

Institution: Teesside University
Unit of assessment: Business and Management Studies (UoA 19)
<p>a. Overview</p> <p>Business and Management Studies is a recognised area of research excellence within the University and is focussed in the Centre for Strategy & Leadership (CfSL) as part of the Social Futures Institute (SoFI), one of five cross-disciplinary Research Institutes at Teesside. CfSL draws staff from Teesside University Business School (TUBS) and reflects the research strengths and collective identity of a coherent group of research-active staff. Thus the research unit covered by this submission is CfSL, of which all of our research-active staff and doctoral students are members, and which has two primary overarching functions. First, research is structured and organized through CfSL which acts as a vehicle for research staff to meet, collaborate and disseminate research plans and activities. Second, CfSL enables the allocation of resources, including workload time allowance and conference funding, to individual staff members. CfSL has thus achieved high quality research outputs [measured by their ABS list quality ranking] and funding, a significant increase in research degree completions, and demonstrable impacts outside of academia.</p>
<p>b. Research strategy</p> <p>CfSL's strategy during the REF2014 census period has been focused upon continuing to foster and cultivate a research environment of international quality. Hence we have had: (a) an increase in the number of PhD completions from 3 (RAE 2008) to 13.5¹ and 4 DBA completions; and (b) an increase in the quality of research outputs and publishing in journals of the highest quality. Within REF2014, a little over 75% of outputs are in journals, which according to the ABS list, are ranked as internationally excellent or higher as compared with slightly less than 25% within RAE 2008. Following RAE 2008 feedback, CfSL developed four strategic objectives:</p> <ol style="list-style-type: none"> 1. <i>Supportive internationally excellent environment</i> – To continue to nurture and cultivate a supportive and effective community of researchers to carry out the highest quality of research. In acknowledging the leverage from cross-cultural fertilization of ideas and values from different cultures, we have actively encouraged staff to collaborate with academics internationally. 2. <i>Doctorates</i> – To increase the number of PGR students and rates of completion. 3. <i>Outputs</i> – To increase the quality of research outputs so that the majority are 'internationally excellent' or 'world-leading'. 4. <i>Funding</i> – To increase substantially the number of applications for research- and research-related funding by being more selective in order to secure quality funding and to develop both the capacity for EU funding and impact activity over the longer term. <p>The RAE2008 feedback on “majority of the environment at international standard or better” and “international esteem across the submission” is addressed specifically by objective [1] but more generally by all of the four key objectives. The RAE2008 feedback on “rapidity of growth in doctoral registrations but low completion rates” is addressed by objective [2] whilst feedback on “international level or better” research outputs is addressed by objective [3].</p> <p>1. <i>Supportive environment</i>: CfSL's research strategy is based on developing a virtuous circle between research, teaching and business engagement and supporting a wider range of staff to start and develop their research (e.g. through undertaking a part-time doctorate – see below), whilst providing more resources to, but also placing higher expectations on, established researchers to develop the highest quality of research.</p> <p>Business & Management Studies has received support during the REF census period</p>

¹ 0.5 is one joint PhD completion with the School of Computing.

measured by time allocation and internal research funds to staff (see below), resulting in the outputs, impact and funding identified in this documentation. CfSL provides a supportive environment for research which allocates research time allowance and internal research funds (including the University Research Fund to support start-up projects or conference attendance: see below) to research-active staff. Such staff are, therefore, targeted to generate high quality outputs and bid for funding that will enable them to apply for a higher level of research time allocation in future based on a review of their annual research plans as part of research performance monitoring. Professors and one Reader (**Altman, Davies, Preece, Scott**) receive 40% research allowance, with other early- and mid-career researchers (ECRs/MCRs) (**McCauley-Smith, Smith**, and some without outputs in the REF2014 census period who have been undertaking, or have just completed, doctorates) being allocated 20% as an investment for REF2020.

CfSL has capitalized on its existing research strengths (see (c)i below), whilst supporting the development of nascent areas of expertise. To illustrate, CfSL appointed a Professor of Marketing in 2012 (**Davies**) to support the ECRs/doctoral students who make up the majority of our marketing academics and to continue to publish outputs in journals of 'world class' and 'internationally excellent' (4*/3*) standard (according to the ABS list). Mentoring for ECRs and MCRs provides the opportunity for researchers to report difficulties that may be inhibiting their research potential and productivity – with mentors then seeking to support them to resolve any such difficulties. First-tier mentors are of professorial rank who support MCRs (themselves second-tier mentors) and ECRs through regular meetings (usually based upon some written work from the mentee) to discuss and offer advice on such matters as the specific issues faced by the mentee regarding research methodology/methods, literature reviews, writing for publication, and preparing for conference presentations. We have developed our research strategy since 2008 in response to a changing external context (e.g. increased competition for RCUK funding) and changing staff composition, with a stronger emphasis on research quality (in terms of outputs and the volume and quality of submitted research bids).

2. *Doctorates*: Over the REF2014 census period, we have **increased more than fourfold the number of PhD completions** which was a response to the concern of the RAE 2008 feedback about low completion rates. Building on feedback from RAE 2008, the monitoring of PhD students has been tightened up and this has assisted the improved completion rate (see (c)ii). Within CfSL there are 28 PhD and 15 DBA students who are currently registered (November 2013) of whom 14 are also full-time members of academic staff at Teesside and forms part of the investment for capacity building and a pipeline for future high quality researchers.

3. *Outputs*: As covered in REF2, and as highlighted in section (a) above, we increased the standard of journals in which outputs are published to 'world-class' and 'internationally excellent' standard in the REF2014 census period, a major shift from the RAE 2008 census period from mostly 'internationally recognized' outputs. This upward trend has been achieved by focusing resources (both time and funding) upon both more established senior researchers and those with demonstrable potential who are ECRs or MCRs through the mentoring described above and team publications by senior researchers and ECRs/MCRs.

Hence outputs have appeared in: *Academy of Management Learning and Education* (**Smith**), *British Journal of Management* (**Altman**), *Environment and Planning C: Government and Policy* (**Scott**), *Human Resource Management* (**Altman**), *International Journal of Human Resource Management* (**Altman, McCauley-Smith, Preece**), *International Small Business Journal* (**Scott**), *Journal of Business Ethics* (**Altman**), *Journal of Business Venturing* (**Davies**), *Journal of Current Issues and Research in Advertising* (**Davies**), *Journal of Strategic Marketing* (**Davies**), *Journal of World Business* (**Preece**), *Small Business Economics* (**Scott**) and *Studies in Higher Education* (**McCauley-Smith**).

4. *Funding*: As evidenced in Section d, CfSL research staff have made a number of major

Environment template (REF5)

funding bids, including one Framework 7 (FP7), one Arts and Humanities Research Council (AHRC) and three Economic and Social Research Council (ESRC) applications, and over thirty other bids during this time, with an ESRC seminar series bid being under development for submission in early 2014. Income over the REF2014 census period was £360,692 (see (d)). As stated earlier, CfSL has been developing the capacity to win quality funding, particularly focused on cultivating European networks as part of a strategy to win funding through the EC's FP7 and forthcoming Horizon 2020 programme. Additionally, we have been focusing on securing funding (e.g. Transparency International; and Institute for Local Governance) that has, or has the potential to, bear impact by working with non-academic organizations and groups.

c. People, including [see also b]:

i. Staffing strategy and staff development:

The focus has been on the highest quality of research, cf over 75% of outputs in internationally excellent or higher ranked journals (according to ABS ranking) against less than 25% for RAE2008, has required more selectivity for the staff returned. The REF2014 census period has seen a number of staffing changes (e.g. *Macaulay* to Victoria University Wellington, NZ) and some departures towards the end of the REF2014 period, including *Blenkinsopp* to Hull. The late departures, allowing little opportunity to replace at equally senior level, and higher selectivity has meant that the number of staff returned is lower than RAE2008. This period has been a consolidation of the highest quality of research, and the focus for the future will be to grow this. **Davies** was recruited as part of University wide Research Enhancement Strategy, **Altman, Scott** and **Smith** have also been recruited as investment to support research and ensure succession in key roles. The University has a rigorous but open and non-quota based systems wherein all researchers can apply on merit for conferment of Readership and Professorship such that the research culture at Teesside fosters career progression (e.g. **Scott** was a Senior Lecturer in 2009, was conferred to a Readership in 2011 and to Head of CfSL in 2013). A strategy of retaining talent has resulted in recent PhD students being recruited as academics and although early for this submission, through mentoring with more senior researchers, this will support the development of the next generation of researchers.

Research strengths in RAE 2008 (Public Management and Strategy, Change and Enterprise) have shifted to leadership, organizational change, marketing and entrepreneurship in REF2014. CfSL has also fully adopted the University's policies and procedures for research ethics, with all research projects (from undergraduate level upwards) requiring approval from School Research Ethics Committee chaired by **Scott** and reporting to a University-wide committee, given issues of commercial confidentiality. A regular Research Seminar series also supports research vitality, as does financial support for staff to attend conferences, as demonstrated in section (e) below. The University embedded the principles of the Concordat to Support the Career Development of Researchers (2008); achieved the European Commission's "HR Excellence in Research" award (2012); uses Vitae's Researcher Development Framework (RDF) to reflect on their skills and training needs; and has cross-institution Investors in People Gold accreditation. In addition, the Graduate Research School (GRS) provides a programme of training for researchers (covering research integrity, writing and presenting skills, and the use of bibliographic tools such as RefWorks). Mentoring, supporting our research culture, helps ECRs actively to publish alongside senior researchers to gain experience of developing high quality publications. In addition, staff at all levels who submit articles targeted for refereed journals are actively encouraged to seek internal review by senior staff prior to external submission. Designated staff mentors within CfSL offer comments and advice on how to meet the requirements of reviewer feedback on first and second reviews to journal articles. Advice is also offered on journal targeting based on the tacit knowledge and experience accrued by special specialists in CfSL. To achieve sustained growth and enthusiasm from ECRs, we encourage participation to make the journey toward successful journal submission less awesome. This is achieved by more senior staff collaborating on joint research projects with ECRs/MCRs, and in contributing toward conference presentations and proceedings as an interim output before refinement towards journal submission.

ii. Research students: CfSL has increased the volume and quality of doctoral applicants by

Environment template (REF5)

Careful selection and admission of students whose proposed research aligns well with the research interests of our staff which has, in turn, produced improved progression and completion rates. This has largely been achieved by regular formal monitoring of student progress. Face-to-face annual progression review meetings have been introduced for all research students, who are required to give an oral presentation, and reports on student progress are subject to scrutiny by independent academic assessors. All students are supervised by teams of two or three supervisors who are experts in the research field and who have either successfully supervised to completion previously and/or completed formal University training in research supervision. All Professors and Readers are currently research student supervisors and contribute to our doctoral training delivered in conjunction with our part-time DBA programme. Doctoral training is partly based on taught elements of our DBA programme, alongside training provided centrally by GRS, and the opportunity for PhD students to be taught alongside the part-time DBA students has provided both groups with useful opportunities for cross-fertilization by enabling students at different stages of their doctoral studies to present and question one another, as well as input from academic staff. CfSL also has a number of part-time students on its Doctorate in Business Administration (DBA) programme. 13.5 students have completed PhDs and 4 students completed DBAs during the REF2014 census period. Additionally, we have been able to fund six doctoral studentships during this period: three funded within CfSL and three funded by the University. A three-year scholarship, worth £73K, was sponsored by the Local Enterprise Growth Initiative (LEGI) to evaluate LEGI, and led to the successful completion of the PhD. This scholarship is an example of research that is both practice- and theory-relevant as well as having impact upon LEGI itself.

Davies chairs the Admission and Progression Panel (APP) for research degrees and is a member of the University Research Degrees Committee, and is supported by the Postgraduate Tutor (responsible for PhD admissions) and DBA Programme Leader. These and other research-active colleagues have overseen the implementation of University-wide changes to research degree regulations to improve recruitment and progression procedures, with the ultimate aim of bolstering PhD completion rates. **McCauley-Smith** has generated high quality outputs from her doctoral thesis and will be Acting Head, CfSL during **Scott's** sabbatical at Waikato Management School (Jan-Apr 2014).

d. Income, infrastructure and facilities

Our fourth strategic objective has been to increase the number of research applications. While some active bidders have left the university (*Blenkinsopp* and *Macaulay*), other colleagues have been no less prolific in bidding, e.g. **Scott** has raised income from the Institute for Local Governance and has also led bids to FP7 and ESRC which were not funded. Our research income [**Ref 4b**] has included projects as diverse as some of the following. Examples of successfully funded research proposals include some small- and medium-scale examples:

- For Enterprise Educators UK (EEUK), case studies of social enterprise that are being used both as data for future research papers and for teaching purposes (**Scott**).
- ILG, North East Procurement Organisation (NEPO) and Sunderland Council 'Consequences of Public Procurement Methods' suite of projects: (1) Developing knowledge capacity in procurement (in conjunction with Durham University); (2) Evaluation of Sunderland City Council's Procurement Practices; and (3) the Unintended Consequences of Public Procurement (*Macaulay*).
- ILG Tyne Gateway project (**Scott, Macaulay**) investigated the role of community entrepreneurs in social enterprises in North and South Tyneside.
- ILG apprenticeships project (*Blenkinsopp, Scott, Smith*) [**see REF3a**].
- Medical Physics Expert Project (*Blenkinsopp, Gillett: now York*) [**see REF3b**].
- TI National Integrity System/Corruption Survey (*Macaulay, Scott, McCusker*) [**REF3b**].

CfSL's research income generation strategy has been underpinned by the University's and

Centre's infrastructure and has had a strong underpinning element of focusing upon impact and being relevant to policy, society and practice. The GRS provides central support for research bidding, assisting with costing and helping to identify opportunities in a regular research email bulletin, as well as the research allowances for research-active staff (namely: **Altman, Davies, McCauley-Smith, Preece, Scott** and **Smith**). In addition, by providing admissions, training and progression support for research degree students, GRS reduces the burden upon our researchers by enabling them to focus on *direct high quality* supervision and thus freeing up their time for research activity, including writing funding bids. Internal research funding is provided by:

- i. University Research Fund (URF) – for which colleagues have received conference funding (recent examples including: **Smith** and **McCauley-Smith**, British Academy of Management, 2013; **Scott**, Social Innovation and Entrepreneurship Research Conference (SIERC), Auckland, NZ, 2011 and European Group on Organization Studies (EGOS), Helsinki, Finland, 2012.
- ii. the Research Innovation Fund (RIF) (for which **Davies** and **Scott** received £9,000 internal research funding in June 2013 for a *15-month study of payday lenders' practices and their impacts upon consumers* – as a basis for future research funding bids and outputs in preparation for REF2020, as well as the obvious longer-term impact and thus potential impact case study).
- iii. the *International Visiting Academics (IVA) Scheme*, for example, has funded **Scott** to spend two months conducting collaborative research at the University of Turku in 2012 which, as a result of which, a FP7 proposal (PI **Scott**, along with Aberdeen, Las Palmas de Gran Canaria, Poznan and Turku universities) was submitted including **Altman** and **Preece**, and which scored 12.5 out of 15, was above the quality threshold and just missed being funded (successful bids, we understand, were funded at 13 and 13.5). The proposal demonstrates our sustained, as well as emergent, international links and demonstrates the ability of CfSL researchers, in association with other top international researchers, to develop high quality funding proposals. It is hoped that a vastly improved and re-focused version of the proposal will be submitted to the Horizon 2020 programme in 2014/15.

Prof Bob Jones, Swinburne University of Technology, Melbourne, Australia, was funded by the IVA Scheme to visit Teesside between October and December, 2012. *Jones* presented papers on and further developed the research project he and his Swinburne team is undertaking with **Preece**. The project focuses on the challenges faced by organizations which introduce lean systems and methods, focusing in particular upon HRM, work organization, managerial and cultural (national and organizational) matters. The project is drawing, *inter alia*, upon high-level, global, access to a leading Japanese auto manufacturer (see **Preece**, Iles and Jones, 2013), including links with a regional automotive plant.

GRS runs regular networking and training events for university staff and research students and also works with the University Library to promote and support an institutional repository for research outputs, TeesRep (a growing collection of peer-reviewed research and e-theses produced by the research community). CfSL has a policy of housing its PhD students in a common open-planned workspace area near to the offices of academic staff, as well as inviting PhD students to internal doctoral colloquiums and 'open-to-all' research seminars. In addition, the networking, mentoring and peer support provided by this physical co-location has contributed to completion rates and the achievement of research outputs by doctoral students. Membership of CfSL is open to all staff and doctoral students as well as external members such as senior staff and professionals from organizations and consultancy companies, and professors from universities in Australia, France, Scotland and Germany.

e. Collaboration and contribution to the discipline or research base

Altman was awarded Best Paper Award: *European Journal of Cross-Cultural Competence and Management* 2010, Highly Commended Paper Award: *Asia-Pacific Journal of Business Administration* 2010 and was nominated for the Dexter Best International Paper: Award Academy of Management annual conference 2012. He has been the external assessor for professional conferment panels in the USA (Arizona State and Florida Gulf Coast), Israel (Bar-Ilan and Ben-Gurion) and the UK (Bedfordshire and Nottingham Trent). He has been the research prize award judge for the 2011 Member *Academy of Management GDO Division* Best PhD Paper Award, 2009 Chair, *Academy of Management Career Division* Best Int'l Paper Award and 2009 Member, *Academy of Management All-Academy* Dexter Int'l Award. He was representative-at-large Academy of Management Career Division (2007-2010); and the Management, Spirituality & Religion SIG (2008-2011). Was co-organiser of the first three conferences of the International Association of Management, Spirituality & Religion in Vienna (2010), Bangalore (2012), Lourdes (2013). Key note speaker at Spirituality at work - psychological perspectives British Psychological Society Transpersonal Psychology Annual Meeting Scarborough, September 2013; The cross-cultural in the writings of Elias Canetti International Association of Cross-Cultural Management Annual Meeting Ruse, June 2011; Spirituality & Management: strangers no more? International Association of Management, Spirituality & Religion Inaugural Conference Vienna, December 2010; Spirituality, religion and management culture, International Association of Cross-Cultural Management annual conference Vienna, June, 2009. Guest editor (Special Issue): *Human Resource Management* vol. 48 no. 1, (2009); *Journal of Organizational Change Management* vol. 23, no. 1, (2010). He is also on editorial boards of *British Journal of Management*, *Career Development International*, *Cross-cultural Management: An International Journal Equality, Diversity & Inclusion*, *European Journal of Cross Cultural Competence & Management*, *European Journal of International Management*, *Gender in Management*, *Group & Organization Management*, *Human Resource Management International Digest*, *International Journal of Work Organization & Emotion*, *Journal of Management, Spirituality & Religion*, *Journal of Managerial Psychology*, *Management & Sciences Sociales*, *Organizational Transformation and Social Change*, *Social Responsibility Journal*. Reviewed for the ESRC and Templeton Foundation. Visiting Professor, Sorbonne University, Paris. Externally examining PhDs internationally and nationally: Paris, France (twice), Caen, France, Haifa, Israel, Aston and Northampton.

Davies has international research collaborations with Professor Mark Cleveland (Western University, Ontario, Canada, (since 2013), Dr Shaun Powell (Head of Department, Wollongong, Australia), Professor Melvin Prince (since 1997, Connecticut State University), Professor Surinder Tikoo (since 2009, New York La Paltz), Dr Judith Whipple, Associate Professor (since 2011, Michigan State University), and Professor Rob Winsor (University of Los Angeles) and domestic research collaborations with Dr John Saunders (strategy), Dr Mohamed Salama (operations management) (both Heriot-Watt), Dr Palihawadana Dayananda (Leeds University Business School, and Professor Paul van Schaik (Teesside University) very recently. These collaborations have resulted in five refereed journal articles and several conference proceedings since the last census. Member of British Academy of Management, Member of Chartered Institute of Marketing, and National Geographic Society. Acknowledged in Marquis Who's Who in the World 2009-13 and Dictionary of International Biography, 35th edition. He was awarded Best Session Paper (with Powell, S. and Norton, D.) for their paper 'Ethical Corporate Marketing and Moral Branding: Affective Commitment and Socially Responsive Behaviour Within the Oil Industry', 13th *Proceedings of the International Corporate and Marketing Communications Conference*, University of Ljubljana, Slovenia, April 24th -26th, 2008 (with a refinement published in *Journal of Brand Management*, online 2013) and awarded Best Marketing and Retailing Special Interest Group Conference Paper Award, (with Prince, M.) for their paper A Contingency Theory of Advertising Compensation and Evaluation, *British Academy of Management*, Warwick University, September 11th-13th September, 2007, (later refined and published for the *Journal of Current Issues and Research in Advertising*). Editorial board member of *Journal of Brand Management* and *Journal of Asian Business Research* and

guest editor of a special issue on *Individualism in Retailing* for, *International Journal of Retail and Distribution Management*, special issue, vol. 39, no. 3 (2011). Externally examining PhDs internationally and nationally: 2008 – Massey University, New Zealand. Invited reviewer for Carnegie Trust grant proposals (2011) and for ESRC large grant proposals on advertising relationships (2009-10). Visiting Professor, Strasbourg University, France. 2008-9.

McCauley-Smith: Track Chair and Secretary of the *British Academy of Management* SIG: Organisation, Transformation, Change and Development; reviewer for BAM research grants.

Preece has international and national research collaborations with: Professor Patrick Dawson, School of Management, University of Aberdeen; Professor Robert Jones, Swinburne University of Technology, Melbourne, Australia; Professor Ian McLoughlin, School of Management, Monash University, Melbourne, Australia; Professor Paul Iles, Business/Management Schools, Salford University and Glasgow Caledonian University; Dr Ignazio Cabras, School of Management, York University. He is a member of a number of learned societies: Corporate Member, Corporate Institute of Personnel and Development; Member, British Sociological Association; Member, British Academy of Management; Member, British Universities Industrial Relations Association. Finally he was shortlisted for the Alan Moon Memorial prize, Annual conference, *University Forum for Human Resource Development*, May, 2011 (with C. Ward). Member of the Scientific Committee, *Beeronomics* bi-annual conference, University of York, September, 2013. Key note speaker at the Annual Lecture, Centre for Strategy & Leadership, October 8th, 2013; School of Management, University of Aberdeen, May, 2012 and The Leadership Trust, Ross-on-Wye, October 12th, 2009. He was a contributor to a programme on 'Public houses and communities' on BBC Radio 4, 'In Business', May, 2010. He was invited to contribute to a meeting of the 'All Party Parliamentary Save the Pub' group at the House of Commons, September, 2011. He serves on the editorial board of *Journal of Technology Management in China* and was the Co-Editor, *International Journal of Human Resources Development & Management*, Special Issue, Vol. 10, No. 1 (2010) on 'Human Resource Development/Management in Lean Production' (with R. Jones). He is also the editor of the Routledge Research Monographs series of books entitled *Routledge Studies in Technology, Work and Organizations*. He has examined the following doctorates: PhD, University of the West of England, June, 2013; DBA, Durham University, March, 2011; PhD, Aberdeen University, October, 2009.

Scott has been collaborating with Prof Jarna Heinonen since 2009 and Prof Anne Kovalainen since 2012, both of University of Turku, Finland. He will be collaborating with Prof Michele Akoorie of Waikato Management School, New Zealand with a follow-up visit planned for January-April 2014. Best Paper at in "Family & Community Business" Track for Owens, G., Scott, J.M. and Blenkinsopp, J. (2013) 'The impact of spousal relationships on business venture success', Institute for Small Business & Entrepreneurship conference. Track leadership for *International Small Business and Entrepreneurship (ISBE) conference* Business Support track, 2009; Managing for Regeneration, Growth & Sustainability track in 2010. Guest editor of a special issue Mole, K. and Scott, J.M. (2012) Business support, management development, learning and growth, Special issue of *International Journal of Entrepreneurship and Innovation*, 13(1): 5-9. Visiting Research Fellow, Turku School of Economics, 2009, 2011, 2012. Externally examining PhDs internationally and nationally: PhD, University of Plymouth, July 2013; PhD, University of South Australia, 2012; DBA, University of South Australia, 2010.

Smith, co-chair for the EngageHEI conference (<http://engagehei.org/>). On editorial board *Higher Education, Skills and Work-Based Learning journal*; *Action Learning: Research and Practice journal*.