

Educating Professionals and Professionalising Education in Research-Intensive
Universities: Opportunities, Challenges, Rewards, and Values

Submitted by Pia Elisabet Angelique Hilli to the University of Exeter
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Abstract

This study describes what higher education institutions (HEIs) that are known for their research excellence are doing to implement current student and teaching oriented higher education (HE) policies in England and Wales. Pressures to reach increasingly higher levels of excellence in both teaching and research challenge existing structures and mechanisms in these research-intensive universities (RIUs). Options for overcoming challenges are discussed by bringing together perspectives of different stakeholders.

This thesis is based on analysis of documentary and empirical data to gain insight into perspectives and experiences of stakeholders of the implementation of current HE policies in England and Wales. Documentary data consisting of publicly available material about HE policies has been analysed by an interpretive analysis of policy, and papers about research have been systematically reviewed. The contents of interviews with academics in four RIUs have been analysed in case studies.

This study contributes to existing research on '*professionalism*' (see, for example, Kolsaker, 2008), '*effective teaching*' (see, for example, Hunter & Back, 2011), and '*evaluating teaching quality*' (see, for example, Dornan, Tan, Boshuizen, Gick, Isba, Mann, Scherpbier, Spencer, Timmins, 2014). This study also complements The UK Higher Education Academy's (HEA) research in this area including Gibbs' report on quality (2010) as well as earlier work on reward and recognition (2009).

Key findings give insight into a troublesome relationship between teaching and research activities, which is at the core of many of the challenges RIUs are facing. Findings showing academics strong interest in their students, teaching, and research highlight their engagement in the development of these key activities. These support recommendations for development processes in RIUs involving organisation wide engagement to build parity of esteem between research and teaching to achieve aims to reach their full potential in terms of excellence in HE.

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Definitions

Contexts

HEIs = Higher Education Institutions

RIUs = Research-Intensive Universities

Research questions

Accommodation = Use of institutional mechanisms for the development of teaching practices, professional development, and career development.

Assessment = Activities using mechanisms that look at teaching practices and seek ways to develop them.

Evaluation = Activities where mechanisms are used for monitoring and controlling the quality and level of teaching.

Frameworks = Sets of rules and guidance for quality assurance of institutional activities using national and institutional mechanisms to monitor and develop them.

Mechanism = A mean used in institutional frameworks to measure and evaluate activities.

Professional cultures = Represents the community that surrounds academics i.e. the subjects that carry out the teaching and research activities in the activity systems of HEIs/RIUs and the ways people work together in the departments following certain set expectations and procedures.

Reward = Activities where achievements in (academic) work are rewarded and recognised using different mechanisms.

Systematic review of research papers

Professionalism = Sets of characteristics that define different professions, which are reinforced by individuals with specific traits.

Effective teaching = A result of teaching practices that include a combination of research methods and interactive learning between educators and students that is linked to processes in which mechanisms are used for developing teaching practices.

Evaluating teaching quality = The processes in HEIs where different methods are used to monitor and control the level of teaching.

Reward and recognition = Mechanisms in HEIs for acknowledging and appreciating academic work.

Academic identity = A combination of external features understood as activities, which contribute to the construction and development of an individual's academic identity and internal features understood as the quality of mind and character of an individual.

Case studies

Teaching-oriented academic = Participants who are mainly employed to teach.

Research-oriented academic = Participants whose official role includes 50% or more research.

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Chapter 1-Introduction of research and thesis

1.1 Introduction

This study examines how research-intensive universities (RIUs) in England and Wales are engaging with the newest developments in higher education (HE) policies. It focuses especially on how they evaluate, assess, value, reward, and align institutional activities with effective teaching. The study also explores how these institutional activities are experienced and played out in the lived realities of academic life.

Unlike much of the earlier work into relevant issues relating to HE policies, here the focus is laid specifically on RIUs (see, for example, Gibbs, 2009; 2010a; 2010b; 2012; 2013; 2014a; 2014b; Gunn & Fisk, 2014). This work is directed toward finding out about policy related activities in them from a holistic and contextualised perspective because previous studies have not explored these contexts in England and Wales in similar ways. To achieve this, I first explore views of stakeholders on HE policy issues using documentary data to find out key issues with them. Second, I examine documentary data showing the knowledge produced by prior research into identified key concepts that relate to the HE policies. The identified key concepts are: *'professionalism'*, *'effective teaching'*, *'evaluating teaching quality'*, *'reward and recognition'*, and *'academic identity'*. I explore studies that I identified using the mentioned concepts to find out more about HE policy related issues and knowledge about RIUs. Third, I explore activities in RIUs with a particular focus on the activities involved in implementing HE policies. Here I use empirical data in case studies from four RIUs in England and Wales. A significant feature of this study is the aim to bring together and discuss perspectives of stakeholders on key issues. I have done this partly by interpreting key findings through a lens that is based on activity theory at the end of each stage of the study. I have completed the process by bringing perspectives and findings together for a discussion of what implications they can be theorised to have.

In this chapter, I explain the underpinnings of the research area and research questions before going into how I have thought about the title of this thesis.

Then I present the analytical framework that was used to find information for answers to the research questions. This chapter ends with an outline of this thesis.

1.2 Research area and research questions

The research area of this study was outlined for a successful application written by Robinson in 2012 for funding from the Higher Education Academy (HEA) for a doctoral studentship. The studentship was a part of The Mike Baker Doctoral Programme at the HEA, which funded a total of 20 PhDs in 2012-13 (the Higher Education Academy, electronic reference). These were into learning and teaching theory covering a broad range of study topics across a variety of disciplines (the Higher Education Academy, electronic reference). The heightened focus on the student learning experience in the rapidly changing HE policy landscape in England and Wales was outlined as the area for my PhD study. The application specifically described my study to explore what RIUs are doing to implement current HE policy agendas that are recommending and guiding higher education institutions (HEIs) toward a heightened focus on teaching. The specific focus was on finding out what kind of frameworks are in place for evaluating, assessing, valuing, and rewarding effective teaching and learning in RIUs and how these are used in the lived realities of academic life.

The intention as stated in the funding bid was to explore these issues by finding answers to the following research questions:

1. *“How are UK research-intensive universities evaluating, assessing, valuing, and rewarding effective teaching?”*
2. *How do professional-focussed disciplines in Law, Medicine, Teacher Education, and Higher Education align institutional mechanisms for valuing and rewarding effective teaching with their own professional cultures and practices?*
3. *How are the institutional and discipline-focussed practices identified above differently experienced and understood by a sample of individual academics working in these fields across four institutions?*
4. *How far is it appropriate to translate research and theory on teacher evaluation and reward from school-based studies into the HE context?”*

I developed these questions into the three research questions that were used in this study. The development of the research questions was guided by three key activities at the early stages of this research. These were familiarisation with

key literature, conversations with early career and senior level academics and familiarisation of theorisations about future developments of the HE field. I started to work on my Ph.D. research project in January 2013. I also joined a research group that was closely connected to my Ph.D. research. I continued to attend meetings of the research group during a majority of the period of my Ph.D. study.

I started the research process by familiarising myself with HE policies by reading a White Paper produced by the UK coalition government in 2010 (see Cable & Willetts, 2011). I also read an alternative White Paper produced by a working party of academics and students in response to the government White Paper (see Holmwood et al., 2011). After this, I explored articles written by academics that had been published on-line by leading newspapers in their sections for education or HE. During this time, I also observed professional training courses for early career lecturers and talked with them about their experiences of working in RIUs.

I learned, for example, that reforms had been widely debated and many arguments had been presented against them. I found that many discussions were about the heightened focus on the experiences students had of their studies mainly regarding teaching. The discussions showed that stakeholders representing the government aimed to place students and their experiences in a central position in the HE field. The documents showed that this, in turn, was viewed to have had effects on the HE field, for example, in terms of marketising the field and increasing competition among institutions. Discussions that I had at this time with early career academics responsible for teaching and learning showed that these policies were not entirely clear to them. For example, they did not have a clear understanding of what they were expected to do or how their working practices might change. Based on these activities I found that the perspectives of stakeholders differed and I became more interested to learn more about them.

During the early stages of this research, I also familiarised myself with theorisations about future developments of the HE field outlined, for example, in the essay by Barber, Donnelly, Rizvi (2013). It made predictions that the HE

field would need to change because of recent developments in the global economic climate and technology. These cause challenges for how the knowledge economy and the HE field operates. The other predictions included, for example, that these developments would lead to the devaluation of university degrees and increased competition in the educational field. I had conversations with senior academics about their views on these predictions and issues relating to HE policies at this time. These discussions showed that the academics did not fully agree with the proposed predictions and questioned whether they would come true in the future. These indicated to me that there were many perspectives to the complex issues related to HE policies and that I could only attempt to make interpretations for outlining general descriptions of them. In addition, research-intensive contexts such as those represented by universities belonging to the Russell Group seemed to stand out because of the additional heightened demands for them to also guide focus on high-quality teaching. Later the interpretive analysis of published material on HE policies confirmed these thoughts and based on it I described a policy space where stakeholders have diverse perceptions of key issues.

I felt that activity theory could contribute to making sense of the described policy space (see Chapter 3, 3.2.4). I decided to rework the original research questions so that they would be more suitable for this purpose. I felt that the research questions had to begin with asking what instead of how so that I would be able to make interpretations of the parts they belong to in activity theories. The first two research questions explore institutional and departmental approaches to implementation of current HE policies. The concept of ‘*effective teaching*’ used in the first two research questions should be understood as a result of teaching practices that include a combination of research methods and interactive learning between educators and students.

The original content of the first research question remained the same because it leads to information about the institutional teaching related activities in RIUs. These help to understand institutional perspectives on current HE policies and details about organisational frameworks that exist for teaching. The information about this contributes to uncover how well and to what extent the RIUs provide means for implementing the heightened focus on student experiences and

teaching. The extent to which the RIUs engage in these issues also reveals their approaches to execute their institutional autonomy, The word '*evaluation*' that is used in the first question should in terms of this study be understood as activities where mechanisms are used for monitoring and controlling the quality and level of teaching. The word '*assess*' in the first question should be understood as activities using mechanisms that look at teaching practices and seek ways to develop them. The word '*reward*' in the first question should be understood as activities where achievements in (academic) work are rewarded and recognised using different mechanisms.

The original content of research question two also remained the same as it leads to information about how different departments in RIUs use institutional means for teaching. The word '*professional cultures*' should be understood as referring to the ways people work together in the departments following certain set expectations and procedures. They represent the community that surrounds academics i.e. the subjects that carry out the teaching and research activities in the activity systems of HEIs/RIUs. This information shows how engaged departments are with the identified institutional focus expressed by existing frameworks and indicates how successful these are in elevating the status of teaching to the same level as research. The word '*accommodation*' in question two is to be understood as the use of institutional mechanisms for the development of teaching practices, professional development, and career development.

The part about the specific disciplines in the original research questions two and three was modified because of the uneven representation of them in the empirical data from the RIUs. The third research question explores perspectives of academics on policy implementation. Thus the original focus on the experiences of individual academics working in RIUs remained in research question three. The reason for keeping this focus was because it leads to more details about the identified institutional frameworks, their functionality, and departmental use. Finally, I had to leave out the original research question four because it did not directly contribute to my way of making sense of the described policy space. I made this decision even though I realise that an exploration of the feasibility to translate findings from other contexts about

teacher evaluation and reward would potentially have contributed with fruitful additions to my theorisations.

The rework resulted in the following questions:

1. What are research-intensive universities (RIUs) doing to evaluate, assess, and reward effective teaching?
2. In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?
3. What experiences do the individual academics working in these contexts have of the institutional cultures and practices?

1.3 Explanation of title

The title of this thesis, *“Educating Professionals and Professionalising Education in Research-Intensive Universities: Opportunities, Challenges, Rewards, and Values”*, is connected to many important issues of HE. My view is that it has connections to parts of HE history, as well as newer HE policies in the England and Wales. I see that there are three parts to the title.

The first part of the title, *“Educating Professionals”*, can be thought to have connections to, for example, the features of the earliest universities in the UK. These were Cambridge and Oxford (Anderson, 2006, 2; Gillard, 2011). They educated according to a concept of liberal education and were focused on generating knowledge and specialised study of law, medicine, and theology (Williams 1961, 150). These ancient universities had a *“vocational and utilitarian character”* serving demands of the state for highly educated officials (Anderson 2006, 4). The first part can also be understood to relate to developments in the nineteenth century where industrialisation led to changes in the field of education (Williams, 1961, 161). The changes included the introduction of a merit-based system, which was upheld by schools and universities that were generating knowledge and educating recruits to satisfy industrial needs (Anderson, 2006, 36; Gillard, 2011). By these developments universities could be seen as developing into servants of the industry as one of their main function was to educate professionals that it could use. The reasons and needs for the universities to educate professionals may have changed throughout

developments in history, but it can still be found to remain as one of the key activities for them.

The kind of professionals that universities are educating may also have changed over time, but studies have shown that more contemporary professionals should be individuals who have “*internalized values, accountability and altruism*” and are committed to continuing their professional development and making contributions to knowledge (see Kolsaker, 2008, 520). These kinds of professionals have been presented to sustain their professionalism by securing the status and groupings between professions and adhering to mechanisms that ensure standards on professional practice (see Barnett 1997; Eraut 1994; Jarvis 1983; Kolsaker, 2008; Torstendahl 1990).

The second part of the title, “*Professionalising Education*”, is in my view connected to the briefly mentioned historical developments of the education field in the UK. However, I also think that is connected to the fast developments of the HE policy landscape in England and Wales (see Browne, Barber, Coyle, Eastwood, King, Rajay, Sands, 2010; Cable & Willetts, 2011; Cameron & Clegg, 2010; Cameron et al., 2015). Recent developments have included not only massive increases in student numbers and introduction of newer funding arrangements for HE but also highlighted the focus on the quality of the student learning experience. These developments (have) led to HEIs competing against each other. They are competing in, for example, attracting the highest quality students. In this competition they are doing their best to, for example, reach highest possible placements on league tables and gain the best possible results in the National Student Survey (NSS). These developments have meant that, for example, RIUs face demands to not only continue producing high-quality research outputs by maintaining the highest quality in their research activities, but also heighten their emphasis on providing high-quality teaching by increasingly focusing on the quality of teaching activities. I found the heightened need to focus on teaching to mean that RIUs have to introduce new or improved mechanisms for evaluating and rewarding high-quality teaching and learning and find ways to develop how professional cultures accommodate the new mechanisms. This shows the significance of adding “*in Research-Intensive Universities*” to this part of the title.

The last part of the title, “*Opportunities, Challenges, Rewards, and Values*” is in my view connected to what key findings of this study have highlighted to be the reality in RIUs in relation to their implementation of the newest HE policies.

1.4 Analytical Framework

I was able to outline the framework, strategy, and design of this study at an early stage based on the research area and questions presented in the initial outline for my study. The initial outline presented RIUs as contexts where implementation of the newest HE policies could potentially cause challenges. I continued with conducting the documentary and empirical parts that produced findings that I then presented in Chapters 2, 4, and 5.

My intention was first to identify key issues with current student and teaching oriented HE policies. This included identification of key stakeholders and their perceptions. Secondly, to examine research-based knowledge about HE policy and what is known about RIUs using identified key concepts. Thirdly, to explore the activities involved in the implementation of HE policies in RIUs. This included gathering information for interpreting perspectives on HE policy issues. Bringing together perspectives on HE policies required continuous work throughout the research process. This work included continuously evaluating and adding or detracting from the constructs of perspectives based on what findings showed throughout the phases of the analysis of documentary and empirical data.

Guided by my interest to find out more about the perspectives on HE policies, and knowing that this was a challenging task, led me to develop my analytical framework to find answers to my research questions. I explored different research methods and found that combining three different methods of study would enable me to outline answers that are based on knowledge that is found from a variety of analyses and sources. My choice to use three different methods of study made it necessary to collect and analyse both documentary and empirical data. The data collection and analysis processes are described in detail in Chapter 3. The research design (Fig 3.1) shows the order I conducted

the three methods and the stages of data collection, analysis, and theory building in each of them.

I organised and conducted each of the three chosen methods sequentially so that each stage could inform the next. I adapted an interpretive analysis of policy based on the theorisations of Yanow (2000) as the first method of study. Key findings from it helped to understand and begin to outline answers to the first two research questions. It also enabled to establish groundwork for the interpretation of perceptions of stakeholders on HE policy issues, which was enhanced by the second method of study. The second method of study was a systematic review based on a mixed method model of systematic review presented by Harden (2010). Key findings from it also helped to further outline answers to the first two research questions and to justify the contexts of my case studies. The interpretation of different views on HE policy issues was enriched by the knowledge produced by exploring the perspectives of academics. The third study method was case studies. Key findings from it helped to outline an answer to the third research question.

Key findings of the three methods of study were drawn together and interpreted into models of activity systems at the end of each section about them. To do this, I used a theoretical framework based on Engeström's (1987) outline of a complex model of an activity system. I adapted this model as a lens, which I used to interpret the key findings. When these interpreted models were brought together in a completed model of an activity system, they allowed me to theorise about the implications key findings of this study has for policy and practice.

The focus of this research, unlike that of previous research in this area, is on describing the implementation of newer, more teaching focused HE policies in RIUs. This research explores this by a wide set of key concepts and study methods while most of the other studies have approached the issues from narrower sets of information and methods. The outline of this thesis is discussed in closer detail next.

1.5 Outline of thesis

In this chapter I have introduced this research by explaining its general features and the research area including an explanation of the development and intended aims of the research questions. Then I have explained the parts of the title of this thesis. After this I have explained the analytical framework used in this study. Next, I will explain the outlines of the other chapters of this thesis.

Chapter 2 explores views of key stakeholders in the field of high quality teaching and learning in HE in England and Wales. This is the first documentary part of this research. It begins with the identification the key representatives of stakeholders. Then it goes into presenting key developments of HE policies in the form of a time-line. After this it discusses views of stakeholders on issues related to HE policies in England and Wales. One of the key findings of this analysis was that views of stakeholders on the discussed issues differ.

Chapter 3 is about the methodological framework of the research. It begins with explaining the philosophy that guided the process and the chosen approach. Then it presents the framework, strategy, and design of the research. After this each of the three key research methods is explained in detail including the data collection and analysis of data. This section ends with an explanation of the theoretical lens that was used to synthesize key findings. The end part of this chapter is about the considerations that guided the work in the study.

Chapter 4 examines what knowledge previous research has produced on identified key issues relating to HE policies. This is the second documentary part of this study. The exploration involved outlining and using five key concepts to find papers that contain relevant information about these kinds of studies. Definitions of the concepts and key studies identified by using the concepts are presented in the chapter. It also contains a section where studies that have been identified to present relevant information about RIUs. The key findings of this review showed, for example, that there were not many studies to be found that discussed issues relevant to current HE policies in relation to RIUs in England and Wales. This chapter ends with an interpretation of key findings resulting in a model of an RIU as an activity system.

Chapter 5 is about exploring the views of academic staff working in RIUs. This is the empirical part of this research. It begins by explaining some features of the participants. Then it goes into explaining what academic work and HE in 2014/2015 involves as seen from the perspectives of the academics. After this the participants' connections and views of the RIUs that they work in are discussed. Then their teaching practices and experiences of institutional activities related to teaching are explained. Key findings of this analysis showed, for example, that academics working in RIUs experienced challenges to perform both teaching and research tasks in their work. An interpretation of key findings resulting in a model of an RIU as an activity system ends the chapter.

Chapter 6 begins with a summary of the key findings of this research. They are presented in sections divided by the three research questions. Then the chapter goes into interpreting key findings using the theoretical lens and explaining potential implications they could have for policy and practice. The chapter ends with evaluation of the research process.

The next chapter is about the interpretive analysis of the HE policy space in England and Wales.

Chapter 2-Analysis of the HE policy space

2.1 Introduction

This chapter discusses key findings from the adaptation of an interpretive model for analysing HE policies in England and Wales applied to documentary data identified for this study (see Chapter 3, section 3.2.1). It follows five steps in the adaptation of analysing perceptions on HE policies. The perceptions were identified in various forms of published material that are publicly available on websites of governmental and various other organisations. The authors of these were representatives of different stakeholders. They held various professional positions in governmental and other organisations. Authors in professional positions in governmental organisations included the Prime Minister, the Secretary of State for Business, Innovation, and Skills, Minister of State for Universities and Science. Authors from the other organisations included, for example, researchers and academics in different positions in HEIs, the HEA, and the Council for the Defence of British Universities (CDBU). The authors expressed their thoughts on the content and implementation of HE policies in the published material. These stakeholders represented a diverse range of opinions, depending on their roles.

Bringing together perceptions of the different stakeholders contributes to forming a general understanding of the current policy space in the HE field in England and Wales. They evidence, for example, a contrast between the continuously increasing economically tuned guidance with related regulations, and a field traditionally oriented toward free search for knowledge and its dissemination (see sections 2.3.1; 2.3.2).

The description of the HE field based on the perceptions of the various stakeholders also highlights positive aspects of the current situation (see sections 2.3.3; 2.3.4; 2.3.5). The increased focus on student experiences in the current HE policies help elevate and enforce the position and practices of teaching to the level of research. Another positive aspect to be found in the discussed developments, and related debates, is the strong interest stakeholders have for participating in the development of policies to recognise

teaching excellence. They also show how passionate academics have been in issues related to their work, and how interested they are in improving teaching in the HE field.

Government sources included a selection of reports, reviews, and a White Paper. Four documents, in particular, were identified as having had significant effects on the formation of HE policies in England and Wales. These were the Committee on Higher Education Higher Education Report (Robbins et al., 1963), The National Committee of Inquiry into Higher Education (Dearing et al., 1997), Independent Review of Higher Education Funding and Student Finances (Browne et al., 2010) and Higher Education: Students at the Heart of the System (Cable & Willetts, 2011). It is argued that these documents influenced legislature and practical implementation of recent HE policy in England and Wales.

The content of the documents showed what the authors thought were the suitable directions for activities and development of HE. An examination of these documents enabled the views of different stakeholders to be identified. Also, articles published in leading UK newspapers, an alternative White Paper, and information from web pages of both governmental and various other organisations were analysed. These were added to enrich the identification of perceptions on the implementation of current HE policies. See section 3.2.1 for more detail about the included documents.

The next subsections present findings of the analysis applied to the data. First, by way of background, a timeline with key developments of HE policies in England and Wales is presented. It is followed by a discussion of the perceptions on recommendations for HE policies as expressed by different stakeholders. A lens based on activity theory is in chapter 3 applied to key findings of the analysis to explain the activity theoretical approach taken in this study. The lens helps to bring together the views of different stakeholders in outlining features of the policy space of HE and discuss the implications of key findings.

2.2 Outlines of the development HE policies in England and Wales

Figure 2.1 shows a timeline of key policy developments in HE in England and Wales during 1959-2015, with some political and economic context (see pg 26). Such contextual information contributes to understanding the circumstances in which, for example, participation in HE increased. The timeline shows that student numbers have rapidly increased from around 100,000 full-time students in HE in 1958-1959 to 1,739,000 in 2010-2011. The documented increase in student numbers on the timeline shows that the rapid initial growth was followed by a decade (between 1970-1971 and 1980-1981) of slower growth. The lower economic growth, increased unemployment, and higher inflation during this period may have contributed to the numbers of students entering HE. Student numbers in HE have continued to grow rapidly since the 1980s despite, for example, the recent financial crisis in the 1990's and 2008-2012. However, the timeline also shows that the government have maintained quotas for student numbers for universities over the last few years (2010-2015). The cap on student numbers has recently been removed and other future developments include introducing caps on tuition fees based on a Teaching Excellence Framework (TEF) from 2018-2019 (Johnson et al., 2015).

The timeline begins in the later post-war period of the 1960's, which marked a significant stage in the formation of HE policy, and the progressive expansion of the field with increased provision of providers, widening access and greater participation (GOV.UK Department for Business, Innovation & Skills, 2015). From the late 1980's onwards, much of the debate on HE policy has been around the relationship between public funding, the increase in student numbers, and improved facilities in the universities.

1959-1964 Conservative Government	<ul style="list-style-type: none"> • 1958-1959 -Around 100 000 full time students in HE in the UK (Willetts, 2013, 9) • 1961-1963 -Development of three features of a national system of mass HE; a national student support system, the beginnings of a national university application system and foundation of wholly new universities (Willetts, 2013, 9) • 1962 -Education Act-system of funding HE by mandatory state awards for all full-time undergraduates (Willetts, 2013, 10) • 1963 -Committee on Higher Education Higher Education Report; proposals of expansion in university places, support for continuing with the existing system of funding (Robbins, 1963) • Establishment of new universities in Sussex (1961), East Anglia (1963), York (1963), Lancaster (1964), Essex (1964), Kent (1965), Warwick (1965) (Willetts, 2013, 10)
1964-1966; 1966-1970 Labour Government	<ul style="list-style-type: none"> • Increase in numbers of students studying full-time in HE (Willetts, 2013, 24)
1970-1974 Conservative Government	<ul style="list-style-type: none"> • 1970-1971 -Over 450 000 full time students in HE in the UK (Willetts, 2013, 24) • 1970-1979 -Lower economic growth than before (average of 2.0 % per annum compared to 2.9 % in 1960-1969), increasing unemployment (average of 4.5 % per annum compared to 2.2 % in 1960-1969), higher inflation (average of 13.0 % per annum compared to 4.1 % in 1960-1969)(Sloman, 2006) • 1974 February -Hung Parliament
1974 October-1979 Labour Government	<ul style="list-style-type: none"> • 1976 -"The Great Debate" about the purpose and standards of education, needs to change the direction of HE, compatibility of HE provision with employability of graduates (Callaghan, 1976)
1979-1983; 1983-1987; 1987-1992; 1992-1997 Conservative Government	<ul style="list-style-type: none"> • 1980-1981 -Over 500 000 full time students in HE in the UK (Willetts, 2013, 24) • 1988 -Education Reform Act: changes to the provision and funding of HE, orders transferring FE corporations to the HE sector, establishment of the Universities Funding Council (UFC) and Polytechnics and Colleges Funding Council (PCFC) • 1992 -Further and Higher Education Act; changes in funding and administration of HE and FE, establishment of HEFCE and FEFC, 35 polytechnics awarded university status, created quality assessment arrangements • 1990-1999 -Lower economic growth than before (average of 2.1 % per annum compared to 2.4 % in 1980-1989), slow decrease in unemployment (average of 8.1 % per annum compared to 10.0 % in 1980-1989), lower inflation (average of 3.9 % per annum compared to 7.4 % in 1980-1989)(Sloman, 2006)
1997-2001 Labour Government	<ul style="list-style-type: none"> • 1997 -The National Committee of Inquiry into Higher Education; proposals for introducing private contributions to the cost of HE (Dearing, 1997) • 1998 -Teaching and Higher Education Act; improving standards of teaching by establishment of General Teaching Councils (GTC's), Introduction of up-front tuition fees of £1 000 and a new system of student loans • 2000-2001 -1,286,000 full time students in HE in the UK (Willetts, 2013, 24) • 50 % target for university participation (Labour Manifesto 2001)
2001-2005 Labour Government	<ul style="list-style-type: none"> • 2000-2005 higher economic growth than before (average of 2.7 % per annum compared to 2.1 % in 1990-1999), decreasing unemployment (average of 5.1 % per annum compared to 8.1 % in 1990-1999), lower inflation (average of 1.8 % per annum compared to 3.9 % in 1990-1999) (Sloman, 2006) • 2004 -The Higher Education Act: cap on tuition fees to £3 000 per year, and new funding arrangements for free entry to HE, establishments of the Office for Fair Access (OFFA) for monitoring widening access to HE and approval of elevating tuition fees, update of the student loans system (The Higher Education Act 2004; HC Deb, 8 January 2004, vol 416)
2005-2010 Labour Government	<ul style="list-style-type: none"> • 2005-2010 -UK GDP growth rate from just under 1.5 declining to around -2.2 in 2008-2009 and rising to around 0.5 by 2010 (Trading Economics) -Increasing unemployment from 4.7 % in 2005 to 8.0% in 2010 (Office for National Statistics) -Higher inflation (average of 2.7 % per annum compared to 1.8 % in 2000-2005 (inflation.eu)) • 2006 -Variable tuition fees at HEIs, measures for widening participation in and access to HE (Browne, 2010) • Hung Parliament 2010
2010-2015 Coalition Government Conservatives and Liberal Democrats	<ul style="list-style-type: none"> • 2010-2015 -UK GDP growth rate from just under 1.5 declining to around -0.2 during 2012 and rising to around 0.8 by 2015 (Trading Economics) -Decreasing unemployment from a rise to around 8.5 % in 2011 to around 5.5 % by end of 2014 (Office for National Statistics) -Higher inflation (average 2.9 % compared to 2.7 % in 2005-2010 (inflation.eu)) • 2010-2011 -1,739,000 full time students in HE in the UK (Willetts, 2013, 24) • 2010 -Independent Review of Higher Education Funding and Student Finances; proposals for increasing tuition fees, removing cap on student numbers, student choice to shape provision of HE (Browne, 2010) • 2011 -Higher Education: Students at the Heart of the System - proposals of a tuition fee range between £6,000-£9,000, reduced HEFCE funding of HE, more public funding for students, changes in student number controls (Willetts, 2011) • Education Act 2011: Tuition fees allowed to a maximum of £9,000 • 2010-2015 -Government limitations to student numbers (HEFCE)
2015 Conservative Government	<ul style="list-style-type: none"> • 2015-2016 -Government limitations on student numbers removed in new funding arrangements (HEFCE) • 2015 -Fulfilling our Potential: Teaching Excellence, Social Mobility and Student Choice, government Green Paper - outlines of the Teaching Excellence framework (TEF), fee caps based on TEF from 2018-2019 (Johnson et al., 2015)

Figure 2.1-Timeline of the developments of HE policies in England and Wales

2.3 Perceptions on HE policies

Analysis of the identified key documents showed that throughout the years, HE policy agendas in England and Wales have gone through significant developments and reform. These developments have not only been shaped by the shifting political and economic factors, but also by the intense attention to key issues of HE expressed by different stakeholders and debate within the academy. It is by the active approaches taken by the stakeholders to voice their views that have highlighted the opportunities, challenges, rewards, and values of HE.

Reflecting back on the historical developments, the origins of the current marketisation of HE, which has led to the increased emphasis on accountability and standards, can be traced back to the expansion of the HE sector from the early 1960's. Societal developments throughout time had meant that universities increasingly had to consider their role and function between being places for learning that allow students to freely seek knowledge, and being places that educate skilled graduates. The effects of these developments are ultimately seen in the effects they have had on the professional autonomy and identity of academics. Economic considerations have tilted the emphasis toward greater engagement in employability-related activities, which in many cases has not entirely been to the contentment of universities, or stakeholders in the HE field. They have not abandoned considerations of liberal education as the ultimate role and function of universities and have continued to stand up for the ideology of the liberal university.

One the questions that have remained is whether universities mainly are contributors to the intellectual wealth, or parts of the economical welfare of the society. Current HE policies, for example, direct them to both activities. They assign importance for both in terms of, for example, the distribution of funding. Reaching full potentials as significant and meaningful contributors to the society require current universities to consider elements connected to their institutional autonomy. They include how to manage the tasks of contributing to the knowledge economy by high quality research outputs, and responding to

increased competition between universities for students by making efforts to reach even higher levels of teaching excellence.

The contributions universities make to the knowledge economy with the production of high impact research is not entirely without problems. The reason is because they are connected to at least some of the ideologies of the liberal university following thoughts of Arnold (1869), Newman (1907), and Oakeshott (1989) (see Collini, 1993; Newman, 2001; Fuller, 2001; electronic references). These lines of thought include considering universities as standing for values of freedom, equality, and rationality (see Conway, 2010, viii; Halstead & Taylor 1996, 23). By these thoughts universities would exercise their autonomy by standing for the autonomous rationality of their students from all levels of society to pursue their intellectual development and search for knowledge instead of focusing on educating vocational skills to satisfy the needs and wants of the society (Conway, 2010, 75; Halstead & Taylor 1996, 23-25),

However, the economical considerations that affect how the research outputs are valued based on how much they cost and what impact they have on the activities in the society drive limits the freedom. There are also increasing pressures on the contributions universities make to the society with teaching. They have to adjust it to market demands in terms of educating skills and knowledge which respond to labour needs and student preferences if they want to flourish.

Another possible interpretation is that the pressures put on universities require them to evaluate how their institutional missions and aims reflect their commitment to not only responding to the pressures, but also to how they are incorporating institutional autonomy, and institutional as well as academic freedom in them. This includes evaluation and development of structures and institutional frameworks guiding academic work toward achieving these. The following sections show more detail about what the current situation means for the universities, academics, and other stakeholders and what they have thought about the situation and related developments.

The following sections will show how stakeholders have continued to discuss issues relating to these activities, for example, in terms of academic freedom and student employability. The discussions represent a diverse range of perspectives, including those of policymakers, students, HEIs, and parents/taxpayers.

2.3.1 The role and function of the university

This section is about debate relating to the role and function of the university in society that have continued throughout the time period under review. The rapid expansion of HE since the 1960's, brought about a transformation in how the role and function of the universities was viewed (see Bathmaker, 2003, 7-10). Moving from focusing on educating relatively small numbers of students from elite social backgrounds who would then go on to have significant positions in leading society, towards an increasingly mass education with more focus on skills, technical or professional roles. The shift from a role of representing liberal education, as discussed above, including great institutional autonomy and free search for knowledge to mass education of skills and knowledge was based on the function the universities served in the society. When the function of producing skilled and knowledgeable professionals to serve in higher posts no longer responded to the needs of the society as the industrialisation progressed universities needed to change their provision to better respond the needs of the work life. The role and function of universities has continued to figure around the combination of liberal ideologies and economy driven societal needs as will be discussed in closer detail in the following sections. Stakeholders' active approaches to voice their views have accompanied the developments during the reviewed time periods. They have often questioned, criticised, and also offered alternatives to how to define the role and function of universities.

The analysis showed that the earliest discussions about the role and function of the university seemed to emerge when the economic situation in England and Wales weakened. The weaker economic situation included increasing unemployment during the 1970's. The universities were then in a situation where they tried to meet the governmental targets for university participation at the time, even though the increased unemployment from 2.2% to 4.5% between

1960-1969 possibly meant that university students no longer had the same enhanced employment prospects as compared to less educated youths as before (see table 2.1, pg 26).

The backdrop to these more current debates is the expansion of HE, which started in the mid-1960's following the Robbins Report. This development originated from a prosperous period, with significant economic growth and refocus on international economic competitiveness in the shadow of the Cold War. The growth in this time period included great technological and scientific expansion and significant growth in the numbers of the population in terms of the post-war baby boom. The good economic grounds benefitted the educational sector in terms of the foundation of a system of free secondary education for all children (Cable & Willetts, 2013, 23; Robbins et al., 1963, 11). The new system of secondary education for all was introduced in the 1944 Education Act. It led to increased numbers of students participating in secondary schooling and leaving school at a higher age than ever before (Robbins et al., 1963, 11). It was thought that the increased demand for HE driven by the needs of skilled graduates following the technological and scientific expansion was enforced by the interest of these students in developing their skills and knowledge further (Robbins et al., 1963, 11-12).

The timeline shows that the HE sector expanded following the Robbins Report by, for example, an increase in student numbers from 100 000 in 1958-1959 to 450 000 in 1970-1971 during a period of Labour government. This meant that there were more highly educated graduates to meet the needs of the industry. The timeline also shows that the subsequent Conservative government continued with the theme in HE policy about widening access and ensuring that the sector can accommodate and resource increased numbers of students, despite a weakened economic climate. The investments made into expanding HE also meant that recruitment of more academics to educate the increasing student numbers bloomed during this period (see also pg. 33). Callaghan's concerns about students choosing to seek careers in academia discussed below evidence that many graduates opted for this alternative.

One of the significant contributions to the discussions about the role and function of the university was James Callaghan's speech at the Ruskin College. Callaghan initiated "The Great Debate" in 1976 by, for example, saying that there would be a discussion about the investments made in education (Callaghan, 1976). He also said that participation of stakeholders from multiple levels and areas were important for defining the purpose and standards of education (Callaghan, 1976),

The timeline shows that even though the debate in 1976 was mainly about school reform, it also included some thoughts about needs to develop HE. These included, for example, concerns about the uneven distribution of students to courses in HE that would lead to jobs in the industry, and concerns about students' preferences to instead seek careers in academia or civil service (Callaghan, 1976). The students preferences show their interest to educate themselves following the ideologies of the liberal university instead of seeking to satisfy the needs and wants of society. These thoughts seem to validate other concerns expressed at the time about the potential futility of governmental investments in science and engineering. They also highlight Callaghan's thoughts about the existing problems in the communication between the industry and the educational field, and how addressing these problems was one of the areas that needed development in HE.

An interpretation can be made based on this that the universities at this time took their role and function as being more connected to the ideologies of liberal education instead of to serving the needs of the industry. This was possibly something that Callaghan wanted to change and bring up for debate. His view was that the debate should not circulate around issues relating to how state control restricts educational freedom. He thought that it should instead focus on the education of well-rounded members, which contribute to the society by their work in a meaningful way. This could be interpreted as his way to justify governmental control over a sector they fund.

Callaghan also took a stance that educational excellence was a national priority transcending social classes when expressing criticism of the previously governing Conservative views (Adonis, 2006). His speech impacted the

following developments of a national curriculum and greater central government for schools. This has been regarded as starting a process to improved information for and rights of the guardians of students across educational areas (Eason, 2005).

Discussions and importance of the issues of student employability and of greater access and transparency of HE and rights of students and their guardians have continued. The analysis showed that stakeholders had continued to discuss needs for expanding the HE field in terms of, for example, offering more opportunities to study in HE and making access to HE easier. Browne et al. (2010) had discussed the needs for continuing to make access to HE easier and Dearing et al. (1997), the needs of maintaining the quality of degrees and education in HE to ensure employability of graduates this way. The issue of employability continues to be important as mentioned in connection to discussing the contrasts that exist in the current HE policy space (see pgs. 23-24, 27-28). The issue relating to improved information in HE is also currently visible, for example, in terms of the introduction of a transparency duty for universities for monitoring and improving activities relating to widening access to HE (Department for Business, Innovation & Skills (2016), Johnson, J. et al. (2015).

The great debate of 1976 highlighted how governmental stakeholders' views are not only contrasting between different political parties, but with the perspectives of the stakeholders from other organisations. The perceptions at this time, as expressed by, for example, the teachers unions, were concerned about preserving the autonomy of the teaching profession. They expressed resistance against the decreased autonomy they were facing along with the developments following governmental recommendations during the period (Eason, 2005). Current stakeholders in the HE field have voiced similar concerns about how the marketisation of HE affects the autonomy of both institutions and individuals in the field. Their views will be discussed in closer detail in the next section (2.3.2).

The knock-on effects the debate in 1976, and the following developments have had on the HE field caused another debate to arise. This time it was about the

effects the standardisation of schools has had on the kind of students that proceed to HE. At this point stakeholders voiced concerns that students have not been suitably educated for HE, since the prescriptive and target driven schooling system does not prepare them to think independently and critically (Adonis, 2006). The current debates, which parallel concerns for preserving the teaching profession and autonomy of educators' will be discussed in closer detail at the end of this chapter.

Representatives of the conservative government at this time period made suggestions on how the needs for more university places could be filled. These were identified in their recommendations for increasing participation in HE by expanding university places from 216,000 in 1962/1963 to 390,000 by 1973/1974 and 560,000 by 1980/1981 (Robbins et al., 1963, 272; 277). The following principle guided the authors' arguments for the need for expansion of study places in universities:

"... courses of higher education should be available for all those who are qualified by ability and attainment to pursue them and who wish to do so."

(Robbins et al., 1963, 8).

The quote shows how these stakeholders were taking the stance to stand up for the rights and needs of the young people in England and Wales. Robbins et al. (1963) were found to evidence well the grounds for representing views of the young generation in their discussions. The reason was that they were based on, for example, various surveys that young people both studying and not studying in HE had responded to (Robbins et al., 1963, 298).

The presented quote also illustrates the views of these stakeholders that the expansion would need to include improving access to HE for students from various social classes, greater equality in gender, and development of existing features of HE. They did not see that the existing system of HE was not able to meet the demands and needs of an increasingly better-educated group of youths (Robbins et al., 1963, 8-10). These developments would be supported by awarding university status to colleges of advanced technology and teacher training colleges according to some of the other recommendations made by the authors (Robbins et al., 1963, 125; 126; 128).

The different views stakeholders have had on how to fund HE was identifiable, for example, relating to the funding of the recommended expansion of HE (Robbins et al., 1963). The authors suggesting the expansion were in favour of continuing with the system of funding HE with mandatory state awards to all full-time undergraduate students (Robbins et al., 1963, 62). They did not at this point share the perceptions included in the evidence given to them that it would be possible to finance HE by student loans (Robbins et al., 1963, 210). Members the Treasury, who would have to accept the continuation of the existing system of HE funding, had perceived the need for expansion differently. They had not accepted the University Grants Committee's recommendations for university expansion in 1962 (see Gibney, 2013, Times Higher Education, 24th October; National Archives, 1962; UK Parliament, 1962).

The next section presents another time period indicated by the analysis, when developments of the HE field had also sparked debates. This time they were about the perceived detrimental effects the commercialisation and marketisation of HE had on institutional autonomy and academic freedom.

2.3.2 Concerns for the autonomy of institutions and academic freedom

Reflecting back on the developments presented on the timeline shows another time point when governmental recommendations were debated. The following discussion provides a more vivid description of the involvement from the academic community in the debate than the previous section. The described debate was about an increased emphasis on students including changes to the funding arrangements of HE. Academics highlighted their concerns for the autonomy of institutions, and academic freedom at this time in a similar line of thought as discussed in section 2.3. These views were found in a document, which had been produced by a large group of academics in response to the governmental stakeholders' policy paper about the new student-oriented HE policies. These academics expressed concerns relating to the recommended developments, and by authoring the response document they showed the academics strong interest to discuss and participate in the development of the policies that affect their work. The issues discussed relate to the purpose of university discussed in the previous section (2.3.1).

Authors identified to represent views from HEIs had believed that existing core values of HE were potentially sidestepped in favour of economic growth when the developments that stand as grounds for the current HE policies were introduced (see Holmwood et al., 2011, proposition 1, sections 3.1-3.5). Their response shows details about how developments relating to present challenges in the HE field were met on the individual level (see pgs 24-25). The response was written because these academics felt that the governmental recommendations presented at this time would lead to an increased marketisation of the HE field, which would threaten the liberal education purpose of universities including freedom of learning and seeking knowledge. They felt that this would force the universities to focus on activities that provide economical benefits for them. These activities include, for example, competing with each other in attracting students with the employability resulting from the education they provide. They suggested instead that a better way for HE could be to integrate core public values with the economic values.

The discussed core values were about the contributions HE makes to the development of culture and standards of citizenship (Dearing, 1997, 8; Holmwood et al., 2011, proposition 1, sections 3.1-3.5; Robbins et al., 1963, 6-7). These contributions included the enabling of developing independent critical thinking and learning by combining teaching and research activities. They also included

“... sustain[ing] a culture which demands disciplined thinking, encourages curiosity, challenges existing ideas and generates new ones; [and] be part of the conscience of a democratic society, founded on respect for the rights of the individual and the responsibilities of the individual to society as a whole.”
(Dearing et al., 1997, 8).

The analysis shows that other stakeholders later also voiced their views on the issues relating to the contrasts in the current HE field (see pgs 24-25). It shows that stakeholders representing views from HEIs and relevant organisations had also responded to the introduction of HE policies they interpreted led to increased marketisation by defending academic values and the autonomy of universities. The analysis showed that as part of these activities a coalition of leading academics and peers had in 2012 established the Council for the Defence of British Universities (CDBU) for defending academic values and

autonomy of Universities (CDBU, electronic reference). The leader of CDBU had summed some of the perceptions of the developments that have marketised the HE field to show how they have negatively affected academic freedom on institutional levels, and changed the purpose and function of universities. He describes how the value of research is based on how much it costs, how students have changed into customers of HE, and how universities have become businesses in the way that they operate. He explains these views the following way:

“...the value of our research is assessed by the amount of taxpayers' money it has cost ... when fees were introduced, students ceased to be products and became customers. As enterprises, our universities were expected to compete against each other. .. the complexities of the modern university are beyond the understanding of most members, and they share a tendency to see universities... as a business in need of downsizing. And the hand of government has become gradually heavier. Funding agencies, quality agencies and more recently the Office of Fair Access have been introduced to monitor all aspects of universities' activities.”

(Campbell, 2012, The Telegraph. Education. University Education, 14th November).

Interpretations of the stakeholders views based on these descriptions show that (at least to some extent) the effects of marketisation of the HE field include a closely monitored shift in institutional activities to focus on economical aspects transforming universities to operate as businesses. An interpretation can also be made that institutional autonomy of universities has decreased in terms of, for example, their right and possibilities to decide the content of education by the transformation of students into customers who will decide what to buy based on their preferences. Finally, the effects of marketisation can also be interpreted to have increasingly decreased the academic freedom academics have had when searching for knowledge in universities by the existing focus on the cost of research.

The strong engagement from the academics and other stakeholders to discuss concerns about academic values and autonomy of universities presented in this section so far included concerns about the effects marketisation had on core values of academia, institutional autonomy, and academic freedom. The presented views describe how the institutional autonomy of universities and

academic freedom in them has been reduced by, for example, the increased economically driven monitoring of their activities in the HE field. The discussions show stakeholders concerns for the diminished focus and possibilities for universities to engage in the liberal education purpose of universities.

The backdrop for the discussed debates in this section was the recommendations for HE presented by governmental stakeholders in 2011. These recommendations were, for example, about shifting the focus of activities in the HE field to the students (see Cable & Willis, 2011). The timeline shows that these recommendations were presented by stakeholders of a Coalition government during a period when the economic situation had gone through a decline in the UK. The governmental stakeholders making these recommendations favoured a mixed system of funding HE. It involved a mix of private contributions from the students, in addition to funding from the government, which had been previously favoured by governmental stakeholders (see Browne et al., 2010, 6-7; 35-45; Cable & Willetts, 2011, 12-24; Dearing et al., 1997, 263-347). The timeline shows the backdrop for the recommendations that favoured continuing the mixed system of funding HE. It shows that private contributions to HE in terms of tuition fees for UK students were introduced during a period when there was less economic growth, but still a decrease in unemployment and inflation. It also shows that the economic situation in England and Wales has improved between 1998 when the £1,000 tuition fees were introduced to 2000-2005 when a cap on tuition fees to £3,000 was set. HEIs could charge variable amounts in tuition fees up to the set cap of £3,000 during the recent economic crisis of 2008-2009. Finally, the timeline shows that developments of HE policies in the last five years have enabled the HEIs to charge tuition fees between the amounts of £6,000-£9,000.

The discussed mixed system of funding involves a combination of student loans and distribution of government funding for HE through the Higher Education Funding Council for England (HEFCE) (Cable & Willetts, 2011, 15-16; 19-20). These governmental stakeholders favoured continuing with the funding arrangements in 2010, when the £7,426 million government funding of HE was mainly distributed through recurrent and non-recurrent funding as well as the Higher Education Innovation Fund (HEFCE, 2010, 6). £4,719 million (64 %) of

the £7,426 million was allocated to teaching, £1,603 (22%) million to research, and £1,104 (15%) million to other funding (HEFCE, 2010, 6). These funds were distributed as “block grants” that institutions were free to spend as autonomous entities on things that were important for them within the guidelines set by the government (see HEFCE, 2010, 4). The institutions were also free to seek further funding from other public and private sources whilst remaining ultimately accountable to HEFCE and the government (see HEFCE, 2010, 4).

Governmental outlines for HE funding policies at this time included requirements and conditions that HEIs need to follow to receive governmental funding. The requirements included, for example, assurance and accountability measures. The conditions included, for example, intake targets. The analysis showed that the governmental outlines in 2010 for the allocation of research grants included consideration of

“... the volume of research (using research-active staff numbers), the relative costs (reflecting, for example, that laboratory-based research is more expensive than library-based research), any government policy priorities for particular subjects and the quality of research as measured in the Research Assessment Exercise (RAE)”
(HEFCE, 2010, 10).

The governmental funding of teaching in HE in 2010 was based on student numbers at each institution (HEFCE, 2010, 8). It also showed that the governmental teaching grant relied, for example, on the institution’s engagement in activities related to widening participation that “*ensure that everyone with the potential to benefit from higher education has the opportunity to do so*” (HEFCE, 2010, 8). The institutional engagement in widening participation continued to be monitored using access agreements by the Office For Fair Access (OFFA) (OFFA, electronic reference). This monitoring continues to the current days. The access agreements help to promote and safeguard access to HE from under-represented social groups by ensuring that HEIs charging tuition fees have adequate strategies to attract and support for them throughout their studies (OFFA, electronic reference).

The backdrop for the debates on the autonomy of institutions and academic freedom include additional aspects. The timeline shows that targets for

university participation set by the government include Labour's 50% target set in 2001, which are related to agendas of widening participation and improving access to HE. These developments have introduced the use of measurement for both accountability and the setting of a standards agenda, which are visible in the terms and conditions of the mixed system of funding. The timeline shows that these have been enforced by the following developments in the governmental recommendations, which will be seen in the next sections.

The analysis showed that students, the HE field, and HEIs were in the perception of the government to benefit from the recommended stronger emphasis on students in HE. The benefits for the students included, for example, affordable education and increased opportunities for participation and employability (Cable & Willetts, 2011, 4-6). The presented benefits for HE and HEIs included, for example, secured funding of activities and less government control (Cable & Willetts, 2011, 4-5). The expressed support for HE also included continued support for the reforms that had been introduced for participation in and access to HE. This included supporting, for example, an increased focus on student charters, student feedback, and graduate outcomes (Cable & Willetts, 2011, 34). The sources for feedback from students included, for example, the NSS. The benefits of transparently using the NSS and other equivalent information were by these authors thought to make up the core of continuous processes of improving the quality of teaching. These governmental stakeholders thought that requiring educators to have relevant teaching qualifications and offering opportunities for career advancement based on teaching ability would also contribute to heightening educational quality (Browne et al., 2010, 45; Cable & Willetts, 2011, 5, 34). Their view was that their recommendations would benefit the HEIs by helping them to attract more students and ensure their success in the increased competition between educational providers in the HE field.

Further exploration of the mixed model of funding HE led to identifying that academics had thought differently about these arrangements. Some academics perceived that the increased marketisation threatened their possibilities to exercise their academic freedom ultimately affecting their identity as academics. By gathering together some of their views a debate about issues connected to

the existing contrasts in the HE field in terms of marketisation emerges. The perceptions of an academic of the beneficial and negative aspects of the current arrangements are identifiable in the following quote. This academic expressed his views on the negative effects marketisation of the HE field and linked consumerism has had on institutional autonomy and success. He described the negative effects in terms of heightened focus on money controlling both price and provision of HE. He described the situation in the following way:

“Market forces create failing enterprises as well as successful ones, elevate the consumer to a powerful position, reduce profits and tend to keep suppliers honest ... vice-chancellors have traded independence and autonomy for secure public money and protection from consumer power,”

(Ramsden, Times Higher Education, 13th December 2012).

Other academics had also expressed their views on the flaws of the current system and how the HE policies had commercialised education. One of them, for example, discussed these in terms of how they restrict academic freedom in the work of the academics and student learning experiences (Furedi, 2012, Times Higher Education, 29th November). This academic saw that academics were self-oriented toward teaching well and that it was not necessary to monitor them in these activities. He also found that the richness of the learning and teaching processes were limited due to over-monitoring of what academics do in their work. Another academic thought that the current developments of HE had changed institutional autonomy. He described the changes in terms of, for example, increased competition between providers in attracting students in the marketised field, and instability of HE in terms of constant restructuring and short-term contracts in institutions (Inglis, 2012, Times Higher Education, 15th November). This academic saw that these have contributed to uncertainty about the security of jobs. These examples show further evidence of the identified interest of various stakeholders, and especially academics to discuss and participate in the development of HE policies and practices. The analysis shows that the engagement from these stakeholders has also taken other forms, for example, actively taking initiatives to meaningfully participate in developing practices of HE, which is discussed next.

2.3.3 The question of educational quality

Over time policy makers have become increasingly interested in monitoring and measuring the quality of teaching and the student experience in higher education. However, exactly how institutions can demonstrate and measure their teaching excellence and the quality of the student experience is a contested and complex matter, on which many different views have been expressed. Stakeholders have taken the opportunity to discuss, for example, alternatives to using the NSS to measure teaching quality (see Gibbs, 2010a; Gunn & Fisk, 2014). The thoughts behind these lines of work are that the educational quality of an institution is based on all activities of departments including its leadership of teaching and communities of teaching practice (Gibbs, 2013, 7). They also include seeing that there is a need to develop dimensions for distinguishing satisfactory and excellent teaching (Gunn & Fisk, 2014, 49).

The discussed alternative ways of measuring teaching quality on the institutional level begin with taking into account how educational needs are met by learning outcomes and developing quality assurance systems to focus on the quantity and quality of learning effort (Gibbs, 2013, 7; Gunn & Fisk, 2014, 49). The following step they discussed was to consider how national approaches, for example, national recognition schemes are used in universities in addition to institutional activities to promote teaching excellence (Gunn & Fisk, 2014, 50). They saw that this could include, for example, aligning components of teaching and research strategies to be equal and developing promotion criteria that emphasise teaching in educational policies (Gibbs, 2013, 6; Gunn & Fisk, 2014). The institutional evaluation of teaching achievements as bases for promotion could according to these stakeholders include collecting evidence over time of excellence as outlined by the HEA in the UK Professional Standards Framework (UKPSF) and gaining professional recognition (Gibbs, 2014a; Gunn & Fisk, 2014, 11, 39). Other institutional activities for achieving teaching excellence that they discussed included teaching excellence awards, disciplinary pedagogies and regimes and various activities that students (could be encouraged to) participate in (Gibbs, 2010a; Gunn & Fisk, 2014, 50).

One of the suggested ways of using ways to engage students in learning in a meaningful way involved using it in combination with measures of teaching quality such as, for example, student feedback (Gibbs, 2012, 11, 14-15, 46; Gunn & Fisk, 2014, 9, 13; 18, 23). This involves using student feedback as an indicator for what should be focused on to transform teaching instead of using it to only assure that standards are met (Gibbs, 2013, 7, 9; Gunn & Fisk, 2014, 31). Later it was added that in order to make student feedback useful for measuring teaching quality it needs to be collected by asking (them) specific questions that have been shown to affect learning, for example, on teacher behaviour (Gibbs, 2014b). The discussed activities designed to engage students included, for example, the collaboration between teachers and students in learning activities, facilitation of peer-peer work among students and giving students' responsibility to administer and interpret student feedback questionnaires. It also included making learning relevant for students by giving opportunities for them to learn independently things that are meaningful for them from difficult and contested knowledge. The analysis showed that later the idea of engaging students in learning had become popular in the HE field and that learning gains had been shown to improve when characteristics of student engagement were incorporated to teaching practices (Gibbs, 2014a; Gibbs, 2014b; Gunn & Fisk, 2014, 23, 49). It was used in many ways although it was found to be difficult to define or prove if or how much effect it had on students learning (Gibbs, 2014a).

These stakeholders found that the discussed measures of teaching excellence required evaluation of how the educators/teachers in the universities demonstrate their excellence in teaching practice and how peer observation and review of teaching, pedagogical competences portfolios, the scholarship of teaching and learning and letters of support are used to evidence individual teachers excellence (Gunn & Fisk, 2014, 50-51). The idea of shifting the focus from an individual level to the level of degree programmes when evaluating teaching quality was a part of their line of thoughts (Gibbs, 2012, 45). These stakeholders found that this was connected to evaluation of how they plan and deliver teaching, assessment of what they learn and what contributions they make to the profession, educators reflection on their own teaching, and their use of student and peer feedback. They had also thought that the development

of the practices, motivation, and abilities of teachers could be improved by, for example, interactive teaching observation methods, and reflective teaching portfolios (Gibbs, 2013, 6; Gunn & Fisk, 2014, 31, 50).

The thoughts presented by these stakeholders show that there are alternatives for viable ways for HEIs to measure teaching quality and establish parity of esteem between teaching and research. These support institutional aims to achieve teaching excellence and lead to questions whether these are currently used in HEIs and what kind of experiences and views academics have of them. Perhaps some of the most recent debates visible from the analysis could help to answer these questions? The debate follows most current governmental recommendations of tying the funding of HE even closer to the emphasis on students. This debate will be discussed next.

2.3.4 Changing HE by placing the emphasis on students

Current plans to improve HE by placing the emphasis on students include heightening the focus on teaching by the introduction of the TEF, which is planned to determine the allocation of funding for teaching. The emphasis on students means by interpretation focusing on the kinds of experiences students have of their studies and working on improving the elements their experiences are based on. Teaching is one of these important elements. In relation to it the student focus it can be interpreted to include taking into account what students think about, want, and need from their studies, and considerations of how they can be supported in getting the most out of their studies in a meaningful way. This section foreground the debated issues with these plans by discussing governmental stakeholders' views on the current HE policies. The debates in terms of how various stakeholders have viewed the current plans will be discussed more closely in the next section (2.3.5).

The analysis shows that the governmental stakeholders' definition of the current HE policy space seems to be that it can be improved by placing more emphasis on the students. These stakeholders seem to speak for stabilising the position and practices of teaching as a way to forward the experiences students have of their studies. A significant contributing factor to the students' experiences

seems also to be the provision of education that results in employment. By doing so they give them the returns that justify the investments students make. The analysis shows that authors connected to recent UK governments have continued to take the position of speaking for the rights and needs of the young generation. They have done so by continuing to make recommendations for improving participation in, and access to HE. These include increasing social mobility and attracting more students from disadvantaged backgrounds (Cameron & Clegg, 2010, 31-32). The analysis shows that specific governmental policies were outlined for both of these in 2010 and updated in 2015.

The new Conservative government elected in 2015 has indicated that it would continue to work within this framework of for HE policies (see Cameron et al., 2015). It involves an ongoing commitment to the students, HEIs, and the wider society. Their commitment to the students includes enabling more study places to be available by removing the cap on student numbers, and enhancing the ability for students to make informed choices of where to study by increasing transparency of practices and quality of HE provision (Cameron et al., 2015, 35). It also includes making repayment of tuition fees only applicable after securing a yearly income of over £21,000 (Cameron et al., 2015, 35). Thoughts that the long-term economic plan introduced by the Coalition government has improved the economic situation of Britain regarding, for example, increased employment levels and reduced deficit guided the mentioned plans (Cameron et al., 2015, 5). The current government says that it is committed to continuing to work through their economic plan as they see that it will secure the future welfare of the UK (Cameron et al., 2015, 5).

The interpreted motivation for governmental stakeholders to make suggestions to improve teaching was complex. It was partly intertwined with the returns students would get from making the investments in education. Authors representing views of the current government discussed elevation of the quality of teaching, for example, in connection to their aspirations to ensure that students will get value for the tuition fees that they pay. The introduction of a framework for recognising teaching excellence, and encouraging development of the courses, and how they are provided in HE would serve to ensure the

value of the investments in education (Cameron et al., 2015, 35). Other governmental stakeholders outlined the regulation of HE to be more beneficial for the students in terms of, for example, making sure that the provision of HE would meet consumer protection standards and that sanctions for those providers that fail in achieving this would be based on the risks that they cause students (Competition & Markets Authority, 2015, 5). The adherence to consumer standards was outlined in terms of achieving or exceeding set baseline levels of quality and making activities of providers more transparent (Competition & Markets Authority, 2015, 5). The sanctions would involve a risk-based approach where the adherence to regulations would include paying closer attention to student complaints and dropout rates (Competition & Markets Authority, 2015, 5).

Further analysis showed that the current governmental stakeholders' recommendations were presented in a situation where the £3,971 million government funding in 2015 of mainly teaching in HE was lower compared to the government funding in 2010. The distribution of the current funding is connected to

“... tuition fee loans and maintenance grants and loans to students
• grants to universities and colleges from HEFCE
• grants to institutions and bursaries to students from other public
bodies, such as the UK Research Councils and the Department of
Health.”
(HEFCE, 2015, 3).

The allocation of the £3,971 million includes a division into £1,418 million (36%) to teaching, £1,558 million (39%) to research and £995 million (25%) to other funding (HEFCE, 2015, 4). These figures highlight a drop in the amount of governmental funding for teaching in HE (although it is more evenly distributed between research, teaching, and other activities). The reason for this drop in governmental funding has been explained to have connections with the new funding arrangements of teaching and management of student numbers in HE that were introduced in 2011. These aim to *“increase student choice and support greater diversity in higher education”* (HEFCE, 2015, 4). The analysis showed that the government had placed limitations on student numbers between the years 2010-2015 (HEFCE, 2015, 6). The new Conservative government has shown their commitment to HEIs by removing the cap on

student numbers, which they feel will increase opportunities for competition between education providers (Cameron et al., 2015, 35).

The new funding arrangements include directing more of the public funding to students in terms of up-front loans for tuition fees, which they are required to repay when they achieve an income that is above a certain level. They also mean less public funding for HEIs in terms of teaching grants as was presented above. The main proportion of public funding is directed to the Student Loans Company and HEFCE distributes significantly smaller amounts of teaching grants toward areas the cost of which is not sufficiently covered. These areas include:

“high cost subjects; postgraduate provision; supporting student opportunity for those from disadvantaged backgrounds or who may need additional support to succeed; and high-cost distinctive provision at (often specialist) institutions. HEFCE’s research grant is ring-fenced, which means it is protected from these changes.”
(HEFCE, 2015, 4).

As mentioned earlier the current governmental stakeholders are also working on providing them with a framework that enables the recognition high quality teaching (Cameron et al., 2015, 35; see Figure 2.1, Johnson et al., 2015). The development of this framework will be the key element in the allocation of the public funding of teaching in HE (see Johnson et al., 2015). The TEF is intended to measure the educational quality of the HEIs and allow those institutions, which show that they achieve certain levels in their teaching to implement increases in their tuition fees. The plan is to begin the implementation of the TEF in 2017/2018 by allowing HEIs to charge tuition fees in line with inflation based on evaluations of their past performance in terms of existing measurements of quality and excellence (Johnson et al. 2015, 23). The plan includes setting a maximum fee cap for the successful institutions (Johnson et al. 2015, 24). The evaluation is named as Level 1 award of the TEF, which would last for up to three years (Johnson et al. 2015, 24). The evaluations in year 1 are derived from existing quality assurance reviews (Johnson et al. 2015, 23). The plan includes awarding higher levels of the TEF from year two onward (Johnson et al. 2015, 24). The development of the TEF framework includes consultation with several stakeholders representing a variety of HEIs and other relevant organisations in the HE field (Johnson et al.

2015, 100-103).

The other important feature of the TEF, according to the governmental stakeholders, is the way it contributes to reducing regulation of HE and leads in placing the students at the forefront of funding and teaching excellence (Johnson et al. 2015, 9). This includes the establishment of the new Office for Students. It is set out to guard the rights of the students, employers, and taxpayers by, for example, promoting teaching excellence, and greater transparency of HEIs finances, educational provision, and engagement in the widening access agenda (Johnson et al. 2015, 62).

The analysis shows that research currently exists in an interesting intersection between the production and contribution to the knowledge economy and support to the role and function of HEIs to educate. It was further found that the governmental stakeholders have taken this into account. One of the most current key documents produced by them, for example, described that HEIs need to continue producing scientific and technological innovations and developing connections between HEIs and the industry to improve students employability (see Cameron et al. 2015). The authors expressed support for HE in terms of, for example, outlines for large investments in its research infrastructure (Cameron et al., 2015, 21). These included investment and continued support for, for example, a Grand Challenges Fund, network of University Enterprise Zones and Life Sciences strategy (Cameron et al., 2015, 21).

The same line of thought is included in the funding arrangements for HE in 2015, when the Governmental allocation of research grants was outlined in terms of “mainstream quality-related research” (QR), and allocated by the similar considerations (HEFCE, 2015, 7). The analysis showed that one of the important elements in the allocation of research funding was the impact of research in terms of “... *the demonstrable contribution that excellent research makes to society and the economy*” (Economic and Social Research Council, electronic reference). This section has foregrounded the debates in the present HE field, which will be discussed next.

2.3.5 Return to the core values and purpose of HE?

The discussed issues in this chapter have shown that the debates relating to the existing contrasts in the HE field about the position, role and function of research and teaching in HE are and have been intertwined with perceived core values and purpose of HE. What has also become clear is that the various stakeholders have taken an active approach to voice their views. Their active stances have led to debates about the opportunities, challenges, rewards, and values of HE.

Some of the stakeholders have discussed how this could potentially lead HEIs to move increasingly into the direction of teaching, instead of research (see Boxall 2016). This would signify a return to one of its early functions of educating professionals as discussed in chapter 1, and also change the HE landscape in England and Wales. Some indicators of changes in the landscape have already been reported. They have been described in terms of the poor performance of universities that have established their esteem and position based on the quality of research in early TEF rankings (see Espinoza, *The Telegraph*, 23 June 2016). These rankings indicate that universities with established reputations for research, such as the Russell Group universities, will need to find ways to direct more efforts and focus to teaching and student related activities to avoid falling in the main rankings of TEF. These indications are strengthened by, for example, reports showing that the highest ranked universities (including many of the research-intensive universities) were taking lower amounts students from disadvantaged backgrounds, and progressing less in terms of widening participation than universities ranked lower (*Times Higher Education*, electronic reference; Social Market Foundation 2016). The role and function of these universities seems to be changing and they need to develop new ways of addressing the emerging challenges.

This chapter has provided evidence supporting them to continue to develop their organisations by enlisting the engagement academics show for improving policies. The most recent developments in the field have not been any exception to the active approaches taken by various stakeholders including the academics. The development of the new TEF framework, for example, has

already included wide spread engagement from a multitude of stakeholders (see Department for Business, Innovation & Skills 2016). Some of the views they expressed on this occasion included seeing the opportunities the intentions behind this framework offer for increasing the information and choice for students, teaching excellence, and widening participation (Department for Business, Innovation & Skills 2016, 5, 11, 20, 23, 39-40). However, the implementation, and development of the TEF was perceived as challenging. Clarifying details of it, and how the relationship between teaching and research will work and be monitored in the futures was asked for (Department for Business, Innovation & Skills 2016, 5, 9-10, 15-17, 31). Concerns are also raised by stakeholders about how the TEF could flatten views of the existing richness of the educational provision in the HE field. They feel that these cannot be captured by standardised means alone. Instead hopes are set that the new Office for Students will be enabled to contribute to the TEF evaluations in order to reach the described complexity of HE (see Boxall 2016).

Other stakeholders have also voiced their views on the challenges connected to assessing the quality of teaching. The topic has remained current with the continuous developments of HE polices field tying it increasingly to the funding of it. Academics views on the issue included, for example, seeing that the connection it has with student employability had brought changes in the role and position of HEIs as educational providers in some disciplines. One academic, for example, was worried about how developments in medical education had shifted the focus toward the needs of the workplace and educating doctors that are “*fit for purpose*” (Cookson, 2015, Times Higher Education, 7th May). These types of developments brought by the marketisation of the HE field challenge the institutional autonomy of universities have in managing their activities as they put pressures on them to increasingly focus and respond to student experiences, choices and employability, The academic continued that educating ‘fit for purpose’ doctors could potentially limit their competence and professionalism. This could signify an important point to take into consideration when developing the assessments of teaching quality by including the employment factor, as it shows that the long-term effects may be negative. This despite the imminently emerging effects for the students seem positive in terms of employment.

The mentioned academic continued by making the suggestion that HEIs should actively try and promote the important role in educating professionals that they have. He showed at the same time his active approach to participating in the development of policies to improve teaching. His suggestion included encouragement for developing students' critical thinking and innovative adaptation of knowledge. He found that when educated this way the future medical professionals would not only be

"... trained for today's task but not educated for tomorrow's ... Competent doctors are more than collections of competencies: they need to be able to think for themselves, recognize what needs to be changed and possess the advocacy skill to bring about those changes"
(Cookson, 2015, Times Higher Education, 7th May).

Some additional help for the TEF to succeed in addressing the complexity of assessing teaching quality could, for example, be found in the activities resulting from the active stances taken by academics in the field. These include the activities of the CDBU that was mentioned in the previous section. This organisation continues to publicly defend academic values by, for example, working on improving the relationship between research and teaching. It also promotes values of academic freedom in research and teaching, and supports *"the adoption of appropriate criteria for assessing the quality of teaching and research"* (CDBU, electronic reference).

Interestingly, recent stakeholders in the HE field have taken initiatives to discuss developments, some of which are related to the marketisation of the field, and others possibly showing a return to the early features of HE (see section 1.3). These include discussing evidence strengthening the impressions that universities seem to continue with the trend to attract academics with high scores in the 2014 REF by offering them higher wages (see Matthews, August 3, 2016, Times Higher Education). They also include discussing how the implementation of the TEF could change the HE landscape in the future, because even if reputable universities might keep their positions, as some recent reports suggest, other universities that successfully show their teaching excellence also have the opportunity to advance and succeed (Havergal, June 23, 2016, Times Higher Education).

The presented findings demonstrate that various stakeholders, and especially the academics, are a very engaged and capable resource for improving the position and practices related to teaching in the HE field. The identifiable similarities and variation between perceptions of different stakeholders in HE have enabled describing an interesting policy space where the stakeholders are actively taking part in the continued development of practices.

The described existing contrast in HE has significant widespread effects on multiple levels of activities in the HE field. It presents challenges to the role and function of universities, thereby also affecting the nature and content of academic work. The challenges faced on the institutional level include how to combine the autonomous search and production of knowledge and its dissemination with attracting funding for securing the continuance of institutional activities. The activities that attract funding currently include research that has impact, and education that proves its value for the students by, for example, the long-standing question of employment. These kinds of challenges may become acute, for example, in institutions that have built their standing based on research excellence. The solution for them can be to develop organisational structures and mechanisms that support research and teaching activities in equal measures. On the individual level the challenges could be felt, for example, between having academic freedom to conduct academic work and contributing to institutional aims by providing students with the best possible experiences and outcomes of learning. The following chapters will explore these matters in closer detail. The next chapter presents methodology of this study.

Chapter 3-Methodology

3.1 Introduction

This chapter shows how I combined primary and secondary research methods to find information for outlining answers to the research questions (see pg 17). The secondary research methods included an interpretive analysis of policy and a systematic review of literature. I used these to develop my knowledge and theorisations about perspectives on HE policies in the UK. The primary research method was the case study methodology that I used in my exploration of RIUs in England and Wales. I did these so that I could describe how effective teaching and learning is evaluated, assessed, and rewarded in them.

This chapter begins with an explanation of the logic and reasoning on which this study is based. This is followed by a presentation of the framework of this study. After this, the research design and how it was implemented is explained. This explanation includes the methods used in the collection and analysis of data in each of the methods of study that I used. A discussion of the ethical considerations and limitations of the research design ends this chapter.

3.1.1 Philosophy and approach

My philosophical approach to research is based on views that there are social features in situations, interactions, and events in life. The social features are connected to what other individuals do in them and how individuals interact with each other. These, in turn, are guided by cultural constructs of social reality, which have evolved over time based on several individuals' experiences of specific constructs of reality.

My view is that we can try to understand some of the details of social reality by exploring personal accounts of experiences (see Orlikowski & Baroudi, 1991; Weber, 1970). These involve in my view "*culturally derived and historically situated interpretations of the social life-world*" (Crotty, 1998, 67). I think that it is difficult (if not impossible) for a researcher to present objective knowledge on

social reality. The reason is because interpretations made by individuals are used as the information for understanding some its details.

I find that trying to capture realistic descriptions of social reality requires consideration of the full complexity of the systems in which individuals participate by their activities in addition to their interpretations of social reality. This ties in with my views that are close to post-positivist philosophies of critical realism by which I see that the reality of the world exists in two parts (Bhaskar, 1993; 1997). One is a part that exists even though we do not experience or interpret it and the other part exists because of our interpretations.

My point of view is that experiencing, as well as constructions of social reality, is inevitably related to acts and activities. I agree with Russian psychologist Foyodor Vasilyuk's (1988) thought that the constructions of reality are the results of processes of experiencing. I also agree that experiencing can and should be understood as an activity that exists alongside the external, practical, activities and internal, cognitive, activities of individuals (Vasilyuk, 1988, 19). He finds that the cognitive activities enable individuals to, for example, gain peace of mind e.g. mental equilibrium and achieve consciousness of meaning. I think that these thoughts are useful for explaining how individuals construct their understanding of social reality. However, Vasliyuk (1988) directed his attention to the relationship between the individual and the outside world. He laid most weight on the effect internal activities had on the outside activities of individuals. As mentioned before, I find that the best way to describe social reality would be from a holistic perspective that combines the individual interplay between internal and external activities to the related social and cultural activities.

This is why I turn to other researchers that have theorised about different aspects of human activity. Vygotsky (1978), for example, focused on mediated actions between humans and objects of environment in triangular formations. Where Vasilyuk's pre-concern was with the psychological processes, Vygotsky's was with the culturally and historically mediated tools and signs involved in the mediation. Engeström (1987), on the other hand, directs the attention toward the collective, collaborative, and interactive forms of activity. He discusses these forms of activity in triangular activity systems that he has

outlined. I find that Engeström's (1987) theorisations help find ways to interpret multifaceted aspects of social reality into manageable and understandable constructs. The reasons are because Engeström's (1987, 78) triangular construct of a human activity system enables theorising of collective activities driven by object related motives (based on Leont'ev 1981) and about the culturally and historically mediated tools and instruments for activity as outlined by Vygotsky (1978). In this construct, the idea of contradictions between parts of the system as the driving forces for development is based on the thoughts of Il'enkov (1977; 1982). The theoretical perspectives I feel drawn toward are coloured by my cultural heritage as an employee at the Centre for Research on Activity, Development and Learning (CRADLE) and a graduate of the University of Helsinki. I discuss how I have used this model as a lens through which I have interpreted key findings in closer detail in section 3.2.4.

In summary, my philosophy is directed toward describing interpretations of life and social reality based on the accounts of experiences. My view is that individuals construct understandings of reality based on processes of experiencing. I find logic in trying to find out more about how individuals develop understanding of their lives and handle activities in them by thinking of experiencing as an activity. To do this, the activity of experiencing has to be understood as existing among the external practical and internal cognitive activities of individuals (Vasilyuk 1988, 19). I think that Engeström's (1987, 78) triangular construct of a human activity system helps to describe social reality from a holistic perspective.

My approach to research is based on experiences that have shown the possibilities of exploring social constructs of reality. My experiences of doing research have all involved contexts that have not previously been familiar to me. It is why my position as a researcher in the different contexts has always started as an outsider who gradually moves inward by learning about the studied contexts by doing the research work. I have been involved in research on immigration policies and the home care of the elderly in my home country Finland. These involved, for example, ethnographical exploration of the implementation of health care innovations with an activity theoretical framework. The first thing I learned during the learning process in this study was that the

HE field is a complex and continuously developing entity. I learned this initially from the research plan that was written for the HEA funding of my Ph.D. scholarship. I deepened and developed my knowledge by reading documents about its past and current situation as well as observing current professional development activities in one RIU. After this, I felt that I had gathered enough knowledge for the next step included in the plan. It involved exploring the current HE policy space in England and Wales. Through it I learned about who key stakeholders had been and currently were and what their views had been on HE policies. Then I felt that I needed to find out what previous studies have explored and found out about issues that are related to current HE policies, which was also outlined as the following step in the research plan. I did this by systematically reviewing literature on research and found that within the abundance of knowledge there seemed to be a gap in the knowledge about RIUs. These findings and the research plan led me to do case studies in RIUs to find out more about the reality in them. By doing them I learned about the kind of institutions RIUs are, how they operate, and experiences academics have of working in these contexts. The case studies taught me that implementation of HE policies requires RIUs to develop their practices actively and that they sometimes may need to resolve institutional challenges when developing them.

I have looked to construct the best possible explanations about the complexities of reality in different settings in my research work. I have tried to do this by describing and re-describing relevant ideas in new frameworks. These kinds of thought processes have been linked to, for example, abductive forms of reasoning (see Danermark, Ekström, Jakobsen, Karlsson, 1997; Hartman, 1965; Niiniluoto, 1999; Paavola, 2006). I feel that this way of reasoning has allowed me to come closer to the individuals and to understand the different contexts. It has involved building interpretations based on the stories of individuals in the studied contexts and drawing examples from the stories to illustrate presented findings. The theorisations of these have included additional information from documentary sources related to what the stories have highlighted. This way of finding knowledge has become a natural way for me to do research.

My university studies and experiences of doing research have led me to find it natural to follow models of study, which allow exploration of subjective experiences when finding out more about complexities in life. I find that the knowledge produced this way can be understood in many ways. The reason is because I think that all humans experience and construct their knowledge about the world in their own way. I find that constructs of the world are made of the meanings people assign to experiences of actions in situations, interactions and events in their lives (see Weber, 1970). In other words, they represent their interpretations of the experiences in their lives.

These are the reasons why I favour qualitative approaches to research and the possibility to combine different research methods to enrich the processes involved. In this study, for example, I have tried to enrich my research process by using three different methods (see Lodico, Spaulding, Voegtler, 2006; Yin, 2009). It has involved using interpretive analysis of policy, a systematic review of research papers and case study methodology in this study (see Chapters 2; 4; 5). Next, I explain how I have used these in this study.

3.1.2 Framework of the study

I outlined a framework for this study and formed my three research questions based on the knowledge gained from activities at the early stages of this research process (see pgs. 13-16). The framework shows what type of information was to be used in this study and what I needed from it to find information for outlining answers to my research questions. It also shows how I planned to identify and collect suitable data and how I planned to analyse it (see Table 3.1). In the next sections, I will explain how I did this study based on this framework.

Type of Information	A) Contextual	B) Demographic	C) Perceptual
What the researcher requires	Background and history of HE in England and Wales; current HE policy	Descriptive information about the HEIs	Participants' experiences of working in RIUs
Method	Document analysis and review	Document analysis	Interviews, Field notes
Sampling technique	Intensity sampling; Maximum variation sampling	Theoretical sampling	Network sampling; Theoretical sampling
Data collection method	Theoretical data; systematic inclusion; Data bases and archives	Theoretical data; University websites and data bases	Empirical data; Semi structured interviews
Analysis method	Interpretive analysis of policy	Case study; Constant comparison	Case study; Adapted Grounded theory
Type of Information	RQ 1*	RQ 2 *	RQ 3*
What the researcher requires	An understanding of how high quality teaching and learning in HE in England and Wales is differently valued and rewarded and what processes, mechanisms and criteria for success are already in place to support high quality teaching	An understanding of what different professional-focussed disciplines are doing to reward and value effective teaching	Insights into academics self-concept; self-confidence; self-evaluation; professional values; career pathways; and perceptions of 'parity of esteem' with comparable indicators of research success, associated with RIUs
Method	Document analysis and review; Interviews, Field notes	Document analysis and review; Interviews, Field notes	Interviews, Field notes
Sampling technique	Maximum variation sampling; Non-random sampling	Maximum variation sampling; Non-random sampling	Network sampling; Theoretical sampling
Data collection method	Systematic inclusion; data bases and archives; Semi structured interviews	Systematic inclusion; data bases and archives; Semi structured interviews	Systematic inclusion; data bases and archives; Semi structured interviews
Analysis method	Systematic review; Case study	Interpretive analysis of policy; Systematic review; Case study	Interpretive analysis of policy; Systematic review; Case study

Table 3.1-Framework for this study

RQ = Research question

RQ 1: "What are RIUs doing to evaluate, assess, and reward effective teaching?"*

RQ 2: "In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?"*

RQ 3: "What experiences do the individual academics working in these contexts have of the institutional cultures and practices?"*

3.2 Research strategy

I used five sampling strategies and three different methods of research in the data collection and analysis to get the contextual, demographic, and perceptual information needed due to developments that occurred during the research processes. The five sampling strategies were maximum variation sampling, non-random sampling, network sampling, and theoretical as well as typical sampling. I used three methods of study in my research. They were: an interpretative analysis of policy in current HE, followed by a systematic review of the literature on research and four institutional case studies in RIUs in England and Wales. I used the maximum variation sampling in the data collection for the policy analysis, non-random sampling for the systematic review, and network as well as theoretical as well as typical sampling for the case studies.

The study process included applying a lens based on activity theory to key findings at the end of each stage of research. This resulted in three interpretations of activity systems. The process of making them involved alternation between theory building, data collection, and analysis. (Figure 3.1)

My starting premise, based on the policy and research literature, was connected to theorising about the RIUs. It involved exploration of RIUs as places finding it potentially challenging to implement successfully HE policies. The challenges RIUs could be facing were thought to include handling the emphasis on students and high-quality teaching in addition to their focus on research. These challenges are potentially increased by recent developments of the Teaching Excellence Framework. I wanted to find more information about these contexts and theorise what the knowledge I found could signify.

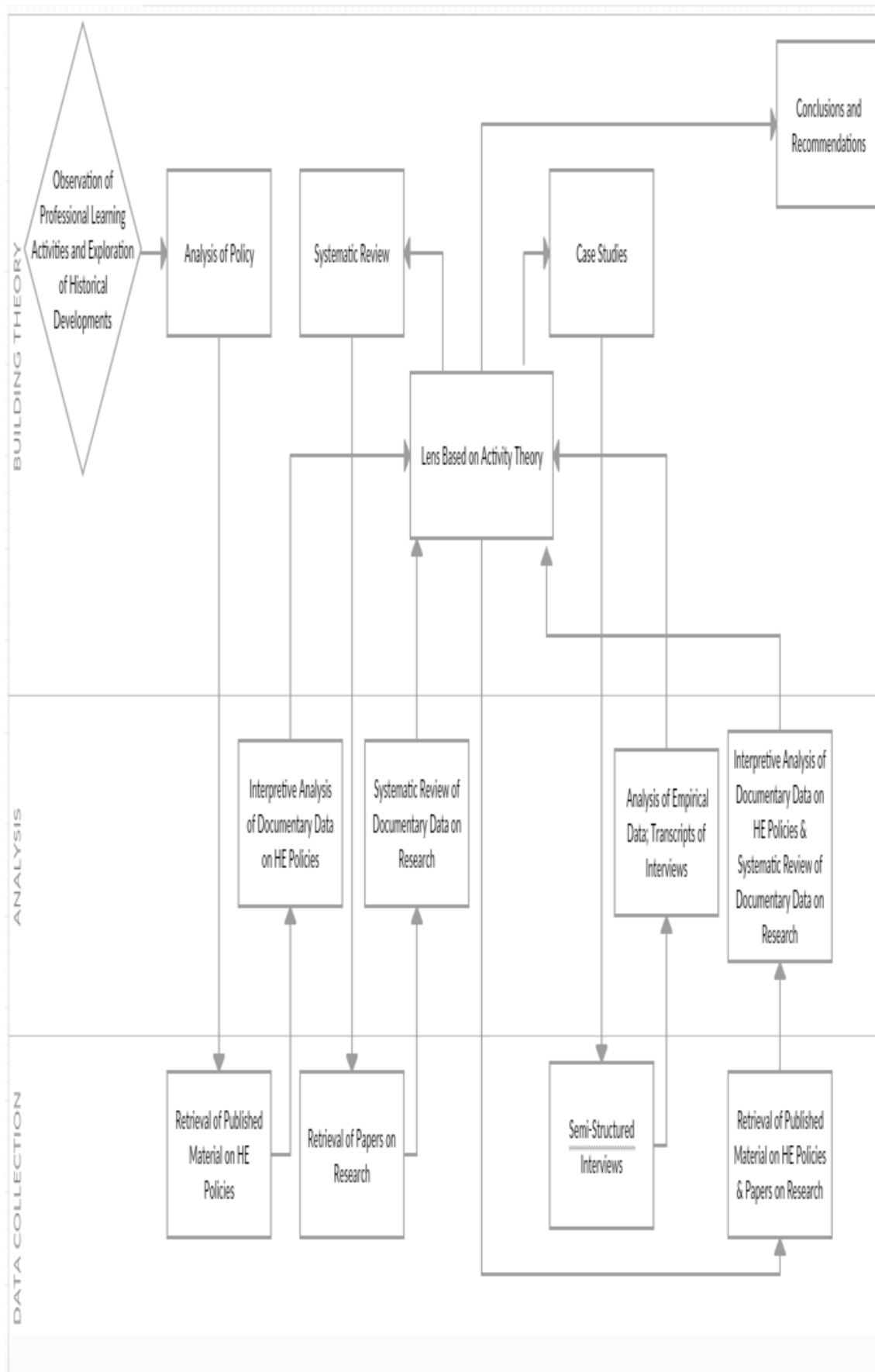


Figure 3.1-Research design

I will explain the sampling techniques, population, data collection, and analysis in the three methods in closer detail in the next sections.

3.2.1 Interpretive analysis of policy

I chose to adapt an interpretive model for policy analysis as outlined by Yanow (2000). I based my decision on an examination of a selection of research and methodology literature (see Gale, 2001; Gill & Saunders, 1992; Hallonsten & Holmberg, 2013; Lewis, 2010; Patton & Sawicki, 1993; Williams, 2010). I found that this model could enable me to approach the meaning and impact current HE policy had instead of examining the commonly examined feasibility of the policies.

The interpretive analysis of policy that I adapted to analyse the published material on HE policy involved five steps (see Yanow, 2000). The first two steps in my analysis were the identification of the relevant communities and their artefacts (language, objects or acts) that show what the analysed policy means for them. I identified that the authors of the published material represented views of stakeholders on HE policies based on the first two steps. I wanted to include published material that would enable discussing key issues from multiple perspectives. That is why I approached the data collection following principles of maximum variation sampling (see Lodico et al., 2006).

I started my interpretive analysis of policy by exploring publicly available information. I found that significant information relating to HE policy was expressed in the public and official material (see Hill, 1993). I adapted frameworks used in documentary research for assessing documentary data to find published material that would be usable for my analysis. My adaptation included assessment of authenticity, credibility, representativeness, and meaning (see Scott, 2006).

I assessed the authenticity of the published material differently from when working with primary materials. The reason was that I accessed it indirectly through websites. I started my assessment process by evaluating the websites

that I had identified contained potentially useful information instead of looking at whether documents are genuine, originally produced and not altered.

I evaluated the websites by looking at what the organisations behind them were and how they were presented. Then I evaluated the quality of information published on the websites. I found that the following websites satisfied my evaluation of authenticity and credibility:

bis.gov.uk
cdbu.org.uk
esrc.ac.uk
gov.uk
heacademy.ac.uk
hefce.ac.uk
lfhe.ac.uk
telegraph.co.uk
theguardian.com
timeshighereducation.co.uk
russellgroup.ac.uk

The assessment showed that representatives of stakeholders had authored published material to convey their meanings, sentiments, and aims relating to issues connected to HE policies.

I identified key informants that had expressed specific knowledge of HE policies when selecting information-rich items when purposefully sampling the published material (see Lodico et al., 2006). The process included features of intensity sampling as I identified and selected published material that contained the strongest sentiments (see Lodico et al., 2006). I started by interpreting the intensity by evaluating the legal and authoritarian position of the authors. The position of the authors showed me their significance for activities in the HE-field. I evaluated the strength of action involved in making the published material. The strength of action indicated the efforts the authors had done to make their opinions public.

My interpretation was that authors representing views of stakeholders from governmental organisations included, for example, the Prime Minister, the Secretary of State for Business, Innovation, and Skills, Minister of State for Universities and Science. They had produced documents including pieces of legislature, a government programme, and related White Papers.

I also made the interpretation that authors in different positions in HE in England and Wales represented views of stakeholders from various organisations. These authors included vice-chancellors, professors, and lecturers. They had produced articles that had been published on the web pages of three leading newspapers in the UK. I identified the three leading newspapers based on the size of their readership. These newspapers were The Times Higher Education, The Guardian, and The Telegraph.

I chose to develop and use screening categories to make sure that I retrieved and used published material that contained relevant information for my interpretive analysis of policy. The categories helped me to narrow down the large amount of material that I found on the websites. The screening categories I used for inclusion and exclusion were:

1. The published material is not written by an author relevant to HE policy in England and Wales
2. The published material does provide insights into HE BUT doesn't talk about current policy
3. The published material does provide insights into HE AND policy use BUT still doesn't contribute to the research questions
4. The published material is relevant and should be included, at this stage at least.

The included data were published between 2010 and 2015 and it was collected and analysed in two rounds in 2013 and 2015.

I started the assessment of the authenticity of the published material that had satisfied the inclusion criteria with trying to make sure that the individuals (or organisations) named as authors in these had written them. In this process I looked, for example, at where the published material was published, what

positions the authors were from at the time of publication and in which organisations. When I was satisfied that the documents were usable as data for the interpretive analysis of policy, I looked at the contents of them. I evaluated if they contained trustworthy information by comparing the contents of the included pieces of data with each other. Following these phases ensured me that the included published material was reliable and representative pieces of data. To finish my assessment of them, I evaluated if the individual included pieces of data contributed with meaningful information to the interpretive analysis of policy. At this stage, I realised that these documents were to be understood as showing significant information about specific times (periods) and developments in the HE field in England and Wales.

Having adapted methods used in the archival inquiry of documentary research to help identify and evaluate the published material, I followed common practices in social sciences and the field of education (see McCullough, 2004). I found that it was more useful for finding information for answers to my research questions to explore their content than the roles the published materials have and how they are used. I interpreted the policy space of HE in England and Wales based on them.

The third step in the analysis outlined by Yanow (2000) was identifying how the communities express themselves relating to the analysed policy. I did this by first looking at what the authors had expressed were important issues for them in HE. This involved reading the published material individually and making notes on what issues the authors discussed and how much they discussed them. Then I identified the issues that were commonly discussed by the authors by looking at how frequently they were mentioned in the data. I re-read the published material and made notes of mentions of commonly discussed issues in the form of references to pages in this process. After this, I compared what the authors had written about these issues. This involved re-reading relevant parts of the published material by looking at the relevant pages in each of the pieces of data that I had simultaneously open on my computer screen. It also included making notes of identifiable similarities and differences between perceptions of the authors. Also, I looked at the ways that the authors had

discussed the issues regarding the sources of information they referred to in their writing and made notes of these.

The fourth step in the outline by Yanow (2000) includes showing possible implications of identified differences. I carefully looked for suitable quotes that contained differing views of the stakeholders from the published material in my adaptation of this step. In this process, I re-read the published material and highlighted potential quotes. I included the selected quotes in the text on findings of the policy analysis. The fifth and final step involves discussing bridging the differences in the outlines by Yanow (2000). I chose to describe my interpretation of an HE policy space in England and Wales by the different views of stakeholders on important issues. My thought was that the identified differences between perceptions highlighted the richness of ideas and thoughts in the description of this HE policy space. It was why I did not theorise about overcoming or resolving differences between perceptions.

3.2.2 Systematic review

I chose to examine research papers by adapting a mixed method model of systematic review as presented by Harden (2010). I made the choice from a selection of research and methodology literature (see Cipriani & Geddes, 2003; Cronin, Ryan, & Coughlan, 2008; Harden, 2010; Petticrew & Roberts, 2006). The model is designed to improve the relevance and usefulness of research to policies and practices by “*integrating qualitative evidence into a systematic review*” (Harden, 2010, 1). This systematic way of reviewing appealed to me and I found that the mixed model was easy to adapt because the used method and strategy were explained in detail.

The chosen mixed model for systematic review included the following stages:

1. Searching, screening, and mapping the studies;
2. Quality assessment, data extraction, and statistical meta-analysis of findings of quantitative studies;
3. Quality assessment, data extraction, and thematic synthesis of findings of qualitative studies; and
4. Synthesis of the findings of quantitative and qualitative studies by interrogating the findings of the meta-analysis using the findings of the thematic synthesis

(Harden, 2010, 5).

I started the process of finding data for my systematic review by selecting which databases to use. I started by choosing the subject area that is relevant for my study i.e. education on the web page of my university to access electronic resources. It showed me that key resources were highlighted. They were:

the Australian Education Index (AEI),
British Education Index (BEI),
Digital Images for education,
EBSCO E-Journals, Education Abstracts,
Education Research Complete,
ERIC (The Educational Resources Information Center)
ERIC Plustext
JSTOR Taylor & Francis Online eBook Library.

Of these, I chose to do searches into the Australian Education Index (AEI), British Education Index (BEI), Education Research Complete, and ERIC (The Educational Resources Information Center).

Education Research Complete covers scholarly research relating to all areas of research and uses the EBSCO host, which is why I did not search Education Research Complete or EBSCO E-Journals. ERIC (The Educational Resources Information Center) is outlined to give access to education literature and resources containing more than 1.3 million records dating back to 1966, which is why I did not search ERIC Plustext. I wanted to identify research articles in my searches, which is why I chose not to use Education Abstracts that has

indexes and abstracts of periodicals and yearbooks that date back to 1983 and books published after 1995. Finally, I made the decision not to choose JSTOR Taylor & Francis Online eBook Library, as I did not want to have the restriction that it has in terms of a time gap. The time gap is explained in the following way:

“In nearly all cases there is a gap of about 2-5 years, sometimes more, between the most recently published issues and the most recent available ones in JSTOR. The gap is a ‘moving wall’ and therefore it will remain the same each year.”

I started with the complete set of items in the systematic review to capture the full complexities of the relevant concepts (Lodico et al., 2006, 142). It meant approaching the papers from a worldwide perspective and a wide selection of concepts. However, I was not able to export references of the complete set of items. The reason was that one of the databases that I used had a limit of 1,500 on the number of items that could be emailed, printed, or saved at one time.

I exported the maximum numbers of references I was able to which meant that I had what resembles an automatically introduced sample of the complete set of items in my use. The sample contained a selection of the items starting with the first item in order of relevance presented by the database. It was not randomly sampled because the items were saved in an automatically determined order and not on equal and independent terms (see Lodico et al., 2006, 143). I gradually narrowed the sample to represent a realistic set of items containing relevant information about England and Wales, HE, and RIUs.

I continued the process of finding suitable data by doing initial searches using a variety of trial search terms into the educational databases between the 30th May and 3rd June 2013. I defined the appropriate search terms to use in the systematic review by analysing the initial searches. These searches led to me to identify and select the following five concepts; *‘professionalism’*, *‘effective teaching’*, *‘evaluating teaching quality’*, *‘reward and recognition’* and *‘academic identity’*.

I chose to use *‘effective teaching’*, *‘evaluating teaching quality’*, and *‘reward and recognition’* because of their connection to the research questions. I thought

that by using these concepts, I would be able to find out more about the mechanisms employed by the HEIs for evaluating and rewarding high-quality teaching and learning.

I chose to use two additional concepts '*professionalism*' and '*academic identity*'. I found these would enable me to find out more about the different perspectives related to the research questions. I thought that by using the concept of '*professionalism*', I could gain more detailed insights to top-down perspectives. I thought that they could highlight, for example, activities HEIs are engaging in to develop and maintain their provision of high quality and effective teaching. My reasoning was based on, for example, this concept's connection to the traditional task and purpose of universities to educate future professionals for professions (see section 1.3; pgs 17-18). The reason I chose to use the concept of '*academic identity*' was because I thought that by using this psychologically directed concept I could gain further insights into views and experiences of practising academics.

Searches into databases using the concept '*evaluating teaching quality*' only identified a few studies. It was only by trying the SmartText Searching in EBSCOhost, that more studies about how the quality of teaching is evaluated were identified. The process of SmartText Searching is designed for Zero Results prevention and how it works has been explained in the following way:

“Unlike a standard keyword search, which searches for your keyword(s) as a phrase in fields such as title, citation, author, etc., SmartText Searching summarizes your search terms and queries all of the main words and phrases against the database. After a relevancy weight is assigned to each word or phrase, a search string is built OR'ing the terms and their weights together. A search is then conducted against the database.”
(EBSCOsupport, electronic reference).

Another challenging concept was '*reward and recognition*'. Only a relatively small number of studies could be identified using these terms, and they were often about other things than rewarding and recognition of academic work.

After the initial phase, I used the five concepts in searches into the four databases on the 15th July 2013 to identify suitable data and 20th June 2015 to update my first searches. I used the concepts separately in my searches

because the initial phase had shown that no other papers had used this combination of these concepts. I also found that the same combination of methods had not been used in the papers as the process continued. I assessed the quality of the papers throughout the screening process. I wanted to make sure that the papers that I used would have already gone through one process of quality control, which is why I chose to only search for papers that had been peer-reviewed.

In 2013, I identified a total of 9,992 peer-reviewed papers of which full text was available (see Figure 3.2). The limits introduced by the Education Research Complete database restricted the number of papers related to professionalism and effective teaching that I was able to save and export references and abstracts of to 1,500 each. It reduced the total number of papers that I could use at that time to 5,075.

I uploaded references and abstracts of the 5,075 papers to the EPPI reviewer-program on the 15th of July 2013 during the first round of data collection. The EPPI-programme automatically removed duplicate copies reducing the number of papers to 3,207.

Then I screened and evaluated the identified papers based on inclusion and exclusion criteria. It was my adaptation of stages 2 and 3 of the mixed method model of systematic review outlined by Harden (2010).

I screened the titles and abstracts of the papers. I screened all types of papers. They included opinion pieces, e.g. editorial commentaries, literature reviews as well as empirical studies made by all types of study designs. I made decisions of inclusion or exclusion based on if they presented knowledge of studies that had produced relevant information for answering the research questions. I used criteria to evaluate how relevant the contents of the papers were to the research questions when screening them to identify those to be included. I outlined five screening categories based on the inclusion/exclusion criteria.

The criteria that I used were:

1. This paper is not written in English
2. This paper is not peer-reviewed
3. This paper is not about research (qualitative OR quantitative)
4. This paper does not provide insights into teaching quality and evaluation
5. The paper does provide insights into teaching quality and evaluation
BUT doesn't talk about how it has been studied
6. The paper does provide insights into teaching quality and evaluation
AND how it has been studied BUT still doesn't contribute to the research questions
7. The paper is relevant and should be included, at this stage at least.

I used the screening categories to evaluate the papers by the language that they were written in, and how well they provided insights into the key issues. I created lists of references and exported these onto five separate Excel tables named by the search terms. I had separate pages in the Excel tables for papers about quantitative and qualitative studies. Then I retrieved, and read all of the included papers. I also extracted information from them that was relevant to the screening categories and transferred the information to the five Excel tables.

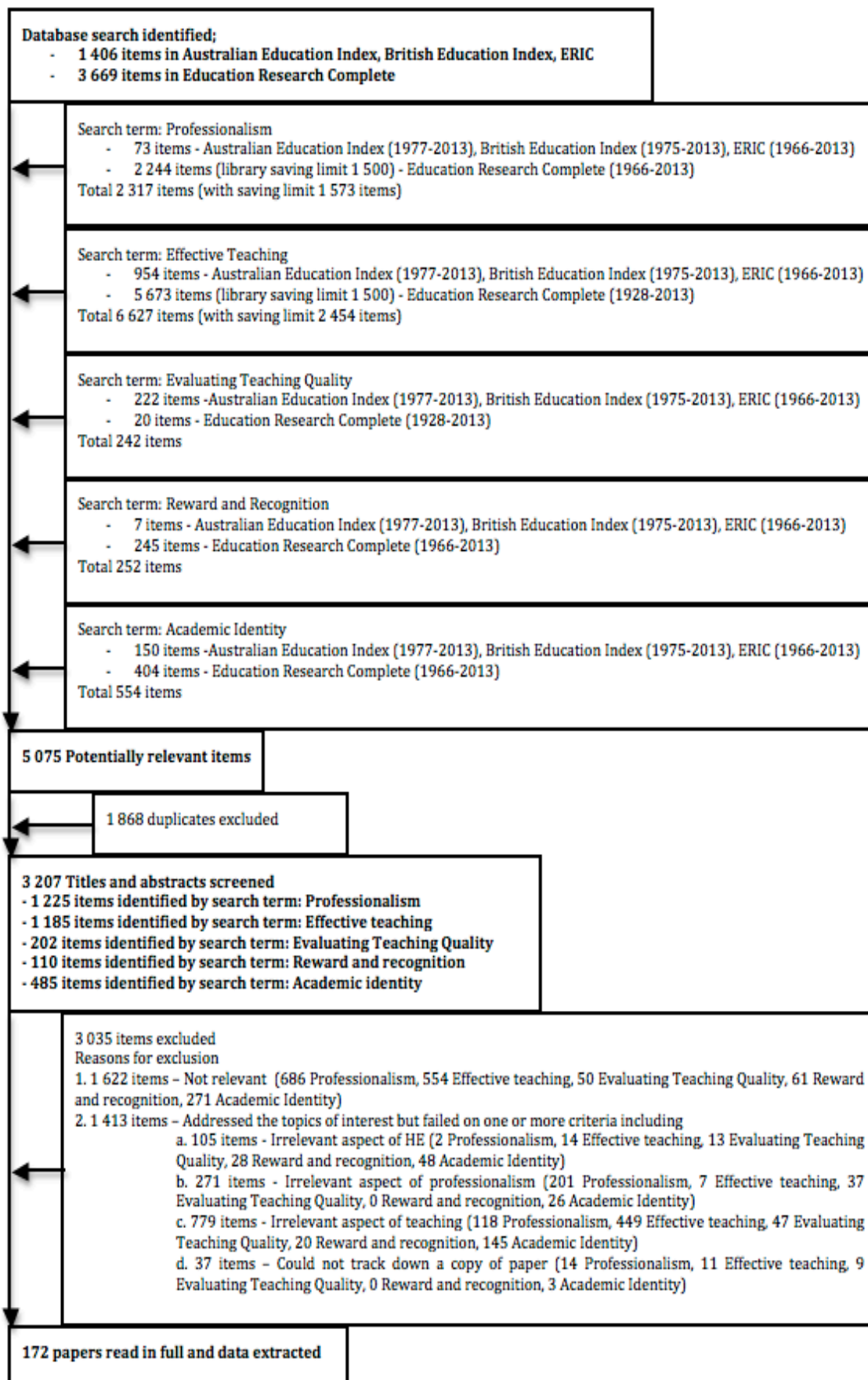


Figure 3.2-Flow chart of collection of papers published between the years 1928-2013

I adapted questions from tools for appraising process evaluations, outcome evaluations, and review articles outlined by the EPPI-centre. I used the questions for assessing the quality of the papers that had satisfied my inclusion criteria (see Appendix 3.1). I assessed the quality of the papers about quantitative studies somewhat differently than the papers about qualitative studies. The questions that I used in the assessment were for

“...selecting material for inclusion in bibliographic databases, or creating the more structured, informative abstracts that are increasingly in demand within the social sciences.”
(Pawson, Boaz, Grayson, Long, Barnes, 2003, 11).

The questions that I used in the assessment process were:

1. Transparency
 - a. Did the study address a clearly focused issue in the field of education?
 - b. Did the study have clearly stated aims?
 - c. Did the paper describe the key methods and processes involved?
2. Purposivity
 - a. Did the paper describe the studied population and how it was identified and recruited?
 - b. Were the people covered in the study similar to the population of the study that this review is a part of?
3. Utility
 - a. Were the findings of the study clear?
 - b. Will the findings help this review?
4. Propriety
 - a. Did the paper discuss ethical considerations?
5. Accessibility
 - a. Did the way that the paper was written make the study easy to understand?
6. Specificity
 - a. Was the study presented in a way that is appropriate for the chosen and used methods?

(EPPI-centre, electronic reference; Pawson et.al. 2003, 29).

The first group of questions were directed toward finding out how clearly the purpose of the studies was explained. I evaluated the transparency of the research process of all the studies and assessed whether sufficient information of the researcher(s) was given. The quality assessment process that I applied in the review focused heavily on evaluating the transparency of the research process in the papers. In this evaluation, I focused especially on how well the papers enabled replication of the study.

The second group of questions were for finding out if the studies were well grounded in theories (and other supporting evidence). These questions helped me to assess the papers purposivity by evaluating how well they explained the methods and processes involved. I also evaluated how well they described the population and if it was relatable to the population that was in the focus of my review.

The third group of questions was for finding out if the methods used in the studies were appropriate for what they explored. I used them to evaluate the utility of the studies by evaluating how coherent, justifiable and usable for my review the presented findings of the studies were.

The fourth question was for assessing if the studies presented relevant answers to what they had tried to find out. I used it to assess the specificity of the studies by evaluating how different research methods, information sources, and theories were used in them. It also involved evaluating how methods in the fieldwork and analysis were used in the studies. For the quantitative studies, this part of the assessment included evaluating how the classification, quantification, and statistical handling of the data had been done. The assessment of the quality of the qualitative studies included evaluating how clearly underlying assumptions and theories were explained.

The fourth question also helped to assess if the studies were ethical. The fifth question helped me to evaluate how the information was presented in the papers and if it was presented in a way that was understandable. The sixth question helped to assess the quality of the methods in the studies. It also helped to find out of how well the studies had used the methods that they had

chosen, as well as how they had established rules for handled and interpreted data. I excluded anything that did not meet all of the assessment questions because the collected data consisted of a large number of papers.

During the update of the data collection for the systematic review in 2015, I identified a total of 2, 406 peer-reviewed papers of which full text was available in searches limited to papers published between the years 2013-2015 (see Figure 3.3). I downloaded PDF-files containing the relevant bibliographic information, titles, and abstracts of the papers identified by the search terms. I read the papers, identified, and removed duplicates, and made decisions of which were relevant for this study. I transferred all of the relevant information and abstracts of the papers I had included at this stage onto the Excel tables that I had made in 2013. These were named with the identified and used key concepts. Then I did a second round of inclusion involving evaluation of how well the papers satisfied my inclusion criteria. During this time, I also evaluated the quality of the papers in the same way as I had done in the initial data collection.

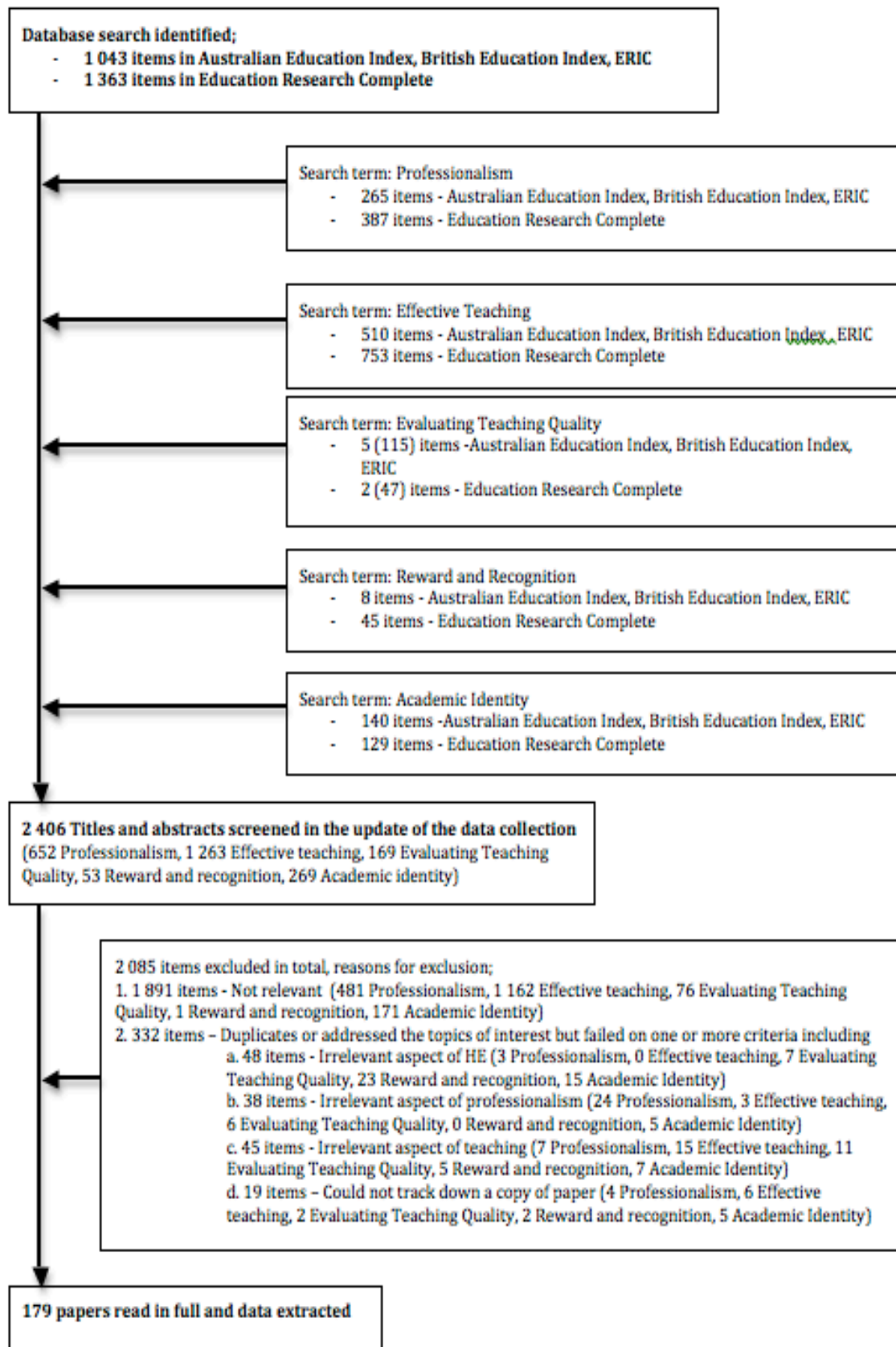


Figure 3.3-Flow chart of collection of papers published between the years 2013-2015

I continued by working with the papers on quantitative studies after completing my adaption of the first stage (involving searching, screening, and mapping articles) and part of the second and third stages (involving quality assessment and data extraction) in of the mixed model for systematic review (Harden, 2010, 5). Up to this point I had been able to work with these papers following the mixed model without many problems, even though the number of included papers was large. I had identified of the origins, context, and field of the studies and was looking to continue onto reviewing how studies had defined key concepts to establish how to synthesise findings of quantitative studies. However, the review of the papers on quantitative studies showed that the key concepts were not defined in them in a unified and, therefore, comparable way.

I found that the literature varied on how the included studies discussed definitions of the key concepts. Definitions were discussed in nearly half of the included papers (171/351, 49%). Grouping the papers by the key concepts that they had been identified with showed that the definition of the key concept was most discussed by the group identified by '*professionalism*' (87/106, 82%). The review showed that the combined definitions outline it as certain sets of characteristics that define different professions. Individuals with specific traits are thought to reinforce the specific sets of characteristics. In addition, it is thought to include doing teaching and research activities in professions in HE.

Another group found to discuss definitions for the key concept was identified by the key concept '*academic identity*' (36/53, 68%). Based on the definitions '*academic identity*' was found to have both external features and internal features (23/53, 43%). The external features are understood as activities, which contribute to the construction and development of an individual's academic identity. The internal features are understood as the quality of mind and character of an individual. These studies mentioned often both but they were found to highlight more external features than internal features (external 19/53, 36%; internal 10/53, 13%). These papers widely recognised the challenges of defining this concept and many of them used the terms '*identity*' or '*professional identity*' instead. See Appendix 3.2 for an example of how studies discussed definitions for key concepts of the review.

Definitions of the key concepts '*reward and recognition*' (6/25, 24%) and '*effective teaching*' (47/132, 35%) had been discussed less in the respective groups. The review showed that '*reward and recognition*' relates to mechanisms in HEIs for acknowledging and appreciating academic work. These mechanisms are thought to include the use of different tools for rewarding and recognising achievements in (academic) work. '*Effective teaching*' was found to relate to processes in which mechanisms are used for developing teaching practices. These are thought to involve the thorough and careful use of research methods in combination with learning together with colleagues and students. The group identified by '*evaluating teaching quality*' was not found to discuss a definition (0/35, 0%). Table 3.2 shows the numbers of papers that had and had not discussed a definition of the key concepts.

Concept / Definition	Yes	No	Total
All included studies			
Professionalism	87	19	106
Effective teaching	47	85	132
Evaluating teaching quality	0	35	35
Reward and recognition	6	19	25
Academic identity	31	22	53
Total	171	180	351

Table 3.2-Breakdown of papers defining the key concepts

It became clear that the concepts that I was interested in belonged to the diverse and multifaceted concepts explored by social sciences research in comparison to, for example, some clearly definable scientific medical concepts.

Faced with this problematic situation, I adapted the model for narrative synthesis outlined by Petticrew & Roberts (2006, 170). It was also my adaptation of parts of the second and third stages (involving statistical meta-analysis of findings of quantitative studies and thematic synthesis of findings of qualitative studies) of the mixed model for systematic reviewing. I felt that the model for narrative synthesis was suitable because I had already organised the description of the studies into logical categories and done analysis about their findings during my adaptation of parts of the first two phases of the mixed model (see Petticrew & Roberts, 2006, 171-172; 177). It had involved listing the papers on studies, the methods of the studies, and extracting information about

their findings and conclusions when saving information about them in the five separate Excel tables named by the key concepts.

I continued to work with the five Excel tables and adapted cross-study syntheses to include interpretation of the findings from both quantitative and qualitative studies (see Petticrew & Roberts, 2006, 179-181). My adaptation of this process involved re-reading the information about the papers and making notes of the findings that were presented about the key concepts. It continued by an in-depth analysis of the findings. It involved making notes of identifiable similarities and differences between them and interpreting specific types and categories of findings. I saved the notes and findings of the cross-study syntheses in according columns on the mentioned Excel tables throughout the process.

My adaptation of the fourth and final stage of the mixed model of the systematic review (involving the synthesis of the findings of quantitative and qualitative studies) was to interpret the combined findings from my systematic review through the lens that is based on activity theory. This resulted in an interpretation of a model of an RIU as an activity system at the end of the process.

3.2.3 Case studies

My interest to find out more about the complex reality of combining excellence in research with high-quality teaching and learning led me to undertake four institutional case studies. The bid for the HEA scholarship had outlined that my study would focus on RIUs (see section 1.2). The decision to focus on these was based on thoughts that they represent interesting contexts in HE. The reason is because their continued success and esteem based on the production of high quality research are challenged by current developments highlighting the importance of teaching. The findings of the interpretive analysis of policy supported these lines of thought, and the findings of systematic review showed that these contexts had not been closely explored relating to these issues.

I adopted a research strategy that allowed analysing data from multiple sources from different perspectives to broaden my study (Tellis, 1997). At this stage, I wanted to make the perspective of my study wider by including an empirical aspect in addition to the existing documentary exploration. I wanted to enrich the information from the empirical data in the case studies by documentary data (Sholtz & Tietje, 2002). That is why I collected information about experiences of working in RIUs by interviewing academics and collected published material about the institutions they worked in. I found that approaching practical knowledge in real life contexts supported the development of interpretations of the activity systems they represent (Feagin, Orum, Sjöberg, 1991; Flyvbjerg, 2004; Lodico et al., 2006; Sholtz & Tietje, 2002; Yin 2009; 2012).

The 'what?' wording of my research questions led my case studies to be descriptive by their nature (Yin 2009; 2012). I wanted to be able to explain what the academics had experienced and presented their point of view of the reality of HE policy implementation. It also enabled me to contribute to the limited knowledge of the RIUs and their implementation of policies (see Chapter 3).

I decided to outline the case studies according to an embedded multiple case design (Feagin, Orum, Sjöberg, 1991; Sholtz & Tietje, 2002; Yin, 2009). The reason was that it enabled me to focus on the academics to be interviewed as subunits within the cases of the RIUs. I wanted to interview a range of academics that were in the early stages of their careers and established academics on teaching or research oriented career paths. I was especially interested in interviewing academics in disciplines oriented toward education that is closely connected to professions in Law, Medicine, and Teaching. The multiple cases represented by the interviews were regarded as individual short well-structured vignettes that contributed to the interpretation of perspectives in activity systems (Sholtz & Tietje, 2002; Yin, 2009).

In preparation for my case studies, I formed protocols for them. I outlined an action plan, which included, for example, a schedule, outlines for e-mail correspondence with potential RIUs and participants, consent forms and interview questions. I made a list of pre-established open-ended questions

encouraging and allowing the participants to share their views and experiences of working in RIUs.

The four institutional cases studies were designed to include empirical data. My intentions of exploring realities in RIUs led me to search for settings, which could be fruitful to compare (see Dey, 2008). I focused on

“... sampling social processes in contrasting settings rather than sampling particular populations... first by generating ideas on the basis of initial fieldwork, and then seeking to clarify or amplify these ideas by sampling further settings to provide opportunities for comparison and contrast... the procedure allowed theory to germinate and grow by continually moving backwards and forwards between ideas and data...”

(Dey, 2008, 84).

I started the data collection for my first case study in an RIU where I had made connections with key gatekeepers. They kindly extended invitations to participate in my study to suitable participants. This kind of network (or snowball) sampling included to an extent that academics that had expressed an interest in participating referred me to other academics with similar or contrasting characteristics (see Lodico et al., 2006, 141). Gaining access to other RIUs required me to rely on using my supervisors' connections with identified key gatekeepers in institutions, which would provide relevant information for answering my research questions. I approached these gatekeepers and asked if they would invite suitable participants in their RIUs at this stage. I also participated in a meeting with some gatekeepers, and presented my study to them, and asked them to invite suitable participants.

I decided to supplement network sampling by broad searches into the web pages of the partner RIUs using typical case sampling methods (Lodico et al., 2006, 141). This involved including looking at profiles on institutional websites and identifying potential participants. I sent invitations and information about my study and a consent form by e-mail to 268 potential participants. I received 48 positive responses to my invites. Most of the interviews were done between September-November of 2014 after a slow start between June-August of 2014 (see Table 3.3).

	RIU1	RIU2	RIU3	RIU4	Total
2014					
June	2	0	0	0	2
July	2	0	0	0	2
August	0	0	0	0	0
September	5	0	0	0	5
October	0	3	0	0	3
November	5	7	1	3	16
December	1	1	0	2	4
2015					
January	0	0	0	1	1
Total	15	11	1	6	33

Table 3.3-Schedule of data collection

The cases studies were made up of interviews of 33 early career and established academics with experiences of teaching responsibilities in four RIUs across England. A few academics in the participant sample worked in the discipline of Law (6 of the 33 participants). About half of the participants were evaluated to be in the early stages of their academic careers and a half in more senior stages (18 and 15 respectively of the 33 participants). The stage of the career of the academics are in is determined by the number of years that they have worked in academia. Those academics that had worked five years or less were considered being in the early stages of their careers. Those who had worked more than five years were considered being in the senior stages of their careers. The distribution in the sample of the participants' career stages and the disciplines they represented is presented in table 3.4.

Discipline	Career stage	Versatile roles	Contents of roles
Medicine			
-Early Career	7 (21%)	7 (21%)	7 (21%)
-Senior	9 (27%)	9 (27%)	9 (27%)
Education			
-Early Career	6 (18%)	6 (18%)	6 (18%)
-Senior	5 (15%)	5 (15%)	5 (15%)
Law			
-Early Career	4 (12%)	4 (12%)	4 (12%)
-Senior	2 (6%)	2 (6%)	2 (6%)
Total	33 (100%)	33 (100%)	33 (100%)

Table 3.4-Demographics of participants

Table 3.4 also shows the way the descriptions of versatility of academic roles and their contents oriented me to group the participants into teaching and

research-oriented academics depending on the amount of teaching related activities they had in their roles. This allowed the analysis to rely on constant comparison of findings, and to discuss and present contrasting views on key findings of the analysis applied to the empirical data.

The participant sample included approximately equal numbers of research and teaching-oriented academics (Research-orientation 16 of the 33 participants; Teaching-orientation 17 of the 33 participants). The orientation was determined by the how much their roles required them to undertake research and teaching activities. Most of them worked in the disciplines of Medicine or Education (15 and 12 respectively of the 33 participants). It should, however, be remembered that the versatility of the roles is connected to the activities of specific institutions and personal views. Their identification establishes grounds for understanding some of the complexity of the reality in the RIUs. They give indications that the representations of what it is or should be might be difficult to construct.

During the data collection I arranged the interviews at a time that was most convenient for the participants once I had received a positive response from them. During this time, I used password protected Excel tables containing key personal information about potential and materialised participants. These Excel tables were stored in a password protected external memory device in my private office. I did 14 of the 33 interviews by meeting the participants face-to-face and the other 19 by SKYPE.

I audiotaped each interview and saved these documents also on the external memory device. I transcribed the interviews verbatim including notes of, for example, silence, and laughter. I did a preliminary analysis of each piece of empirical data as I collected them. I saved relevant information from the interviews onto Excel tables assigned to each of the participating RIU. I sent copies of the transcripts to the participants so that they could check them and give feedback. I included a certificate of participation to each participant in these e-mail exchanges. I then transferred each of the transcripts in an anonymous form onto four Excel tables one for each of the participating RIUs.

The interviews had a semi-structured form. I did a pilot interview in March 2014 with a research-oriented academic from the RIU that made up the first of my case studies to test and get feedback on my interview questions. The feedback I got was that my questions were good and covered well a wide area. My interviewee told me that she did not feel that she had anything more to say about the topics we had discussed based on my questions after the interview. However, she suggested that I could improve the introduction of my study at the beginning of the interview to frame the discussions better. I decided to reformulate parts of the introduction of my study but use the questions I had formulated based on the feedback. My questions were about the participants, for example, roles, practical contents of their roles, and opinions about the position of teaching in their RIUs (see Appendix 3.2). I had formulated the questions mainly based on the research questions of this study. My experiences of research projects guided me in formulating the interview questions. I added a few inspiring and interesting questions that I had found in a study that explored whether changes in education policies enhance professionalism among teachers (see Grimmett & D'Amico, 2008). The questions were very well formulated and I felt that I was not able to reformulate them any better so I decided to use them close to their original form. The questions were:

“How would you describe the professional climate of your school?”

“How do you best learn about ways to deepen and improve your practice as a teacher?”

“Right now, what are your main concerns as an educator? ... About your school? ... Your students? ... Your working conditions?”

(Grimmett & D'Amico, 2008, 15).

I used them in the following order in my interviews:

1. Right now, what are your main concerns, if any, about your role as an educator?
2. What are your main concerns your about school?
3. What are your main concerns about your students?
4. What are your main concerns about your working circumstances?
5. How do you best learn about ways to deepen and improve your practice as and educator?
6. What attracted you to come and work in HE? What attracted you to come and work at the university?
7. How would you describe the professional climate at the university?

Having finished collecting the empirical data, I continued by collecting documentary data of the 4 RIUs such as general and teaching and research strategies of the four RIUs, from their websites. I have chosen not to include references to them because I want to do my best to secure the anonymity of my participants who kindly shared their experiences from working in these RIUs. However, all four RIUs that were my case studies were all public universities that belonged to the Russell Group of Universities. They were geographically located across England from the West to the East. Two of them were from larger cities and two of them from smaller cities. The total student numbers of the RIUs in 2014/2015 varied between over 35,000 in RIU2 to just over 20,000 in RIU1 (Higher Education Statistics Agency, electronic reference).

After completing the data collection for the case studies, I turned to grounded theory to try and analyse the interviews (see Dey, 2008; Egan, 2002; Glaser & Strauss, 1967; Lodico et al., 2006). I started by relying on (some of) the principles of grounded theory in my analysis because I wanted to

“...discover or generate a well-integrated, inductive theory that accounts for a pattern of behaviour, and which is relevant to those involved.”

(Glaser and Strauss, 1967).

I intended to apply a grounded theory approach to the data analysis but not to the data collection (see Kennedy & Lingard, 2006, 105). I used network and typical case sampling methods instead of theoretical sampling for my data collection (see Kolb, 2012, 84). My work had also differed from grounded theory as I had collected all of the data for my case studies before analysing them instead of simultaneously collecting and analysing it. It was partly because the activities during the data collection such as sourcing potential participants, interviewing, writing memos about the interviews, and transcribing them were time-consuming, especially when the process intensified toward the end of 2014 (see Kennedy & Lingard, 2006, 105). I also kept the interview questions the same throughout instead of developing them throughout to support the development of theorisations. The reason for this was because I wanted to be able to theorise about the participating RIUs jointly to produce the interpretation of an activity system and as separate cases to discuss potential implications of my findings.

I started the analysis by reading the interviews in full before trying to code the data in three phases (see Strauss & Corbin, 2008). I aimed to follow the general steps of grounded theory by doing open, axial, and selective coding to produce conceptualisation, categorisation, and forming theory. I read each transcript line by line and made notes of the issues they were about on the transcripts, but noticed that the open, axial, and selective coding was challenging because I had not used the grounded theory approach in the data collection. I also felt that it was very difficult to develop theorisations as I progressed with the analysis as I did not have the option available to find out more about potentially interesting issues in new pieces of data. I did an alternative analysis of the similarities and differences between the four participating RIUs during this time. I made the decision to use outcomes of this analysis when presenting the answers to my research questions. Another of my initial approaches to analysing the empirical data was that key issues were identifiable and verifiable by the number of interviewees that had talked about them. These processes led me to decide to contend myself with analysing the content of the data instead. I found that this would better serve my intentions in terms of the outcomes of the analysis and the use of the activity theoretical lens to interpret findings.

I transferred my notes and excerpts of relevant sections from the transcripts onto a word document and grouped them according to the four participating RIUs. Then I outlined pen portraits of the four RIUs based on the documentary data, which I had collected about them and about current HE policies. This data contained information about, for example, the entry standards, student satisfaction, and research quality of the four RIUs from a University League Table for 2014 (The Complete University Guide, electronic reference). Table 3.5 shows some of the characteristics of the participating RIUs based on this information.

Key information	RIU 1	RIU 2	RIU 3	RIU 4
Entry Standards	2 nd	1 st	3 rd	4 th
Student Satisfaction	1 st	3 rd	2 nd	4 th
Research Assessment -Quality	3 rd	1 st	2 nd	4 th
Research Assessment -Intensity	2 nd	1 st	1 st	3 rd
Graduate Prospects	2 nd	1 st	3 rd	4 th
Student-Staff Ratio	1 st	4 th	2 nd	3 rd
Degree Completion	1 st	1 st	2 nd	2 nd
Complete University Guide Ranking	2 nd	1 st	3 rd	4 th

(1st=highest rating in the group, 2nd=second highest rating in the group, 3rd=third highest rating in the group, 4th=fourth highest rating in the group)

Table 3.5 Characteristics of participating RIUs

The information shows, for example, that RIU1 has the highest student satisfaction score (around twenty decimals over four of a 5.00 maximum score) of the four RIUs with a difference of about 17 decimals to the other RIUs. This score is based on final undergraduate students' responses to questions measuring their views on the teaching quality at the University in The NSS in 2014. The other participating RIUs have scores that are in close proximity to each other with only a few decimals difference (within the margin of 3.95-4.05).

RIU2 had the highest entry standards (around 500 where no maximum score is applicable) in the group based on measuring the average UCAS tariff score of new undergraduate students in HESA data for 2013-2014. It is followed by RIU1 with the second highest entry standards (around forty points lower than RIU1), while RIUs 3 and 4 have lower (around a hundred points lower than RIU1 respectively).

Finally, the information from the University League Table for 2014 also shows, for example, that RIUs 2 and 3 are very close in having the highest scores in the group for the quality of their research (within the margin of 3.25-3.15 from a maximum score of 4.00). This score is based on their performance in The 2014 Research Excellence Framework (REF) undertaken by the funding councils. RIUs 1 and 4 scores relating to the quality of their research are in close proximity to each other (within the margin of 3.10-3.05).

I re-read the documents to find out what the participants had said and thought about the reality in the four RIUs. I made notes about the intensity of their views and developed my interpretations about their perceptions based on them. I re-read the sections of the data and the notes from the transcripts and compared these with each other within each description of the four RIUs to ensure that they would truly represent the contents of the data. I reworked my initial interpretations of the RIUs based on the re-reading and comparisons.

I wrote the chapter on the findings of the case studies based on the content analysis and interpreted key findings through the lens based on activity theory and constructed my interpretation of the activity system on the summary of findings from the four RIUs. The lens based on activity theory is discussed in closer detail in the following sections.

3.2.4 Synthesising findings

One of the key features of this study was the interpretation of key findings of each of the research methods using a lens that is based on activity theory (see section 6.3). This lens was based on the following (complex) model of an activity system outlined by Engeström (1987):

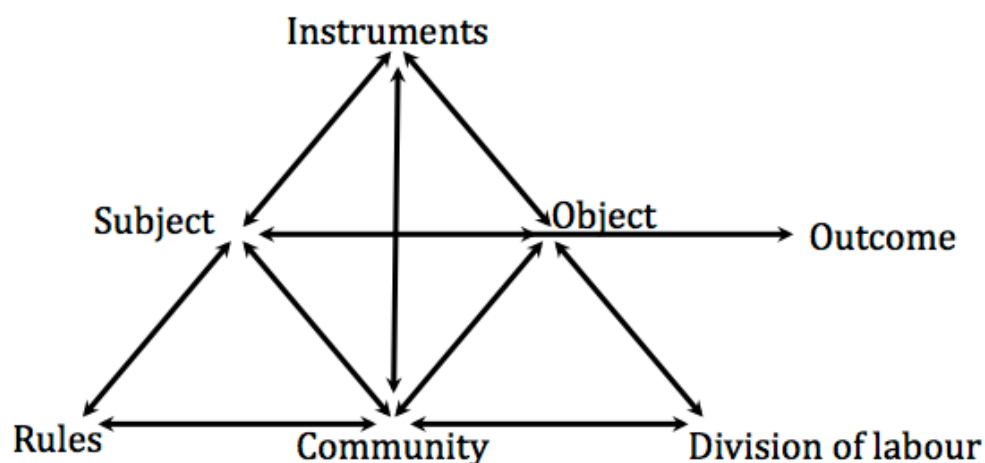


Figure 3.4-A (complex) model of an activity system outlined by Engeström (1987)

The pyramid shape of the model is familiar from theories on, for example, effective management (see Weber, 1922). In these, the shape represents hierarchies of well-defined power and authority. These are thought to make up constructs of bureaucratic organisations where fixed impersonal rules and regulations regulate rigid functions carried out according to the division of labour based on the employee's specialisation and expertise.

The model outlined by Engeström (1987) also includes thoughts of the division of labour and rules as part of the activity systems of organisations presented in a pyramid like triangular shape. However, the model of the activity system focuses on societal and collaborative activities in them. The top triangle of the model includes a development of theorisations by Vygotsky (1978) on mediated actions. It involves the thought of using instruments that have been culturally and historically developed in activities directed toward an object to achieve outcomes. These activities are thought to happen in different areas divided into six different parts of the model. The arrows between the different parts signify the interactive relationships between the parts of the model. The parts of the model are from the bottom up the rules, community, division of labour, subject, object, and instruments. The activities in the six parts of the model are altogether directed toward the outcome of the activity system. In terms of this study it is about thinking that the (academic) work done in the RIUs are the societal and collaborative (actions and) activities outlined in the model.

I have used the model of an activity system as a lens through which I have interpreted key findings of my analyses. The process has involved reading key findings and making interpretations of which part of an activity system of an RIU they represent. Applying a lens based on activity theory to, for example, findings presented in the previous chapter could be interpreted in the following way.

HE policies are interpreted to represent part of the rules of the activity system of an RIU. The interpretation is based on findings showing that HEIs receive means, guidance, regulations, and support from both governmental and various other organisations, which are adapted, for example, in institutional mechanisms. Findings show that institutional mechanisms include the NSS,

measurements of student outcomes and impact of research, The REF, and the TEF.

Stakeholders that collaborate in developing HE policies are interpreted to represent part of the communities in the activity system of an RIU. The interpretation is based on findings showing that individuals in different roles in governmental and various other organisations represent stakeholders in the HE field.

The different activities of stakeholders relating to HE policies are interpreted as representing parts of the division of labour of the activity system of an RIU. The interpretation is based on findings showing that stakeholders have different responsibilities and duties in the collaboration to develop and implement HE policies.

Academics are interpreted as the as the subjects of the activity system of an RIU. This interpretation is based on findings showing that their work currently involves high-quality research and teaching activities. These activities are in turn interpreted as parts of the object in the model.

Findings show that the work of the academics contributes to the continuity and success of the institutions they work for and also the HE field and the society. They also show that these contribute to building and securing the knowledge economy and economic welfare of England and Wales. These are interpreted as the outcome of the activities of the RIU as an interpreted activity system.

The application of the lens on key findings made it also possible to theorise about networks of multiple interactive activity systems within the RIUs. It involves focusing on the joint activity or practices as the unit of analysis (see Engeström 2007; Cole & Engeström, 1993). The theorisation about networks of multiple interactive activity systems is illustrated by presenting two models of activity systems mirroring each other and potentially sharing the object (see Figure 3.5).

Teaching and research could, for example, be interpreted to represent separate activity systems in RIUs based on the findings of the policy analysis. This interpretation is based on findings showing that current HE policies are mainly about two important and different activities. These activities are research and teaching. Findings show that HE policies guide these activities differently and institutions use different mechanisms for adapting policies for them. Research oriented policies are adapted by using the REF and measurements of the impact of research. Teaching-oriented policies are adapted by using student feedback in various forms, the NSS, measurements of student outcomes, and in the future by the TEF.

It is interpreted that the different guidance for these two activities has an effect on what the work of the academics includes even though the findings of the policy analysis did not show this. It divides them into subjects in research-oriented and teaching-oriented roles in the two activity systems.

The interaction between the activity systems of research and teaching is interpreted to involve the potentially shared object identifiable in findings showing the orientation of activities toward securing institutional success. Findings show that current HE policies orient these activities to the provision of high-quality teaching and research outputs.

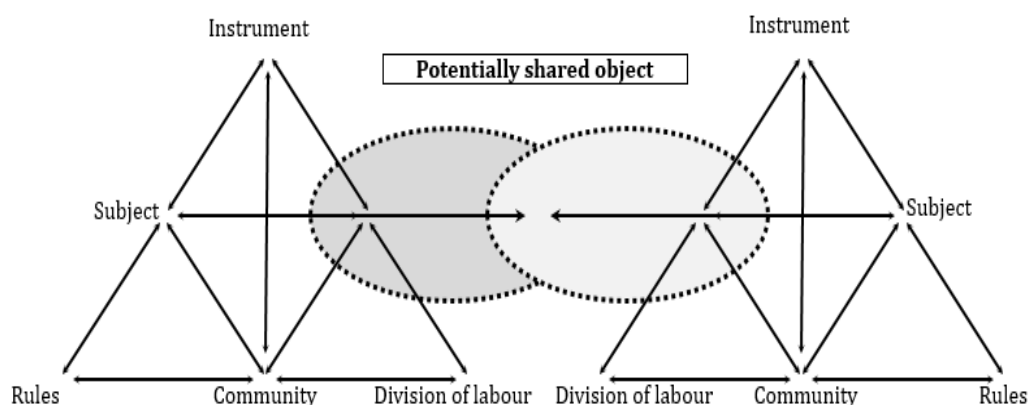


Figure 3.5-Networks of multiple interactive activity systems (based on Engeström 2001)

Finally, the application of the lens on key findings made it possible to theorise about tensions in the activity systems in terms of contradictions (see Figure 3.6). In these theorisations, the primary contradictions were interpreted to exist within the different parts of the model. These interpretations were based on the problems and or difficulties that the findings showed existed in HEIs/RIUs in relation to the HE policies. The secondary contradictions were, on the other hand, interpreted based on the identified problems and or difficulties between the different parts of the model. These interpretations were based on the problems and or difficulties that the findings showed existed in HEIs/RIUs in relation to the mechanisms for adapting HE policies.

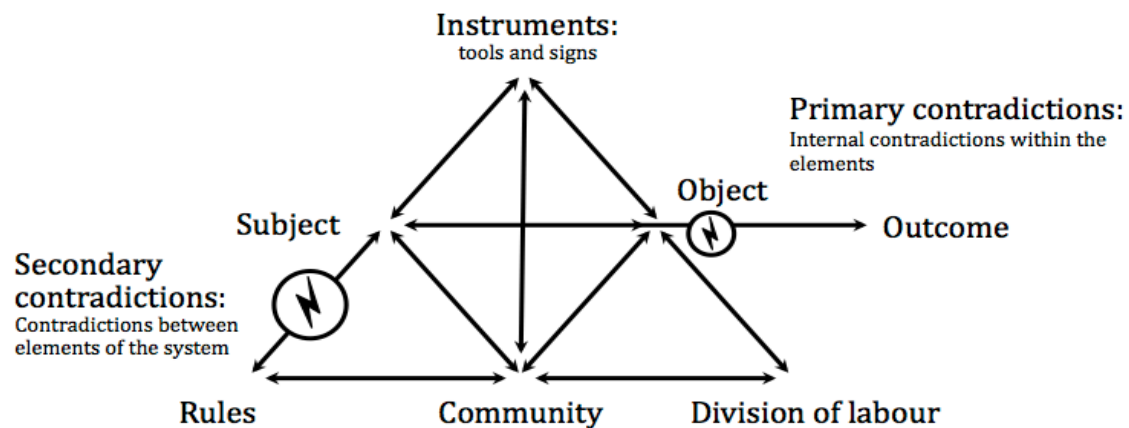


Figure 3.6-The (complex) model of an activity system and the primary and secondary contradictions (based on Engeström, 1987; 1992)

3.3 Considerations

Throughout this research I have thought about doing my work in an ethical way and how to make the study credible in realistically representing the views of stakeholders and experiences of the participants (see Lodico et al., 2006, 273). I have thought about and provided detailed explanations of my data collection and analysis to ensure the dependability of my study (see Lodico et al., 2006, 275). Finally, I have also thought about how transferable and authentic my findings are regarding “*the similarities between the research sites and other sites as judged by readers*” and how well they represent the true views in the HE field (see Lodico et al., 2006, 275-276). I will explain how I have thought

about these and what I have done based on my thoughts in closer detail in the next sections.

3.3.1 Ethical considerations

Before undertaking the research I familiarised myself with the University of Exeter's Graduate School of Education's ethical position based on the principle that outlines protection and respect of "*the interests and rights of others ... in all research, teaching/training and professional activity*" (the University of Exeter, electronic reference). I read their principles of ethical policy relating to the areas of Lack of Harm, Detriment or Unreasonable Stress and Data Protection (the University of Exeter, electronic reference). I also familiarised myself with the ethical guidelines of BERA (2011) relating to voluntary informed consent, openness and disclosure, the right to withdraw, children, vulnerable young people and vulnerable adults, incentives, detriment arising from participation in research, privacy, and disclosure.

The key principles I followed related mainly to detriment arising from participation in research, the right to withdraw, vulnerable adults, voluntary informed consent, openness and disclosure, privacy and disclosure. I was able to do my best to conform to the ethical principles and guidelines and follow them throughout the research process based on what I had learned from these principles and guidelines.

Following ethical guidelines for research meant that I did my best to make sure that no harm, detriment or unreasonable stress was caused to the participants of the research. I made sure that I stayed open-minded and non-judgemental toward the interviewees, their institutions, other actors in the HE field and the information they shared. I respected the experiences and stories of the people I interviewed throughout the data collection and analysis. I did not evaluate what they told me and I was careful not to impose my perceptions on the discussed issues. I also did my best to minimise the impact that participation in the research could impose on the normal working or workload of participants and interviewed the participants at times and places that were most suitable and convenient for them.

Also, I designed the interviews carefully so that they would have respect for the participants, their knowledge, and values (the University of Exeter, electronic reference). I worded the interview questions carefully not to lead the participants to any specific answers. Their wording was neutral and positive for two reasons. The first was to make the participants feel encouraged and at ease to discuss personal experiences. The second reason was to make it possible to remain on the professional level of interaction in the interview. I spoke with a supportive and calm voice and kept suitable eye contact with the participants throughout the interviews to encourage them and make them feel at ease in the interviews.

I talked with every participant about the rights they have to withdraw from participating in the study. It included mentioning that they could ask for the interview to be stopped should they feel that it caused unreasonable personal stress or other negative feelings or effects for them before starting the audiotaping.

I also prepared myself to do my best to handle potential situations where participants felt vulnerable by being empathetic and supportive should a situation arise where the participant needed it. For me, it was natural that I would act without judgement in these kinds of situations. There were two occasions during the data collection when I felt that the participants needed support. Fortunately, I was able to resolve the situations by following what the behaviour of the participant indicated. The situations were in the end solved by only minor normal expressions of sympathy for the participant. However, as these two situations happened at the beginning of the data collection and both of them took place in face-to-face meetings they also made me very aware and cautious about how deeply personal some of the experiences that the participants shared with me were. It led me to be even more careful with how I did the interviews and handled and analysed the data and how I wrote about my findings.

I began every data collection situation with presenting the study. During this time I made sure that the participants understood that they participated voluntarily in the research and were free to withdraw at any moment without any

consequences. None of the interviewees withdrew their participation in my study. I invited the participants to ask questions and talk about concerns relating to the research before data collection began and addressed these to my best abilities. I collected written consent about participation and audiotaping of interviews from all the participants before interviewing them. The consent form included information about the aims of the research and possible consequences that were written in the simplest and clearest form to make sure that the participants understood the contents of the form. I was prepared to make manual notes of answers if an interviewee would have declined the right to audiotape the interview. It did not happen during the data collection. However, two participants asked me to e-mail the questions to them, which they replied to in writing. It was because these participants felt that they were unable to find a venue that was private enough where they felt that they could comfortably share their experiences.

I did my best to maintain the privacy of my participants. It included trying to avoid hearing or reading any information that came from outside the interview situation about the participants and only collected or stored data to which the participants had given their consent. I did not discuss the participants or their interviews by name, position, or affiliation in any identifiable form with anybody. Nobody else had access to the raw data and any personal information besides me. I was prepared to consult the supervisors, the funding actor the Higher Education Academy and the University of Exeter in the unlikely event that a participant would have wanted their name to be mentioned in relation to their personal views or other information. This kind of situation did however not happen during the processes of this study.

I sent e-mails to the participants containing key findings in anonymous form, and invited them to give feedback toward the late stages of the research. It included another opportunity for them to give feedback on how I had used their information. I made appropriate adjustments to the study based on the feedback. I will make sure that copies of reports or other publications arising from the participation will be available should the participants ask for them.

I kept the legal requirements as per Data Protection Act (1998) in mind when I stored and used the personal data of the participants. It included, for example, informing participants about how and why I stored their personal data and how I would use it in the study. I told them that I could give them information about the data that I stored about them. I am also prepared to collect written consent from the participants for disclosing personal information to a third party if needed. I stored them alongside the collected signed consent forms at a private office to which I only had access. My computer at this office was safeguarded by a password known only by me. I did not store any telephone numbers or other contact information that was shared with me during the data collection and I disposed of them securely as soon as they are not relevant for making appointments for the data collection. I stored all the data onto a password protected external hard drive in encrypted form. This hard drive was never removed from the private office and any documents downloaded from it were in coded and encrypted forms. I used unrelated and different passwords for the computer, hard-drive and data. I formed the confidential passwords by following guidelines that ensured that they were of high quality and could not be traced to the research project.

As a concrete act to ensure that this research would follow ethical guidelines I applied for ethical approval from the University of Exeter (see Appendix 3.2). My application was successful and I received the Certificate of Ethical Research for my study. This process gave me guidance for ensuring that my research would have respect for the people involved. It also guided me to have respect for the knowledge, democratic values, and quality of educational research and academic freedom. Following this, I adopted research practices that enabled me to make sure that I properly respected and protected the interests and rights of any persons that I came in contact with. My desire to conduct this research in an honest and morally right fashion led me to do my best to enter the collection of the data without prejudice and making every effort to stay as impartial as possible. I did my best to make sure that I handled any confidential information about individuals and institutions with utmost confidentiality. I did everything that I could to eliminate risks of unintentional abuse of any the ethical considerations mentioned in this section to happen in any form during my research.

3.3.2 Credibility and dependability

I was concerned about how credibly my research explored and presented findings of RIUs and HE policies (see Lodico et al., 2006; Yanow, 2000; see section 6.4). I felt that I needed to do my best to make sure that the documentary and empirical data I used was connected to the essential issues involved. I made sure that I chose high-quality processes for selecting, including and analysing the documentary data and that I followed and explained these thoroughly. Naturally, I chose the same kind of processes for the selection, collection and analysis of the empirical data and did my best to follow and explain these as thoroughly as well.

I used different measures to increase the credibility of the documentary and empirical parts of the study, for example, in the collection of the data (see Harden, 2010; Yanow, 2000). I relied on a combination of systematic and relevance based consideration of the documents to be included in the interpretive analysis of policy. I aimed to select variable representatives of the stakeholders involved so that I could make rich descriptions of them (see Yanow, 2000). I tried to make the governmental stakeholders participation as wide as possible by including different pieces on legislature and policy from a time span covering 2013-2015. I evaluated the academic stakeholders' documents by a more systematic approach to inclusion. In it, I took care to construct the used measurements in a way that made sure that I included the most relevant papers. I used the same kind of processes with similar protocols and screening categories in the systematic review of research literature. The identification of the most fruitful concepts that would generate the best knowledge of HE policy implementation was key in addition to the enrichment that I gained from including both quantitative and qualitative studies. I took the time to think about and experiment with several possibilities before deciding on the concepts. I used observations and interactions with representatives in the HE field and examination of literature to support the systematic review.

The rigour of the systematic review was also defined by my careful refinement of research questions, development of clear definitions of boundaries for my study, the inclusion criteria, and systematic appraisal of the quality of the

included studies (Petticrew & Roberts, 2006). I found through this systematic review that professionalism was an overarching concept between different layers of academic life. It encompasses the activities of both the institutions and the individuals. My understanding of its fuller scope was deepened and widened by what I found by using the concepts of effective teaching, academic identity and reward and recognition. Effective teaching enables examination of the key activity of teaching by its practical and governing aspects. Academic identity allows examination of the individual level and is closely related to the academics, their views, and sentiments. Reward and recognition is close to the institutional activities directed toward improving the practices and position of teaching.

One of the initial steps in the empirical part of this research to increase credibility was the decision to use multiple sources of evidence in the data collection (see Yin, 2009). My case studies were designed based on replication logic allowing to explore RIUs as equal cases. The cases were made of representatives of three disciplines in four different RIUs. A key factor affecting the credibility of my case studies were the interviews and the questions I asked in them. I carefully planned and tested how well my interview questions succeeded in capturing the experiences of the academics. The test was performed in the form of conducting a pre-pilot interview and inviting feedback on the used questions. The process of capturing the real lived in experiences of the participants culminated in my skills of translating and telling these stories. It is why I later offered the opportunity for the participants to give feedback on my key findings. It helped my descriptions to stay true to their perceptions (see Lodico et al., 2006). I included quotes from the interviews to illustrate the conclusion drawn and credibility for my findings throughout the presentation of the case studies (see Glaser & Strauss, 1967). I also presented evidence of multiple instances in the data to support my findings.

Throughout my research, I had tremendous help in the form of two experienced academics acting as my peer de-briefers in their roles as supervisors (see Lodico et al., 2006). We had regular meetings about my research where we talked about the different stages and the actions that I had taken and the documents I had written were commented from different perspectives. For

example, we discussed in great detail the description of the context of my study, which was based on a large number of documentary data and presented multiple points of view. My peer de-briefers (supervisors) asked skilful questions and gave me comments helped me re-examine my assumptions and actions and improve them. We also independently identified themes from a section of the empirical data and compared and discussed the themes we had identified. My engagement in the HE field regarding observing professional practice, for example, in research group activities continued throughout most of the research and I spent seven months collecting the empirical data. I identified patterns in all of my data throughout the analyses, which lead to building explanations of the reality in HE (Yin, 2009). These processes involved addressing rival explanations and contrasting information to construct the best possible findings. All analysis processes of this research were done this way.

In addition to the credibility of my study, I thought about the criteria for dependability (see section 6.4). The processes I did in this study were carefully documented and explained throughout so that they could be replicated and the theorisations could be verified (Yin, 2009; Lodico et al., 2006). Also, I carefully prepared a protocol for the case studies and am prepared to make my empirical data available on request if needed.

Using the activity theoretically informed lens through which I analysed my key findings enabled me to theorise further about the RIUs. These detailed explanations involved presenting varied descriptions of the different parts of the compared systems. They were mainly built on common aspects emerging from the data, although I added some less common aspects to some explanations to make them more detailed (see Hodkinson & Hodkinson, 2001). Presenting stakeholders perspectives of HE policy implementation this way gave depth and richness to my findings. The theorisations of the RIUs as activity systems serve as bases for new ways of thinking about HE policy and academic practice. The transferability of them referring “*to the degree of similarity between the research site and other sites*” has still to be judged by readers (Hodkinson & Hodkinson, 2001; Lodico et al., 2006, 275).

3.3.3 Transferability and authenticity

I have also thought about the transferability of the findings of this study (see section 6.4). Even though as a partly qualitative study the findings may not have the same claim to transferability as those that come from quantitative studies I have taken some steps to make to allow readers to judge the likelihood that the findings in one setting might be of relevance to their setting. I have explained the contexts, participants, interactions, culture, and policies in RIUs using the findings of my three analyses (see Lodico et al., 2006, 276). In my explanations of the contexts and the background of the HE policies, I have relied on an interpretive analysis of stakeholders' views and a systematic review of findings of high-quality studies.

For ensuring the authenticity of my findings on the empirical data I have relied on the feedback from the participants on the correctness of transcripts I made of the interviews. I also worked together with them when possible to make the findings of this study true to the views in the HE field (see Lodico et al., 2006, 276).

The next chapter presents findings of the systematic review of research papers.

Chapter 4-Systematic review

4.1 Introduction

This chapter explores what is known about key issues in HE based on previous peer-reviewed research. The key issues have been based on the current HE policies in England and Wales that highlight the importance to focus on teaching and the students (see Chapter 2). It was discussed in closer detail by exploring perceptions of stakeholders on key issues in the policy space in England and Wales. Literature about research into key issues of HE policies is reviewed to find information for answers to the three research questions. The questions are:

1. What are research-intensive universities (RIUs) doing to evaluate, assess, and reward effective teaching?
2. In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?
3. What experiences do the individual academics working in these contexts have of the institutional cultures and practices?

This chapter presents key findings from a systematic review of documentary data consisting of peer-reviewed papers in English (see section 3.2.2 for methodology). It adapts the four phases of a mixed method model of systematic review as presented by Harden (2010). This systematic review brings together knowledge from relevant papers about studies to examine discussion on key findings related to the questions. It is particularly interested in studies that have produced knowledge about these key issues in RIUs. These were:

- *'professionalism'*,
- *'effective teaching'*,
- *'evaluating teaching quality'*,
- *'reward and recognition'*, and
- *'academic identity'*.

Using this combination of five key concepts helped to find studies with the relevant knowledge from a broad base. Data collection showed that this combination of concepts had not been used in other studies.

The presentation of key findings of the systematic review begins by providing a descriptive summary of the identified studies. It continues by narrowing the focus to identified studies on RIUs from the UK context and discussing what these studies have found out about them. The findings of this review are understood as not being exhaustive but represent some of the identifiable themes from a clearly delineated sample of papers about research, identified by an open and transparent methodology. They offer insights into research and knowledge related to key issues of HE policies. The findings of this systematic review are discussed in the next sections.

4.2 Findings

The data presented in this chapter were collected by a search performed on the 15th July 2013 and update on the 16th June 2015 (see pgs. 62; 64; 67-68). Full breakdowns of numbers, origins, and educational fields of included papers are presented in Appendices 4.1 and 4.2.

351 papers were included in this systematic review (see section 3.2.2; Table 4.1). Most of them were about '*effective teaching*' (132/351, 38%) or '*professionalism*' (106/351, 30 %). Some of them were about '*academic identity*' (53/351, 15 %). Fewer were about '*evaluating teaching quality*' (35/351, 10%) or '*reward and recognition*' (25/351, 7%). Some mapped onto more than one of the key issues of HE. A full presentation of the total number of identified, included, and reviewed papers is presented in Table 4.1.

Search term	Number of papers identified	Number of papers read in full and data extracted
Professionalism	2,225	106
Effective teaching	3,717	132
Evaluating teaching quality	411	35
Reward and recognition	305	25
Academic identity	823	53
Total	7,481	351

Table 4.1-Breakdown of papers grouped by key concepts

This systematic review showed that few studies had explored research-intensive contexts (11/351, 3%; Table 4.2). A few of them discussed research-intensive contexts in the UK (4/11, 36%). The other studies explored them in the USA, Canada, Israel, or South Africa. These studies were found to discuss the changing HE field, professional development, or ways to improve teaching practices (see Iqbal, 2014; Kolsaker 2014; Shagir, 2012; Teemant, 2005; Vergara, Urban-Lurain, Campa, Cheruvelil, Ebert-May, Fata-Hartley, Johnston, 2013; Weller, 2009; Whitchurch, 2011). They were also found to discuss what could be thought of like the relationship between teaching and research in academic work (see Evans & Tress, 2009; McKenna & Boughey, 2014; Serow, van Dyk, McComb, Harrold 2002; Vergara et al., 2013). The way these studies and topics are connected to the research questions and related to the debates identified in Chapter 2 will be discussed in closer detail next.

Search term	Included Studies	RIU context
Professionalism	106	2
Effective teaching	132	3
Evaluating teaching quality	35	3
Reward and recognition	25	1
Academic identity	53	2
Total	351	11

Table 4.2-Studies about research-intensive contexts

4.2.1 Existing opportunities to enhance practices and position of teaching in contexts geared toward the production of knowledge/research

This section discusses findings of the review that are related to the first research question “What are research-intensive universities (RIUs) doing to evaluate, assess, and reward effective teaching?” The discussed findings show how the RIUs are engaging with current HE policy agendas that are for an enhanced focus on teaching activities in HEIs as explained in closer detail in Chapter 2.

The review showed that two of the four studies which had explored the RIU contexts in England and Wales had at least partly taken a holistic approach to the discussed issues. Thus enabling them to potentially produce relevant findings for answering this research question (see Kolsaker 2014; Whitchurch

2011). However, since both of these studies had directed their main focus to the individual level by discussing the construction and reconstruction of professional and academic identity, and only used the wider institutional perspective in support of their discussions, they did not provide findings that contributed to finding an answer to the question.

Findings from these studies provided some background information about the situation of teaching in RIU contexts. Kolsaker (2014) only mentioned teaching very briefly in her critique of the current state of the HE education field. She thought that the professional identity of academics was a cause for concern, especially for the management of a work force that was changing and where professional roles were changing. This study focused on the relocation of '*professionalism*' based on an analysis of data from a survey sent to academics and administrators (Kolsaker, 2014, 133). Concerns were voiced on behalf of the academics, which were found to have had to "*become accustomed to curtailed autonomy, increasing accountability and perpetual change*" (Kolsaker, 2014, 137). This critique was aimed toward the professionalization of teaching. It was expressed in terms of how the standardisation agendas have created a new reality for academics to work in where they no longer are free to exercise their academic freedom and therefore reduces their (sense of) professionalism. The study based its definition of '*professionalism*' as a reflection of how academics see and perform their work defined by the profession on Hampton, Wolf, Albinsson, and McQuitty's (2009, 89) thoughts. These included seeing that the perceptions of professionalism may influence how academics respond to the marketisation of their work field (Kolsaker, 2014, 132). These findings echo the concerns that stakeholders had expressed about the recent developments relating to academic freedom and institutional autonomy as discussed in Chapter 2.

The review showed that Kolsaker (2008) had previously worked with another definition of professionalism when exploring the relationship between managerialism and academic professionalism. This study analysed a focus group discussion and interviews with academics employed on a full-time contract at an English university (Kolsaker, 2008, 518). The definition she had at this time worked with was '*academic professionalism*' as a combination of

extrinsic' items related to "*active involvement in professional networks*" and the 'intrinsic' to "*internalized values, accountability and altruism*" (Kolsaker, 2008, 520). It also included a

"... commitment to continuing professional development (CPD), contributing to knowledge and actively participating in decisions..."
(Kolsaker, 2008, 520-522).

She had also found in this study that

"...academics themselves acknowledge that academic professionalism is sustained, in part, by external mechanisms of accountability... (they) consider it important to contribute proactively to sustaining professionalism; this entails a commitment to ongoing professional development and a willingness to adhere to external mechanisms that assure professional practice."
(Kolsaker, 2008, 522).

This definition of the concept was based on theorisations about social capital (Torstendahl 1990), professional status (Jarvis 1983) and professional groups (Eraut 1994; Barnett 1997). These thoughts outlined '*professionalism*' in terms of using knowledge as a means in power relations securing lines between groups of professionals and statuses held by professions. These findings indicate that the academics working in RIUs are self-oriented toward accepting and implementing the student and teaching focused HE policies despite the restrictions and control they bring in terms of, for example, accountability.

The other study that was identified to have taken a holistic approach in exploring RIU contexts in the UK discussed how institutional activities related to widening participation, learning support and community partnership affected not only the practices of academics, but their constructions of identity (Whitchurch, 2011). The institutional teaching related activities were included, for example, when noting the marketisation of the HE field. This was discussed in terms of the outcomes focused nature of the assessments of teaching and research for public funding and the demands laid on HEIs to contribute to the economy by adherence to agendas of employability and skills (Whitchurch 2011, 100). More information about teaching was found in the discussions about how the combination of the traditional elements of teaching and research has diminished in academic roles in favour of other activities. This included discussion of how the roles themselves have changed away from the traditional roles of professor,

senior lecturer, lecturer etc. (Whitchurch 2011, 102). This study used data from 25 respondents working in HE in the UK, Australia, and the USA (Whitchurch, 2011, 101). Based on the respondents experiences of academic work the study found, for example, that semi-autonomous models of work would be good places for academic identities to develop (Whitchurch, 2011, 101). It was explained that the reason they were good was because individuals have financial and other responsibilities but also have a degree of independence in their roles in them. These findings show that effects of the marketisation can potentially have far deeper effects than changing only practices in the field as they show that ultimately they can change the individuals that work in the sector.

Widening the perspective from these views on the outcomes focused assessments tied to employability and skills agendas in RIUs in the UK to studies that had explored RIU contexts in other countries shows more details about the evaluation, assessment, and reward of effective teaching.

One of these studies explored quality assurance and academic development by analysing institutional self-evaluation reports and audit reports (McKenna & Boughey, 2014, 827). Findings from this study contributed to discussions about the relationship between teaching and research in academic work by highlighting, for example, that the RIUs appear to value still research over teaching in the USA (McKenna & Boughey, 2014, 833). The study identified a lack of engagement in teaching based on, for example, that the RIUs were not actively working together with their staff in developing curricula other than giving them information about principles of good teaching (McKenna & Boughey, 2014, 828). This study also found, for example, that this was reflected, in the implementation of hands-off management approaches to teaching (McKenna & Boughey, 2014, 831). The hands-off management approach was described to include

“... trust that academics would do the ‘right’ things in respect of teaching and learning because they shared a common set of values, attitudes and principles related to academic quality.”
(McKenna & Boughey, 2014, 831).

These thoughts were defined as belonging to the concept ‘discourse of trust’ which was one of the three discourses that were outlined in this study

(McKenna & Boughey, 2014, 828, 833). The other discourses were the discourse of the scholar, and the discourse of the argumentative academic, (McKenna & Boughey, 2014, 828). The views in the study were based on discourses on Fairclough's (2005) thoughts on the way they affect agency of individuals (McKenna & Boughey, 2014, 827). These findings show that there could be wide spread potential to further develop and implement practices to reach educational excellence in RIUs.

Another study contributed by findings that evaluation processes that include mentoring involve active involvement in finding advice and knowledge, and reflecting on practices and by doing so improve skills in teaching (Shagir, 2012, 25). It explored the effects of evaluation processes had on the professional development of teachers in RIUs in the USA. The study was based on interviews and questionnaires with teachers about their experiences of evaluation (Shagir, 2012, 23). It based its theorisations on the views of Halse, Deane, Hobson, and Jones (2007), Centra, (1983), Earl, (2008), Lord, (2009), Terpstra & Honoree, (2009).

This study also highlighted the positive effects that evaluation processes in professional development have on teachers professional activities in teaching during the first years of working in HE (Shagir, 2012, 32). The positive effects were found to mainly come from mentoring from senior colleagues (Shagir, 2012, 31). The study highlighted that its findings supported similar findings of Caffarella & Zinn, (1999), Foote & Solem, (2009), Gaye & Cullen, (1995), Guskey, (2003), Shulman, (1998) (Shagir, 2012, 31). Another aspect that was highlighted in the findings of this study was that teaching demanded a lot of their time and that they were unable to find time for research (Shagir, 2012, 31). These findings were discussed noting similar findings of Becker, et al., (2003), Huber, (2002), Secret, Leisey, Lanning, Polich, Schaub (2011). They highlighted the constant struggles of early career lecturers regarding survival needs and saving their jobs (Shagir, 2012, 29). The findings of this study were based on five teachers' experiences of evaluation in their professional development at a research university in the USA (Shagir, 2012, 27).

Widening the perspective from studies about RIUs to other fields of education revealed a wide range of mechanisms that could potentially be used in RIUs for evaluating the effectiveness of teaching and improving practices. These included:

- The Mapping Educational Specialist Knowhow initiative,
- The College and University Classroom Environment Inventory,
- The Course Experience Questionnaire,
- The Approaches to Teaching Inventory,
- The Teaching Perspectives Inventory,
- The Teaching Goals Inventory,
- Peer review of teaching processes, and
- The Video Assessment of Interactions of Learning

Because of the many mechanisms identified in these studies, please see Appendix 4.3 for more details about them.

The presentation of findings so far about the evaluation, assessment, and reward of effective teaching has not revealed any information about the rewarding part. Again, widening the perspective to studies about other educational fields shows some more detail about it.

Studies about HE or FE mentioned reward and recognition in connection with, for example, career development (Smith, Else, Crookes, 2014; Devlin, 2013; Smith, Crookes, Else, Crookes, 2012; Hammer, Piascik, Medina, Pittenger, Rose, Creekmore, Soltis, Bouldin, Schwarz, Scott, 2010; Jones, 2010; Steinert, McLeod, Boillat, Meterissian, Elizov, Macdonald, 2009; Bluteau & Krumins, 2008; Turner, Young, Menon, Stone, 2008; Mallik & McGowan, 2007; Buys & Bursnall, 2007). The discussed mechanisms included, for example, measurements of performance and promotion criteria (Smith, et al., 2014; 3, Vajoczki, et al., 2011; Smith, et al., 2012; Hammer, et al., 2010; Wood & Friedel, 2009; Pratt, 1997). Some of these studies connected reward and recognition to the use of different mechanisms for showing success, valuation, and recognition for work (Smith et al., 2014; Devlin, 2013; Wilkinson, 2011; Vajoczki, Biegas, Crenshaw, Healey, Osayomi, Bradford, Monk, 2011; Wood & Friedel, 2009; Pratt, 1997; Serow, van Dyk, McComb, Harrold, 2002). A couple of the studies in this group highlighted other things related to reward and

recognition in HE or FE. One study discussed the benefits of certification in terms of, for example, professional pride, self-esteem, and increase in salary when discussing recognition of teaching practices (Judd Pucella, 2011). Another of these studies discussed the recognition of the role of faculty in the instructional consultation of teaching development (Weston & McAlpine, 1999).

The findings in this section have shown that previous studies have only provided information about the outcomes focused assessments tied to employability and skills agendas in RIUs in the UK. Some more detail have been found about how the evaluation, assessment, and reward of effective teaching can be situated in RIU contexts where teaching is less valued than research and where the provision of it is left up to the academics. In addition, it has been discussed how teaching skills have been shown to improve if evaluation processes include mentoring. These demand an active approach to learn from advice from peers and reflection on teaching practices. Evidence of the potential mechanisms that could be used in these contexts has been found from studies focusing on other types of educational institutions and fields. The next section is about the evidence of the departmental and cultural engagement in RIUs in institutional approaches to improve the position and practices of teaching,

4.2.2 Harnessing the institutional opportunities to enhance the position and practices of teaching

The review showed that the four studies about RIUs in the UK were not very useful for finding out about the ways professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching. Only one of the studies identified to have explored RIU context in the UK provided somewhat useful background knowledge for the answer to the question “In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?” The background knowledge was about the characteristics of members of the professional cultures. This could be taken as indications about how (at least parts) of the professional cultures are interested in accommodating these kinds of institutional mechanisms.

This study presented findings that describe how some members of professional cultures are not motivated toward engaging in teaching as part of their academic work. It also showed ways that professional cultures could act to help them to do so. This study used interview data from research-oriented academics and explored the motivation research-focused academics have for teaching (Evans & Tress, 2009). Theorisations about potential ways to overcome potential motivational difficulties included recognising self-esteem needs, and supporting beliefs of self-efficacy by encouraging pursuits of achievement (Evans & Tress, 2009, 13). These were presented as motivational factors that make research-focused academics willing to engage in effective teaching (Evans & Tress, 2009, 13). These thoughts were based on Maslow's (1954) theories that the motivation to perform comes for self-esteem and is reinforced by beliefs of self-efficacy (Evans & Tress, 2009, 14). This study based its findings on a case study in an RIU in the UK (Evans & Tress, 2009, 1).

The review showed that two other studies provided some more insights into the potential characteristics of members of the professional cultures.

One of these had explored how policy changes affect the academic identity of research-oriented academics (Henkel, 2005). Here their characteristics were discussed in terms of both internal and external features of '*academic identity*'. The internal features were identified in the private senses of loss that research-oriented academics experience when their research identity suffers due to demands to perform teaching and administrative duties and struggles to get funding (Henkel, 2005, 166). The study also discussed how the national performance measurements for research, namely the Funding Council's research assessment exercises (RAEs), had created two types of academics, the "*research active*" and the "*research non-active*" (Henkel, 2005, 166). This discussion highlighted how being "*research non-active*" is less favourable as it, for example, shows that the academic has not been successful in producing research outputs and funding (Henkel, 2005, 166). This was identified as belonging to the external features of academic identity. Other external features were identified in the parts where the study highlighted the disciplines and academic freedom as important parts of academic identity (Henkel, 2005, 166).

The study outlined these as "... *the sources of meaning and self-esteem, as well as being what was most valued*" (Henkel, 2005, 166). This study used Neave's (1988) definition of academic autonomy, which outlines it as the right of academics to make decisions about the nature of their work (Henkel, 2005, 170). This study outlined the understanding of '*academic identity*' based on, for example, Giddens (1991) thought of it as a "*reflexively organised project*" and Hall's (1992) thoughts about it as a "*narrative of the self*" (Henkel, 2005, 158). It described '*academic identity*' mostly in terms of external features, for example, by explaining that it is related to close knit communities that find that they belong to.

Additional descriptions of members of professional cultures were also found, for example, in a study that explored the experiences of eight academic workers under the age of 35 based on interviews with them (Archer, 2008, 269). The study looked at how, for example, the developments of the HE field have had an effect on their construction of identity (Archer, 2008, 269). It applied a Foucauldian discourse analytic perspective as outlined by Burman & Parker (1993) The perspective was outlined based on Francis's (2002) thoughts on how the construction of selfhood is constrained and directed by factors such as, for example, gender and race (Archer, 2008, 270).

This study also discussed the internal features of '*academic identity*'. These were found when the study applied a psychosocial lens based on the thoughts of Hollway & Jefferson (2000) and Lucey, Melody, Walkerdine (2003) on the data. By doing so, it was able to

"highlight the emotional dimension of identity (the desires and pleasures, pains, costs and losses) to help understand how academic identities are played out in 'everyday' practices on the bodies and in the minds of younger academic staff"
(Archer, 2008, 270).

The study found, for example, that it was questionable if academics should use the strategy of trying to keep the performances of self separate from the internalised senses of self to protect themselves and maintain their resilience (Archer, 2008, 270).

The review showed that only two additional studies in the USA had produced some useful knowledge about issues relating to the accommodation of institutional mechanisms for valuing and rewarding effective teaching in RIUs that could contribute to finding an answer to the question.

One of them explored the efficiency of the Bilingual/ESL Endorsement through Distance Education (BEEDE) program in a RIU in the USA. It showed that professional cultures had received positively a programme that was part of an institutional mechanism professional development in teaching (Teemant, 2005, 53-54; 58). The programme was presented to “*value(s) social interaction, assistance, and situated performance*” and it included “*a distance-education format (ProfessorsPlus) and a socio-cultural approach to curriculum and delivery*” (Teemant, 2005, 51). The approach was based on the work of Rogoff, (1995), Rogoff & Wertsch, (1984), Tharp & Gallimore, (1989), Vygotsky, (1978) and Wertsch, (1985) (Teemant, 2005, 49; 51). The socio-cultural approach included learning activities that followed Dalton’s (1998) presentation of “*the socio-cultural model of five pedagogical practices*” (Teemant, 2005, 49). These were “*Joint Productive Activity, Language and Literacy Development, Contextualization, Cognitive Challenge, and Instructional Conversation*” (Teemant, 2005, 49). This study found that the participants felt that the program was useful, for example, in learning how to teach different kinds of learners because its learning activities were constructed based on socio-cultural practices (Teemant, 2005, 53). The study also found that the facilitators were positive about how the learning activities modelled, for example, active learning (Teemant, 2005, 54).

The other of these two studies showed that tensions exist between research and teaching based on interviews with teaching-oriented faculty in RIUs in the USA (Serow, van Dyk, McComb, Harrold 2002, 26). This study developed a framework for understanding cultures of teaching, which outlined two specific cultures, the official, and the oppositional. The official culture was defined by its members’ connections to initiatives for faculty development. These initiatives were outlined as, for example, faculty teaching centres where workshops are organised and annual teaching awards are distributed (Serow et al., 2002, 29).

The oppositional culture was defined by

“...its members’ resistance to officially-sanctioned programs of instructional reform, including those associated with the Scholarship of Teaching”
(Serow et al., 2002, 31).

This study found that members of the oppositional culture, for example, saw teaching as the primary activity of the University (Serow et al., 2002, 32). The study found that they were devoted to teaching and maintaining its quality, although they participated less than the members of the official culture in *“teaching circles or externally-funded instructional initiatives”* (Serow et al., 2002, 32). They were found to be sceptical toward models of scholarship in teaching and resist the research centeredness, cosmopolitan, and meritocratic nature of their institutions (Serow et al., 2002, 32). The resistance was presented to stand for enhanced democracy in the RIUs. The study viewed democracy based on the thoughts of Turner (1920/1996) (Serow et al., 2002, 35).

Widening the perspective from studies exploring RIU context to other HE contexts provide some more information about the cultures and their acceptance and accommodation of the discussed institutional mechanisms.

The possibility that members of professional cultures use research methods to develop their teaching practices was highlighted in a study (Vergara et al., 2013, 96). In addition, their possible participation in groups where they share what they have learned and collaboratively discover and generate new knowledge was noted. This study discussed a professional development model called Future Academic Scholars in Teaching (FAST) (Vergara et al., 2013, 97). The findings were based on semi-structured interviews with participants in the programme (Vergara et al., 2013, 105). The model is a yearlong program for advanced level Science, Technology, Engineering, and Mathematics (STEM) doctoral students (Vergara et al., 2013, 96). The program is associated with the Center for the Integration of Research, Teaching, and Learning (CIRTL) at Michigan State University in the USA (Vergara et al., 2013, 96). This study also showed that it was possible that members of professional cultures could belong to inclusive communities. This potentially changed their research-centred

socialisation toward recognising teaching as an integral part of their professional practices (Vergara et al., 2013, 105). The findings of this study also indicate that the professional cultures can in some cases be positive toward institutional approaches for improving teaching.

4.2.3 Perceptions on the institutional approaches for improving the position and practices of teaching

This section is about the information found in the review to answering the question “What experiences do the individual academics working in these contexts have of the institutional cultures and practices?” The review showed that one of the studies that had been identified to explore RIUs in the UK, provided useful information about experiences of institutional practices related to professional development for the answer.

This study evaluated a teaching observation scheme aimed at experienced academic staff that was used at an RIU in the UK. It found, for example, that academics felt the critical discussions included in the process were useful for reflecting on their practices (Weller, 2009, 29). However, it also found that they failed to reach the reality of their experiences in teaching fully. The reason was that academics felt they had to use the formal technical language used by observers in the discussions (Weller, 2009, 29). The academics would instead have preferred to use their words to explain their experiences in depth (Weller, 2009, 29). The study also found that the academics experienced that one of the main outcomes of observation was that they became more confident based on the approval they got for their practices (Weller, 2009, 31). Another key outcome was that they felt their professional development enhanced in terms of deeper understanding of their professionalism and by doing so also improved their teaching practices (Weller, 2009, 32).

Widening the perspective to studies that had explored RIU contexts in other countries showed that two studies that had explored these contexts in the USA had provided some useful insights to the answer. These were experiences of institutional evaluation processes in professional development activities and activities directed toward improving teaching practises.

One of these studies had explored the effects of evaluation processes had on the professional development of teachers in RIUs in the USA (Shagir, 2012). These teachers thought that evaluation processes carried out by mentors are important in the early stages of academic careers for handling the teaching activities of the work (Shagir, 2012, 32). The perception of these teachers was that mentors help develop professional practices in terms of, for example, skills and methods for teaching. This study highlighted, for example, that teachers experienced an existing rivalry between teaching and scholarship, and that research activity was favoured in promotion (Shagir, 2012, 27). These teachers expressed that they felt insecure about keeping their jobs because they struggled to find time for research activities while taking care of their heavy teaching loads (Shagir, 2012, 29).

The other one of these two studies discussed experiences of activities directed toward improving teaching practises in terms of the summative peer review (Iqbal, 2014). Professors in an RIU in Canada were interviewed in this study (Iqbal, 2014, 108). The findings of this study confirmed the findings of previous studies by Chait, (2002), McClain Da Costa, (2012), which had shown that North American RIUs value tenure because it gives “*job security, power and prestige*” (Iqbal, 2014, 116). That was thought to be the reason this study found that some of the professors said they withheld their constructive feedback in summative peer review reports if they felt that their colleague deserved tenure (Iqbal, 2014, 116). This in turn was presented to make the significance and reliability of peer reviews uncertain (Iqbal, 2014, 116). The uncertain significance of peer reviews combined with the value given to research productivity was presented to affect the academics willingness to devote time and effort to participate in peer reviews of teaching (Iqbal, 2014, 116).

The findings presented so far about experiences of institutional cultures and practices have not discussed any experiences about the rewarding part. Once again, widening the perspective to studies about other educational fields shows some more detail about it.

One study explored teachers’ experiences of receiving rewards and assessed how much receiving a reward for what they called meritorious teaching affected

the number of job enrichment opportunities (Frase, 1989, 54). This study based its theorisations on Herzberg (1966) motivation-hygiene theory of the two sets of factors contributing to either job satisfaction or job dissatisfaction (Frase, 1989, 52). The set connected in this theory to job satisfaction included defining intrinsic rewards as “*matters derived from work; recognition, responsibility, advancement, achievement, and work itself*” (Frase, 1989, 53). This study found, for example, that intrinsic rewards are powerful motivators that should be considered alongside external rewards such as money (Frase, 1989, 52). The study discussed the definition of intrinsic and external rewards based on, for example, Kottkamp, Provenzo & Cohn, (1986) thoughts of teachers valuing the knowledge that they have “*reached the students and they have learned*” (Frase, 1989, 54). The external rewards were defined, for example, based on Olson’s (1986) thoughts of “*cash as a reward*” (Frase, 1989, 52).

4.3 Conclusions

This systematic review has shown that many areas relating to HE policies are well researched. However, areas including RIU contexts, especially in the UK HE field remain largely unexplored. The findings show, for example, that there are some issues to resolve in the relationship between research and teaching in HE. Studies that explored research-intensive contexts, for example, highlighted these kinds of findings. Also, an identifiable need exists to define clearly terms especially around effectiveness, reward, and recognition of teaching. Explorations into these kinds of specific contexts could potentially produce knowledge about HE that is useful, for example, for developing organisational practices for policy implementation.

A lens based on activity theory was applied to the knowledge, which enabled interpreting it as an activity system of an RIU (see section 3.2.4). The lens is based on Engeström’s (1987) outline of an activity system. The following subsection is about how other studies were found to have used activity theory. It is followed by a section, which explains how key findings of this systematic review were interpreted by activity theory.

4.3.1 Use of activity theory

An exploration of if and how the studies included in this systematic review used activity theory included finding out if they used key concepts and theorists. The keywords ‘*activity*’, ‘*activity theory*’ and ‘*activity system*’ were searched in them. The key activity theorists included Engeström and Vygotsky. Initial searches showed that the studies could potentially have used activity theory as they the concept ‘*activity*’ was frequently used in the studies (149/351, 42%). However, they were found to discuss rarely activity theory or activity systems (4/351, 1%). Also, the studies that mentioned activity theory or activity system did not mention both. The searches also showed that the studies rarely mentioned theories presented by Engeström or Vygotsky (21/351, 6%). Most uses of activity theoretical thoughts was identified in the studies grouped by ‘*effective teaching*’ and the least in the studies grouped by ‘*reward and recognition*’ (Table 4.3).

Key concept	Activity	Activity theory	Activity system	Activity theorists	Total
Professionalism	51	0	0	6	57 / 106
Effective teaching	38	3	3	9	53 / 132
Evaluating teaching quality	22	1	1	3	27 / 35
Reward and recognition	15	0	0	0	15 / 25
Academic identity	23	0	0	3	26 / 53
Total	149	4	4	21	178 / 351

Table 4.3-Studies using activity theory

Of all the studies identified to have any connection with activity theoretical views that would be relevant for discussing issues related to teaching in RIU contexts there was only one study that meaningfully contributed to the exploration in this systematic review.

This study used the concept of ‘*activity systems*’ when it discussed academic workplaces (Boyd, Smith, Beyaztas, 2015, 20). This study evaluated the use of “*the expansive–restrictive workplace learning environment continuum*”-tool based on qualitative data from an online questionnaire to lecturers (Boyd et al., 2015, 18, 22). The use of the tool was discussed based on the views of Evans,

Hodkinson, Rainbird, and Unwin (2006) (Boyd et al., 2015, 19). It was presented as an important way for academic developers to understand and support professional development in academia (Boyd et al., 2015, 18). This study mentioned '*activity system*' and an activity theorist Engeström's (1987; 2001; 2004) thoughts on '*expansive learning*', '*contradictions*', and '*knot working*' in connection to workplaces (Boyd et al., 2015, 20). The study explained how according to these thoughts activity systems are found to change and learn expansively when contradictions in them are resolved (Boyd et al., 2015, 20).

The most popular of the activity theorists was Vygotsky judging by how many of the studies discussed a variety of his theories (Allendoerfer, Wilson, Kim, Burpee, 2014; Boocock, 2013; Daughetee, Puleo, Thrower, 2010; Evans, 2014; Fisher & Deoksoon, 2013; Foster, 2013; Ishihara, 2011; McNamara, 2007; Mirriahi, 2015; Naude, Bezuidenhout, 2015; Owens, 2012; Pitfield, 2013; Teemant, 2005; Warford, 2013). These studies discussed Vygotsky's thoughts on, for example: Socio-constructivism, Socio-cultural theory, Social learning, Collaborative learning, and scaffolding, Collaborative construction of meaning, Dramatic play, Zone of proximal development, Cognitive growing and Internationalisation in cognitive processes.

These discussions included, for example, enhancing arguments for the need for directing explicit focus on specific learning and teaching problems by Vygotsky's notions relating to the application of new knowledge (Owens, 2012). These arguments were made to promote the implementation of student-centered pedagogical practices (Owens, 2012). They also included using Vygotsky's work as a "*framework for conceptualising the scaffolding of continuing competency*" and establishing it as an "*essential element of professionalism*" (Daughetee et al., 2010, 15).

The other studies, which were identified to have any kind of connection with activity theoretical lines of thought, mainly used some of its terminology or theorists in a definition or as a supporting comment. Details about these studies and how they were found to have used activity theory are presented in Appendix 4.4.

The following section explains how key findings of this systematic review were interpreted using activity theory.

4.3.2 Interpreted activity system of a research-intensive university

This section presents an interpretation based on key findings from this systematic review. The interpretation explains the parts of the model of an RIU as an activity system as outlined by Engeström (1987) (see section 3.2.4; Figure 4.1) The research questions that guided the systematic review focused on information of teaching activities for the interpreted model of an RIU as an activity system. However, some details about research activities were also found. They were included in parts of the presentation and interpretation of key findings.

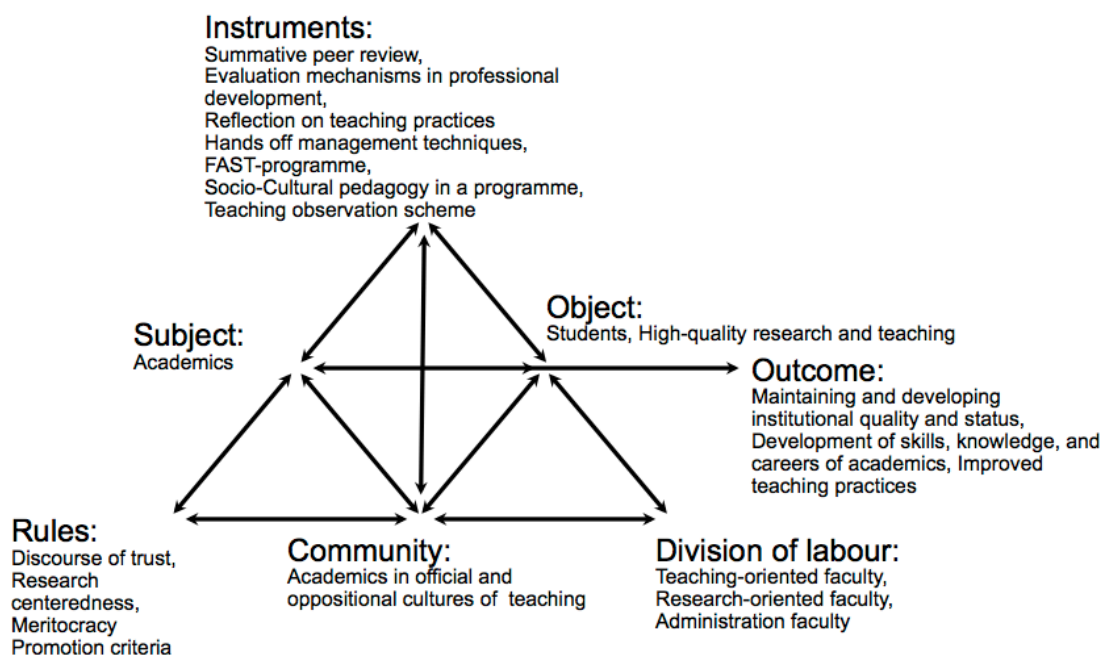


Figure 4.1-Findings of the systematic review interpreted as an activity system of a research-intensive university

The systematic review showed that academics could be identified as the subjects of the interpreted system. Findings related to them helped to answer the third research question “*What experiences do the individual academics working in these contexts have of the institutional cultures and practices?*” (see section 6.2.3). It was found that some academics in RIUs in the USA were

sceptical toward models of Scholarship and resisted, for example, the institutional focus on research and merits (Serow et al., 2002). Teaching-oriented academics in the same contexts experience competition between scholarship and teaching felt promotion was based on research activity (Shagir, 2012). They also struggled under their teaching loads and feel insecure in keeping their positions (Shagir, 2012). On the positive side, they were found to have good experiences from professional development activities in the RIUs, especially from mentoring and learning activities based on socio-cultural practices (Shagir, 2012; Teemant, 2005). Experienced academics in RIUs in the UK were found to appreciate the benefits of institutional activities for improving teaching such as processes of teaching observation, which they found helped develop their teaching practices (Weller, 2009).

The object of the activities of the subjects and the RIUs could be identified as high-quality teaching and research work based on the findings. The outcome of the activities of the system could be interpreted as maintaining and developing institutional quality and status. The academics were interpreted to expect that their activities would result in personal development, career development, and improved teaching practices. The instruments were identified in the findings were interpreted as the mechanisms both the RIUs and the academics used for professional development in teaching and improving teaching practices. These interpretations helped answer the first research question *‘What are RIUs doing to evaluate, assess, and reward effective teaching?’* (See section 6.2.1). The mechanisms in RIUs for evaluating, assessing, and rewarding effective in the UK context were found to include summative peer reviews used in evaluations for promotion (Weller, 2009). The mechanisms in RIUs in the USA were found to include the FAST-program, and models of Scholarship in teaching (Serow et al., 2002; Vergara et al., 2013). These interpretations of the object and instruments contribute to the explanation of the completed interpretation of an RIU as an activity system (see section 6.3.1).

A RIU in the USA was found to have taken a socio-cultural approach in a distance teacher education programme (Teemant, 2005). This finding gives some information answering to the second research question *“In what ways do professional cultures and practices accommodate institutional mechanisms for*

valuing and rewarding effective teaching?" (See section 6.2.2). Some additional information to the answer can be found in the findings related to the community of the system. The systematic review showed that academics in the USA could be found to belong to two different cultures of teaching, the official, and the oppositional (Serow et al., 2002). These cultures were interpreted as forming the community of the system. Some indications of how these cultures operate could be found in a study

The division of labour in the system was interpreted to include division of faculty to teaching, research, and administration (see, for example, Serow et al., 2002).

The findings of this systematic review did not highlight any specific rules of RIUs, but they showed that there can be, for example, research centred well as cosmopolitan and meritocratic views behind them (McKenna & Boughey, 2014; Serow et al., 2002; Shagir, 2012; Vergara et al., 2013). The current discussions about indications that HEIs are recruiting staff based on REF achievements, and attracting high scorers by high wages can signify that the ideologies behind the rules of RIUs may well remain unchanged.

Some of the explanations of tensions between teaching and research with the value that is given to research over teaching led to the interpretation that the rules may be directed toward conducting and producing high-quality research in RIUs. This interpretation was strengthened by findings that there is a discourse of trust in relation to teaching in some RIUs. This discourse was found to assume that all academics will be self-oriented to delivering high-quality teaching because they work guided by commonly shared values, attitudes, and principles (McKenna & Boughey, 2014, 831). This interpreted model contributes to the theorisations of a model of an RIU, for example, regarding its rules, which enables discussion of the implications key findings have for policy and practices in HE (see, sections 6.3; 6.3.1; 6.3.2).

The next chapter is an exploration of academics experiences of working in RIUs in England and Wales.

Chapter 5-Case studies

5.1 Introduction

This chapter explores the views of academic staff from RIUs (see section 3.2.3). Their views are based on interview data collected from 33 academics in four RIUs in the UK in 2014-2015. The participants' thoughts and experiences have been used to construct a picture on the reality of current academic life. This has been done so that an understanding of it can be built in the most balanced way as possible (see Corden, 2007; Corden & Sainsbury 2006; Engel & Schutt 2009; 2013; Taylor-Powell & Renner, 2003). Quotes from the semi-structured interviews with 33 people working in four RIUs illustrate the theorisation that is presented of the reality in them. The quotes have been carefully selected to illustrate typical research and teaching-oriented views on the key issues. Attention has been paid to ensure data are presented that reflects the participants from all 4 RIUs. The term research-oriented participant is used for those whose official role includes 50% or more research. The term teaching-oriented participant is used for those who are mainly employed to teach.

This chapter discusses key findings from the analysis applied to the interview data of four case studies (see section 3.2.3). It is not intended to be conclusive of all individual points of views of the people interviewed. Instead, it aims to open up some alternative ways to see things that otherwise could go unnoticed. The semi-structured form of the interviews guided the attention toward key issues that, earlier in this study have been identified in the interpretive analysis of policy and systematic review to be of importance in current HE in England and Wales (see Chapters 2 & 4). These have focused to a great extent around directing attention to the students and the quality of teaching.

The reason for theorising about the reality in RIUs is the identified existing lack of knowledge about them (in relation to how they implement current HE policy, for example,) in the systematic review of papers (see sections 4.2.2; 4.3.2). The theorisation is constructed by carefully trying to capture relevant elements of these institutions in terms of the current HE policies, and truthfully explain the complex realities the participating academics discussed their experiences of.

This chapter is built on two main themes. The first is about the potential the RIUs have for reaching even higher levels in teaching excellence, and the second about the difficulties that should be addressed. Pen portraits are presented of the four RIUs where the data for the four case studies was collected. Key findings of the analysis are discussed by reflecting back to the pen portraits in relevant parts to explain current realities and issues in HE.

The discussed findings show how engaged RIUs are in the implementation and development of policies to recognise teaching excellence. They echo the findings of the policy analysis in Chapter 2 showing the active approaches academics take and the passion they express in relation to issues connected to their work. The presented findings also show how academics as a work force provide excellent grounds for the RIUs to continue to improve the position and practices in teaching in the HE field. Finally, the presented current and sound base of knowledge of the RIUs support theorising about possible implications for policy and practices in HE (see sections 6.2, 6.3.1). An interpretation of an activity system that is formed based on the key findings is presented at the end of the chapter.

5.2 Versatile research intense institutions

Three of the four participating RIUs were part of the original 17 British research universities, which formed the Russell Group in 1994 to represent leading UK universities (see The Russell Group of Universities, electronic reference). The fourth RIU joined the group later (Coughlan, 2012, electronic reference).

Even though these institutions rightfully claim their position as leading universities by performing exceptionally well in world rankings of research excellence, their unique features are what truly sets them apart (see The Russell Group of Universities, electronic reference). It is by focusing on selected unique features that the descriptions of the students RIU, the collaborative RIU, the virtual RIU, and the innovative RIU are made as pen portraits of them. These pen portraits are referred back to in this chapter to highlight institutional takes on current HE agendas, and at the same time show differences and similarities between them. The chosen descriptors are explained in some more

detail next. They are based on an exploration of the institutional strategies in the four RIUs for research and teaching at the time of the data collection. This exploration looked beyond the aims and strategies that all of the four RIUs expressed in terms of achieving new levels of excellence in research and teaching, as well as creating student focused environments.

The students RIU set itself apart from the others in the exploration, because its strategies refer to engaging and collaborating with students in a wide variety of institutional activities. These were expressed in a stronger way its strategies as compared to the strategies of the other RIUs in this group. The mentioned institutional activities included both research and teaching. Varying aspects related to students emerged as part of the key priorities within the strategies for both of these. The exploration also showed that the student-oriented approach of the RIU was visible in the pure number of times students are referred to in its strategies. This RIU was previously found to have had the highest student satisfaction score, student-staff ratio, and one of the highest degree completion rates of the group (see Table 3.5, section 3.2.3). It was also rated 2nd in terms of the intensity of its research and graduate prospects, while it held the second highest entry standards in the group. Overall it was placed 2nd in the group based on its ratings. The empirical and documentary data both indicated that this RIU was the most active, and possibly most successful of the four RIUs, in implementing the student focus of current teaching oriented HE policies (see section 2.3.4).

The collaborative nature of the second of the RIUs was identified by the way that collaboration, globalism, and internationalism guided their teaching and research strategies. They were presented as the ultimate outcomes of the expressed aims relating to students, teaching, and research in the examined strategies. These documents showed that there was a strong belief in the benefits of working together across disciplinary, institutional, and national borders in the RIU. The aim was to place the RIU as a leader in crossing these boundaries. This was found, for example, in the many references to the past achievements of the institution in terms of teaching and research. This RIU was previously found to have achieved the highest scores of the four RIUs in terms of quality and intensity of their research and graduate prospects (see Table 3.5,

section 3.2.3). It held one of the highest scores of degree completion in the group, whilst also having the highest entry standards. This RIU was placed 1st within the group based on overall of ratings. It seemed that the teaching oriented policies were less prominently priorities in the organisational activities in this RIU based on what was found in the empirical data. This despite the exploration showing that the formal guidelines outlined in the institutional guidelines did highlight both the student experience, and high quality teaching as priorities.

The third RIU was named the virtual RIU because the exploration showed that it had outlined aims to move its development to a new era with a focus on enhancing the way the institution is globally connected, for example, on-line. These developments were presented to overarch both teaching and research activities of the institution. They were presented to benefit them in terms of improved reach of and grounds for practices. This RIU was previously shown to have achieved among the highest scores of the four RIUs for mainly the intensity, but also for the quality of their research (see Table 3.5, section 3.2.3). It was rated 2nd in relation to student satisfaction, student-staff ratio, and degree completion, and in the overall scores within the group it was placed 3rd. The empirical data does not allow a drawing a fully comparable picture of this RIU because it was only represented by one interview. Some indications were found in the data that this RIU had only recently begun to fully engage with (and implement) more teaching oriented policies.

Finally, the fourth RIU is described as the innovative RIU because the approach to teaching and research in its strategies included a liberal perspective that was not present in a similar way in the strategies of the other RIUs. This liberal approach was integrated in the aims and outcomes the RIU set for institutional practices. These included, for example, flexible and personalised ways of providing teaching, and encouraging originality in what and how is explored in research. This RIU was rated a split 2nd in terms of degree completion, and 3rd in terms of research intensity, and student-staff ratio. It was 4th in the ratings of student satisfaction, research quality, and intensity, and graduate prospects placing it in 4th place overall in the group. The empirical data showed that this RIU seemed to be similar to the students RIU in the sense that it had actively

engaged with current HE policies focus on student experiences and high quality teaching.

Variability regarding how much teaching and research are expected of an individual in different roles in the RIUs was identified in the empirical data. The participants were expected to do some other work beside the varying combination of research and teaching. Depending on the institution this work was found to relate to leadership, management, administration, consultancy, or engagement in, for example, internal committees or external school visits, for staff working in education departments. The amounts of hours to be dedicated to each type of work were frequently referred to in percentages.

Versatility in the RIUs about what the academics do in their work is identified in the interviews. The participants explained the tasks included in their work through, for example, diverse teaching, administrative, leadership, and research tasks when they talked about what they usually do in their work. The participants described teaching mostly in terms of lecturing, supervising, tutoring, marking, and facilitation of small group learning. They also gave plenty of descriptions of administrative tasks involving developing modules and programmes, managing programmes, and coordinating modules, programs, and year cohorts. The impression of the versatility of these academics related to the contents of their roles is completed by the various leadership activities they said that are involved in. The participants' descriptions of work often included participation in various panels and committees, being leaders of programmes, and degrees. The descriptions of research tasks mostly involved writing papers, abstracts for conferences, and grant applications. The planning of research projects and doing lab work or literature reviews were also discussed.

The versatility of the contents of the roles was found to include different activities depending on the orientation of the roles the academics hold. The participants' descriptions of research work differed somewhat depending on the orientation of the roles and careers. Their descriptions were not found to differ much when it came to the descriptions of teaching. The next sections present key findings of the case studies relating to the identified potential the studied

RIUs have for succeeding to reaching even higher levels of teaching excellence and the identified difficulties that should be addressed in them. Table 5.1 summarises the discussed features of

- **The students RIU**
- **The Collaborative RIU**
- **The Virtual RIU**, and
- **The Innovative RIU.**

The summary shows that the RIUs are similar in many ways but that there are some differences between them too. They also show that RIUs do provide means for improving teaching, and that the academics are positively attuned to participate in these activities.

Findings	Students RIU	Collaborative RIU	Virtual RIU	Innovative RIU
Favourable factors for institutional teaching excellence				
Use of the UKPSF for benchmarking teaching excellence	√	√	(√)	√
Use of the HEA fellowships for recognising teaching excellence	√		(√)	√
Academics active participation in credit bearing professional development in teaching	√			√
Exemptions for certain academics from professional development in teaching		√		
Academics appreciation of the work environment in RIUs	√	√		(√)
Academics interest in teaching, research and students	√	√	√	√
Obstacles for institutional teaching excellence				
Insufficient recognition of teaching work	√	√		√
Career development mainly based on research achievements	(√)	√	(√)	(√)

(√ indicates which RIUs the findings were from)

Table 5.1 Key features of the four RIUs

5.3 Multilevel grounds for success in teaching excellence

The data shows that the four RIUs offer opportunities for enhancing the position and practices of teaching by identified organisational frameworks. They are to

some extent also found to offer related mechanisms to professionalise education. These are aimed at supporting the academics when the educate professionals (both future and current).

To begin with it may be useful to have a look at what the data showed that professionalism is from the participants' point of view. A few of them mentioned that they found the definitions for it provided by either the university or the government to be problematic. They found that these definitions were based on, for example, league table success and REF and NSS metrics, and presented narrow and flat understandings of what it meant to be professional. These views originated from **the students RIU**.

Looking at what the participants said in the interviews about the professional climates of their RIUs, it seems that they think that being a professional involves, for example, acting professionally and confidently, doing their job properly, treating people for who they are and being respectful of others' expertise and experience. People who are friendly, democratic, understanding, approachable, helpful, supportive, passionate, thoughtful, intellectual, reliable, polite and very clever seems to represent professional individuals for the participants in their RIUs. In the interviews, they express how these individuals are good to work with and how they show their professionalism by being committed to their jobs and wanting to do well in it and being open to sharing their thoughts and ideas.

The following sections discusses what the grounds are for RIUs to achieve even higher levels of teaching excellence by first presenting findings on the extent the studied RIUs are actively making efforts toward these aims. After this the potential these efforts have to succeed in terms of findings that describe the professional cultures and academics in them is discussed.

5.3.1 Existing opportunities to develop teaching excellence

The four RIUs engagement in actively trying to improve the position and practices related to teaching varied. Three of the four RIUs seemed to have taken a very active approach to reach teaching excellence. They were found

use the mentioned metrics and support available for achieving educational excellence as outlined by governmental stakeholders as discussed in chapter 2. The three RIUs were **the students RIU**, **the collaborative RIU**, and **the innovative RIU**. The support for teaching related work in these RIUs seems connected to the UKPSF for benchmarking success within HE teaching and learning support (The Higher Education Academy). It has been identified in the participants' explanations on the support they have for doing their work (mentioned by 12 of the 33 interviewees). The interviews also show that these three RIUs use this set of professional standards, and give the opportunity to the participants to apply to the HEA fellowships so that they have concrete evidence of their achievements in teaching (mentioned by 7 of the 33 interviewees). It was mostly discussed by the academics that were in the early stages of their careers and who worked in the discipline of medicine. **The students RIU** and **the innovative RIU** seemed to have implemented this framework efficiently since a majority of the academics from them had a HEA fellowship. There were indications that **the virtual RIU** had taken an initiative to take a more active approach to supporting teaching related work and recognise excellence in it, but evidence showed that this was still at the time of the data collection in very early stages. These findings show that the RIUs have adapted mechanisms that enable them to develop promotion criteria that emphasise teaching achievements in addition to other mechanisms intended for measuring teaching quality (see pg 41-43).

The origins of interviews that led to the identification of the mechanism of the HEA fellowship are presented grouped by stages of careers and disciplines in Table 5.2:

Discipline and career stage	Career stage
Medicine	
-Early Career	5 (42%)
-Senior	2 (17%)
Education	
-Early Career	2 (17%)
-Senior	0 (0%)
Law	
-Early Career	2 (17%)
-Senior	1 (8%)
Total	12 (100%)

These participants also discussed various other institutional and national non-credit bearing courses, which they had participated in for their professional development (mentioned by 9 of the 33 interviewees).

The existing mechanisms identified in the interviews related to professional development show that the RIUs are to some extent taking a positive approach to improving teaching related matters in these contexts. The data also shows that the academics interests and positive attitudes toward professional development provide good grounds for the institutional approaches taken to succeed. The following section presents more detail about the positive grounds institutional approaches have for succeeding to achieve educational excellence. These include findings that show how the academics have mainly positive experiences from courses for professional development and on how they are interested in developing their professional skills.

5.3.2 Active participation in opportunities to develop

The data shows that the academics across all of the participating RIUs had actively participated in opportunities for developing their professional skills and knowledge. They mirror the findings that academics are actively engaged in activities in the HE field as discussed in chapter 2. The participants described a wide variety of experiences of their participation in opportunities for professional development. The participants' experiences of professional development were generally positive (31 of the 43 talked about experiences) and outweighed negative or mixed experiences (6 mentions of the 43 experiences). It was not found that the orientation of the role would have had any significant effects on the quality of these experiences. Academics across **the students RIU**, **the collaborative RIU** and **the innovative RIU** were identified to have had mainly positive experiences. The mixed experiences expressed by some of the participants often related to making efforts to see the positive side of things in certain situations. These situations had come up when, for example, they maybe had attended a course, which was not directly suitable for their needs. These sentiments were expressed by academics from **the students RIU** and **the virtual RIU**.

The participants spoke in the interviews widely about being interested in the professional development opportunities widely offered to them by the RIUs, but how they to their disappointment almost always found that they did not have time to participate. These kinds of sentiments were expressed by academics from **the students RIU**, **the collaborative RIU**, and **the innovative RIU**. Table 5.3 shows the qualities of experiences of all mentioned opportunities for professional development.

Professional development opportunity / Experience	Positive	Both positive & negative	Negative	Total
Credit-bearing courses	9 (60%)	4 (27%)	2 (13%)	15 (35%)
Non-Credit bearing courses	7 (58%)	2 (17%)	3 (25%)	12 (28%)
The HEA Fellowship by CPD route & direct application to the HEA	8 (100%)	0 (0%)	0 (0%)	8 (19%)
Workshops / Seminars	4 (80%)	0 (0%)	1 (20%)	5 (12%)
Peer review	3 (100%)	0 (0%)	0 (0%)	3 (7%)
TOTAL	31 (72%)	6 (14%)	6 (14%)	43 (100%)

Table 5.3-Quality of experiences of professional development

The interviews showed that the majority of the overall positive experiences that the academics had from the professional development activities were from courses involving several events and activities. The participants found these courses useful, for example, for reflecting on practices, learning about different learning theories and exchanging experiences and good practices with colleagues. They were also found to experience them as interesting in giving the opportunity to think and read about the wider context of HE. The few negative experiences that participants said they had had from these courses were, for example, about the usefulness of them. The negative experiences relating to the timing of these courses was connected with the participants experiencing that they were sometimes required to do them too early in their careers. The few negative experiences of the credit-bearing courses that were mentioned in the interviews were, for example, about how they had not been helpful in giving practical training in teaching. The academics that had these experiences were from **the students RIU** and **the innovative RIU**, which had taken an active approach to improve position and practices of teaching. These

findings support the findings presented by Weller (2009) on the positive attitude the academics have for participating in opportunities to develop their knowledge and practices (see pg 112).

The participants spoke in the interviews about experiences of a wide variety of non-credit bearing courses for professional development. These included, for example, foundation courses for teaching and courses for using technology for teaching. The participants were positive toward informative courses that provided practical instructions. What they did not like was, for example, having things explained that they already knew. These experiences were discussed by academics from **the collaborative RIU** and **the innovative RIU**.

The participants' positive experiences of professional development connected to the UKPSF and the HEA included, for example, fellowship by CPD-route and direct application to the HEA. The positive experiences included, for example, finding them interesting in giving them the opportunity to think and read about the wider context of HE. The positive experiences of choosing not to do the CPD-route and applying directly to the HEA for a fellowship on the portfolio route included finding the HEA website and staff helpful, and enjoying the process of reflecting and documenting prior experiential learning and practices. These findings further support the findings of Weller (2009) that academics find professional development opportunities useful for developing their skills even though they felt that the mechanisms used restricted opportunities to reach their full potential (see pg 112). The importance of these findings of institutional activities relating to teaching is that they show the RIUs efforts to implement current HE policies (see section 2.3.4). It was naturally academics from the three RIUs identified at the beginning of this chapter to have implemented this framework that discussed these experiences.

Other professional development activities that the participants mentioned having positive experiences from included one-off events such as workshops, seminars, and institutionally organised peer reviews. Their high quality and usefulness in developing skills and improving practices by practical exercises in classrooms and small group teaching were found to having led to good experiences for academics in **the students RIU** and **the innovative RIU**. In

contrast to this, one participant was found to speak about not having found the workshops he had participated in useful. This academic was from **the virtual RIU** where the institutional approaches toward improving teaching were only just initiated. Experiences of peer reviews involving interaction and exchanges of ideas and good practice between colleagues were found to be positive.

The orientation of the participants roles did not affect their experiences from professional training. Previous studies have, for example, evidenced that senior academics have mixed views on opportunities they have participated in (see Weller, 2009, 105-106). The empirical data of this study on the other hand showed, for example, a teaching-oriented participant working in the discipline of education from **the students RIU** to mention the positive experiences he had from professional development. He explained his experiences in terms of, for example, the freedom he had to the course at times that were convenient for him. He had also experienced that the possibility to reflect on his own experiences, and the possibility to interactively learn with his colleagues had benefitted his learning and his teaching skills. Another, research-oriented participant working in the discipline of medicine in **the innovative RIU** explained what was identified as his mixed experiences of professional development. He described his experiences in terms of the benefits of the practical skills he had acquired which had also increased his confidence to teach. He also mentioned the overly theoretical content of the course and that critical discussions on the validity of the theoretical content were not allowed.

Comparing the participants experiences of mechanisms for professionalising education to how they say that they learn about ways to deepen and improve their practices as teachers show that they fit each other well. Indications are found that this is true especially in the area of reflecting on practices. It is because the interviews show that reflection of practices is included especially in the HEA related activities, and the participants say to a large extent that they learn to improve their teaching this way (mentioned by 25 of the 33 academics).

The other ways that the participants say they learn to improve how to teach includes interactions and conversations with colleagues, formal training, and experience (mentioned by 20, 9 and 10 of the 33 interviewees). The interactions

and conversations with colleagues are found to involve, for example, exchanging ideas and experiences in informal conversations. They can also involve observing and mentoring each other's teaching and talking about it and involvement in team teaching. The interactive elements were found to be a big part of the good experiences the participants said they had of the professional development activities. The formal training that they mentioned included, for example, many of the professional development courses and the HEA related activities. Those participants that found they learned from experience mentioned, for example, learning from trying out new things and finding out what works and what does not. However, they were found to see that it was important to have good support in the early days of being a teacher in gaining the experience to teach. Conferences and seminars where new information is shared and where there are opportunities to talk with colleagues across disciplines were mentioned in the interviews to a somewhat less extent as ways to learn (6 of the 33 interviewees). The classic way of learning from reading was also mentioned by a few (5 of the 33 interviewees).

The participants often talked about how their learning was a combination of the different elements mentioned above. The data indicate that the ways that the participants spoke about how they learn to improve their teaching practices exist in the professional development activities that they had experiences from. There does not seem to be much missing apart from the learning from experience. That, on the other hand, takes longer periods of the time, which the participants often said they feel is limited for these kinds of activities.

Mechanisms that are comparable with learning preferences were identified to exist in support of teaching and development in the realities of the RIUs. The data also shows that the institutional mechanisms have the potential to reach the intended outcomes because academics were identified as self-oriented toward students and improving practices in teaching and research. The next section discusses these findings in closer detail what these include.

5.3.3 Appreciative Cultures

The appreciative cultures that were found to exist in the participating RIUs are identifiable by the appreciation their members express about working in these institutions and in their departments.

5.3.3.1 Appreciation of the RIUs

The data indicate that many of the participants seem to appreciate the general context they work in as academics from all the participating RIUs mentioned this in equal measures (mentioned by 13 of the 33 interviewees). For many of the participants, the research intensity and reputation was the reason they had chosen to work in their RIUs (mentioned by 11 of the 33 interviewed interviewees). These academics were mainly from **the students RIU**, and **the collaborative RIU** with a few from **the innovative RIU**.

The findings showing that academics appreciate their RIUs is encouraging, not only because a great deal of importance is placed on the connection to research and reputation as RIUs by the participating institutions, but also because these findings indicate that the academics that work in them are more inclined to respond positively to the organisational aims.

It was found that it was mostly research-oriented participants that had made their choice based on the research intensity and reputation. However, there were a few of the teaching-oriented participants who said they had made this kind of choice too. These participants explained their choice by talking about how they felt that choosing to work in RIUs enabled them to come closer to relevant and rigorous research as well as increased their chances for being successful in research. They also said that the RIUs offered opportunities for them to work in a high-quality institution and to collaborate with others in research. These participants expressed how they felt that the RIUs provided stimulating environments where they constantly learn and develop. They also spoke about how they in these contexts have freedom and autonomy to engage in both research and teaching in, for example, developing and performing

different tasks of their work. These sentiments were mainly expressed by academics from **the students RIU**, which might suggest that this institution has been successfully combining their enhanced focus on research with their focus on teaching. They were also from **the collaborative RIU**, which in turn might not be as surprising as the institution has been recognised as producing the highest level of research of the four participating RIUs.

The participants that did not make the choice based on the research intensity or reputation of the institution made their decision more by, for example, where they found and got a job (mentioned by 7 of the 33 interviewees). The analysis showed that the orientation of the role, stage of career or discipline was not identifiably affecting this kind of decision. It also showed that these academics were in equal amounts from **the students RIU**, **the collaborative RIU**, and **the innovative RIU**.

A summary of the appreciation for the RIU contexts, perceived importance of their reputation and the familiarity with the wider university context identified in the interviews is presented in Table 5.4 grouped by stages of career and disciplines of the participants:

Discipline	Career stage	Appreciation of context	Importance of reputation	Closeness to department
Medicine				
-Early Career	7 (21%)	3 (25%)	2 (18%)	5 (36%)
-Senior	9 (27%)	3 (25%)	3 (27%)	4 (29%)
Education				
-Early Career	6 (18%)	2 (17%)	2 (18%)	2 (14%)
-Senior	5 (15%)	2 (17%)	3 (27%)	3 (21%)
Law				
-Early Career	4 (12%)	1 (8%)	1 (9%)	0 (0%)
-Senior	2 (6%)	1 (8%)	0 (0%)	0 (0%)
Total	33 (100%)	12 (100%)	11 (100%)	14 (100%)

Academics working in the discipline of Medicine seem by Table 5.4 to appreciate the context of RIUs most, and the senior members of those faculties and those in Education seem to think that the reputations of the RIUs are important.

5.3.3.2 Appreciation of the departments

Interestingly the academics that appreciate the reputation of their workplace also seem to be closer to their departments rather than the wider university. When the participants explained details about their reality in the RIUs in the interviews, it often seemed as if they are familiar, close and connected to their department, but disconnected from and unfamiliar with the wider University (mentioned by 14 of the 33 interviewees). It becomes especially clear when looking at what they said when asked if they felt that their university appreciated their teaching. Many of the answers reveal that the wider university is not something that the academics have much to do with and there is a lot of uncertainty of whether they and what they do is known in that wider context. In many cases, the appreciation of teaching was found to come from the narrower context of departments. It was found that the narrower contexts seem to be largely made up of environments where the participants have friendly, democratic, and collegiate interactions with their colleagues as they do their academic work (mentioned by 14 of the 33 interviewees). However, not everything is only positive in these environments as examples of difficulties in collaboration are also widely identified (mentioned by 15 of the 33 interviewees). Having to deal with existing hierarchies in departments, and a variety of personalities, preferences, and attitudes especially toward teaching but also toward research are some of the things that the participants speak about which can be found to break the otherwise pleasant atmospheres in the narrower contexts. These findings seem to support the evidence of the unmotivated research-oriented academics in terms of teaching and the different cultures that previous studies have shown exists in RIUs (see 101; 104-105).

The orientation of the role was not found to have an effect on how the participants experienced the closeness with their department and unfamiliarity with the wider university. The following quotes show this. For example, a teaching-oriented participant from **the collaborative RIU** was found to show the distant relationship he has with his university when discussing the professional climate there in the following way:

“The only thing is that I don’t have very much to do with the university in a larger sense... there are some attempts to involve us in the general sort of things that are going on in the University, for example, you know, there could be a teaching and learning conference in the past, and I would go to that, but by large, I suppose we’re pretty insular, we stay in our faculty and we do our thing, you don’t have a huge amount to do with the University at large...”

(Teaching-oriented senior academic, discipline of Medicine).

Another teaching-oriented academic from **the innovative RIU** showed her distance to the university at large and closeness to her immediate context in the following when discussing how she feels her teaching work is only mainly appreciated by her departments and how she feels insignificant in the eyes of the wider university:

“I don’t know if it is appreciated by the university as a whole but I have to say that I think that the sort of formal and informal feedback that I get back from my department is that my teaching is highly appreciated and I think that there is a perception that I am quite professional about the way that I go about things which is nice but I doubt that the university widely has a much of a clue of what I do (laughter) because my course is so niche and doesn’t apply to undergraduate students so... you know, the numbers are small but, you know...”

(Teaching-oriented senior academic, discipline of Education).

From the research-oriented perspective of one participant from **the collaborative RIU**, the same feeling continues. However, her answer to the question if she felt her University had appreciated her teaching showed at the same time that the meaning of the appreciation of teaching might not be all it maybe should be, as it does not translate into anything meaningful in the long term. It is possible that the high quality research outputs and the attention to them in this RIU may contribute to these kinds of experiences. The academic explained:

“... it’s appreciated at particular moments in time, so when you have exam-boards, when the course does well so it attracts a lot of students, but it is incredible, it is very, very quickly forgotten about and it plays no role whatsoever in the professional standing that you have or your place within the department... you know, you get patted on the back every now and so often for doing well, but actually it doesn’t seem to really count for very much when it doesn’t get recognised in other ways...”

(Research-oriented senior academic, discipline of Education).

These findings show that the concerns about how HEIs/RIUs succeed in implementing policies to improve the practices and position of teaching might be justified (see pgs 48-50). They also show that the HE field in England and Wales has similarities with the HE field in the USA where previous studies have shown that research is valued over teaching (see pg 98).

The presented findings have evidenced the participants appreciation of their workplaces and departments and can give indications that this could lead them to be more inclined to want to work toward what is best for the RIUs they work in. Interestingly the discussed findings show that the participants evidenced the existence of cultures in RIUs that include features official cultures that previous studies have theorised about (see pgs. 110-111). These academics largely appreciated and actively participated in institutional opportunities for professional development showing their connections to the identified official cultures. The following sections presents findings, which will further strengthen the sense that the academics working in RIUs are a significant factor to be utilised in efforts to reach teaching excellence.

5.3.4 Positive orientations of academics

The data shows that there is great potential in the RIUs to enhance the position and practices not only by the existing institutional structures and mechanisms, but also in terms of the qualities of their staff as determined by their interests. These include interest in students, research, and teaching (see Table 5.5). The interests of the participants were found by looking at what they frequently mentioned for whatever reason in the interviews.

The expressed strong interest academics have in their students shows that the emphasis on students experiences outlined in the current HE policies discussed in chapter 2 is a familiar and natural part of the way they work. It can mean that that the quality of the practical part, i.e. the education, which has the closest connection to the students of the institutional activities, is ensured. Additional findings that will be discussed in this section will provide further evidence for this impression.

Discipline	Interest in students	Interest in teaching	Interest in research
Medicine			
-Early Career	7 (21%)	7 (30%)	5 (28%)
-Senior	9 (27%)	4 (17%)	4 (22%)
Education			
-Early Career	6 (18%)	4 (17%)	3 (17%)
-Senior	5 (15%)	5 (22%)	2 (11%)
Law			
-Early Career	4 (12%)	3 (13%)	2 (11%)
-Senior	2 (6%)	0 (0%)	2 (11%)
Total	33 (100%)	23 (100%)	18 (100%)

Table 5.5 Interests of academics

5.3.4.1 Interest in students

The most noticeable finding was that all of the participants (regardless of the RIU or discipline they worked in or the stage they were at in their careers) talked a lot about their students (see Table 5.5). These findings support the theorisations about the favourable grounds for achieving even higher levels of teaching excellence that exists in the studied RIUs. They also support the discussions about the needs for continuous development of activities related to teaching in the RIUs (see section 6.3.2).

Comments about students were present in all of the interviews and most of the interviews contained several of them. Because the participants spoke about their students in connection to various aspects of their work in HE, it seems that they play a vital part in their reality of work in an RIU. The positive comments about the enjoyment of being able to see and follow the development of the students stood out (mentioned by 13 of the 33 academics). Other positive comments included, for example, reference to the enjoyment arising from discussions with students, leading student learning and learning with them, and working together with high-quality students. The importance of the students was highlighted by the interest expressed by the participants in their well being, achievements, and progress. It was also highlighted in the care that was shown when the participants explained how they had and wanted to be available to offer support and guidance when students faced difficulties, issues, and challenges (mentioned by 13 of the 33 interviewees). Students also seemed to

be important enough to be worried about. Many of the academics said that they were concerned about, for example, the utility of the teaching as well as giving students the best possible tools they need for succeeding in future employment (mentioned by 18 of the 33 interviewees). These concerns may relate to the vocational or professional orientation of the disciplines the participants were recruited from and findings based on views of academics from other disciplines may be different. The analysis showed that the academics commonly shared the view that the relationship with the students was a key positive aspect of their work (mentioned by 28 of the 33 interviewees).

The job orientations of the participants were also not found to matter when it came to being interested in the students. It can be seen in the following quotes from research and teaching-oriented participants. One teaching-oriented participant from **the virtual RIU** talked, for example, about his students in relation to the reasons for him to work in HE. He explained his deep care to help students make the most of the great opportunity to study at a university in the following way:

“... I actually care about the students on a day-to-day level and supporting them effectively and making sure that they get a great educational experience out of it because when you think about, you know, my parents’ generation and their chance to get go to university, which was very limited and within a generation going from that to almost every everybody having a chance to have a real opportunity to go to higher education if they, you know, work hard and get the right qualifications, I think it’s just an incredible opportunity for people and they really need to make the most of it and that is something that is being made obvious to me in my time working in the sector and I do passionately believe in that and I do care about the students on a day-to-day level both in an educational sense and usually pastoral sense because the two are interlinked, you know, fundamentally always, I care how they feel and how they are doing and whether we can do things better at [name]...”

(Teaching-oriented senior academic, discipline of Medicine).

The interest in students was also very much shown, for example, by one research-oriented participant from **the students RIU** when she explained the teaching related tasks of her role and how she made herself available for students so that they would be assured that they have a supportive environment for their studies. This academic explained:

“... we have one hour a week that is dedicated to the students, um, as an open, they can come on that hour without making an appointment, but that doesn't mean that it's the only time they can see me, so I tell the students that if they do have any problems or questions then I try to emphasise that there's no such thing as a stupid question... that they can e-mail me or come and see me after the lecture or, you know, speak to me...the most difficult thing students who come to the University have to face is to find out that they are not going to be spoon-fed and that they are responsible for their own learning... but we're still here... I've tried to teach them to be responsible for their own learning but obviously the safety net is there if they need it... so that's my approach to teaching...”
(Research-oriented senior academic, discipline of Law).

The empirical data showed that the academics were also interested in the research and teaching activities in their roles, which will be discussed next.

5.3.4.2 Interest in teaching and research

The academics strong interest in teaching and or research could be identified in the interviews from the way the participants talked about their experiences. The analysis showed that a majority of academics from **the students RIU** (12/15), **the collaborative RIU** (8/11) and **the innovative RIU** (5/6) expressed an interest in teaching.

The identified interest for teaching was slightly more present (23 academics of 33 interviewed) than interest for research (18 academics of 33 interviewed). The nature of the research topic, the composition of the interviews, and the sample of academics that participated may have also affected this impression.

The interest for teaching was found in comments reflecting commitment to teaching and high-quality education. Those participants with an interest in teaching showed devotion to developing personal skills and knowledge as well as practices and methods. Many explained that their colleagues share this kind of devotion. One teaching-oriented participant from **the collaborative RIU** talked about his devotion when discussing his concerns about the students getting value for the tuition fees they pay for their education. He expressed his concerns of the employability of his students in the following way:

“...generally based on evaluations I am happy that we are giving them [students] enough but ... I think that because especially these, the postgraduate students especially, are competing in a highly competitive job market in [subject]... I am devoted to thinking much more about getting people onto careers and so on and so forth and we have more universities stuff about that but it would be nice to do that bit more at our institute level but I personally find that it is difficult to find the time for it because I'm teaching so much...”
(Teaching-oriented senior academic, discipline of Medicine).

The concerns expressed by this academic about the employability of students highlight the increasing emphasis put on the issue in the HE field and how it is played out in the realities in the RIUs. This emphasis is, for example, a visible part of the aims of the work of reforming the Destination of Leavers from Higher Education (DLHE) survey and developing the Teaching Excellence Framework (TEF) (see The Higher Education Academy, 2016). The work that is involved in them will very likely only increase the focus on employability but hopefully also provide useful means for the academics to actively improve it.

Another teaching-oriented participant from **the collaborative RIU** also spoke about his devotion to teaching. He mentioned it in connection to expressing his perceptions that the RIU he worked in does not properly support to do the teaching related work or participate in the institutional activities directed toward professional development and recognition of it. He discussed these thoughts in the following way:

“... people on the [name] top do not care about teaching full stop, they care about teaching in the way that it makes them look, they care about teaching because they know that they have to but actually the main reason for the university is the production of research and you know that's kind of frustrating for somebody who is devoted to teaching, it's very frustrating ... teaching is so low on the list of peoples' priorities ... we understand, obviously, the university management understands that we have to teach students, we don't have a choice in that, we are a university ... the reason that they would devote attention, I mean the university does devote attention to teaching, there are opportunities for you in that they do, they offer you the opportunity to become a member of the Higher Education Academy or those kind of things, um, but what is, also does, or has, in my department is that people don't have time to do those kind of things because they just teach all the time...”
(Teaching-oriented senior academic, discipline of Medicine).

The devotion to teaching was found across the four RIUs and orientations. A research-oriented participant from **the innovative RIU** explained, for example, how he and his colleagues devote time and effort to teaching, but how it is not recognised in the RIU. He described how that creates a divide between academics that do not care about teaching and those that do. He explained his views in the following way:

“The good ones [academics] devote time and effort and get the feel good factor from having done a job well. Some others see it as a chore and believe it's a box they have to tick to gain advancement and will drop the teaching as soon as possible. This is often reflected in student feedback and as a coordinator, it's sometimes easier to teach the course oneself than have it half-heartedly done. It seems the faculty relies on the same few people who actually care about the students to take up the slack and believe everything is going well as they have little clue about the effort that those individuals have to put in to teaching so other people don't have to.”
(Research-oriented early career academic, discipline of Medicine).

As is seen above some of the comments reveal that the interest for teaching included aspirations to do the job in the best possible way. The interviews showed that this meant not counting the hours or having the tick-box mentality of playing the game of rewards and recognition for some of the participants. The interest in teaching and wanting to engage fully in it is evident in the way one participant in a teaching-oriented role from **the innovative RIU** explained the role of an educator:

“...it's just that actually there's an art in being an educator and actually, it's quite good when you have a few people who have spent their lives doing that, so they are actually experts in it.”
(Teaching-oriented senior academic, discipline of Medicine).

The interest for research was seen in the many comments made by the participants in the interviews reflecting enjoyment of the possibilities to develop, learn, and open up new areas. It was also present when they talked about the enjoyment of the freedom and independence of the work, for example, in terms of being able to choose what to research. One research-oriented participant from **the students RIU** showed his interest in research when he spoke about the reasons for choosing to work in a research-intensive university:

“Because I have always seen research as an important part of, you know, how I see myself as an academic I suppose and what I would have wanted to do... you know, to me one of the reasons for wanting to do this job is the fact that it is open ended, that there’s always the possibility to develop and to learn and to open up new areas, so that’s one of the reasons why I wanted to do this job, so I wouldn’t at the moment consider taking any role that didn’t have a research element in it...”

(Research-oriented early career academic, discipline of Education).

However, the same kind of interest for research was also identified among the teaching-oriented participants. For example, it was found in what a teaching-oriented participant from **the innovative RIU** said about what attracted her to work in HE:

“... I am interested in things, research that solves problems rather than the pure basic science research which this place is well known for and ... there was an opportunity here ... a lot of what our subject area [subject] is having the evidence base and move forward to find solutions to [subject] problems and so I saw that as a really interesting area, that I could bring something to the table based on my previous experience...”

(Teaching-oriented senior academic, discipline of Medicine).

The participants with an identified interest for research explained how it was the reason for coming to work in HE and staying in it. Many talked about how they would not want to have a job without a research dimension to it. Some participants talked about the happiness of changing into research careers from teaching within or outside HE. For a few participants, the interest for research reached beyond the many enjoyments mentioned inclusive of intellectual stimulation and development. They said it was something that was a part of who they were, and it was their academic identity. The teaching-oriented participants were not found to make the connection between their interest in teaching and their identity in similar ways in the interviews.

These findings on the academics interest in teaching and research evidence the existing potential within the studied RIUs to excel in teaching. These findings are similar to the findings presented in Chapter 2 about the interest of academics in actively participating in the development of policies and practices. However, they also evidence the existence of the pressures put on academic work affect views on teaching and research activities, as well as changes in academic roles (see pgs. 102-104). These findings support the presented

theorisations about the need continuous development of activities in the RIUs (see section 6.3.2). Further needs to make these kinds of institutional effort are found in the evidence of the academics being engaged and self-oriented toward teaching, which may also enforce the discourses of trust that has been shown to exist in RIUs (see pg 104). These can affect the commitments of RIUs to engage in the work needed to enhance the position and practices of teaching and lead to less favourable and engaged management approaches.

An additional, more practically oriented way to further show the potential the studied RIU have to reach even higher levels of teaching excellence is discussed in the following section. The additional potential is discussed in terms of the active and in cases innovative approaches the academics described that they had taken to improve their teaching and their students learning.

5.3.4.3 Active approaches to improve teaching

The interviewed academics reported that they had used many different ways to develop skills in teaching and enhance their students learning. Student feedback was reported as one way in which participants reflected on and changed their teaching practices. The participants frequently reported on how they used student feedback from, for example, student evaluations of courses or informal feedback expressed in conversations. Student feedback was reported as one way in which participants reflected on and changed their teaching practices. Academics from **the collaborative**, **the virtual**, and **the innovative RIUs** reported the use of student feedback to improve teaching.

A few of the descriptions of current teaching practices stood out because they highlighted something different about being an educator than the commonly expressed views. Some participants from **the students RIU** and **the collaborative RIU** explained, for example, their practices in teaching problem-based learning (PBL) in ways, which seemed innovative and could be inspirational to others (mentioned by 5 of the 33 academics). Four senior academics and one early career academic working in the discipline of Medicine mentioned this. PBL practices were found to include examples of different ways of combining experiences of professional practice with study work. For example,

in some of the ways of delivering PBL, the students were sent to observe the professional practices or they could listen to and speak with invited representatives from the field before discussing and writing about what they had found. The participants engaging in these kinds of activities were found to seek to enrich the learning experience by bringing together different aspects of professional practice.

The academics that described inspirational or innovative approaches to teaching represented both orientations of the role. They were also at any stages of their careers and came from any of the three disciplines. For example, with one of these participants it was the general attitude toward teaching that appeared inspiring. This teaching-oriented participant from **the innovative RIU** showed his inspiring attitude, willingness, and ability to take on anything that came up and make the best possible of the given circumstances. This was part of the explanation of the perhaps not so good experiences he had had while working in the university. He explained this in the following:

“... basically I’m used to not having all variables ideal and basically I work with the circumstances that you have at the moment, so... it’s not really helpful for the quality I think of a module if very shortly before the start of a module you are informed that you are actually teaching the module and again I understand that sometimes (laughter) it happens but ideally you would have a clearer picture quite a while before the start of the actual semester... so again, but this is an example of what I just said, I’m going to work with what comes my way anyway, so it’s going to be fine, but ideally, you would want to know this quite upfront, you would want to be sure about the room and the projectors and the technology, all of this working but there’s always something that’s going to be not ideal...”
(Teaching-oriented early career academic, discipline of Education).

Another participant was found to have an inspiring approach to teaching in the form of a holistic or well-rounded approach to educating. In this approach freely expressed thoughts were combined with background reading and used to develop critical thinking and practical skills. This research-oriented participant from **the collaborative RIU** talked about her approach to teaching in the following way:

“... latterly I did a regular small group seminar, bedside teaching, I’d teach on ward rounds, so I would, if I had students present I would teach them, so anybody who is with me, they would be getting taught, so at (name), when I am on the wards there, the students who are on my ward rounds are being taught and then I have set things that the syllabus demands that we do with them, which I do in addition... so I am an instinctive and natural teacher because I am prepared to think aloud and I am trying to teach the students diagnostic reasoning as well as clinical skills and also the importance of background reading all the time...”
(Research-oriented senior academic, discipline of Medicine).

The presented findings have evidenced that there is great potential in the RIUs to enhance the position and practices, not only by the existing institutional structures and mechanisms, but also in terms of the qualities of the academics that they employ. They have also shown that the academics are a valuable resource to harness in order to reach even higher institutional goals for teaching excellence. Their value has been evidenced in their natural well-rounded interest in their students, and active interest in teaching and research as well as to professional development.

5.4 Cautionary signs of barriers for success

The data shows that there are signs that some aspects of the studied RIUs are not in favour of reaching higher levels of teaching excellence. These include obstacles for enhancing the position and practices of teaching in terms of the troublesome relationship between teaching and research. The troublesome relationship between teaching and research was discussed by academics evenly across all the four studied RIUs. Other identified potential barriers to success include the institutional implementation of the emphasis on student experiences discussed current HE policies in Chapter 2. The signs of the emphasis on student experiences as a potential barrier for succeeding was mainly identified in the expressions of academics from **the collaborative RIU**, and to a much lesser extent in a few expressions from **the students** and **the innovative RIUs**. Details about the findings related to the barriers are presented in Table 5.6. The following sections will discuss these issues in detail.

Discipline	Career stage	Teaching and research -Valuation	Teaching and research -Distance	Teaching and research - Recognition	Emphasis on students
Medicine					
-Early Career	7 (21%)	4 (22%)	5 (45%)	7 (29%)	1 (4%)
-Senior	9 (27%)	7 (39%)	3 (27%)	6 (25%)	2 (9%)
Education					
-Early Career	6 (18%)	1 (5.5%)	2 (18%)	3 (13%)	3 (13%)
-Senior	5 (15%)	4 (22%)	1 (9%)	5 (21%)	2 (9%)
Law					
-Early Career	4 (12%)	0 (0%)	0 (0%)	2 (8%)	2 (9%)
-Senior	2 (6%)	2 (11%)	0 (0%)	1 (4%)	2 (9%)
	33 (100%)	18 (100%)	11 (100%)	24 (100%)	12 (100%)

Table 5.6-Barriers for success in teaching excellence

5.4.1 Contradictory ways of operating to reach institutional excellence

The findings show that there are difficulties within the organisational structures and operations in the studied RIUs. The difficulties include the functionality of the used institutional and national mechanisms. As discussed before institutional mechanisms that are comparable with learning preferences were identified to exist in support of teaching and development in the realities of the RIUs. Two themes that show that other things sometimes come in the way of the academics abilities to make the most out of them were identified in the experiences of professional development. These were the exemption that **the collaborative RIU** was found to offer to academics with degrees in education from these kinds of activities, and the lack of time to attend them the participants experienced (mentioned by 7 of the 33 academics respectively). The participants were mostly found to see the exemption from mandatory programmes leading to teaching qualifications as a good thing that was saving time and effort from having to attend courses. However, in contrast, some participants did say that the exemption was not necessarily a good thing because a degree in education does not automatically guarantee the ability to teach. The difficulties of research work was mentioned by some participants in terms of, for example, struggles to find the time to do research, and how value

put on meeting RAE/REF-based expectations can have a negative effect on research.

Findings indicated that there are also other times when organisational frameworks work against each other. It might also be that solutions for these kinds of problems may be achieved by changing some of them as often noted by many of the participants in the interviews. The next part takes a closer look at the identified problematic organisational frameworks. These are related to the identifiable relationship between teaching and research in RIUs and in academic work.

5.4.1.1 Obstacle for achieving higher levels of teaching excellence – uneven valuation and recognition of teaching and research work

Participants often described the relationship between research and teaching as troublesome. They often connected the difficulties in this relationship to, for example, the unequal value that the participants from all of the studied RIUs felt was given to them. Participants mentioned in the interviews about how they feel that teaching was not valued as much as research in the RIUs (mentioned by 18 of the 33 interviewees). The participants said, for example, that the unequal value given to teaching and research affected the RIUs' distribution of investments. The academics mentioned that it had created hierarchies within departments amongst academic staff where the teaching-focused academics are at the bottom. These views were expressed by the academics from **the collaborative RIU**. The interviews also showed that participants who worked in the disciplines of Medicine or Education, regardless the stages of careers felt this way (see Table 5.6). The findings that will be discussed in this section will further show that the participants also had features of what previous studies have been discussing as belonging to oppositional cultures (see pgs. 104-105). The participants were found to exemplify features of the oppositional cultures when they discussed their devotion to teaching, and when they expressed their views on how their RIUs were favouring research over teaching.

The general sense among the academics was that teaching and the related work is not adequately recognised by their RIUs (mentioned by 24 of the 33 interviewees). These views were mainly for the academics from **the students RIU** and to a lesser amount from **the collaborative** and **the innovative RIUs**. The interviews showed that participants who worked in the disciplines of Medicine or Education sensed this regardless of the stage of career (see Table 5.6). Also, it was found that institutional mechanisms for recognising research work are perceived to be robust while the ones for teaching are seen as much weaker. This may have a connection to the participants perceptions that there is a distance between research and teaching-oriented academics and that the attitudes toward and engagement in teaching vary in the institutions (mentioned by 11 of the 33 interviewees). There were indications that in many cases it was early career academics in the discipline of Medicine that felt the distance (Early career academic in Medicine 5 /11, 45%; see Table 5.6).

Both research and teaching-oriented participants were found to experience the relationship between research and teaching as problematic. A teaching-oriented participant working in the discipline of Medicine from **the virtual RIU** explained, for example, how he sees the relationship between research and teaching being problematic in his RIU. This academic had found that he was no longer supported by his RIU in his efforts to improve the courses he worked on. He found that his RIU did not value teaching as much as research because the RIU was choosing to direct the resources it had more toward research activities instead.

Another research-oriented participant working in the discipline of education from **the collaborative RIU** talked about this troublesome relationship in connection to mechanisms for recognising academic work. She had previously experienced that she had not enjoyed the same academic freedom when working mainly with teaching as she had done later when she had become more research-oriented in her career. She explained how she had been closely micromanaged and required to justify her work and constantly obliged to take on heavy workloads when she was in a teaching-oriented role. This participant explained that she had found that academics in research-oriented roles were recognised in terms of, for example, the trust and freedom they were given to do their work

in terms of being able to manage their own time and professional development. She also mentioned how academics in research-oriented roles were enjoying informal forms of recognition. She explained these in terms of being given the opportunity to have certain strategically important roles within the RIU based on their achievements in research. The existing recognition of teaching in the RIU was more unstructured and had less impact on the individuals' careers because of their temporary nature according to her.

Comments relating to improving the relationship between research and teaching were widely present in the interviews when the participants shared their views on academic work (mentioned by 14 of the 33 interviewees). These show that the participants had, in general, a positive attitude toward closing the gap between research and teaching. The positivity was mainly identifiable in the comments from **the students RIU** and to a lesser extent from **the collaborative, virtual, and innovative RIUs**.

Some of the participants were found to see it as an institutional issue connected to, for example, top-down management. Their suggestions for improvements included, for example, balancing the distribution of research and teaching-oriented staff and giving equal amounts of support and guidance for getting better in and dealing with problems in both. These suggestions also included ideas of combining the two by, for example, allowing teaching-oriented academics to develop their expertise by research, and letting them work together with research experts in developing and organising education. These views were expressed by academics from **the collaborative RIU**.

The interviews showed that for some other participants closing the gap was more a personal thing. It was seen in a few descriptions about being successful in what was thought of as a challenging task of combining the two. The interest and enjoyment of combining research and teaching were talked about by both research and teaching-oriented participants from **the innovative RIU**. The success came in these examples from recognising the importance of having both research and teaching in academic work, and doing the best they could in what they had to do in the circumstances they had. In other words, the balanced favouring of research and teaching may well have supported the

success of these participants and similar approaches could help overcome some of the mainly troublesome issues in this relationship.

Some indications that the relationship between teaching and research may be improving in the RIUs were found. The positive outlooks in the issue were identified in a few of the participants explanations of, for example, how changes in the focus and people in top positions in the virtual RIU could bring cultural changes toward improving education and blending teaching and research. The next section offers a closer look at how institutional structures and mechanisms operate. It includes description of how the relationship between teaching and research manifests itself in the reality of the RIUs.

5.4.1.2 Obstacle for enhancing the position of teaching in RIUs -Career development structures

This part is about the difficulties encountered in the support structures and mechanisms of academic work and careers in the RIUs. The most noticeable difficulties were identified in the structures and mechanisms for career development. The general view among the participants across all of the studied RIUs is that the benefit from professional development should be a promotion. A teaching-oriented participant from the collaborative RIU, for example, called it the rights of a person who works so that they meet the requirements set for them. She explained these thoughts when answering if she felt that the university had appreciated her teaching. She said:

“... um, appreciation... that’s a funny word really, because if someone is eligible for promotion, it’s not a matter of appreciation, it’s a matter of what is their right in a way, you know, someone who has worked to a certain level and is working in such a way that they meet those requirements, it’s not appreciation (laughter)... it’s what should happen...”

(Teaching-oriented early career academic, discipline of Medicine).

This quote shows that the way that the RIUs follow the academics development is by various mechanisms for promotion where the meeting of certain requirements or criteria is evaluated. The participants talked in the interviews about the mechanisms in terms of processes of performance development, programmes of professional development or rounds for promotion. It was found

that the participants see career pathways take different forms in the RIUs depending on the orientation of role. They see that they are connected to different organisational frameworks and mechanisms for promotion in the RIUs. It is here where the main difficulties of institutional approaches to enhance the position of teaching contrast the governmental recommendations for heightening educational quality. The reason is because they still do not seem to provide career advancement based on teaching ability (see pg 39).

Indications that the participants picture of the research pathway is that it contains a demanding time of probation in the beginning requiring new academics to do their best to deal with dual performance expectations. These expectations were found to include, on the one hand, excelling in research by securing funding and get publications that meet certain criteria. On the other hand, they were found to include dealing with large teaching loads. The teaching expectations were mainly discussed in terms of the NSS and found in the interviews from the students RIU. The successful completion of the probation period was found to result in promotion according to these participants. They thought that the research pathway continues to be very research focused after this with not much time or support for doing or advancing in teaching.

The research focus involved giving attention to, for example, generating research income, and to producing publications in high-quality journals according to the participants mainly from **the collaborative RIU** and a few from **the students** and **the innovative RIUs**. The participants felt that further progress on the research pathway was mostly related to active engagement in research, even though in some cases it can be strengthened by engagement in teaching. The benefits that the participants saw with this pathway are that people on it, for example, have freedom to do their jobs independently, and get promoted regularly. A research-oriented participant from **the collaborative RIU** explained, for example, that the research-oriented pathway in his RIU includes requirements for meeting performance targets. These included targets in research in terms of knowledge transfer, as well as in teaching and learning, and enabling activities. He also explained that the career progression in this

pathway went from lecturer to senior lecturer and then professor provided that certain milestones were met as required.

The teaching pathway on the other hand was described the participants from all of the studied RIUs to be affected by the value and priority given in the RIUs to research. The participants mainly from **the collaborative RIU** and to a much lesser extent from **the students, the virtual** and **the innovative RIUs** discussed this. They explained it, for example, in terms of it being more difficult to advance on the teaching pathway than on the research pathway.

Some of the participants from **the collaborative RIU** said that they do not see that the mechanisms for career advancement in teaching exist. These lines of thought are illustrated by what a teaching-oriented participant from the collaborative RIU said about promotion:

“... it’s just that in terms of promotion ... the fact that we are on different lines, we are on different promotion structures... so there are three tracks that you can go down, there is a [teaching -oriented academic] line, the academic line, and the research fellow line and as far as I am aware the academic and research fellow line both lead to professorships eventually, the [teaching -oriented academic] track leads nowhere, it doesn’t go anywhere, it leads to [higher level teaching –oriented academic] and when you get to [higher level teaching -oriented academic] there is nowhere where you can go ... “

(Teaching-oriented early career academic, discipline of Medicine).

Some participants from **the students RIU** found that the prospects of promotion on the teaching pathway could be helped by the activities of professionalising education related to the HEA mentioned earlier. These participants experienced that the reality for people on this pathway involves doing work that is difficult to get recognised for. They said that the reasons for this were caused by the difficulties of defining what good teaching and a good teacher is. Some of these participants said that the prospects the RIUs offer for promotion based on teaching could signify their appreciation. In contrast, some academics from **the collaborative RIU** said that it can also indicate that they understand that they have to provide education besides their main function of generating high-quality research outputs. Indications were found that these kinds of mechanisms in the RIUs to give recognition to teaching are by the academics mainly from the collaborative RIU seen as not working. They also experienced that the

mechanisms are failing to reach all of the deserving people and not be valued by the surrounding academic community. However, some of these participants also saw the benefits of them in terms of, for example, helping to improve the reputation of teaching.

Some of the participants from **the students RIU** said in the interviews that the mentioned activities of professionalising education direct people on the teaching pathway to participate in a system of collecting evidence in forms of rewards and recognition of their practices in portfolios. Evidence was found that participants on this pathway that do their jobs based on a passion/interest for teaching would not want to participate in what they call playing the system of accounting and justifying their work for a reward. They mentioned further that they feel that participation in professional development and the related activities do not result in anything meaningful such as pay rise or promotion.

The interviews showed how the academic career development relating to both teaching and research-oriented roles have their difficulties in the realities in the RIUs. On the positive side, the participants also noted the many changes and developments that are happening in the RIUs to solve these problems. A teaching-oriented participant working in the discipline of Education from **the virtual RIU** explained some positive outlooks for the teaching-oriented pathway at his RIU. He explained that career advancement processes had recently been reworked in the RIU to provide more structured lines of progression in order to achieve parity of esteem between the different career paths.

These types of institutional initiatives seem to still need further development before they succeed in achieving the intended outcomes by what has been presented so far in this chapter and what is found in the interviews. Some indications to how well these are working can be found in what one of the teaching-oriented participant from **the innovative RIU** said about the professional climate of her university. She explained that it was too early to see what the outcomes of the work that had been done in her RIU to improve institutional structures and mechanisms for career development were. Her view was that the process had not been inclusive enough to fully ensure that the changes will reach their full potential. She explained that the development of

these processes lacked knowledge of what had worked and what had not worked since these had only been developed based on top-down views in the institution without any participation from those that have experiences of the processes. She explained her views in the following way:

“... they have recently restructured the whole appraisal system and the whole career pathways system so it’s now much more defined in terms of whether you focus on research or teaching or enterprise or some combination of those ... I mean it’s much clearer what the expectations are of us but as I say it has only just been implemented, whether how successful it is, I don’t know... one thing I asked of the people who developed this whole new system is how are they going to evaluate whether it works, because my senses in this and some other key things that do affect staff development and progression is that it’s the people at the top who decide whether something is working or not, they don’t actually come down and talk to the people who have gone through the process, people who have been successful and people who have been less successful just to understand their perspectives and I think there’s a lot of that and that needs to be done in terms of the evaluation of what you are doing with people engaged in the process, not just the managers...”

(Teaching-oriented early career academic, discipline of Medicine).

The identified changes and developments that the RIUs are using for promoting their staff are, for example, utilising new appraisal systems that clarify the expectations for people on the different career pathways. The ideas for developing these mechanisms that were mentioned by the participants included trying to find ways to connect and establish a functioning relationship between research and teaching related work. They saw that this could, for example, give room for more of a free flow between the academic careers. Also, the interviews show that some of the participants feel that the current changes can help erase the need to play the game of chasing achievements to be ticked off as encouraged by the current systems. Still, looking at how the participants have described their current realities in the RIUs in the interviews of these case studies shows that there is still work to be done before reaching such a point.

5.4.2 Additional obstacles for institutional activities

Additional obstacles were evidenced by the identified difficulties relating to the way the studied RIUs implemented current HE policy agendas discussed in chapter 2. The additional obstacles related to the increased emphasis on

student experiences and the connected HE policies relating to student numbers and funding. These were found to cause difficulties for how the academics in terms of, for example, causing uncertainty about the viability of their careers and making it more difficult to perform well in their work.

The studied RIUs had all followed the current HE policies directions toward an increased emphasis on the high quality of the student experience (mentioned by 23 of the 33 interviewees). Academics in their early careers mentioned this slightly more, but there were no identifiable differences between disciplines (see Table 5.6). This was found to present itself for example, as increased attention to student numbers to the participants mainly from **the innovative RIU**, and to a much lesser extent from the other three RIUs (mentioned by 7 of the 33 interviewees). The attention paid to student numbers did, for example, cause some of them to worry about the viability of programmes and courses. Some of the participants also mentioned that it had led them to think about and feel pressured to finding solutions in terms of marketing and selling. Others said they worried about the effects student numbers have on the distribution of resources to subjects.

The marketisation of current HE was mainly noted by the participants from the collaborative RIU in terms of, for example, how it is changing RIUs into entrepreneurial businesses, and transforming the relationship with the students into a client-service provider relationship (mentioned by 7 of the 33 interviewees). Some participants from **the collaborative RIU** felt that this emphasis was a good thing, for example, in terms of making the RIU pay attention to their students, and improve their practices in regard to what they offer them. Others from the same RIU were somewhat apprehensive about the possible negative outcomes the emphasis could have. They discussed these concerns in terms of how it transformed the students into clients, which demand value for the money they spend on their education. Only very few of the academics from the other studied RIUs discussed this issue. These findings show that the grounds concerns raised about the potential negative effects the marketisation of the HE field has on the autonomy of institutions, and on academic freedom are supported by concrete evidence of practices in the HE

field (see pgs. 36; 40). These indicate sector-wide problems that include wide spread effects on practices and policies.

The interviews showed that the changed position of the students affected, not only the institutional focus, but also many institutional activities. Participants manly from **the innovative RIU** on the other hand saw problems with, for example, the measurements used to monitor the student experience and relying too much on them to inform changes in courses, ultimately devaluing degrees. A teaching-oriented participant from this RIU, for example, talked about these kinds of difficulties in terms of risks of focusing too much on the student experience could contradict values of instilling knowledge in HE. He explained his views in the following way:

“... I can still see with the changing HE landscape, the students fees etc, etc, that even research-intensive universities seem to change towards more attention, paying more attention to their teaching ... and I think that’s a good thing, the only danger is that it could swing towards the other side where basically students are consumers and we have to do everything to please the consumer, and that I think is sort of, can be quite contradictory with some other higher education values like knowledge, instilling knowledge, making sure that students have a certain level of knowledge and skills...”

(Teaching-oriented early career academic, discipline of Education).

Another academic from this RIU was on the other hand concerned with how the RIU expected that teaching should be done with increasingly limited resources. She discussed how this had led to the academics cutting out ways of teaching, which would enhance the students learning and ultimately improve their experiences. A teaching-oriented participant from **the virtual RIU** was found to discuss similar concerns about his RIU. He explained how the situation had led to wide spread dissatisfaction within the academic staff of the RIU because it had meant additional bureaucracy, and increased demands laid on the teaching part of the academics work. He explained the situation in his RIU in the following way:

“...what has happened particularly in my faculty, ... they have restructured the faculty so that the line management of all the administrative staff are completely separated from the academic staff and what it means is that you’ve got an artificial detachment in terms of the day-to-day workings of the school between the two types of staff and an extra level of management that has been employed to facilitate that new structure and you basically have got a lot of staff who just aren’t happy with the current situation (laughter)... and being able to change things and being blocked from this it’s because of this bureaucratic structure not having any say in how you spend your money in your own school, those types of things come up constantly, so there is a lot of dissatisfaction and tension as a result and at the same time a huge increase in some school’s student numbers, so a lot of pressure put on, and the expectation is that without any real significant, um, employment on the academic staff side and that you just get on with it and teach them and in some areas there has been almost 100 percent increase in student numbers and only a few extra staff taken on to make sure that that they can all be supported and taught...”
(Teaching-oriented senior academic, discipline of Medicine).

Additional causes for concern were in all of the studied RIUs found to relate to the future of teacher education in universities (mentioned by 4 of the 33 interviewees). Participants mentioned its vulnerability as compared to other subjects in terms of, for example, changes in public policy and funding which have led the RIUs to give up on courses and programs that do not generate enough income. The huge worry mentioned by the participants in the matter was the risk of redundancy. This was identified particularly in the interviews of teaching-oriented participants.

Some evidence was also found that the research-oriented academics would also be concerned about the developments in the HE field and that these too were at least apprehensive about whether they would continue their careers in HE. One research-oriented academic working in the discipline of Medicine from **the students RIU**, for example, explained how he sees that many of his friends and colleagues have left academia as a result of the developments in the field. He was also considering whether he should make a similar move because he feels that the increased attention on accountability measures such as the REF distracts and limits the possibilities to exercise his academic freedom. He was not happy with how his RIU currently placed demands on him to increasingly do other work than teaching and research as he progresses in his career. He

explained how the focus of his work was diverted from what he was good at, i.e. research. These findings indicate that the implementation of national HE policies change, not only the practices of the academics, but the structures and the organisational cultures. By doing so they can lead to the emergence of new difficulties to the operations of RIUs.

The findings of this study highlighted some possibilities for the RIUs to more effectively evaluate teaching quality. One of the possibilities for RIUs to implement some recommendations by Gibbs (2010; 2013; 2014: see section 2.3.3) presents itself in the interest that academics were identified to have in their students. Their drive to engage with their students in the teaching and learning processes supports the possibilities of focusing on the pedagogical methods that stimulate students engagement, rather than solely rely on performance standards when evaluating teaching quality. Furthermore, the empirical data showed that the academics on a wide scale actively listen and value the feedback of their students and use it, for example, to improve their teaching practices (see section 2.3.3; found in all of the 4 RIUs). By doing so they proved that they make efforts to harnessing its full potential as Gibbs (2010) had presented was possible. Key findings showed that academics did use feedback to improve the quality of teaching, and also gave a lot of feedback to their students. The data did not reveal if there were institutional forces behind the use of feedback.

Important evidence has been presented in this chapter about the excellent resources the RIUs have in their organisations in terms of the engaged and skilled workforces in them. These mirror the similar features that were identifiable about them as discussed in Chapter 2. The identified obstacles for RIUs to succeed in achieving educational excellence are still wide spread. Some institutional differences are also highlighted, for example, in the experienced lacks of institutional recognition of teaching. The next section presents an interpretation of a RIU based on the discussed findings in this chapter. This interpretation will contribute to the discussions about what implications the findings of this study could have for the practices and policies in the HE field.

5.5 Conclusion

The institutional differences between RIUs and the complex nature of work in the RIUs have been described in this chapter. Evidence has been presented about the competent and capable workforces that exist in the RIUs in terms of the academics interests and commitment to perform well in their roles, despite the many demands they face. The data have shown that the complexity of the demands in academic work are identifiable with the findings of added pressures in terms of performing on high standards in teaching and research. These include demands of, for example, meeting individual performance standards and institutional expectations in research and teaching (mentioned by 21 of the 33 interviewees). The participants mentioned individual performance standards, which included, for example, university standards on the quality of teaching, securing grant funding, and producing high-quality publications in research. The institutional performance expectations they mentioned included, for example, the league tables and the NSS. The highlighted differences of experiences relating to the accommodation of institutional mechanisms and frameworks contribute to the outlines of an answer to the third research question (see section 6.2.3).

Next, an interpretation of how these findings can be translated into an activity theoretical representation of an RIU is presented.

5.5.1 The interpreted model of a research-intensive university

Modelling a representation of an RIU as an activity system based on the findings discussed in this chapter involved interpreting key findings as its parts. The interpretation produced the following model of an activity system (Figure 5.1):

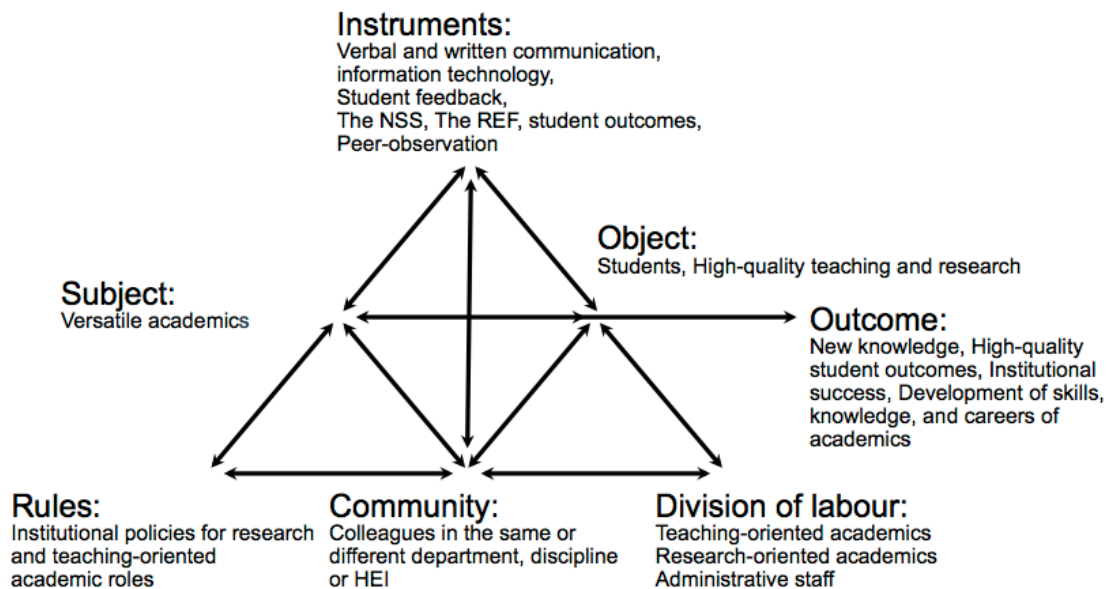


Figure 5.1-Findings of case studies interpreted as an activity system of a research-intensive university

The subjects of this model were the versatile academics that hold varying roles doing varied types of work (see section 3.2.3). General institutional policies relating to, for example, funding and the relationship between research and teaching were shown to guide their work. Institutional policies for research and teaching oriented academic roles were found to provide additional guidance. The institutional rules were found to demand continuous development and performance of the academics. The data indicated that the RIUs monitored and evaluated the quality of the academics work using instruments such as, for example, the REF and the NSS. The instruments that the academics used in their everyday work were in the analysis found to include various forms of verbal and written communication and information technology. They were also found to use student feedback and peer observation models for improving their teaching practises. The division of labour was by the academics seen as divided by the orientation of the roles held. The academics felt they did their work in familiar and friendly close communities among their colleagues while the wider communities remained more distant to them.

The reason for the academics to do their activities in the system was linked to their personal interests in students, research, and teaching. The academics

explained how they were driven by, for example, interest in helping others to develop and developing themselves. They seemed to think that institutional view of the object was more connected to discipline related activities involving research and teaching. However, the academics noted that the institutions did officially present a focus on students as the object of their activities. The academics seemed to expect that the outcome of their activities in the system had a lot to do with providing the students with the best possible education for their future. However, it was found that this also had connections with them seeking to do their jobs well and acquiring personal gains in terms of, for example, career development. The interviews showed that the academics saw the institutional expectations of outcomes of the activities more directed toward securing continued national and international success as RIUs.

The greatest difficulties lie with how the collective work in the RIUs is guided. In the system level approach, the rules are taken as the guides for how the institutional mechanisms for valuing and rewarding effective teaching are accommodated in the RIUs. The way that the guidance becomes visible is by the institutional frameworks that should support the collective work. This study found that these take different forms. The forms the institutional frameworks take in the RIUs link with the academics experiences of a difficult relationship between teaching and research. Different career paths with their specific ways of operating depending on the orientation of role are examples of the institutional frameworks identified in this study. The different forms of the organisational frameworks have in this study been shown to translate poorly to the academics. They, for example, cause academics to experience uncertainty and pressures in their work. The pressures involve, for example, dual demands of performance requiring delivery of high-quality research and teaching. This is in line with Gibbs' (2010) views that research and teaching are sometimes on a collision course in academic work.

Evidence about two distinctively different entities (activity systems) of how the collective work in the RIUs is done become identifiable (see pgs. 83-84). The empirical data provides ample evidence for the identified interactive activity systems, which mirror the different guidance of research and teaching that was discussed when key findings of the policy analysis were interpreted using the

activity theoretical lens in Chapter 3. The findings presented in this chapter show that institutional guidance in the RIUs outlines different requirements and opportunities for academics depending if their role is research- or teaching-oriented. They also show that academics feel the negative effects of what they experience as institutional inequalities in terms of valuation and recognition of teaching related work.

The interaction between the activity systems of research and teaching can be described in the following way. The entity connected to research work has well-established rules and mechanisms for recognising the work that is done. The recognition comes from success in the production of high-quality research outputs, bringing in research funding and performance against REF measures. The research entity also has clear frameworks for progression from one level to the next in terms of career development. It involves the progression from lecturers to senior lecturers and then associate professors or readers and then professors when meeting performance requirements. The other entity that is connected to teaching does have some mechanisms for recognising work. These include the opportunity to gain the HEA fellowships included, for example, in the CPD-routes for professional development. The point where the guidance (rules) is found not to be so clear on in this entity is in terms of promotion. This is because the progression is not always as clear to higher levels. These findings show that the RIUs are not necessarily completely following the governmental recommendations for achieving educational excellence. They suggest that the RIUs still need some development in, for example, the alignment of components of teaching and research strategies to be equal, and developing promotion criteria that emphasise teaching in educational policies (pg 41: Gibbs, 2013, 6; Gunn & Fisk, 2014).

Also, reasons for the academics to engage in the collective work vary (outcome). Some of them engaged in it for personal aspirations to achieve success in career development (object) or personal development as researcher or teachers (object). The means academics have for this include various forms of communication, literature, and information technology (instrument). The development aspired to by the academics links to the formation of the new professional self-concepts (object) identified in the interpretive analysis of

policy. Ultimately connections between this and academic identity of the academics could be drawn, but unfortunately, this study has not provided enough evidence to establish any further theorisations about it. The only thing that can be said is that a few of the research-oriented academics express such passion for research that they identify themselves with it. Teaching-oriented academics did not identify themselves in a similar way.

The societal and collaborative nature of academic work was found between colleagues in the departments of the RIUs, and to some extent between colleagues from different departments or disciplines within the RIUs or other RIUs/HEI's. The societal nature of the collective work was identified in terms of, for example, close and friendly interactions between the academics. The collaborative nature of them became evident, for example, in the descriptions of academics working together in teaching.

The next chapter is about bringing findings of the three study methods together for discussion, conclusions, and recommendations.

Chapter 6-Discussion, conclusions, and recommendations

6.1 Introduction

This chapter explores what the research of this thesis has contributed to the knowledge of RIUs in England and Wales. The first section brings together key findings, which have been reported in the previous chapters (see pgs. 86-90; 117-119; 160-164). These have been based on an interpretive analysis of current HE policies, a systematic review of research and four case studies. The interpretive analysis of policy included published material from stakeholders. The systematic review of literature included peer-reviewed research papers connected to key concepts of HE policies. The case studies included in-depth interviews with academics from four RIUs in England. Answers to the research questions are outlined based on a summary of key findings.

The second section illustrates the key findings by interpreting them as a completed model of an RIU as an activity system based on an activity theoretical framework (see pg, 86). A discussion of the kind of implications the findings of this study could have on HE policies and academic practices are presented. Then the four RIUs of the case studies are discussed as activity systems to offer alternative insights. The recommendations involve theorisations on how the RIUs and academics can be supported to work together in facing and dealing with (upcoming) changes. This study's strengths and shortcomings are taken into consideration and recommendations for further work are made at the end of the chapter.

6.2 Summary of key findings

This section discusses three sets of key findings of this study and outlines answers to the research questions:

1. What are RIUs doing to evaluate, assess, and reward effective teaching?
2. In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?
3. What experiences do the individual academics working in these contexts have of the institutional cultures and practices?

Three key components were used in this study to find information for answers to the research questions. These were an interpretive analysis of current HE policy in England and Wales, a systematic review of research papers and four institutional case studies. In the interpretive analysis of policy, the basis for the policies in the RIUs was explored. They were identified in the interpreted views of stakeholders on key issues. Documentary data about views on HE policies were collected from various Internet sources. These included, for example, governmental web pages and the Higher Education sections of three leading newspapers in the UK. The analysis illustrated stakeholders' views on what is important for HE. Peer-reviewed papers retrieved from educational databases were analysed in the systematic review of key areas for policy implementation (see section 3.2.2). The systematic review showed that knowledge about RIUs in the UK was limited. Empirical data were collected from four RIUs in the England for the four institutional case studies (see section 3.2.3). The empirical data consisted of interviews about academics experiences of working in the RIUs. A content analysis was applied to these.

Key findings of the systematic review showed that there was a limited amount of research about RIUs and even less about effective teaching in them (see pgs. 117-119). They showed that professional cultures in the RIUs would be engaged in evaluating, assessing and rewarding effective teaching by using mechanisms for professional development in teaching and improving teaching practices. Valuable insights to the identified limited knowledge of these contexts

were gained from empirical data (see Chapter 5). Documentary data collected in support of the empirical data highlighted the RIU's performance (and comparative placement) in some national measurements of teaching and research quality.

The outlines of answers to the research questions are discussed in closer detail in the next sections.

6.2.1 Research question 1

The first research question was:

What are RIUs doing to evaluate, assess, and reward effective teaching?

The studied RIUs in England have a positive approach toward enhancing the position and practices of teaching. They exercise their institutional autonomy to implement them in different ways. To achieve educational excellence these RIUs develop institutional frameworks for monitoring the quality of institutional activities. These quality assurance frameworks include activities to ensure that they continue to maintain achieved levels in institutional activities and continue to develop them (see pgs. 125-128). These RIUs outline them guided by recommendations in governmental outlines for HE policies for teaching and research activities. RIUs are found to have different frameworks for research and teaching. Their implementation involves monitoring and development of research and teaching activities (so that institutional goals can be achieved). They do this by evaluations, assessments, and rewarding of research and effective teaching. These are used to evaluate the quality of activities in the institutions, assess practices so that they can be improved and measure performance against standards for recognising and rewarding achievements and excellence.

The institutional frameworks include activities in which different mechanisms are used. These involve, for example, aligning components of teaching and research strategies to be equal and developing promotion criteria in educational policies that emphasise teaching (see pgs. 41; 163). The studied RIUs also

outlined the use of both national and institutional mechanisms in these kinds of frameworks. Frameworks and related mechanisms for research are more established than those for teaching. It is evident, for example, in the frameworks for career development in research-oriented roles where national measurements of research quality and the impact such as the REF/RAE are used (see pgs. 87-88; 158).

Similar frameworks for teaching-oriented roles were identified to include the use of UKPSF in a mechanism in the processes for career development (see pg 126). These processes involve evaluating performance against the professional standards of the mechanism. The studied RIUs were found to recognise successful performance in teaching (and learning) against the standards in terms of the HEA fellowships in these processes. The also included use of institutional mechanisms such as, for example, summative peer reviews, yearly meetings with line managers, and promotion rounds for evaluating teaching work (see pg. 151). These processes were identified in connection to the institutional monitoring of how well expectations on academic roles are met.

Evaluation, assessment, and reward of effective teaching in institutional frameworks were also identified to outline the use of national and other institutional mechanisms. The identified national mechanisms included, for example, measurements to estimate student experiences in terms of the NSS (see pgs. 152; 155). The identified frameworks in RIUs outlined that the NSS should be used to evaluate teaching quality and to assess teaching practices to improve and develop them (see pgs. 145; 161). The identified institutional mechanisms include measurements of learning outcomes, (different forms of) student feedback, and (models of) teaching observation (see pgs. 41-43; 88; 112; 141; 144; 161).

The potential for frameworks in RIUs to outline assessment of (effective) teaching based on student feedback in addition to monitoring how well institutional standards are met by assessing how educational needs are met by learning outcomes was identified (see pg 41). This would involve, for example, activities on the institutional level include developing quality assurance systems to focus on the quantity and quality of learning effort to enhance student

experiences (see pg 41). These systems could focus, for example, on activities designed to engage students in their learning such as peer-to-peer facilitation of work. Also, the information from student feedback could on the institutional level be used for identifying needs for professional development of staff and designing the opportunities for these kinds of activities in meaningful ways. For academics, the assessment of (effective) teaching based on student feedback means the assessment of their activities related to how they use the information when they plan and deliver their teaching.

Some indications of mechanisms, which could be used in RIUs in the future to evaluate and assess effective teaching was identified in the key findings. These included the TEF, which is developed as a measure of teaching excellence comparable to the REF (see pgs. 48-50; 87-88). There were no identifiable differences between how the academics across the disciplines of Medicine, Education, and Law in the studied RIUs experienced the mentioned institutional frameworks or mechanisms. However there were some indications that early career academics could be experiencing somewhat more the intensified institutional emphasis on students (see pg 156).

This answer has shown that the perspective of the studied RIUs on an institutional level seems to be in line with the focus of current HE policies because of the different frameworks and mechanisms that have been identified to exist in them to monitor and develop teaching. Based on the information that has been discussed it seems that these RIUs provide good institutional means for making teaching an equal focal point of organisational activities alongside research. Their institutional means have a potential to equalise the positions of research and teaching. Using the UKPSF, and the HEA fellowships (and in the future the TEF) as mechanisms to document excellence in teaching and bases for career development in teaching-oriented academic roles parallels the use of the REF and impact measures used for research-oriented academic roles. Key findings indicate that some of the RIUs have already established frameworks and mechanisms for these kinds of activities, but also that wider engagement in these is needed.

The answer to the second research question in the next section opens up more details about how these frameworks are accepted and implemented by professional cultures in the RIUs.

6.2.2 Research question 2

The second research question was:

In what ways do professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching?

The activities in the '*professional cultures*' that surround academics in the different departments in the RIUs lead them to follow certain set expectations and procedures in their work (see pg 16). The accommodation of institutional mechanisms for valuing and rewarding effective teaching in the practices in RIUs happens when these '*professional cultures*' implement institutional frameworks, for example, for improving teaching, professional development, and career development (see pg 16). Simultaneously it indicates how willing the professional cultures are to accept the institutional approaches to achieve higher levels of teaching excellence. They also show how willing they are to participate in improving the position and practices teaching (see sections 4.2.2 and 5.3.2). Empirical data showed that academic cultures in the studied RIUs were positively attuned toward these kinds of activities.

Key findings from RIUs in the UK showed that motivation for engagement in activities in teaching between academics depended on the orientation of their role (see pgs. 107-108). These indicated that it could also affect the accommodation of institutional mechanisms between members of the cultures. It was somewhat confirmed by the case studies, and the identification of many different cultures of teaching in RIUs in the USA pointed to their possible existence (see pgs 110-111; 149). The participants in the case studies were found to have features of both the official culture that had a positive approach to the institutional activities aimed at enhancing the position and practices of teaching. They were identified as being positive about using and participating in the institutional mechanisms, for example, workshops and professional

development opportunities. The features they exemplified of the oppositional culture was that the participants were also critical toward some of the institutional mechanisms for improving teaching, even though they were very devoted to high-quality teaching. The reason was that they found that some of the institutional mechanisms represented negative aspects of their institution such as meritocracy or research centeredness.

A wide variety of mechanisms have been used in HEIs to improve teaching practices (see pgs. 106; 228). Their existence indicates that RIUs could potentially use them even though it was not identifiable by the findings of the empirical data in this study. Findings of this study showed that there is also a potential for '*professional cultures*' in RIUs in England and Wales to use teaching observation in frameworks for career development because they have been shown to have been used in RIUs before (see pg 112, Weller, 2009).

Empirical data in this study showed some findings of good ways to teach, which contribute the student experiences in the RIUs. These include inspirational and innovative ways of teaching in the discipline of Medicine included problem-based learning (PBL) (see pgs 144-145). It was also identified that there were mechanisms used by '*professional cultures*' in RIUs for rewarding high-quality teaching by excellence awards (see pgs 41; 110-111; 160).

'*Professional cultures*' in RIUs were identified to implement frameworks for professional development by accommodating (national) mechanisms for getting official recognition of teaching work. These included the HEA Fellowships achieved by the official route or by applying directly to the HEA, Continuing Professional Development (CPD) schemes taught programmes accredited by the HEA or equivalent (see pg 126-127). These cultures implemented frameworks for career development by accommodating mechanisms for monitoring how expectations of academic work are met and rewarding success with promotion (see pgs 126-127). It involves evaluation of performance against the standards set in the measurements of excellence. Performance in teaching is evaluated by, for example, the NSS or UKPSF (see pgs. 41-43; 126-127; 130; 152; 161).

It was also found that the accommodation of institutional mechanisms is a part of the implementation of frameworks for career development. The frameworks for career development that the evaluation and monitoring are a part of requires progression of performance in terms of meeting certain milestones. The mechanisms used to monitor the performance of an academic. It is done by evaluating how well academics have performed and met certain criteria in, for example, teaching (see pgs. 151-155). These include evaluation and monitoring of progress in all of the institutionally outlined key practices of academic roles.

This answer has to some extent shown that '*professional cultures*' in RIUs are using positive toward using, for example, national and institutional means for heightening the position of teaching. They also seem to support institutional focuses on student experiences and teaching based on their accommodation of teaching related institutional mechanisms such as, for example, National Teaching Fellowships. Indications are found that 'professional cultures' in RIUs actively enable institutional aims to achieve educational excellence. Key findings indicate that some of them accommodate frameworks and mechanisms that exist for this but there is room for widening the accommodation.

6.2.3 Research question 3

The third research question was:

What experiences do the individual academics working in these contexts have of the institutional cultures and practices?

The experiences of the accommodation of institutional mechanisms and frameworks valuing and rewarding effective teaching were identified to be mainly positive, even though they vary to some extent depending on institution and orientation of academic role (see pgs. 128-132).

Participants recognised that the main focus in the implementation of the current HE policies relate to the student experiences. This is strongly visible in the intense focus on student numbers in the RIUs (see pgs. 156; 158; found in all of the 4 RIUs). Some academics find that the RIUs are changing into entrepreneurial businesses because they need to focus on student numbers to secure funding (see pg. 155-156; found in 3 of the 4 RIUs). The institutional practices connected to improving teaching in the four RIUs are often experienced in a mixed way (see pgs. 146-155). These experiences can be found to highlight the points that the RIUs would need to pay attention to enhance their activities.

Academics were identified to be interested in participating in institutional mechanisms for valuing and rewarding effective teaching (see pgs. 128-132; found in all of the 4 RIUs). However they often experience a lack of time to attend these kinds of activities (see found in all of the 4 RIUs). Key findings showed that one of the RIUs offers exemption of academics with degrees in education from participation in professional development in education (see pgs. 125; 147). They also showed that professional development activities that are connected to the UKPSF and the HEA, CPD routes inclusive of credit-bearing courses the successful completion of which ends with the HEA fellowship are widely offered in the RIUs (see pgs. 125-128; found in 3 of the 4 RIUs). The experiences that the academics have from these were largely positive (see pg. 130).

The academics experiences of the institutional cultures are largely positive, although they often include perceptions of a division between research and teaching-oriented staff (see pg. 149). Empirical data of this study indicated that academics who worked in the discipline of Medicine, and who were in the early stages of their careers often had these kinds of perceptions (see pgs. 147; 149).

Academics experiences of the accommodation of institutional mechanisms for valuing and rewarding effective teaching were often connected to the troublesome relationship between research and teaching (see pgs. 148-151). It includes the widespread sense among them that teaching is not valued as much as research (found in all of the 4 RIUs). They often sense that teaching related work is not recognised by the RIUs and that even the efforts made by them to recognise it in terms of, for example, awards do not have much value or meaning (found in 3 of the 4 RIUs). They widely experience the inequality between the valuation and appreciation of research and teaching work in connection to promotion (see pgs. 151-155; found in all of the 4 RIUs). The valuation is seen to be in favour of research (see found in all of the 4 RIUs). However, the academics do also see that changes are happening in the RIUs to solve problems in this relationship in terms of, for example, improved frameworks for career development in teaching with clearer outlines and criteria to be met (found in all of the 4 RIUs).

This answer has shown further details about the identified institutional frameworks, their functionality and departmental use. It has shown, for example, that the heightened focus on student experiences and teaching is largely welcomed on the individual level in RIUs even though the accommodation of institutional mechanisms for them in the RIUs can be described as only partly functioning. Key findings show that the remaining inequalities between teaching and research that in many cases remain in the frameworks of the RIUs could contribute to this.

The next section is about what the key findings of this research could mean for policies and practices in RIUs.

6.3 Implications of this study for policy and practice

Evidence about how the RIUs are actively taking steps to advance in terms of teaching excellence, and how they have favourable grounds in their institutions for improving the position and practices in teaching has been presented in this study. This is important for governmental stakeholders to note, for example, as they might need to direct additional guidance and support to these challenging contexts.

This study has discussed findings relating to problems that still remain in institutional frameworks for advancing in teaching. These are important for stakeholders in RIUs because they help to recognise the need to continue work for improving perceptions and activities related to teaching. The knowledge that, for example, even if these kinds of structures and mechanisms exist in institutions it is not certain that not all of their departments or members of staff know about them or participate in them. The findings guide stakeholders to recognise the need to continue to work on, for example, developing academic roles and duties. They are able to continue this work based on, for example, the knowledge of the existence of two interactive activity systems in academic work, and the difficult issues in the structures and rules related to teaching (career progression). In addition, this study provides the support for these kinds of activities in terms of showing the many available mechanisms that for the main parts have been proven to be useful, as shown by the findings of the systematic review. Finally, the presented indications about how the professional cultures are interested in accommodating institutional mechanisms can be used to develop organisational structures and practices to support them to do so. This could include enhancing the existence of environments that have been shown to support motivation for doing teaching related work and the construction of academic identity (see section 4.2.2).

Evidence has been presented about the existence of two interactive activity systems in academic work. One of them has a more standardised structure than the other. This knowledge is important for stakeholders working in different departments of RIUs. The reason is because it highlights the need for them to develop work practices and cultures in departments that support the needed improvements related to teaching. Finally, the presented findings are of interest

and importance to the individual academics working in these contexts. The reason is because they help them understand their workplaces better and also encourage them to actively participate in improving the educational quality of their institution. In addition, they can benefit and inspire these kinds of activities that the professional cultures and individual academics undertake by showing information about the many options that are available as found in the systematic review.

The next sections discuss what can be done about the difficulties in policy implementation that the RIUs have been found to face? This study has involved a continuous process of constructing activity theoretically based interpretations of activity systems (see pgs. 86-90; 117-119; 160-164). This follows the line of thoughts about discussing development of practices in RIUs as processes where resolving contradictions lead to expansive organisational changes and learning (see section 4.3.1; Boyd et al., 2015). The interpretations of activity systems offered a way to present key findings of the wider context of the RIUs in an illustrated and systematic way. Seeing the difficulties presented this way could offer some insights to how they could be resolved. One alternative is to use institutional processes that engage participation from multiple levels of activities in the organisations in line with suggestions for achieving educational excellence made by some stakeholders in the field (see pgs. 41-43; Gibbs 2010: 2011: 2012: 2013: 2014: Gunn & Fisk, 214). The insights could also further allow stakeholders to think about the relationship between teaching and research in a positive way, or at least table it as discussion for channelling the identified polarisation between teaching and research.

6.3.1 Interpretations of HE institutions and research-intensive universities- Application of the lens based on activity theory

Three representations have been presented in connection with the findings from the three study methods. These representations are brought together in this section and summarised. The summarization of the representations is presented by a completed interpretation of a model of an RIU. The definitions of key concepts of activity systems are presented in closer detail in section 3.2.4. The knowledge that has been constructed in this study about the different parts of the model is discussed next (Figure 6.1)

Instruments:

Interpretive analysis of policy: RAE/REF, Measurements of impact of research, Student feedback, The NSS, Student outcomes, TEF

Systematic review: Summative peer reviews, Evaluation mechanisms in professional development, Reflection on teaching practices, Hands off management techniques, FAST-programme, Socio-Cultural pedagogy in a programme, Teaching observation schemes

Case studies: Verbal and written communication, Information technology, Student feedback, The REF, The NSS, Student outcomes, Peer-observation model

Subject:

Interpretive analysis of policy: Academic community

Systematic review: Academics

Case studies: Versatile academics

Rules:

Interpretive analysis of policy: HE policies

Systematic review: Discourse of trust, Research centeredness, Meritocracy

Case studies: Institutional policies for research and teaching-oriented academic roles

Community:

Interpretive analysis of policy: Governmental community, Student communities;

Systematic review: Academics in official and oppositional cultures of teaching

Case studies: Colleagues in the same or different department, discipline or HEI

Object:

Interpretive analysis of policy: Students, High-quality research and teaching

Systematic review: Students, High-quality research and teaching

Case studies: Students, High-quality research and teaching

Outcome:

Interpretive analysis of policy: Building and securing the knowledge economy

Systematic review: Maintaining and developing institutional quality and status, Development of skills, knowledge, and careers of academics, Improved teaching practices

Case studies: New knowledge, High-quality student outcomes, Institutional success, Development of skills, knowledge, and careers of academics

Division of labour:

Interpretive analysis of policy: Academics oriented toward teaching or research activities, Administrative staff

Systematic review: Teaching-oriented faculty, Research-oriented faculty, Administration faculty

Case studies: Teaching-oriented academics, Research-oriented academics, Administrative staff

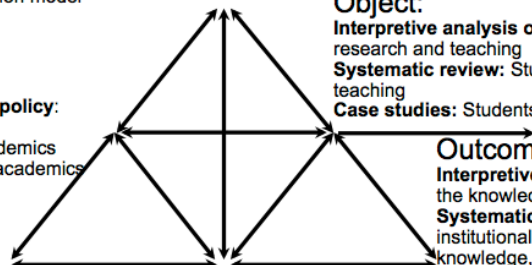


Figure 6.1-The completed interpretation of key findings as a model of a research-intensive university

The explanation of the completed interpretation of a model of an RIU includes a combination of the key findings of the three study methods (see pgs. 86-90; 117-119; 160-164). The guiding thought of the interpreted model is that each RIU is formed of socio-historically evolved systems where collective work takes place (see section 3.2.4). Evidence has been shown that the RIUs need to continue to make changes to the collective work in them. The changes involve, for example, changes in institutional policies for research and teaching-oriented academic roles (rules). These changes have links to the diversifying nature of academic work that is increasingly directed from economic standing points. The work of the academics (subject) was identified as essential for the implementation of HE policy in the RIUs.

The interpretation of HE policy implementation that this study has made is that the RIUs are engaging in collective work toward producing new knowledge through research (outcome), and to educating future professionals (outcome) (see figure 6.2). Their aspirations to flourish in the HE field and beyond in terms of institutional success and making contributions to the knowledge society (outcome) are some of the reasons why they undertake the collective work. The

way that the RIUs try to achieve this is by focusing on discipline related work in teaching and research (object). The collective work involves different tasks and duties that are supported by different organisational frameworks where different mechanisms are used (instruments). The frameworks include, for example, existing routes of career development for research and teaching-oriented roles.

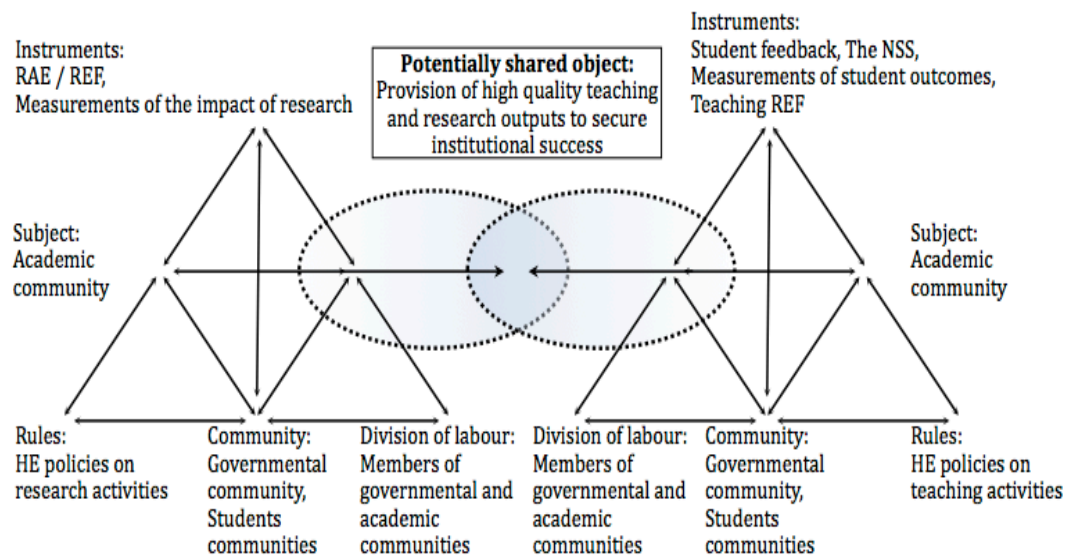


Figure 6.2- The interactive activity systems of research and teaching (based on Engeström 2001)

This completed interpretation offers a generalised view of the RIUs. However, it would not be realistic or very fruitful for improving the implementation of the current HE policies to understand them only in this generalised way.

Some generalisations can be made about the four RIUs that have been interpreted in this study as activity systems function under the same label of research intensity (see pgs. 121-125). The label suggests that their activities are mainly focused on research. These institutions are currently in a situation where they are following governmental outlines for HE policies, which highlight the emphasis on students as well as focus on high-quality research and teaching. The focus on teaching has directed the RIUs to enhance their focus on teaching, but evidence has been presented how they exercise their institutional autonomy and implement current HE policies in differing ways. This

is why the development of their institutional structures and policies need to be not only sector specific, but also institution specific (see Gibbs, 2009).

However, individual views in the RIUs have been identified to differ, for example, on how to ensure high-quality student experiences. Top-down approaches were found to outline it in terms of meeting performance standards measured by, for example, the NSS (instrument) and the REF/RAE (instrument) (see pgs. 86-90; 117-119; 160-164). On the other hand, the academics felt that student experiences could be improved by, for example, proper allocation of time and staff to teaching (division of labour) (see pgs. 156-158). Their views agree with Gibbs' (2010; 2013; 2014) thoughts that the NSS fails to measure teaching quality in ways that are valid.

Key findings of this study that show the studied RIUs active approaches toward enhancing the practices and position of teaching contrast the findings of the Mock TEF showing that RIUs would not perform well in teaching (Havergal, 2016). They provide essential knowledge about the groundwork that exists in the RIUs for the implementation of the Teaching Excellence Framework in terms of how the HEA fellowships and UKPSF have been used. However, as the key findings have at the same time shown that there still remains troublesome points to resolve within the RIUs. Some of the identified difficulties that reveal deeper knowledge about the RIUs as activity systems are discussed next.

6.3.2 Contradictions

The system level approach that was applied to key findings highlighted the identified differences between views of stakeholders. The existence of these kinds of difficult points in the collective work of the RIUs indicates a need to make changes and develop practices to overcome them. The differences were identified in terms of different views on the object and expected outcomes of activities.

The application of the lens based on activity theory on key findings enabled identifying the differences in terms of primary and secondary contradictions in

the systems of HE institutions (see pgs. 86-90). The primary contradictions are in activity theoretical terms thought of as internal contradictions that exist within the parts of the system (Engeström, 1987; University of Helsinki, 2014). The secondary contradictions are in these lines of thought of as contradictions that exist between the different parts of the system (Engeström, 1987; University of Helsinki, 2014).

In activity theoretical terms it is seen that for the activity system to be able to continue with its activities (successfully) the contradictions within it would need to be resolved. The existence of contradictions on the primary level can indicate problems on a wide scale in organisations. The problems connected to secondary contradictions are narrower and more localised. Resolving primary and secondary contradictions enable the activities of the system to continue and develop to reach their full potential.

The main primary contradiction that was identified in all of the RIUs related to the split views of what the object for the activities in the systems is. Findings indicated that institutional views on what the object for activities are in the RIUs is mainly split between students, research and teaching. They also showed that academics views found the object to be split between research and teaching. Key findings indicated that this contradiction was not as dominant in the collaborative RIU because the subjects of the system were divided in their views on what the main object for activities was. Some subjects seemed to agree with the institutional view highlighting research as the main object while teaching seemed to be the main object for others.

Key findings also indicated that the identified split object blurs perceptions of what the expected outcome of the activities is. It makes it more difficult for the people working in the RIUs to know why they are doing the things that they do, or feel that they can do them for the reasons that they feel are important. This was especially highlighted in the findings from the innovative RIU.

The main secondary contradiction that was identified in all of the RIUs related to the rules, the subject, and the object of the interpreted activity systems of the RIUs. The academics (subject) seemed to interpret that the way the rules of the

system were directed by institutional approaches caused complications in the activities of the subjects. This complication was caused by institutional approaches directing the rules of the systems mainly toward research activities, (even though they officially maintained the mentioned split between students, research, and teaching as the object of the activities). Key findings showed that this kind of contradiction was not as strongly identifiable in the collaborative RIU, (maybe because of the identified split between the subjects of the system).

The application of the lens showed that the most severe consequences the differences between views can have in the RIUs are those that can be identified as indicating primary contradictions. These kinds of primary contradictions have been identified to relate mainly to the object and to a certain extent to the outcomes of activity in the RIUs (see pgs. 117-119; 160-164). These involve different perceptions of what the object and expected outcomes of activities of the system are (see pgs. 117-119; 160-164). By the application of the lens resolving them can be found to affect the system (HEI or RIU) as a whole. The reason is that once clarity has been established between all the involved parties about what the expected outcome is the activities of the system can reach its full potential. However, reaching such a point demands considerable work and it is questionable whether there even exists such an outcome that is agreed on by everybody. Leaving this contradiction unresolved may lead to difficulties in the activities, for example, relating to the use of the instruments, obedience to the rules and adherence to the division of labour. The risk of leaving them unresolved is significant because together they can ultimately bring down the whole activity system. In addition to being aware of the existence of these kinds of contradictions, what else could the RIUs do to ensure that their investment in the mechanisms and frameworks for evaluating, assessing, and rewarding teaching would reach their full potential?

One alternative could be for them to engage in organisation-wide change efforts using activity theoretical frameworks. In these

“...members of organisations are assisted in solving contradictions and analysing their work activity to create a zone of proximal development and expansive learning... the collective analysis of contradictions enables overcoming them and organisational transformation.”

(Kajamaa, 2011, 115).

The encouragement for RIUs to engage in this kind of developmental work of their activities is evident in the findings of this study. For example, the academics capabilities and interest and care for their students are clear in all RIUs studied (see pgs. 138-140). In fact, one of the most surprising findings of this study was how many of the academics used emotionally laden language when talking about their students. The way they spoke about them was interpreted as coming close to devotion, and some of the academics used this word in relation to their students. Devotion was also identifiable in terms of, for example, the academics making every effort to do their best in educating their students. It was also widely spread among the academics (see pgs. 140-142; found in all of the 4 RIUs). Finally, the academics widely found enjoyment from, for example, talking to and learning with their students, as well as being present on their development curves (see pgs. 138-140; found in 3 of the 4 RIUs). These things point toward the willingness of the people working in RIUs to use the existing mechanisms for teaching in the intended way. Therefore, the remaining work to be done in the RIUs is improving the enabling factors i.e. the frameworks and rules so that the best possible results can be reached. Stakeholders in the HE field have discussed the importance of development processes in organisations requiring engagement from multiple levels of organisational activities for achieving educational excellence (see section 2.3.3).

6.4 Limitations, strengths, and suggestions for further research

This section explores to what extent this study has been able to produce information that helps support understanding how the RIUs are implementing current HE policy in their (everyday) activities. The complexity of policy implementation in HE has in this study been uncovered during a long process. This study provides qualitative information based on collective knowledge gathered from three different study methods (see pg. 59). The findings of this study are from a combination of interpretive analysis and systematic review of documentary data, and a content analysis of empirical data. The limitations and strengths of this study are discussed next. These discussions include suggestions for further research in relevant sections.

Limitations of this study include the use of the chosen study methods and the application of the theoretical lens to interpret key findings. The limitations connected to the chosen methods of study relate, for example, to the possibilities that other combinations study methods could offer. These could perhaps have been even better at capturing the complexity of policy implementation in the RIUs. For example, adding a quantitative study method to the combination could have opened the possibility to produce information that can be generalised on a wider scale, but then some the richness might have been lost. Having the possibility to analyse a wider sample of RIUs in additional cases studies and academics could produce a deeper understanding than has been possible in this study.

The limitations connected to the chosen study methods also relate to the individual methods that were used. The interpretive analysis, for example, of the meaning of HE policy has for the different individuals was challenging to undertake (see pgs. 60-64). Several questions had to be considered in the analysis, for example, how to define meaning? Should only what the people say to the interviewer be considered in the analysis or should what they do factor in as well? How well are participants able to express how they feel and understand it? The chosen way to interpretively analyse policies helped to identify differences between views of stakeholders on HE policies (see pgs. 27-51). However, different interpretations may have emerged by the inclusion of a wider sample of policy documents. The analysis also highlighted that deep insights and understanding of the meaning policy has for the people involved may not be reached by only interpreting words. It would require deep submersion into exploring the meanings and representing diverse views of stakeholders is difficult.

Limitations related to the systematic review were connected to the selection of concepts that were used to identify relevant papers (see pg 66-67). The first steps of the process showed that the selection of the best possible concepts is demanding and affects the quality and findings of the review. Using a combination of five identified key concepts the systematic review of the literature on research succeeded in showing, for example, that the research knowledge of RIUs was limited. However, the problems encountered when

using the concepts of *'evaluating teaching quality'* and *'reward and recognition'* limited the potential a wide base of knowledge could provide. The problems encountered when using the concept *'evaluating teaching quality'* was that it was only by trying the SmartText Searching in EBSCOhost, that studies about how the quality of teaching is evaluated were identified. The process of SmartText Searching is designed for Zero Results prevention and how it works has been explained in the following way:

"Unlike a standard keyword search, which searches for your keyword(s) as a phrase in fields such as title, citation, author, etc., SmartText Searching summarizes your search terms and queries all of the main words and phrases against the database. After a relevancy weight is assigned to each word or phrase, a search string is built OR'ing the terms and their weights together. A search is then conducted against the database."
(EBSCOsupport, electronic reference).

The validity of using this combination of search terms as a key concept and the search method was found to be questionable, but using it resulted in finding more data that contained useful information for this study. The other concept that was challenging was *'reward and recognition'*. Only a relatively small number of studies could be identified using these terms, and they were often about other things than rewarding and recognising academic work. The validity of using this combination of terms as a key concept found support in that about a quarter (6/25, 24%) of these studies did discuss a definition for it.

The use of other combinations of these key concepts or other search terms and databases in the collection of the documentary data could have supported an even more suitable and insightful, valuable and richer and fruitful data to be used in the analysis. However, at the same time, it could have reduced the focus of the exploration.

Using the chosen key concepts in searches resulted in identifying a total of 9,992 peer-reviewed papers of which full text was available in 2013. However, a limitation of this study is the limits introduced by the Education Research Complete database which restricted the number of papers related to professionalism and effective teaching that I was able to save and export references and abstracts of to 1,500 each. It reduced the total number of papers that I could use at that time to 5,075. That is why the systematic review

is an analysis of a subset of the total literature, although the choice of the included papers does not incorporate any researcher bias in the selection. The searches I did in 2015 to update the systematic review showed a large number of papers despite the restriction of only searching for papers published between the years 2013-2015. It is potentially an interesting addition to the findings of this study.

One of the potential limitations of the systematic review is also that it reflects my personal development in using this method. It is reflected by me starting the review with something that can be thought of as being a scoping review that then developed into the process of the systematic review. In a way, it can also be seen as strengthening the systematic review because I chose to present findings of what can be thought of as the scoping review relating to the definitions of the key concepts in addition to the focused findings of the systematic review relating to, for example, the frameworks and mechanisms.

The success of the recruitment process of suitable participants relates to the limitations of the case studies. The findings of the case studies did give some insights into the similarities and differences between research and teaching-oriented views on key issues in academic practice and how they related to the stage of the careers of the academics and which discipline they worked in. However, the empirical data did not enable drawing out conclusive interdisciplinary differences due to uneven success in recruiting participants from different disciplines in the RIUs. Other recruitment processes might result in data, which enables to present more conclusive findings on whether the stage of career has any effect on how things are experienced. They might also include a wider representation of disciplines enabling comparison of differences and production of discipline-specific recommendations for tools for improving policies and practices.

The limitations of the case studies also relate to the quality of data that was collected. This has to do with how well the interviews were able to reach the participants experiences of working in the RIUs (see pgs. 77-85). The empirical data of the case studies that were collected by interviewing academics in the four participating RIUs involved the use of a semi-structured framework of

questions (see Appendix 3.3). They were formed this way to enable the discussions to reach deep into the relevant parts of the experiences that the interviewees had from these contexts. The interview questions were formed based on careful consideration of questions that had been used in other studies with similar focal points. The analysis of the interview data showed that certain aspects of the reality in the RIUs were successfully identified which enabled outlining the answer to the third research question (see pgs. 167-168). However, formulating some of the questions differently could have aided the discussions and led them even deeper into key issues. This was because some of the interviewees had difficulties in answering a few of them. The questions were not changed in the process because the aim was to treat all the interviewees equally by asking them the same questions thus diverting from the use of grounded theory. However, each of the interviews followed what the interviewees said and the order of questions varied depending on the direction of the discussion.

The limitations of this study relating to the application of the lens based on activity theory are mainly about the interpretation that was involved in the process. Although the interpretations successfully enabled describing HEIs/RIUs as activity systems using the lens they may not be faultless (see pgs. 86-90; 117-119; 160-164).

The strengths of this study include the production of up-to-date knowledge of the HE field and RIUs, contributed to the limited knowledge of the RIUs in England and Wales, and the activities performed to ensure the best possible credibility, dependability and transferability of the findings.

One of the strengths of this study is that it has provided up to date knowledge of what is currently happening in the rapidly changing HE field in the UK. The findings of this study have enabled a rich description of the RIUs. The description combines views on key issues based on three study methods. Other studies had not used the same combination of methods, or combination of concepts (see pgs. 67-68).

This study has also successfully contributed to the limited knowledge of the RIUs as identified in the systematic review of the literature on studies. Throughout it has also been able to complement, for example, the HEA research in this area on teaching quality as well as work on reward and recognition (see pgs. 41-43). The contributions have included demonstrating gaps in the literature and needs for clearer definitions of key concepts. It has also indicated support for other theorisations presented in previous studies. Key findings showed, for example, that academics often worked closely with their colleagues in teaching and that they to a large extent enjoyed the interactions with their colleagues. It could indicate that they find support for constructing their academic identity from it (see Appendix 3.2). The cases studies also showed that research-oriented academics in some cases construct their identity around their work. Unfortunately, any deeper layers of academic identity were not reached by this study, but some findings showed that other studies had explored factors affecting the motivation research-oriented academics have for teaching (107-108; Evans & Tress, 2009).

The strengths of this study are also connected to the diversity of the used analyses and the variety of time and places from which data were collected. These activities were directed toward enhancing the credibility of the findings and presented knowledge (see Lodico et al., 2006, 276; sections 3.2.1; 3.2.2; 3.2.3). Other activities, such as outlining answers to the research questions, gave indications that findings of the three study methods were credible. The process of outlining answers to the research questions throughout the process of going through each of the methods showed similarities between their findings and they were also used to guide the process of outlining focal points for the presented conclusions.

The strength of this study relating to the activities performed to enhance the credibility of the findings and information were further strengthened by acknowledging and articulating the bias of the researcher in recognition that is not possible to remove it (see pgs. 91-98). Activities to limit the researcher's biases were directed toward restricting their influence on the interpretation of perspectives on policy implementation. This involved four main things. First, it involved the researcher's participation in professional development activities in

one of the RIUs to introduce the researcher to different interpretations of HE policies. Needless to say that participation in similar activities in the other three RIUs would have been beneficial for the study but the available time and resources for this study limited taking these opportunities /steps. Second, it involved allowing the participants of the case studies to do member checks by giving them the opportunity to review the transcripts of their interviews. Third, it involved an ongoing re-examination of analyses and findings based on an independent identification of themes in transcripts and feedback from the two supervisors acting as peer de-briefers. Fourth, it involved, for example, reflection on how well the findings are evidenced in the data and the appropriateness of the themes to the data. It was monitored using a research diary where thoughts, observations, and ideas were written throughout the process.

Attention has also been paid throughout to ensure the possibility to reproduce this study by being as transparent as possible of the data collection and explain the use of the three study methods and analyses thoroughly (see pgs. 58-89). These activities were performed for ensuring the dependability of this study (see Lodico et al., 2006, 275; see also pgs. 95-97). Furthermore, the researcher is open to let other researchers review the data. However, some restrictions apply relating to ensuring the anonymity of the participants.

The three methods of study were used to describe HE policies and practices in RIUs from varying angles. The description was intended to enable readers to form an in-depth understanding of them and enable them to make decisions if they apply to their work settings. These activities were directed toward ensuring any potential transferability of the findings of this study even though they originate from qualitative study methods (see Lodico et al., 2006, 276; see also pg. 98). Further research that would use other combinations of research methods that are even better compatible and cover longer periods of time could produce grounds for forming a deeper understanding than has been possible in this study.

The interpretive analysis of policy enabled discussing different views of stakeholders (see pgs. 27-51). It enabled uncovering some of the key issues

with the current HE policy recommendations. The follow up on these findings that done at the end of the study enabled theorising about the possible ways that the challenging situation had developed from a longitudinal perspective. The search for stakeholders views on HE policy issues could have been broadened by using additional sources as, for example, the Higher Education Policy Institute's (HEPI) or the British Academy's for humanities and social sciences websites. Many other websites that contained useful and relevant information were also not used in this study because it was not possible to access all of the original published material that was identified through them. It was on this base of knowledge that the study then proceeded to uncover the existing knowledge of policy implementation in the field (see pgs. 99-113). The systematic nature of this exploration enabled enriching and backing the knowledge that was built by a substantive amount of literature on research. Approaching the field of knowledge by the challenging concept of '*professionalism*' and the concepts of '*effective teaching*', '*evaluating teaching quality*', '*reward and recognition*', and '*academic identity*' allowed covering a wide field of studies.

In closing, the implications of this study for policy and practice and the suggestions for further research relate to the evaluation, assessment, and rewarding of effective teaching in HEIs/RIUs.

This study has shown that RIUs evaluate effective teaching by institutional frameworks that outline mechanisms that are to be used in, for example, career development. These mechanisms include evaluation of excellence against UKPSF standards and recognising it by the HEA fellowships. However, findings of this study also indicate that these kinds of activities are not found across all RIUs in England and Wales. Further studies could explore how wide spread the use of this framework is and how well it responds to the needs of evaluating and rewarding teaching excellence in RIUs and in the HE field. After these kinds of explorations have established the usefulness of the framework I would recommend that RIUs, which currently do not implement these kinds of frameworks would consider using them. Key findings of this study indicate that not all academics are aware of the kinds of frameworks for teaching excellence that are in used in their institutions. That is why I would recommend that those

RIUs that already use them should perhaps oversee their strategies to keep all their employees well informed in a systematic and consistent way. My further suggestion relating to the assessment of teaching excellence is that studies should also explore RIU contexts in relation to not only current HE policy issues, but also in relation to future issues. Some of them could potentially relate to the TEF that is under development for measuring teaching excellence in the same way that the REF measures research excellence.

Some of my recommendations are connected to the ways professional cultures and practices accommodate institutional mechanisms for valuing and rewarding effective teaching. Key findings have shown that academics are close to their departments rather than to the wider university and that they actively collaborate with their colleagues in, for example, developing their ways of teaching to be more effective. One of the ways to make teaching more effective that came up in addition to the institutional measurements of teaching quality was to engage students in their learning. However, as the effects the increased student engagement had on learning and teaching excellence was still found to be largely unproven, I would suggest that future studies should find out more about them. They could, for example, find out if professional cultures in RIUs in England and Wales are using measures of teaching quality in combination with activities that encourage students to engage in learning. Also, attention could be directed toward finding out more about the cultures that exist, not only in HEIs but also RIUs in England and Wales. Perhaps some of them could explore if official and oppositional cultures exist in them or define other types of cultures.

Finally, my recommendations for policies and practices in RIUs are connected to my explorations of the experiences the individual academics working in RIUs have of the institutional cultures and practices. I have identified, for example, a strong interest among academics in students and development of their professional skills and practices in this study. That is why I would encourage RIUs to undertake, for example, further institution-wide efforts to encourage multi-level engagement in needed developments of, for example, teaching, and research. Follow-up information from some of the studied RIUs show that they are taking these kinds of steps by organising institutional activities to develop

processes and practices in preparation of how they will be implementing the TEF in which they encourage their staff from various levels to participate. The information presented in this study about how the RIUs have used the HEA framework could also support these kinds of institutional approaches. The reason is because they show, for example, some of the ways that other RIUs have implemented it, what has worked, and what has not worked relating to them.

This study has discussed information that RIUs could be used to improve how they educate their students to become professionals that have “*internalized values, accountability and altruism*” and are committed to continue their professional development and make contributions to knowledge (see pgs. 18; 102-103; Kolsaker, 2008, 520). Findings have shown that the people doing the educating in the RIUs are professionals. They secure the status of their professions by adhering to mechanisms such as, for example, the UKPFS and HEA fellowships that ensure standards of professional practice (see pgs. 19; 97-98; Barnett 1997; Eraut 1994; Jarvis 1983; Kolsaker, 2008; Torstendahl 1990).

The discussed information in this study shows the many ways RIUs can improve their educational provision. These include further development of institutional practices that offer opportunities for professional development of skills in teaching and rewarding excellent performance in it. The encouragement for RIUs to engage in these kinds of activities is related to their potential to support and help academics to face and deal with current and future challenges and simultaneously increase the parity of esteem between teaching and research.

Appendices

Appendix 3.1-EPPI Centre tools

Tools outlined by the EPPI centre for appraising process evaluations, outcome evaluations, and review articles

Promoting health after sifting the evidence: tools

There are three tools that were used in these workshops:

12 questions to help you make sense of a process evaluation

10 questions to help you make sense of an outcome evaluation

10 questions to help you make sense of a review

General comments

Three broad issues need to be considered when appraising a process evaluation. Does the study tell you how the intervention was set up and monitored? Does it tell you what resources are necessary for an intervention? Does it tell you whether the intervention was acceptable to everyone involved?

· The 12 questions on the following pages are designed to help you think about these issues systematically. **The first three questions are screening questions to identify poor quality studies** and can be answered quickly. If the answer to all three is "yes", it is worth proceeding with the remaining questions.

· There is a fair degree of overlap between several of the questions.

· You are asked to record a "yes", "no" or "can't tell" to most of the questions

· A number of italicised prompts are given after each question. These are designed to remind you why the question is important. There will not be time in the small groups to answer them all in detail!

A/ Does the study focus on the delivery of a health promotion intervention?

Screening Questions

1 Does the study focus on a health promotion intervention?

Yes

Can't tell

No

A health promotion intervention aims to reduce the risk of ill health, enable early treatment by screening, minimise ill health or prevent the recurrence of ill health through:

- health education

- disease prevention

- health protection

2 Does the intervention have clearly stated aims?

Yes

Can't tell

No

Aims are clearly focused if they describe:

- the target population
- the intervention
- the expected improvement in health status

3 Does the study describe the key processes involved in delivering this intervention?

Yes

Can't tell

No

The processes involved may include:

- planning and consultation
- developing materials
- education and training
- establishing access to the target population
- media and publicity

Detailed Questions

4 Does the study tell you enough about planning and consultation?

Yes

Can't tell

No

Planning and consultation could include:

- checking the need for health promotion
- seeking the views and knowledge of the target group
- checking what resources are needed and available to deliver the intervention

5 Does the study tell you enough about the collaborative effort required for the intervention?

Are we told which individuals and/or groups were working together to deliver an intervention (such as multidisciplinary teams) or to enable people to take responsibility for their own health (such as in community developments)?

Yes

Can't tell

No

6 Does the study tell you enough about the materials used in the intervention?

Yes

Can't tell

No

Considerable effort may be made to develop audio, visual and printed material. Does the study describe these and report how they were developed and disseminated?

7 Does the study tell you enough about how the target population was identified and recruited?

Yes Can't tell No

Reaching the target population with the intervention may not be easy. Details of this and how they were introduced to the study and invited to consent to the study should also be included

8 Does the study tell you enough about education and training?

Yes Can't tell No

Is the experience, education and training described for all those involved in the study?

- those leading the intervention?
- all those delivering the intervention?
- those receiving the intervention?

B/ What are the results?

9 Were all the processes described and adequately monitored?

Yes Can't tell No

Does the study tell you:

- how successful they were in recruiting people to deliver the intervention?
- how successful they were in training people to deliver the intervention?
- how successful they were in reaching the target population

10 Was the intervention acceptable?

Yes Can't tell No

Some people may not have received the intervention or responded to the intervention because they didn't like it. Was it acceptable to:

- those delivering the intervention?
- those receiving the intervention?

C/ Will the results help me?

11 Can the results be applied to the local population?

Yes Can't tell No

Do you think that the people receiving this intervention are similar enough to your population?

12 Were all important processes considered?

Yes Can't tell No

If not, does this affect the decision?

13 If you wanted to know whether this intervention promotes health what outcomes would you want to measure?

After all the effort of planning a new intervention, overcoming difficulties in the delivery and asking people whether they like it, there is still the question of whether it actually works.

10 questions to help you make sense of an outcome evaluation

General comments

- Three broad issues need to be considered when appraising an outcome evaluation. Are the results of the study valid? What are the results? Will the results help me?
 - The 10 questions on the following pages are designed to help you think about these issues systematically. **The first three questions are screening questions and can be answered quickly.** If the answer to all three is "yes", it is worth proceeding with the remaining questions.
 - There is a fair degree of overlap between several questions.
 - You are asked to record a "yes", "no" or "can't tell" to most of the questions.
 - A number of italicised prompts are given after each question. These are designed to remind you why the question is important or what you should look for. There will not be time in the small group to answer them all in detail!
- Individual studies do not necessarily address all the issues - you need to decide whether omitting to address an issue undermines the validity of the study or only narrows its scope.**
- The 10 questions are adapted from: Guyatt GH, Sackett DL, Cook DJ, Users' guides to the medical literature. II. How to use an article about therapy or prevention. JAMA 1993; 270: 2598-2601.

A/ Are the results of the outcome evaluation valid?

Screening Questions

1 Did the evaluation address a clearly focused issue?

Yes

Can't tell

No

An issue can be 'focused' in terms of

- the population studied
- the intervention given
- the outcomes considered

2 Were the people receiving the intervention compared with an equivalent control or comparison group?

Yes

Can't tell

No

A control or comparison group may be equivalent if

- the people in the different groups were selected in similar ways,
- descriptions of the different groups of people (demographic data) were very similar, or
- the people were allocated to the different groups randomly

3 Were all of the people who entered the evaluation properly accounted for and attributed at its conclusion?

Yes

Can't tell

No

Was follow up complete? Look for

- the number of people recruited (participation rate)

- the number of people allocated to the different groups
- the number of people reported in the outcome data tables
- the number of people who dropped out (attrition rate) and what we are told about them

Detailed Questions

4 Was the intervention described clearly?

Yes

Can't tell

No

Would it be possible to replicate the intervention from this description?
Aside from the experimental intervention, were the groups treated equally?

5 Is it clear how the control group and experimental groups did or did not change after the intervention?

Is data given on the outcome measures for all groups of people both before and after the intervention?

Yes

Can't tell

No

B/What are the results?

6 How large was the impact of the intervention?

What outcomes are measured?

How large was the difference, if any, for each of the outcomes measured?

7 How precise are the results?

What are the confidence limits for each result reported?

C/ Will the results help me?

8 Can the results be applied to the local population?

Yes

Can't tell

No

Do you think that the people involved in the evaluation are similar enough to your population?

9 Were all important outcomes considered?

Yes

Can't tell

No

If not, does this affect your decision?

10 Are the benefits worth the harms and costs?

Yes

Can't tell

No

This is unlikely to be addressed by the evaluation. But what do you think?

10 questions to help you make sense of a review

General comments

· Three broad issues need to be considered when appraising a review article.

Are the results of the review valid?

What are the results?

Will the results help locally?

· The 10 questions on the following pages are designed to help you think about these issues systematically. **The first two questions are screening questions and can be answered quickly.** If the answer to both is "yes", it is worth proceeding with the remaining questions.

· There is a fair degree of overlap between several of the questions.

· You are asked to record a "yes", "no" or "can't tell" to most of the questions.

· A number of italicised prompts are given after each question. These are designed to remind you why the question is important. There will not be time in the small groups to answer them all in detail!

· The 10 questions are adapted from: Oxman AD, Guyatt GH et al, Users' Guides to The Medical Literature, VI How to use an overview. (JAMA 1994; 272 (17): 1367-1371)

A/ Are the results of the review valid?

Screening Questions

1. Did the review address a clearly focused issue?

Yes

Can't tell

No

A issue can be 'focused' in terms of

- the population studied
- the intervention given
- the outcomes considered

2 Did the authors select the right sort of studies for the review?

Yes

Can't tell

No

The 'right sort of studies' would

- address the review's question
- have an adequate study design

Detailed Questions

3 Do you think the important, relevant studies were included?

Yes

Can't tell

No

Look for

- which bibliographic databases were used
- checks from reference lists

- personal contact with experts.
- search for unpublished as well as published studies
- search for non-English language studies

4 Did the review's authors do enough to assess the quality of the included studies?

Yes Can't tell No

The authors need to consider the rigour of the studies they have identified. Lack of rigour may affect the studies' results (All that glitters is not gold!)

5 Were the results similar from study to study?

Yes Can't tell No

Consider whether

- the results of all the included studies are clearly displayed
- the results of the different studies are similar
- the reasons for any variations in results are discussed

B/ What are the results?

6 What is the overall result of the review?

Consider

- if you are clear about the review's 'bottom line' results
- what these are (numerically if appropriate)
- what units these results are expressed in

7 How precise are the results?

Are there confidence limits? What are they?

C/ Will the results help locally?

8 Can the results be applied to the local population?

Yes Can't tell No

Do you think that the people covered by the review are similar enough to your population?

9 Were all important outcomes considered?

If not, does this affect the decision?

10 Are the benefits worth the harms and cost

Appendix 3.2-Defining academic identity

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Andrew, Lopes, Pereira, Lima (2014)	External	Andrew (2012) Lima et al. (2012) Pereira et al. (2012)	<i>"Becoming an academic involves a socialisation process that leads the individual on a journey moving from a clinical setting (known territory) to an educational institution (unknown territory)... This often manifests as expressed guilt about leaving the 'real' caring work of nursing behind, loss of credibility and subsequent downgrading of expertise. Academic acclimatisation is often experienced as an initial erosion of identity, followed by a gradual emergence of an academic identity and consequently an altered social identity (Andrew 2012; Lima et al. 2012; Pereira et al. 2012)." (Andrew, et al. 2014, 74).</i>
Costa (2015)	External	Bourdieu, P. (1977; 1984; 1988; 1989; 1990; 1991; 1998a; 1998b; 1999; 2004)	<i>"This research is guided by the sociology of Pierre Bourdieu, especially his conceptualization of habitus as internalized behaviour; product of life trajectories that individuals carry with them and which, in part, are translated into the practices they transfer to and from the social spaces in which they interact. In doing so, this article explores how academic researchers engaged in digital scholarship activities perceive their professional identity as part of their academic habitus; the perceptions of a professional self that is strongly influenced, and sometimes transformed, by their participation in online knowledge networks and web spaces ... Considering academic identities in the current knowledge society requires attention to the growing effects of the participatory web on the academic world. How the web affects academic practice, and especially, what it means in terms of professional and academic identity is central to this article. This research presents a new perspective on academic identities in connection to the digital economy and aims to inform the wider digital society debate in relation to the academic profession" (Costa, 2015, 195).</i>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Cribb & Gewirtz (2013)	External	Marx Graham (2005)	<p><i>“One way of indicating the plausibility of the hollowing-out model is to focus on the extent to which academic ‘substance’ has in contemporary university life been routinely transformed into organisational ‘surface’ or, in other words, the extent to which academic work has been subordinated to the institutional obsession with reputation and impression management. There is a serious risk here of underestimating the extent to which impression management cultures and practices have penetrated HE and of assuming that the excesses of gloss and spin are confined to the corporate level where branding is king. This would fail to acknowledge and understand the powerful relay mechanisms, which transmit and reproduce impression management technologies and habits at every level of the university, not least at the level of academic identity and subjectivity. It is not just that some academics choose to present their work and careers in ultra-packaged passages of hype and are, on occasions, seemingly comfortable to sell themselves as ‘assets’ and drive hard bargains in the careers marketplace. But it is also, and much more routinely, that the merits of academics are increasingly spoken of, not only by managers but by themselves, in terms which derive directly from the reputational drivers of the university ... The extent to which academic self-identity and self-definition have become colonised by institutional performance ideologies is arguably one sign of the loss of exceptionalism in the sector, with academic identities and careers seemingly becoming isomorphic with the identities and careers of those in any sector producing any kind of output” (Cribb & Gewirtz, 2013, 344-345).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Gough (2014)	Internal	Nixon (2001)	<p><i>"Certain critics might say that my argument appears too closely concerned with an abstract account of academic identity and not enough either with the concrete conditions of academic work and how to improve them or with the role of higher education in society. However, it is precisely this abstract account that provides the very fundamental theoretical basis which shows why there should be change away from neoliberal managerialism and the pressure to toil ever harder on tasks determined by someone else, shows the way towards hope for inhabitants of the academy. Nixon (2001) regards academics' primary concern for their own freedom as self-indulgent, his 'new professionalism' requiring the academic role to carry particular responsibility to fight for the broader societal good of freedom for all. We can see how this would enhance the legitimacy of the academy in the eyes of those outside it. I would argue, however, that the focused exercise of academic autonomy for the sake of academic work is necessary to serve as a substantive demonstration of the understanding of autonomy and its value, in order in turn to prevent subsequent calls to change the wider world sounding hollow and lacking in integrity" (Gough, 2014, 603-604).</i></p>
Griffiths, Thompson, Hryniewicz (2014)	External	Akerlind (2008)	<p><i>"In relation to higher education, Akerlind (2008) provides a useful categorisation of understanding an academic identity which we draw on in the analysis: fulfilling academic requirements as an academic duty or stepping stone; personal development as a route to self-understanding; establishing oneself in the field via personal achievement and wider recognition; and making a difference: enabling broader change in order to benefit a larger community. Akerlind's study focused on academics' research identities, but we have found these categories equally relevant when considering landmarks in teaching" (Griffiths, Thompson, Hryniewicz, 2014, 78-79).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Jones (2007)	Internal	Henkel (2005)	<p><i>"Inherent in the idea of ontological insecurity is the notion of academic identity. Academic identity is a complex idea discussed in detail by Henkel (2005), who defines it as firstly a unique individual located in a moral and intellectual framework and secondly an embedded individual with a place in institutional and community structures. Thus academic identity is both personal and professional, individual and social. Henkel (2000) argues that academic communities provide the structures, roles and social positioning. Academic identities, because they are social, are embedded in and shaped and reinforced by context and the social processes. For Henkel, identity is the interaction between individuals who are often (but not always) pursuing the same goals. Henkel (2005) identifies the discipline (often given tangible form in departments) and the institution as the key community and hence source of identification. However, there is also a further source of identity since academics identify as members of a profession with particular features including knowledge production and transfer and this professional identity crosses disciplinary and institutional boundaries. Academics see themselves as 'belonging to a distinctive and bounded sector of society, the normative power of which has been sustained in part by a nexus of myths, socialisation processes and regulatory practices' (Henkel, 2005, p. 158)" (Jones, 2007, 218).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
King, Garcia-Perez, Graham, Jones, Tickle, Wilson (2014)	External	Becher (1989) Henkel (2000) Manathunga and Brew (2012)	<p><i>“Our adoption of the visual metaphor of an ‘island’ of academic identity captures our innate separateness, as ‘distinctive individuals’ (Henkel, 2000). However, each island is set in seas that link us to our colleagues, institution and discipline, and, potentially, to other communities in which we are embedded. Recently, the ‘tribes and territories’ metaphor, which Becher (1989) coined to represent the academic workplace, has been questioned. A more apposite metaphor of ‘academic oceans’ is suggested by Manathunga and Brew (2012) because it avoids the tacit imperialism and aggressive notions which ‘tribes and territories’ may imply. Our island metaphor suggests that while changes in the world around us may touch us, like an island’s topography, some aspects of our identity may prove more resistant to change than others” (King, Garcia-Perez, Graham, Jones, Tickle, Wilson, 2014, 254).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Lopes, Boyd, Andrew, Pereira (2014)	External	Smith and Boyd (2012) Boyd and Lawley (2009) Chetty and Lubben 2010 Robinson and McMillan (2006)	<p><i>“Researching the academic identities of new nurse educators, Smith and Boyd (2012) and Boyd and Lawley (2009) found that new lecturers are highly motivated to teach and develop new clinical practitioners, but may tend to hold on to their former identities as nurses and resist adopting an academic identity which is seen as centred on research ... Research findings on the academic identities of teacher educators (TE) have similar findings, regarding newcomers (Boyd and Harris 2010), and experienced lecturers (Chetty and Lubben 2010). According to Chetty and Lubben (2010), the majority of teacher educators consider teaching and research as dichotomous elements, and research activities are seen as a way to satisfy institutional requirements for the acquisition of financial support and production of publications. Robinson and McMillan (2006) also found evidence showing that very often, contrary to expression in favour of the constitution of researchers’ identities, teacher educators prefer to maintain their identity as school teachers” (Lopes, Boyd, Andrew, Pereira, 2014, 169-170).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Mackness, Waite, Roberts, Lovegrove, (2013)	External	Barnett (2007) Burton (2009) Weller (2011) Wenger (1998)	<p>“... Martin Weller (2011) sees openness as a ‘state of mind’ and necessary for scholarly practice, but as Burton (2009) points out: a typical scholar is very exclusive, available only to students in specific academic programs or through toll-access scholarly publications that are essentially unavailable to all but the most privileged. Burton believes that ‘the Open Scholar is someone who makes their intellectual projects and processes digitally visible’. This has significant implications for academic research and publication, but also, more importantly, for academic identity. Barnett (2007) writes that: ‘Being’ has to be claimed as a key concept in any serious reflection on higher education, especially any thinking concerned with students and their experience. It is through her being that the student comes into a relationship or, rather, a set of relationships with all that she encounters. According to Wenger (1998) learning, meaning, and identity are inextricably intertwined and ‘Building an identity consists of negotiating the meanings of our experience’ (p. 145). But meaning making and identity formation across distributed networks and in an age of information abundance, complexity, and uncertainty means that today’s learner has ‘a tough time of it’ (Barnett, 2007, p. 36). These days we have to manage multiple trajectories all at once. It’s hard work (Wenger, 2011). Mastery of learning requires understanding the struggle of what it takes to become something. (Wenger, personal communication, 2012)” (Mackness, Waite, Roberts, Lovegrove, 2013, 152).</p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
McAlpine, Amundsen, Turner (2014)	Internal	Baxter Magolda, (2007) Elliott (2005) Wenger (1998) Hodkinson & Sparkes (1997) Geijsel and Meijers, (2005)	<p><i>"Our view of identity highlights how individuals represent the continuity of stable personhood over time and concurrently a sense of ongoing change (Elliott, 2005). We chose the word 'trajectory' in identity-trajectory to incorporate a developmental perspective in which learning from experience is a natural feature of life with work experience intertwining with personal desires and relationships (Baxter Magolda, 2007). Others have also used 'trajectory' to explicitly denote change through time (e.g., Wenger, 1998, 'learning trajectories'; Hodkinson & Sparkes, 1997, 'career trajectories'). The use of the term, identity-trajectory, does not imply a straightforward undisrupted view of learning and change. What is emphasized instead is identity development as an ongoing learning process (Geijsel and Meijers, 2005)—the continuity, the flow, of individual intention and experience across roles rather than within only one role, e.g., doctoral students, as is common in the literature. Lastly, we situate academic work within the fullness of people's lives, which is why we refer to identity-trajectory rather than academic identity-trajectory" (McAlpine, Amundsen, Turner, 2014, 954).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Malcolm & Zukas (2009)	External	Rowland (2008) Nixon (2004)	<p><i>“Respondents in our studies of academic identity construction repeatedly refer to the fact that they experience their work primarily as disciplinary endeavour, rather than as ‘research’ or ‘teaching’; they speak, for example, of writing philosophy when preparing materials for students, or teaching ‘sociologically’, or using linguistics as a language to enable students to talk about language. Their responses are redolent of Rowland’s ‘intellectual love’ (2008) or of Nixon’s ‘virtuous dispositions’ (2004): they conceive of disciplinary work as morally and socially purposive activity. Teaching is often expressed as a disciplinary activity through which both the students and the teachers are enabled to produce disciplinary knowledge, mobilising and reconstructing ideas in much the same way as might conventionally be expected in research practice.” (Malcolm & Zukas, 2009, 499).</i></p>
Pratt (1997)	Internal	Becher (1989)	<p><i>“Academic identity: acknowledging one’s content As mentioned above, an essential ingredient left out of both ‘technical’ approaches is the very essence of most higher educators’ identity – their content. There can be no teaching without content; something (and someone) must be taught. Whether they teach in research universities, four year colleges, or two-year community colleges, most faculty think of themselves as a member of a profession, discipline, or trade, rather than as a teacher (Becher 1989). More often than not, they introduce themselves in terms of those associations, as historians, chemists, nurses, librarians, carpenters, and so fourth. Their content is a pivotal aspect of their identity as an academic” (Pratt, 1997, 30).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Roberts & Weston (2014)	External	Bourdieu (1988)	<p><i>“Academic identity as a social construct</i> <i>Our initial scoping interviews hinted at the complex and situated nature of the development of an academic identity. Social theory provided us with a number of helpful concepts in developing our understanding of identity as a social construct. A reading of Bourdieu’s (1988) Homo Academicus introduced us to the concept of ‘habitus’. Habitus refers to the system of beliefs and values that an individual takes on and inhabits. It references our lasting dispositions and propensities to think, feel and act in a certain way due to our view of ourselves as individuals or members of social groups. The habitus of teacher-educators, based on a first career as a school teacher, therefore includes many assumptions and beliefs about the nature of an academic”</i> (Roberts & Weston, 2014, 701).</p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Sabri (2010)	External	Archer (2008) Clegg (2008) Davies and Petersen (2005) Henkel (2000) Petersen (2009)	<p><i>"An extensive qualitative study that drew on 97 interviews from a stratified sample of pre- and post-92 English universities and a range of disciplines concluded that, despite increasing fragmentation of social identity, the stability of academic identity remains largely intact within disciplines and institutions (Henkel 2000)... Henkel looked for the 'permeation' (2000, 13 and 250) of academic identity by external values: 'capacities to sustain control of their identity project varied according to the capital built up by individuals, departments, disciplines and institutions in a system where stratification was more strongly entrenched than ever' (265) ... A debate has developed around the extent to which academics have been co-opted into the neo-liberal project and the exploration of spaces and potential for resistance. Archer (2008) argues for a middle ground between the 'optimistic' conclusions of Clegg (2008) and the more pessimistic ones of Davies and Petersen (2005). Whereas Clegg sees academic identities as far from being under threat and suggests that respondents were able to maintain 'strongly framed academic projects of the self', Davies and Petersen see academics as 'succumbing to the reconstitution of their work in neo-liberal terms' and in doing so contributing to 'the breaking down of the social tissue that makes intellectual work possible' (2005, 95). More recently, Petersen (2009) has elaborated on the politics of resistance and how attempts at the enrolment of academics into neo-liberal practices can be intertwined with the invocation of values, such as 'the common good', and 'being good colleagues' as well as threats to lose research funds and opportunities for promotion. Similarly, critical discourse analysis has been utilised to demonstrate the reconstruction of academic identities 'on a more entrepreneurial basis (Fairclough 1993)" (Sabri, 2010, 91-192)</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Sutton (2015)	Internal	Barrett (2012) Henkel (2010) Giddens (1991) White (2012)	<p><i>"I use the locution academic identity to signify my publicly enacted professional self (White 2012) ... As Henkel (2010) states, reflexivity is crucial to understanding identity. Giddens (1991) defines reflexivity as the ability to revise ways of thinking and interacting in the light of new information and knowledge. My academic identity can be envisaged as the 'reflexive interplay' (Henkel 2011, 65) of my biographical, institutional, and disciplinary identities. I was a non-traditional, mature entrant to HE who, subsequent to completing a higher degree, chose to work in a small, provincial, teaching-led HE institution with a long history of widening participation. I am a sociologist with two decades experience of HE teaching but who now teaches on ostensibly interdisciplinary, vocationally oriented programmes resulting in my academic identity becoming less specialised (Barrett 2012). I chose to become, first and foremost, a university teacher. Thus, although research is an important dimension of my academic identity, my teaching identity (Henkel 2000) is cardinal. This then constitutes the biographical point of departure for this theoretically driven analysis of the 'project' (Giddens 1991) of my academic identity" (Sutton, 2015, 37-38).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Van Laren & Mudaly (2012)	Internal	Clegg (2008) Henkel (2000) Jawitz (2009)	<p>“Shifting identities We did not view ‘academic identity’ as a rigid set of characteristics that can be defined for particular type of lecturer; in other words, we did not aspire to being developed and supported to become postgraduate lecturers to fit into a particular mould. Our identities were built on our disciplinary knowledge base, teaching modes and confidence (Henkel 2000) as undergraduate teacher educators. We required support and additional professional development to make the transition to becoming postgraduate lecturers, because teaching on the generic M.Ed. module was disconnected from our disciplines in the undergraduate modules (Mathematics and Science Education). Our identities were not ‘fixed’, but became part of the ‘lived complexity’ of our project and our ways of being (Clegg 2008, 329) as we traversed the postgraduate teaching terrain. We exercised agency in choosing to engage with a ‘boundary identity trajectory’ (Jawitz 2009, 248) where, as newcomers, we sustained membership across two different communities of practice, namely the undergraduate discipline modules and postgraduate generic modules” (van Laren & Mudaly, 2012, 1082-1083).</p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
White, Roberts, Rees, Read (2014)	External	Churchman (2006) Clegg (2008) Mead (1934) Murray (2004) Ducharme (1993; 1996) Dinkelman et al. (2006) Welmond (2002)	<p><i>“Teacher educators frequently feel like, and are seen as, ‘uneasy residents in academe’ (Ducharme 1996 cited in Sikes 2006, p. 558) ... The literature proposes a number of labels for the complex identities of teacher educators, including ‘semi-academics’ (Ducharme 1993) and ‘second-order practitioners’ (Murray 2004). These complexities in terms of a teacher educator’s identity can be explained to some degree by an examination of the multiple ‘expertises’ that they are required to maintain, remaining school experts in order to win the trust of student-teachers whilst simultaneously becoming full academics. Accepting that the self is formed in part through external definition (Mead 1934), teacher educators’ desire to continue to focus on maintaining a credible role as and with teachers, with the security which this implies (Dinkelman et al. 2006), is understandable. The suggestion that teacher identity is in some way static is therefore problematic. Welmond (2002, p. 42) sees teacher identity to be ‘dynamic and contested’, shaped by divergent interests and ideologies that themselves bring different ways of understanding success or effectiveness ... Embracing a view of academic identity as a dynamic interaction rather than a homogenised isolated construct (Clegg 2008), and as socially situated (Henkel 2000), we intend to open up definitions and re-consider the disjuncture between ‘the rhetoric and experiences of academic life’ (Churchman 2006, p. 8)” (White, Roberts, Rees, Read, 2014, 58-59).</i></p>

Author	Feature of 'Academic Identity'	Key theories	Example of discussion on definition for 'Academic identity'
Young (2010)	External	Burton & Haines, (1997) Gordon et al. (2003) Young (2006)	<p><i>"Whilst acknowledging the importance of research in the disciplines for academics, the part this plays in the rationale for discipline-based pedagogic research and development is less obvious. The evidence that the lack of parity of esteem for teaching as an activity is also extended to pedagogic research (Burton & Haines, 1997), whether discipline-based or generic, counters any claim that discipline-based pedagogic research enhances academic identity... The research evidence, which suggests the strength of disciplines as prime sources of identity, has been used to argue that the development of discipline-based research and development is a response to the discipline-based concerns of academics. Gordon et al. (2003) note the recent emphasis on the importance of discipline focused pedagogical research as a response to lecturers' primary identities in the disciplines. Even if we accept the strength of disciplines in creating academic identities, there may be flaws in the argument that this validates discipline-specific pedagogy. The search for discipline-based understandings of teaching and learning could be seen as no more than a pragmatic and somewhat desperate attempt by educational developers to kindle interest in thinking and activities which are not prioritised by discipline-based academics for quite different reasons: such as the lack of parity of esteem of teaching and teaching-related activities in relation to discipline-based research (Young, 2006)." (Young, 2010, 118, 120).</i></p>

Appendix 3.3-Interview questions

1. Can you tell me a little bit about your role at the university of Exeter?
2. What do you usually do in your work?
3. Have you had other (academic) roles before this one?
4. Do you think you will always work in academia?
5. Could you describe in as much detail as possible the teaching related tasks of your role?
6. Right now, what are your main concerns about your role as an educator?
7. Do you have any concerns about your school?
8. Do you have any concerns about your students?
9. Do you have any concerns about your working circumstances?
10. What courses have you taken for teaching?
11. What are some of the things you learned in those courses?
12. How did the courses help you?
13. How do you best learn about ways to deepen and improve your practice as an educator?
14. When you decided to become (a lecturer, researcher), what made you choose to work in a research-intensive university?
15. How long have you worked at the ... university?
16. What attracted you to work in higher education?
17. What attracted you to come and work at the university of...?
18. How would you describe the professional climate at the university?
19. Do you feel that your teaching has been appreciated by the university?
20. When you think about the appreciation would you think of career advancement or further professional development opportunities as signs of appreciation from the university?
21. How do you believe that other academics experience their teaching?
I would like to ask you about what the good and the perhaps not so good parts are of your role
22. Could you tell me about some good experiences that you have had in your education role?
23. Could you tell me about some perhaps not so good experiences that you have had in your education role?

STUDENT HIGHER-LEVEL RESEARCH
DISSERTATION/THESIS



Graduate School of Education

Certificate of ethical research approval

DISSERTATION/THESIS

To activate this certificate you need to first sign it yourself, and then have it signed by your supervisor and finally by the Chair of the School's Ethics Committee.

For further information on ethical educational research access the guidelines on the BERA web site: <http://www.bera.ac.uk/publications> and view the School's Policy online.

READ THIS FORM CAREFULLY AND THEN COMPLETE IT ON YOUR COMPUTER (the form will expand to contain the text you enter). **DO NOT COMPLETE BY HAND**

Your name: Angelique Hilli

Your student no: 630009484

Return address for this certificate: Bayview apartments 2, 6 / 7 Victoria Parade, TQ1 2BB, Torquay, Devon, UK

Degree/Programme of Study: PhD Education

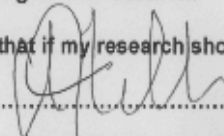
Project Supervisor(s): Professor Wendy Robinson, Dr Karen Mattick

Your email address: P.E.A.Hilli@exeter.ac.uk

Tel: 07450278230

I hereby certify that I will abide by the details given overleaf and that I undertake in my dissertation / thesis (delete whichever is inappropriate) to respect the dignity and privacy of those participating in this research.

I confirm that if my research should change radically, I will complete a further form.

Signed:  date: 07/03/09

NB For Masters dissertations, which are marked blind, this first page must not be included in your work. It can be kept for your records.

Chair of the School's Ethics Committee
updated: April 2012

Certificate of ethical research approval

DISSERTATION/THESIS

Your student no: 630009484

Title of your project:

Educating Professionals and Professionalising Education in Research-Intensive Universities: Opportunities, Challenges, Rewards and Values

Brief description of your research project:

This study explores HE policy and practice to find out how research-intensive HEI's are engaging with current HE policy agendas. Specific focus is directed toward how effective teaching and learning is evaluated, assessed, valued, rewarded and aligned with institutional missions. It is theorised that elements of continuity are to be found relating to these activities and that identifying and recognising these will serve to aid individual actors in the field to make sense and deal with emerging changes. The cultural-historical activity theory (CHAT) (Engeström 1987; Engeström et al., 2007; Leont'ev, 1975; Vygotsky, 1978) underpins the methodology of this study. Cultural, historical activity-theoretical concepts and models are used in the analysis. The study combines documentary and case study approaches to guide the explorations. Narrative accounts of participants' experiences of teaching activities in HE are combined with the analysis of literary material on the policies of these activities in the presented case studies.

Give details of the participants in this research (giving ages of any children and/or young people involved):

University of Exeter (pilot study) plus 3 further research-intensive universities. Within each institution a sample of individual academics responsible for teaching and learning, who have successfully completed their probation, will be invited to take part in the narrative research. It is expected that two academics from each field for each institution will comprise this sample, totalling 32. Staff will be selected on the basis that they are sufficiently close to the front line of teaching work to provide a bottom-up view but who also have sufficient experience of their institutional structures for support, recognition and reward.

Give details (with special reference to any children or those with special needs) regarding the ethical issues of:

- a) **informed consent**: Where children in schools are involved this includes both headteachers and parents). **Copy(ies) of your consent form(s) you will be using must accompany this document.** a blank consent form can be downloaded from the GSE student access on-line documents:

Every caution is taken in order to ensure that no harm, detriment or unreasonable stress is caused to the participants of the research. Every data collection situation is planned to begin with clarifying and making sure that the participants understand that they participate voluntarily in the research and are free to withdraw at any moment with no consequences. All possible concerns and questions of the participants relating to the research are answered before and if needed during data collection. Written consent is collected from all participants. The consent form includes information about the aims of the research and possible consequences expressed in general linguistic terms ensuring the participants fully understand the contents of the form.

Chair of the School's Ethics Committee
updated: April 2012

b) anonymity and confidentiality

The research will adopt practices to ensure the interests and rights of any persons or other sentient beings with which professional contact occurs are respected and protected. The researcher manages the activities in the data collection without prejudice making every effort to stay objective. Any privileged access to confidential information about individuals and / or institutions is handled with outmost confidentiality and care is taken to ensure that the only information retained has been consented to by the participants. The researcher will make every effort to avoid hearing or reading any information that comes from outside the interview situation about the participants. The researcher will not audiotape or collect or store any audio, written material or media containing information about the participants that they have not consented to. The researcher will not discuss the participants or their interviews or panel discussions by name, position or affiliation in identifiable form with anybody. The interviewer will not evaluate, argue or in any way impose her perspective on the discussed issues in the interviews or panel discussions but instead have respect for the participants' experiences and stories. The researcher will not share information or discuss other participants, the information they have shared or share experiences of other data collection situations with or among any of the other participants of the data collection. All the collected data is handled with outmost care for providing anonymity and preventing identification of the participants. In order to ensure the anonymity and protect the rights of the participants, only the researcher has access to any personal information. The research will not at any point disclose any personal information of the participants such as their names, positions held within the institution or HE field or affiliation with specific institutions. The participants will be invited to give feedback on the study and its conclusions at the late stage of the research. This will include an opportunity for them to give feedback on how the information relating to them has been used. Appropriate adjustments to the study will be made based on the feedback. Copies of reports or other publications arising from the participation will be provided accordingly

The data is immediately coded numerically as it is collected and care is taken to ensure that any references made to individuals in the study protect their anonymity. Any references made to the participants or the information they have shared at any point of the research is expressed in terms that do not lead to the identification of their institution, position or identity. This entails, for example, not disclosing any personal traits, views or features. Should the participant explicitly express a desire for their personal views or other information to be expressed in the study, the supervisors, the funding actor HEA and the university of Exeter will be consulted and appropriate and approved ways of accommodating their wishes will be implemented. This scenario is considered to be highly unlikely to occur as all the participating academics and the information they share is expected and planned to be retrieved and handled on equal terms.

Give details of the methods to be used for data collection and analysis and how you would ensure they do not cause any harm, detriment or unreasonable stress:

The questions asked in the in-depth interviews will aim to encourage the participants to feel at ease to discuss personal experiences whilst remaining on the professional level of interaction. All interviews and panel discussions are designed with respect for the participants, their knowledge, values, and academic freedom. The discussions are to be conducted in a supportive, confidential and non-judgmental environment and with respect for the participants' wishes. The researcher will seek to minimise the impact that participation in the research will or could impose on the normal working or workload of participants. In the interview and panel discussions the researcher will stay objective and non-judgemental toward the interviewee, their institution, other actors in the HE field and the information they share. The researcher will exemplify this by for example using neutral and positive wording in the interview questions, speak with a supportive and calm voice and keep having an open eye contact with the participants.

Should a participant feel that sharing their experiences causes unreasonable personal stress or other negative feelings or effects for them, the researcher will immediately stop any actions ensuing from the research that causes the emotional or other harm. The researcher will in the situation provide support and empathise with the participants without judgement. The researcher will also do her best to guide the participants in such situations to find suitable additional support and help for overcoming the unreasonable stress or other negative effects. All the participants will be asked for consent for the audio-taping of the interviews and the panel discussions. If a participant declines the right for the audio-taping, the data collection will be adjusted accordingly to manual note-taking of answers with no consequences to the participant. All actions taken during the data collection will be conducted in order to reduce as much as possible any harm, detriment or unreasonable stress to be caused for the participants.

Give details of any other ethical issues which may arise from this project (e.g. secure storage of videos/recorded interviews/photos/completed questionnaires or special arrangements made for participants with special needs etc.):

The researcher will comply with the legal requirements in relation to the storage and use of personal data as per Data Protection Act (1998). This entails for example the following things. The participants will be informed about how and why their personal data is stored, how it will be used in the study and who will have access to it. No third parties will be disclosed with personal information about the participants and should this be needed for any unforeseen reason, written consent will be collected for it from the participants. The participants will have the right to request and receive information about the data that is stored about them.

All the consented and collected data will be stored in an anonymised way. The collected signed consent forms and data will be stored securely at a private office to which only the researcher has access in order to diminish any possibility for inappropriate and irrelevant access. The computer at this office is safeguarded by a password known only by the researcher. All e-mail exchanges occurring for the data collection will be encrypted and handled by digital certificate. Any telephone numbers or other contact information shared with the researcher during the data collection will not be stored and disposed of securely as soon as they are not relevant for making appointments for the data collection. All documents produced during the data collection will be protected and encrypted with a password only known by the researcher. Only the researcher will analyse the raw data consisting of the audio-taped interviews and panel discussions. The researcher will process the collected data into coded and content related information in the preliminary stage of data analysis. All the collected and coded data is stored in encrypted form on an external hard drive that is protected by a password. This hard drive is never removed from the private office and any documents downloaded from it will be in both coded and encrypted forms. The researcher will not disclose any of the used passwords in any form to anybody or make any written notes about them. The researcher will make sure that the used passwords are of high quality by their length, complexity and randomness and that they cannot be easily guessed by for example connection them to the researcher or the research project. The researcher will use different passwords for the computer, hard drive and encryption of e-mails and documents.

Give details of any exceptional factors, which may raise ethical issues (e.g. potential political or ideological conflicts which may pose danger or harm to participants):

The potential ethical issues relating to the continued employment at the participating institutions arising from the participants expressions of personal views and experiences are to be diminished by applying measures of confidentiality. These measures include non-disclosure of names and relating institutions by the assignment of codes to the interviews and panel discussions. The measures also include not disclosing any descriptions that could lead to the identification of individual participants.

This form should now be printed out, signed by you on the first page and sent to your supervisor to sign. Your supervisor will forward this document to the School's **Research Support Office** for the

Chair of the School's Ethics Committee
updated: April 2012

This project has been approved for the period:

until:

FIRST SUPERVISOR: PROFESSOR WENDY ROBINSON,

By (above mentioned supervisor's signature): *Almeida* date: 7 March 2014

N.B. To Supervisor: Please ensure that ethical issues are addressed annually in your report and if any changes in the research occur a further form is completed.

GSE unique approval reference: D|13|14|23 .

Signed: *D.L.D.* date: 7/4/14
Chair of the School's Ethics Committee



Educating Professionals and Professionalising Education in Research-Intensive Universities; Opportunities, Challenges, Rewards and Values

Information Sheet for Participants

You are invited to take part in a research study.

Before you decide you need to understand why the research is being done and what it would involve for you. Please take time to read the following information carefully and decide whether or not you wish to take part. Please ask if there is anything that is not clear or if you would like more information.

What is the purpose of the study?

- The purpose of this study is to understand practical implementation of higher education (HE) policy.

Why have I been invited?

- 40 Academics with teaching responsibilities working in research-intensive universities (RIUs) are sought to be recruited.

Do I have to take part?

- Participation in the study is voluntary. This information sheet describes the study and you will have an opportunity to ask questions for clarification. Once you have agreed to take part you will be asked to sign a consent form.

What will happen to me if I take part?

- You will be asked to suggest an appropriate time for an interview. The researcher will interview you for 45 minutes at a time and place convenient for you. The interview will be audio-recorded. The interview will involve your experiences as an academic.
- After this interview there is no further time commitment. You will have an opportunity to take part and comment on the findings at a later stage.

What are the possible disadvantages and risks of taking part?

- You are asked to participate in a 45 minute interview.

Will my taking part in the study be kept confidential?

- Yes. Ethical and legal practices are followed and all information about you will be handled in confidence.

What data or information will be collected?

- Interviews about your personal experiences of working in a RIU will be audio recorded and transcribed by the researcher.

What if there is a problem?

- If you have a concern about any aspect of this study, you should ask to speak to the researcher who will do her best to answer your questions.

Who has reviewed the study?

- The Graduate School of Education at the University of Exeter has reviewed the research to protect your safety, rights, wellbeing and dignity. The research has been given their Certificate of ethical research approval.

What will happen to results of the research study?

- The results of the research will be published in a PhD thesis. Publication of findings in research articles are planned in relevant educational journals. Key findings will be directly communicated to you. You will not be identified in any report or publication.

What if I have any questions now or at a later date?

- If you have any questions about the project, either now or in the future, please contact:

• Angelique Hilli, MSc Educ.
PhD Student / HEA Mike Baker Doctoral Programme
Graduate School of Education
Centre for Research in Higher Education
University of Exeter
Tel: +44 (0) 7450 278 230
Email: P.E.A.Hilli@exeter.ac.uk

Appendix 3.6-Consent form



GRADUATE SCHOOL OF EDUCATION

Title of Research Project: Educating Professionals and Professionalizing Education in Research-Intensive Universities: Opportunities, Challenges, Rewards and Values

CONSENT FORM

I have been fully informed about the aims and purposes of the project. I understand that the study aims to explore current HE policy and how it is applied in research-intensive universities. I am aware that the goal of the research is to find out how effective teaching and learning is evaluated, assessed, valued, rewarded and aligned with institutional missions. I have been informed that the study intends to have an impact on the practical application of HE policy in research-intensive universities by offering holistic insights to the HE field based on analysing policy, research and experiences of academics. The holistic insights are intended to support discovering new opportunities for evaluating and sharing good practice across the field without imposing any foreseeable personal consequences on the academics participating in the study. I understand every possible measure is implemented to avoid personal consequences to occur as result of participation in the study and that should any unforeseen consequences occur they will be dealt with appropriately.

I understand that:

~~there~~ is no compulsion for me to participate in this research project and, if I do choose to participate, I may at any stage withdraw my participation and may also request that my data be destroyed

I have the right to refuse permission for the publication of any information about me

~~any~~ information which I give will be used solely for the purposes of this research project, which may include publications or academic conference or seminar presentations

~~if~~ applicable, the information, which I give, may be shared between any of the other researcher(s) participating in this project in an anonymised form

~~all~~ information I give will be treated as confidential

~~the~~ researcher(s) will make every effort to preserve my anonymity

.....
(Signature of ~~participant~~)

.....
(Date)

.....
(Printed name of participant)

One copy of this form will be kept by the participant; a second copy will be kept by the researcher(s)

Contact phone number of researcher(s):.....07450278230.....

If you have any concerns about the project that you would like to discuss, please contact:

Angelique Hilli: P.E.A.Hilli@exeter.ac.uk; 07450278230

* ~~when~~ research takes place in a school, the right to withdraw from the research does NOT usually mean that pupils or students may withdraw from lessons in which the research takes place

Data Protection Act: The University of Exeter is a data collector and is registered with the Office of the Data Protection Commissioner as required to do under the Data Protection Act 1998. The information you provide will be used for research purposes and will be processed in accordance with the University's registration and current data protection legislation. Data will be confidential to the researcher(s) and will not be disclosed to any unauthorised third parties without further agreement by the participant. Reports based on the data will be in anonymised form.
Revised March 2013

Appendix 4.1-First set of data

Breakdown of identified publications in 2013

Search term	Total number of publications identified	Number of papers read in full and data extracted
Professionalism	1225	43
Effective teaching	1185	70
Evaluating teaching quality	202	12
Reward and recognition	110	16
Academic identity	485	31
Total	3207	172

Origins of included studies in 2013

Country of origin / Key concept	UK	USA	Australia	Canada	Israel	Africa	South Africa	Germany	Ireland	New Zealand	Cayman Islands	China	India	Japan	Netherlands	Philippines	Total
Professionalism	23	11	3	3				1	1								42/43
Effective teaching	10	41	6	1	1			1	1	2	1	1	1	1	1	1	69/70
Evaluating teaching quality	3	6	1		2												12/12
Reward and recognition	3	5	3	2		1											14/16
Academic identity	21	1	6			2											30/31
Total	60	64	19	6	3	3		2	2	2	1	1	1	1	1	1	167/172

(Five studies were from more than one country. These were from; UK and Ireland, UK and New Zealand (2 studies), UK and USA, UK, Canada, Nigeria, and USA)

Educational fields of included studies in 2013

Field of education / Key concept	Higher Education	Further Education	Secondary education	Primary education	Total
Professionalism	36	4			40/43
Effective teaching	59	1	2	1	63/70
Evaluating teaching quality	10	1			11/12
Reward and recognition	14	1			15/16
Academic identity	30	1			31/31
Total	149	8	2	1	160/172

Appendix 4.2-Second set of data

Breakdown of identified publications in 2015

Search term	Total number of publications identified	Number of papers read in full and data extracted
Professionalism	652	63
Effective teaching	1263	63
Evaluating teaching quality	169	23
Reward and recognition	53	9
Academic identity	269	22
Total	2406	180

Origins of included studies in 2015

Country of origin /Key concept	UK	USA	Australia	Canada	South Africa	Ireland	Netherlands	New Zealand	Finland	Greece	Hong Kong	Malaysia	Mexico	Norway	Spain	Sweden	Taiwan	UAE	Total
Professionalism	40	6	3	1		1	2												53/63
Effective teaching	10	16	12	6	1	2		2			1	1	1	1	1	1	1	1	57/63
Evaluating teaching quality	17									1									18/23
Reward and recognition	4	2	3																9/9
Academic identity	15		1	1	2				1										20/22
Total	86	24	19	8	3	3	2	2	1	1	1	1	1	1	1	1	1		157 /180

(23 of these studies were from more than one country. These were from; UK and Australia (3 studies); UK and Canada (2 studies); UK and Ireland; UK and the Netherlands; UK and New Zealand (2 studies); UK and Portugal (2 studies); UK and Rwanda; UK and Turkey; UK and USA (2 studies); UK, Canada and the Netherlands; UK, France, and Germany; UK, Portugal and Sweden; Australia, China and Taiwan; France, Germany and Belgium; Israel and the Netherlands; Malaysia and Australia; Sweden and Norway)

Educational fields of the included studies in 2015

Field of education / Key concept	HE*	FE*	AE*	PC*	SE*	PE*	Total
Professionalism	36	9	1	4	3	2	55/63
Effective teaching	54	2		2	1		59/63
Evaluating teaching quality	18	1		1	1	1	22/23
Reward and recognition	3						3/9
Academic identity	22						22/22
Total	133	12	1	7	5	3	161 /180

HE* = Higher Education, FE* = Further Education, AE* = Adult education, PC* = Post-compulsory, SE* = Secondary Education, PE* = Primary Education
 (19 studies were about more than one of the educational fields or about the field of education in general or organisations or industry. These were about; Higher and further education; Higher and secondary education, (3 studies); Primary and secondary education, (5 studies); The educational field in general, (7 studies); Organisations, (2 studies); Industry)

Appendix 4.3-Mechanisms for evaluating, assessing, and improving teaching

Mechanism	Key theories	Details about mechanism
The Mapping Educational Specialist Knowhow (MESH) initiative (Burden, Younie, Leask, 2013)	Leask & Preston (2010); Leask (2011; 2012); Leask & Younie (2013); Shulman (1986; 1987)	<p><i>"MESH aims to support:</i></p> <ul style="list-style-type: none"> •<i>Improvement in the quality of teaching through providing educators and learners with access to advice based on research focused on improving student outcomes</i> •<i>Focusing of research effort and research funding on gaps in research through making the strength of evidence for advice to practitioners explicit"</i> <p>(Burden, Younie, Leask, 2013, 460-461)</p>
The Course Experience Questionnaire (CEQ), The College and University Classroom Environment Inventory (CUCEI) (Dorman, 2014)	Frey, Leonard, and Beatty (1975); Fraser (1998); Hildebrand, Wilson, and Dienst (1971); Marsh (1982); Ramsden (1991); Warrington (1973) Wilson, Lizzio, and Ramsden (1997)	<p><i>"...(CEQ) assesses students perceptions of five dimensions of course experience: clear goals and standards, generic skills, good teaching, appropriate workload and appropriate assessment"</i> (Dorman, 2014, 39)</p> <p><i>"...(CUCEI) assesses personalisation, involvement, student cohesiveness, satisfaction, task orientation, innovation and individualisation in university classes"</i> (Dorman, 2014, 39)</p>

Mechanism	Key theories	Details about mechanism
<p>Approaches to Teaching Inventory (ATI)</p> <p>Teaching Perspectives Inventory (TPI)</p> <p>Teaching Goals Inventory (TGI) (Stevenson & Harris, 2014)</p>	<p>Angelo & Cross (1993); Collins & Pratt (2011); Pratt (1998); Prosser & Trigwell (2006); Trigwell & Prosser (2004)</p>	<p>“(ATI) <i>Study of the relationship between students and teachers’ approaches to learning ... suggests that instructors’ intentions of lecturing range from transmitting information with the expectation that students will understand and grasp important concepts on their own to deliberately working with students to facilitate their confrontation of the concepts</i>” (Stevenson & Harris 2014, 104)</p> <p>“...(TPI) <i>categorizes instructors’ perspectives on teaching as transmission, apprenticeships, developmental, nurturing, or social reform</i>” (Stevenson, Harris 2014, 106)</p> <p>“...(TGI) <i>to help instructors align their classroom assessment techniques with the goals they have for their students</i>” (Stevenson, Harris 2014, 107).</p>
<p>Peer review of teaching (PRoT) processes (Grainger, Bridgstock, Houston, Drew, 2015)</p>	<p>Crisp (2010); Devlin and Samarawickrema (2010); Harris, Farrell, Bell, Devlin and James (2008; 2009)</p>	<p>“... <i>assures the quality of teaching practices in university settings, in an attempt to improve learning outcomes for students.</i>” (Grainger, Bridgstock, Houston, Drew, 2015, 19)</p>
<p>The Video Assessment of Interactions of Learning (VAIL) (Wiens, Hessberg, LoCasale-Crouch, DeCoster, 2013)</p>	<p>Hamre, Downer, Jamil, & Pianta, (2012); Pianta & Hamre, (2009)</p>	<p>“... <i>assessment of teaching</i>” (Wiens, Hessberg, LoCasale-Crouch, DeCoster, 2013, 24)</p>

Mechanism	Key theories	Details about mechanism
The Turnitin software	Baker, Thornton, Adams's (2008) findings relating to the effectiveness of Turnitin.com as a tool for the detection of plagiarism and Henderson's (2008) findings on how teachers found marking becoming faster by using Turnitin were used in this study (Buckley & Cowap, 2013, 564).	The software was found useful for making teaching more effective because it provided educators with the opportunity to detect plagiarism and mark students assignments in a shorter time and with increased accuracy (Buckley & Cowap, 2013, 563, 569).
Audio feedback	This study highlighted the benefits audio feedback had compared to written feedback based on Sadler's (2010) thoughts on the ineffectiveness of written feedback due to its repetitive nature (Hennessy & Forrester, 2014, 782).	The presented benefits of using audio feedback included the way that it enabled teachers to give their feedback in a way that was easier to understand and which overcame some of the problems with written feedback (Hennessy & Forrester, 2014, 782).

Mechanism	Key theories	Details about mechanism
Experience-based learning (ExBL)	The key theorisations were Wenger's (1998) theory of communities of practice, Billett's (2006) theory of relational interdependence, Eraut's (2004) thoughts on the informal nature of workplace learning and the contextual nature of professional learning. They also included the thoughts of Harden, Crosby, Davis (1999) and Cooke, Irby, O'Brien (2010) on outcome-based education and Morcke, Dornan, Eika (2012) on assessments (Dornan et al., 2014, 734).	<i>"It is centripetal, starting from the outer shell of a supportive curriculum. It moves through the social layer of interaction between clinicians, patients, and students towards the innermost layer, a student's identity. Affects, as well as practicalities, run through the model, and are placed at its centre."</i> (Dornan et al., 2014, 734).
Summative and peer assessment methods	Black & Wiliam's (2003) views on formative and summative assessment, Biggs' (2003) views that good teaching systems align teaching and assessment methods Humphreys, Green, McIlveen's (1997) views on the benefits of using multiple assessments (self, peer, formal) (Zulfiqar & Shah, 2013, 298, 300).	Students and their teachers prefer summative assessment and they see the value of participating in-group work activities has for developing their transferable skills (Zulfiqar & Shah, 2013, 298, 305).

Mechanism	Key theories	Details about mechanism
Online e-learning unit PLATO (postgraduate learning and teaching online)	Findings of Cook, Levinson & Garside, Dupras, Erwin, Montori, (2008) that e-learning offers freedom in terms of time, place and pace to learners (Brown & Bullock, 2014, 13). It also learnt on Cook, Levinson & Garside's (2010) findings that Internet-based instruction is more efficient than other methods	Online e-learning units like PLATO (postgraduate learning and teaching online) hosting courses and resources support continuing professional development (CPD) (Brown & Bullock, 2014, 13).
Team-based learning (TBL)	Theorizations based on for example Dummer, Cook, Parker, Barrett, Hull (2008) and McGuinness & Simm (2005) thoughts on reflective learning, Boyle, Macguire, Martin, Milsom, Nash, Rawlinson, ...Conchie (2007) on affective domains transforming understanding, perception and knowledge and Keeling's (2008) thoughts on transformative learning shifting power in the relationships involved in learning (Marvell et al., 2013, 562).	The study found that student-led teaching is applicable to many learning situations and that it empowers students making them central to the learning experience and gives them opportunities to show their knowledge and help each other to learn (Marvell et al., 2013, 563).

Appendix 4.4-Use of activity theory in studies

Details of study	Use of activity theory
<p>A study based on the “<i>Survey on Mentoring Pre-service and Novice Educators</i>”, which and both quantitative and qualitative parts (Hobson et al., 2012, 72). The quantitative part included rating scales based on “<i>Mertz’ Hierarchy of Mentoring Intent and Involvement Levels Framework</i>” (Hobson et al., 2012, 72; Mertz, 2004).</p>	<p>‘<i>Activity theory</i>’ was mentioned, for example, in connection to choosing an action research approach for a study that explored the importance of mentoring to novice and pre-service teachers (Hobson, Harris, Bucker-Manley, Smith, 2012, 68-69). Riel’s (2010) thoughts on action research were included in this discussion. ‘<i>Activity theory</i>’ was mentioned as one way by which action researchers can “<i>understand changes in social contexts within organisations</i>” (Riel, 2010, 7; Hobson et al., 2012, 69).</p>
<p>A study exploring semi-structured interviews on University teachers’ experiences of academic work (Bennett et al., 2015, 219).</p>	<p>This study only mentioned the concept of ‘activity theory’ as something that Koper & Bennett’s (2008) and Conole’s (2008) studies had suggested could aid the development of theories about learning design (Bennett et al., 2015, 219).</p>
<p>A study exploring online learning communities (OLCs) (Tang & Lam, 2014). The study used a qualitative case study approach including semi-structured interviews with members of a blog-based teaching portfolios platform (Tang & Lam, 2014, 80).</p>	<p>Briefly mentioned ‘<i>activity theory</i>’ when it discussed how other studies had explored them (Tang & Lam, 2014, 80). It showed that another study had suggested features of effective OLCs based on an activity theoretical exploration (Tang & Lam, 2014, 80). The study mentioned Vygotsky’s (1978) thoughts on how interaction with other individuals and the environment helps cognitive growing when it discussed learning without returning to them later (Tang & Lam, 2014, 79).</p>
<p>A study about the construction of professional identity and the role of communities of practice (Bathmaker & Avis, 2005)</p>	<p>Mentioned ‘<i>activity system</i>’, but only in a quote explaining that the term ‘<i>community of practice</i>’ as involving participation in an ‘activity system’ based on the thoughts of Lave & Wenger (2002)(Bathmaker & Avis, 2005, 50). It was explained to involve shared understanding of the reasons for what participants are doing and what that means for them and their communities (Bathmaker & Avis, 2005, 50).</p>

Details of study	Use of activity theory
<p>A study about how technology-based tools can be used to develop successful learning environments (McLoughlin, Alam, 2014).</p>	<p>'<i>Activity system</i>' was mentioned, as part of the term "<i>professional activity systems</i>" but was not used in the main body of the exploration.</p>
<p>A study describing the interplay between teaching and learning practices in Higher Education by exploration of three Master's programs (Witteck & Habib, 2013). The findings of the study were based on ethnographical data including interviews, and observations of students and from a Scandinavian RIU. The findings of this study were mainly related to explaining the features of the Masters programs.</p>	<p>Used '<i>activity theory</i>' when it discussed its theoretical approach (Witteck & Habib, 2013, 276). The concepts of learning trajectories, mediating actants, and disciplinary discourses formed the core of this approach (Witteck & Habib, 2013, 275-276). The learning trajectories were understood as "<i>students processes of appropriation of the core resources existing within the program as well as ways of acting and thinking</i>" (Witteck & Habib, 2013, 275). Vygotsky, was mentioned in explaining the meaning of '<i>mediating actants</i>' (Witteck & Habib, 2013, 276). This concept "<i>refer(rred) to the core resources used by students in their learning activities as it allows encapsulating both human resources and artifacts into one single term</i>" (Witteck & Habib, 2013, 275). The study conceptualised disciplinary discourses as "<i>the social systems that are operative for interpretation within program-related contexts and thus are important in understanding the students trajectories of learning</i>" (Witteck & Habib, 2013, 276). The mediating part of the concept was outlined in terms of Vygotsky's (1978) views on mediation as associated with the use of psychological tools or signs in the contacts that individuals have with the social and physical world (Witteck & Habib, 2013, 276). The study also mentioned '<i>activity theory</i>' in its explanation of the "<i>sociocultural framework</i>" (Witteck & Habib, 2013, 276). This explanation was found to include the views of Miettinen (1999) on the similarities and differences between ANT and cultural-historical activity theory (Witteck & Habib, 2013, 276).</p>

Details of study	Use of activity theory
<p>A study about the relationship between institutional contexts and perceptions of 'professionalism' (O'Leary, 2013, 350).</p>	<p>Used, for example, Fuller & Unwin's (2003) outlines of the terms '<i>expansive</i>' and '<i>restrictive</i>' in the exploration. The term '<i>expansive</i>' had been outlined based on Engeström's (1994; 2001) notion of '<i>expansive learning</i>' (O'Leary, 2013, 350).</p>
<p>A study exploring appraisal systems that are linked to professional development. Professional development was discussed in terms of vertical and horizontal considerations of practices of workers (Butt & Macnab, 2013, 842).</p>	<p>It explained the vertical and horizontal considerations based on Engeström, Engeström, Kärkkäinen (1995) and Kerosuo & Engeström (2003). The explanation showed that they relate to conceptualising aspects of professional development regarding '<i>boundary crossings</i>' (Butt & Macnab, 2013, 842).</p>

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Chapter 4

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