: none"> • Academic staffing has grown from 17 to 38 FTE, with corresponding increases in administrative and teaching support. Five additional Chairs have been created (in International Business, International Business and Business History, International Public Management, Marketing, and Public Management). • The number of PhD students has increased from 12.5 FTE to 29 FTE, with an increase in completions from 1.5 to 22. • Grant funding rose overall post-2008 with total research income increasing by 24 per cent on RAE 2008. However, annual research income declined during the period, and various strategies are being implemented to increase it (see section d). <p>As a new entrant in RAE2008 the School followed a research strategy that complemented the interests of its founders with research activity concentrated in four research groupings: Accounting, Accountability, and Governance; Critical Management and Organisation Theory; Public Management (Health and Risk Management); Operations Management and Systems. Since then our strategy has been to build upon these successful antecedents, and also to widen the range of our research to cover further important areas of Business and Management. Accordingly, subject groups and research expertise have been created in Human Resource Management, International Business and Strategy, and more recently Marketing, whilst the Public Management grouping has been absorbed into the other disciplines (eg. Common in International Business and Schofield in Organisation Behaviour).</p> <p>Three clusters of research activity cutting across these groups have been developed to enhance inter-disciplinary research, drawing on distinctive expertise identified in RAE 2008.</p> <p>Evolution of the modern corporation and organisations. York has a significant concentration of researchers in this area and has become one of the main centres for business and management history research. As well as work in business history in the UK and abroad (Abdelrehim, da Silva</p>

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Lopes, Higgins, Maltby, Mollan, Tennant), other research examines the development of savings behaviour and institutions (Maltby, Perriton), comparative political economy and its relation to corporate ownership and governance (Pendleton, Sweeney), the development of risk management and accounting practices (Linsley, Verma), global marketing (Fastoso), and the development of foreign direct investment (Yoo Jung, Wei).

The Centre for the Evolution of Global Business (CEGBI) was created in 2009, led by da Silva Lopes, to further develop our strengths in business history, governance, and accountability. The strategy has been to create research networks and partnerships with scholars in the UK and abroad through a series of conferences, workshops, and lectures (see section e.)

People, Work, and Organisations There has been significant development in this area to reflect the strategic aims identified in RAE2008. Current areas of research activity include job satisfaction and job quality (Charlwood, de Turberville), employment relations in comparative perspective (Bechter, Brandl), employee involvement (Suter), employee reward and its outcomes (Pendleton, Swaffield), management and organisational development (Linstead, Perriton), gender and its consequences (Baxter, Linstead, Perriton, P.Smith), (creativity (Zhou), culture and play at work (Hunter), and identity (Egan, Smith, C., Linstead).

The Centre for the Study of Working Lives, led by Linstead, was created in 2011. It combines expertise in critical management, process philosophy, ethnography, and aesthetic methods to develop understanding of working life, leisure, and creativity. This group has organised several major conferences and workshops (*Dark Side of Organisation*, an ESRC Seminar Series, and the *Art of Management and Organization Conference*) which has led to special issues of *Organization Studies* and *Qualitative Research in Organization and Management*. The group hosted the production of a pioneering and award-winning documentary film linking process theory and workers' resistance – *Lines of Flight*.

Alternative organisation, governance, and ownership. This cluster has been developed since RAE 2008, and reflects increasing interest in these topics since the financial crisis. Areas of research activity include employee ownership (Pendleton), community ownership of local assets (Cabras), and social enterprise and fair trade (Doherty). The White Rose Employee Ownership Centre (led by Pendleton) was created in early 2013, with funding from the White Rose Universities Collaboration Fund. This area has secured two ESRC CASE and Collaborative Scholarships, and there has been close collaboration with a range of external organisations. A major inventory of employee owned firms is currently being created in partnership with the Employee Ownership Association. The Building Up Resilience in Supply Chains Network, led by Doherty, was created in 2013 in partnership with the universities of Leeds and Sheffield, to develop research on the factors underpinning resilient supply chains. The network includes Waitrose, DfID, and local companies such as Taylors of Harrogate.

Our primary strategic objectives for the next five years are to further enhance our critical mass in each of our main research areas, and to further develop the research clusters. In particular, we plan to enhance the Alternative Organisation, Governance, and Ownership cluster, and are currently considering the development of a cluster in the areas of business analytics, operations management, supply chain management, and technology management (drawing on and developing expertise in our Operations Management and Organisational Behaviour, Theory, and Technology groups. To achieve our strategic aims we will

- Further increase staffing levels to 50 Category A staff.
- Significantly enhance research funding, so that all members of staff secure a grant within the period. Large grant funding from research councils and European institutions are priority sources for funding (see also section d.), and we are developing collaborative relationships within the University and externally to facilitate this.
- Increase our annual intake of PGR students to around 15 new students per year, rising to 20 later in the period. We will do this by developing new funding sources, such as collaborative funding by business. More emphasis will be paid to 'growing our own'

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- doctoral students by increasing recruitment from our taught programmes
- Enhance the impact of our research through developing close research-based relationships with practitioners (as outlined in REF3).
 - Enhance research support through the appointment of further administrative support. We intend to create a Research Support Office within the School to enhance existing administrative support and to complement existing provision at University level.

c. People:

The primary research strategy has been to enhance existing areas of expertise and to enter new research areas, as part of a broader strategy to grow the School and develop further a sustainable and vibrant research culture. The people strategy linked to this has accordingly had three over-riding goals:

- 1) Investing in academic leadership
- 2) Deepening critical mass in areas of existing strength while investing in new areas
- 3) Identifying, recruiting, and developing high quality early career researchers.

External chair appointments have been made in strategically important areas: Common (International Public Management), da Silva Lopes (International Business and Business History), Doherty (Marketing), Schofield (Public Management), and Wei (International Business). Brandl (HRM), Charlwood (HRM), Fastoso (Marketing), and Mollan (International Business) were appointed at SL level. Fernandes (Operations Management) and Higgins (Business History) were promoted to chairs, and Charlwood to Reader. The School has made a total of 33 permanent appointments during the period (of which 10 are replacements for departures). As is common in Business and Management, the School has faced challenging labour market conditions with some staff turnover since RAE 2008. However, replacement activity has been successful and has enhanced the intellectual makeup of the School by enabling adjustments to the strategic choices mentioned above. Entry into new areas has been facilitated by substantial recruitment of Early Career Researchers: ten of our staff are Early Career Researchers, and researcher development is therefore a high priority for us.

The School's people strategy places a premium on staff training and development. Annual performance appraisal is used to review research performance and to identify training and development needs. These are acted upon by Heads of Group and the Research Director. New members of staff have review meetings every three months in their first year. All staff have a mentor selected from staff at Senior Lecturer level or above. An ECR group, open to all who feel they fit this category, meets regularly to discuss key research issues and is represented on the School's Research Committee to facilitate appropriate resource allocation decisions. A writing for publication group, facilitated by an experienced researcher, assists staff progressing early stage writing ideas through to submission.

Research development of all staff, including administrative staff, is facilitated by regular discussions of research at staff meetings and twice-yearly research away-days. From 2013-14 there will be a dedicated fortnightly research training slot on the teaching timetable to facilitate researcher development. Researcher (and doctoral student) development is supported by the Professional and Organisational Development function within the university, in which there is a specific Researcher Development Team. Training is provided on engagement, influence, and impact (grant-writing, impact, research partnerships etc.), research governance, and research career management. Training on discipline-specific, or particular research techniques, is typically sourced within the School, within the Research Centre for Social Sciences, or from outside the University.

Diversity and equality of opportunity are actively pursued, given the strategic objectives to promote research internationalization and inclusivity. The gender balance of Cat A staff is 42 per cent female: the proportion of Professors who are female is also 42 per cent (somewhat higher than the norm). 38 per cent of Cat A staff have either overseas nationality, are from overseas origins, or

are from minority ethnic groups within the UK. The school has a balanced age structure (see above on ECR researchers) with only a small proportion of staff likely to retire in the next five years, thereby helping to sustain the research culture.

A formal workload model is used to allocate work and monitor academic staff hours of work. All Category A staff have a research allowance of 40 per cent of total workload, supplemented by allowances for specific research and administrative roles. Academic staff can apply for study leave of one term in every nine subject to the approval of their research plan by the Research Committee. Those returning from study leave present their research to a study leave workshop, drawing attention to successes, disappointments, and unexpected outcomes.

A high standard of personal integrity is central to our philosophy of research and scholarship. All formal research projects involving research subjects are required to seek ethics approval from the Economics, Law, Management, Politics, and Sociology Ethics Committee, upon which the School has representation at both staff and doctoral student level. Researcher development programmes include training in research ethics. Advice on intellectual property issues, arising for instance in research partnerships and collaborative studentships, is provided by the University's Research Innovation office. A key principle is that joint publications arising from doctoral work always have the student's name first.

Research students

The development of the doctoral programme has been a key strategic objective of the School. PhD student numbers have been increased from 12.5 FTE at the end of the RAE2008 period to 29 FTE, with a slight increase in the ratio of PhD students to staff. This growth has been supported by the provision of studentships: 7 Graduate Teaching Assistant (GTA) posts have been financed by the School. Four ESRC Studentships have been secured (including two CASE and Collaborative awards). There have been 22 completions in the period. 14 of these are currently employed as academics in HEIs (including 2 within the School).

The School is an active member of the ESRC White Rose Doctoral Training Centre (DTC), and contributes to the Business and Management Pathway within the DTC. The School initially secured ESRC Recognition of its full-time and CASE doctoral provision in 2007. The DTC now reaches over 1,000 PhD students across the three universities, has awarded 120 ESRC studentships, has attracted over £1.4m in match funding, and will be hosting the ESRC Final Year Students National Conference in April 2013. A DTC Training Catalogue has been created to develop share training course/provision: students have been participating in training offered elsewhere in the DTC. The School, along with its counterparts in the universities of Leeds and Sheffield, has recently received an award from the DTC to develop a Collaboration Club with external partners in the region. PGR students are also encouraged (through provision of training fees, travel expenses etc.) to participate in specialist training events organised by the Northern Area Research Training Initiative (NARTI), ESRC, British Academy of Management, and others. One of our ESRC-funded students secured an ESRC Internship in the Government's Behavioural Insights Unit (the 'nudge unit'). The School has been especially active in NARTI, having organised five workshops for students in the region during the period. The School secured recognition by the European Doctoral Programmes Association in Management and Business Administration (EDAMBA) in 2010.

Maintaining and developing a rich research culture amongst doctoral students is a key strategic priority. Each student is attached to the subject group of their first supervisor, and is encouraged to participate in group events, such as seminars. Each year the School hosts a Research Week for doctoral students featuring talks by eminent visiting speakers, presentations on topical issues such as open access publishing, and a poster competition. Two of the Research Centres jointly hosted a conference for PhD students in June 2013. Doctoral students are supported with a training grant provided by the School or ESRC, and are supported to present their work at conferences, especially in their final year.

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Considerable emphasis is placed on employability training for PGR students, especially in relation to development for academic careers. Those PGR who contribute to teaching are required to undertake a Postgraduates Who Teach (PGWT) training programme, organised centrally by the University's Researcher Development Team and managed within the UoA by a PGWT coordinator. An Online Employability Tutorial to assist PGRs personal development planning and provide on-line careers support has been introduced. All new PGR students from 2012-13 are required to undertake a skills analysis and create a personal development plan to be reviewed at Thesis Advisory Panel meetings (twice yearly in addition to regular supervision), and students from earlier cohorts are also strongly encouraged to do this.

An important strategic objective is that all staff become active in doctoral supervision, and receive appropriate training and development to do so. To this end, we aim to draw at least one member of new supervisory teams from newly or recently-appointed staff. New supervisors are required to undertake university-provided training and development in research supervision. Currently, 76 per cent of staff are involved in doctoral supervision.

d. Income, infrastructure and facilities

Like others, the School has faced significant challenges in research funding due to contraction and withdrawal of some traditional sources of research funding for the social sciences. After an initial rise, research income fell during the period and a key strategic priority is reversing this (see below). Grant funding has been received from the British Academy, DTi and BIS, ESRC, EPSRC, European Commission, Institute of Chartered Accountants of England and Wales, NCCSDO, NHS, NIHR, Nuffield Foundation, Scottish Executive, and corporate organisations (eg. Shell, Sun Microsystems).

The current strategy is to increase research funding by encouraging ECR staff to apply for small-scale grants, supported by more senior colleagues, and to encourage more experienced staff to apply for large grants and to network into very substantial grants applications made by consortia of social science academics across the university and externally. The aim is to increase the level of applications and the success rate of applications. Specific initiatives currently underway for generating grant income are as follows:

- Colleagues receive incentives for submission of grant applications payable to their Personal Research Accounts (PRA). The PRA is used to support incidental research expenses with a view to expediting funding applications.
- All research grant applications are peer-reviewed within the School by the Director of Research and another member of the Research Committee, supplemented by additional university level peer review in some funding calls.
- A 'buddy' system whereby ECR are assigned a senior colleague, typically a member of the Research Committee, to assist them prepare grant applications.
- Provision of a dedicated Research Finance Officer within the School to assist with the preparation of research grant budgets.
- Participation in Grant-Writing Workshops delivered by the Researcher Development Team.
- Twice-yearly research away days within the school include a session on preparing grant applications.
- Information on funding opportunities and deadlines, as well as coordination of collaborative applications, is provided by the Research Manager for Social Sciences. Where appropriate, individuals with a potential interest in particular calls are identified by group heads and Research Director, and are encouraged to liaise with the Research Manager and relevant colleagues within the School or other departments.
- A pump-priming scheme has been recently introduced at University level to supplement smaller-scale School provision. Abdelrehim, Da Silva Lopes, and Doherty were recently successful in the University scheme for a project on heritage management.

Since mid-2012 there has been a steep rise in funding applications, with successes to date including a British Academy Fellowship (Charlwood). Two centres have recently received funding from the White Rose Consortium: the White Rose Employee Ownership Centre and the Building up

Resilience in Supply Chains Network.

Infrastructure

The UoA benefits from excellent physical and technical infrastructure, which is highly conducive to the generation of research ideas and project development. The Management School moved to a purpose-built building on the new £750 million Heslington East campus in 2011. Besides conventional office and teaching space, this and neighbouring buildings offer high quality meeting spaces to encourage partnerships with potential research collaborators, including a student enterprise centre, a knowledge transfer area, and a 360 degree projection room. This facility has enabled us to host a series of research-based workshops and conferences, and has also provided a space to build research relationships with external users such as the Employee Ownership Association. Doctoral students have a dedicated study room, fully equipped with desks, computing equipment, and storage

A new Research Centre for Social Sciences (RCSS) opened in 2013 provides the Management School and all social science disciplines with additional research training facilities. It houses the ESRC DTC, and provides an interdisciplinary research culture and environment. It provides accommodation for about 80 PhD students, research groups, research meetings, workshops and conferences as well as a state of the art Training Suite and interview and focus group rooms. The Management School is represented on the management committee of the RCSS, and extensive use is made of the building for research group meetings and training events. The RCSS supplements the Alcuin Research Resources Centre (ARRC), funded by the Wellcome/ESRC Joint Infrastructure Fund, which has been extensively used by the Management School during the period for research seminars, conferences, and research training events.

e. Collaboration or contribution to the discipline or research base

The School believes that the vitality and sustainability of the discipline and research base is of fundamental importance, and makes funds, time, and other resources available to contribute to them. Members of the school collaborate extensively on research with researchers, practitioners, and policy-makers outside the School and the University. Active inter-disciplinary collaborations within the University by staff and research centres have taken place with the departments of Archaeology, the Centre for Historical Economics and Related Research, the Centre for Womens' Studies, Economics, Health Sciences, Institute of Railway Studies, Law, Politics, Sociology, and Theatre, Film, and Television. The university supports cross-disciplinary research through the Research Centre for Social Sciences. The University has a major collaboration with the Universities of Leeds and Sheffield – the White Rose Consortium – the School has been awarded several grants to support collaborative research on labour markets, supply chains, disability, and employee ownership. Finally, the University is a member of the N8 Social Sciences Research Partnership of eight research intensive universities in the North of England established in 2010.

Collaborations with research users have contributed to the quality of individual's research and to the research environment within the School. Charlwood sat on the advisory and peer review group for the Government's Health, Work, and Well-being Delivery Unit, enabling him to refine his research focus, in turn leading to successful journal outputs and grant applications (British Academy). Pendleton's extensive collaboration with companies and practitioners has led directly to two ESRC CASE/Collaborative Awards: one involving a consortium (including the Employee Ownership Association, John Lewis Partnership and Arup), and the other the Yorkshire Building Society. In turn these organisations have taken an active role in the formulation of the research agenda for the new White Rose Employee Ownership Centre. Schofield's long-term relationships with NHS Trusts in England and Health Boards in Scotland have resulted in three open access reports to guide policy makers about the use of health care networks, professional partnerships, and the role of research-based evidence in healthcare management.

Members of the School lead on/or are members of international collaborative projects funded by a variety of sources. For example, Pendleton co-led a comparative study of alternative investment funds, funded by the European Foundation for the Improvement of Living and Working Conditions,

involving researchers from Stockholm University, the Free University Amsterdam, Cornell, Sydney University, and WZB Berlin. Bechter and Brandl are members of a European Commission-funded research project on public sector employment relations in Europe, along with academic colleagues from several EU Member States. Brandl has been appointed to the Industrial Relations Advisory Committee of the European Foundation for the Improvement of Living and Working Conditions.

The School has encouraged scholars to visit the School as a means of enriching the research environment and developing collaborations, and provides funds and other resources to support this. Visiting Scholars deliver a seminar and contribute to mentoring of early career researchers and doctoral students. We have hosted academic visitors from Aalto, Barcelona, Berkeley, Melbourne, Simon Fraser, Sydney, Zhejiang universities. Members of the school have had visiting positions at Birmingham (Doherty), Bologna (Doherty), Columbia (da Silva Lopes), Copenhagen Business School (Higgins), Hunan (Wei), Innsbruck (Linstead), La Trobe (Baxter), Lancaster Centre for Management in China (Wei), Reading (da Silva Lopes), RMIT (Linstead), Rutgers University (Pendleton, Wei), SouthWest University (Wei), and Waikato (Linstead). Benefits of these collaborations including joint research articles and guest editorships of journal special issues (see below).

The School has had an active programme of invited external speakers (approximately one per week) throughout the period. Speakers have included Tony Arnold (Leicester), Wendy Beekes (Lancaster), Michelle Brown (Melbourne), William Brown (Cambridge), Mark Casson (Reading), Brian Cheffins (Cambridge), David Ellerman (UC Riverside), Jane Frecknall-Hughes (Open), Howard Gospel (Kings), Marc Goergen (Cardiff), the late Katrina Honeyman (Leeds), Bill Lazonick (Massachusetts Lowell), Catherine Wang (Royal Holloway), and Mira Wilkins (Florida). A third of our seminars are presented by members of the School and doctoral students, and doctoral students are strongly encouraged to attend all seminars in their discipline area.

The School attaches considerable importance to organising scholarly conferences so as to contribute to the vitality of the discipline. Significant conferences organised by the School include the Association of Business Historians (2010), the European Monetary Forum Conference (2011), the New Business History Conference (2012), The Art of Management and Organization Conference on Creativity and Critique (2012), and the Economic History Conference (2013). In 2013 the School hosted a joint conference between the Centre for the Evolution of Global Business and the Centre for the Study of Working Lives. Colleagues have also organised workshops aimed at developing specific areas of research. Maltby and Perriton organised workshops on Women's Saving Strategies (arising from an ESRC award) and Men, Women, and Money. These led to a series of journal publications, grant funding, and a prize from the European Savings Bank Group for Perriton. The OBTT group co-organised an ESRC seminar series with Leicester, Loughborough, and Warwick on *Abjection and Alterity in the Workplace* in 2009-10. Cabras organised a seminar series on disability and social work, funded by the White Rose Consortium. CEGBI (da Silva Lopes) recently held a multi-disciplinary workshop at York on heritage management. Members of the School have been active within major international conferences as track chairs. They have organised tracks at, for instance, the Allied Social Science Associations, Academy of International Business (AIBS), Academy of Management, British Academy of Management, European Group of Organisational Studies (EGOS), and European Academy of Management (EURAM). Brandl has been the Coordinator of Research Network 17 (Industrial Relations, Labour Market Institutions, and Employment) in the European Sociological Association since 2011.

Members of the school have served on the editorial boards of the following journals during the period: Accounting History (Maltby), British Journal of Industrial Relations (Pendleton), Business History (da Silva Lopes, Maltby), Corporate Responsibility and Environmental Management Journal (Doherty), Culture and Organization (Linstead), Education and Training (Cabras), Gender, Work, and Organization (Linstead), International Journal of Human Resource Management (Pendleton), International Journal of Management Reviews (Linstead), Journal of Chinese Economics and Business Studies (Wei), Journal of Manufacturing Technology Management (Baxter), International Journal of Public Sector Management (Cabras), Management Learning

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(Perriton), Management Revue (Pendleton), Public Administration (Pendleton), and Organization Studies (Linstead). School members have served as editors or associate editors for the following journals: Business History (Toms), Gender, Work, and Organization (Linstead), Regions (Cabras), Social Enterprise Journal (Doherty), and Work, Employment, and Society (Charlwood). Tennant is book reviews editor of Business History. Da Silva Lopes, Linstead, Pendleton, Schofield, and Wei were guest editors of (respectively) special issues of Business History Review (2012), Culture and Organization (2013), Journal of Industrial Relations (2009), Financial Accountability and Management (2010), and Journal of Chinese Economic and Business Studies (2009).

Members of the school have actively contributed to the scholarly and research activities of the British Academy of Management. Pendleton was chair of the Special Interest Group on Corporate Governance (2008-2011), and Tennant is Track Chair for the Management and Business History stream at the BAM conference. Smith, P. is Chair of the Money, Macro, and Finance Research Group. Colleagues have occupied executive positions in the following scholarly associations during the period: Standing Committee on Organisational Symbolism (Baxter: Secretary), Association of Business Historians (da Silva Lopes: Treasurer and President-elect), American Business History Conference (da Silva Lopes: Chair of Investment, and Media committees), Academy of International Business (Wei: Executive Committee), and The Art of Management and Organization (Linstead: co-director). Wei is President-Elect of the China Economic Association (UK-Europe). Da Silva Lopes and Doherty are members of the ESRC's Peer Review College. Schofield was a 2009 member of the SSHRCC (Social Sciences and Humanities Research Council of Canada) standing committee on Knowledge Mobilisation and its grant disbursements. Da Silva Lopes is a member of the Peer Review Assessment Panel of the Australian Research Council. Smith, P. is a member of the ESRC Training and Skills Committee, and Spencer a member of the Office for Budget Responsibility.