The accountability of Higher Education Institutional Leaders

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Abstract

This thesis addresses the research question 'What are the accountability responsibilities and obligations for higher education institutional leaders? In this process, three tensions were identified for those leaders: first, the balancing of accountability responsibilities and obligations in the decision-making process; second, how stakeholders affect the balance between obligations and responsibilities; and third, how decisions based upon the balance between obligations and responsibilities have been affected by different stakeholders which then affect the stakeholders in turn.

It was argued from evidence provided by twelve institutional leaders from eight institutions that policy changes affecting institutional funding and financial maintenance can lead institutional leaders, in response to both policy drivers and their accountability, to take institutional action through their agency that can lead to challenges to the academic identity of the staff working in their institutions.

A theoretical framework drawing upon theories related to structure and agency was used as a lens to understand responses to questions relating to managerialism, new managerialism, new public management, accountability and academic identity. Halstead's models of Accountability were used to analyse several reasons for accountability that were identified through this research. Those reasons for accountability were identified as being mostly legal, professional and moral, with both internal and external social dimensions. A typology of higher education institutional leaders was developed so as to better understand the relationship between leaders and their stakeholders.

The two key findings were: the accountability of institutional leaders over time contributes to the construction and reconstruction of the academic identity of their academic staff; and how the accountability of institutional leaders is manifested

and how that accountability affects the academic identity of their staff is dependent upon the political, institutional and personal contexts of those institutional leaders.

Contents

Statement

I, Steven Quigley, confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis. Word count (exclusive of the reflective statement, appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables): 45740 words.

Abbreviations:

AACSB The Association to Advance Collegiate Schools of Business

BIS   The Department for Business, Innovation & Skills

CEO   Chief Executive Officer

COO   Chief Operations Officer

DELHE Destination of Leavers from Higher Education Survey

DVC   Deputy Vice-Chancellor

HE   Higher Education

HEFCE Higher Education Funding Council for England

HEI   Higher Education Institution

HESA   Higher Education Statistics Agency

HTS   Highly Trusted Status

KIS   Key Information Sets

NSS   National Student Survey

NPM   New Public Management

QAA   Quality Assurance Agency

QR   Quality related funding

UKBA   United Kingdom Border Agency

PVC   Pro Vice-Chancellor

TDA   Training and Development Agency for Schools

TRAC   Transparency of accounting model for HEFCE

VC   Vice-Chancellor

Reflective statement

The instructions for the preparation of this thesis require a reflective statement to be attached immediately following the contents page. In keeping with that requirement, this reflective statement provides a summary and synthesis of my learning experience over the Ed.D programme as a whole, makes links between the elements of the programme and demonstrates how the programme has contributed to my professional development and knowledge. The statement is laid out as follows.

First, it provides a brief description of the four taught assignments; second, it briefly describes the IFS research element; third, it reflects on the relationship between the taught courses, related assignments, the IFS and the thesis; and finally it reflects on the relationship between the Ed.D programme and my professional development and knowledge.

Brief description of the content of the four assignments

The EdD programme is comprised of a number of elements: four taught courses, the Institutional Focused Study (IFS) and thesis. Each taught course had associated assignments which are briefly described below.

Foundations of Professionalism in Education Assignment 1 Title: 'The impact of certain aspects of New Public Managerialism on the 'professionalism' of academic administrators working in quality assurance in Higher Education: power and conflict'.

At the time of writing, I was a Head of Quality and the first assignment addressed my personal view of my positioning as an academic administrator working in Quality Assurance within Higher Education (HE). I reflected on the meaning of what it is to be professional, what quality actually means, notions of power and conflict,

and positioned my discussion in a framework that addressed certain aspects of the impact of new public managerialism on working relationships both between and within academic administrators and academic colleagues.

Methods of Enquiry 1 Assignment 2 title: 'Research Proposal Assignment: Designing a new business degree: interdisciplinary dilemmas'

The assignment was a proposal for a small research project which focused upon interdisciplinary dilemmas faced by colleagues in the design of a new business degree. The proposal laid out its aims and objectives; a rationale; a set of clearly defined research questions; a conceptual framework; my epistemological standpoint; my intended research methods and a critique of those methods (which included sections on: the relevance of case studies; interviews; why I had chosen to use semi-structured interviews; and the protocol I had chosen for the interviews); a general critique of the criticisms which I might face; how I would collect and analyse my data; ethics and my ethical role as a researcher; and a conclusion.

Methods of Enquiry 2 Assignment 3 title: 'Research Assignment: Designing a new business degree: interdisciplinary dilemmas'

Assignment 3 operationalised the research proposal outlined in Assignment 2. I conducted a small research project that looked at the interdisciplinary dilemmas faced by colleagues in the design of a new business degree. I developed a number of key research questions which I explored using a case study approach. In exploring the case, I examined documents and conducted semi-structured interviews with five subject leaders. Results from the interviews were transcribed, analysed using the 'framework' method, and were triangulated with the documentation. In a critical conclusion, I reflected upon my findings and reflected on the process of my research.

Curriculum, Pedagogy and Assessment (Initial Specialist Course) Assignment 4 title: 'Designing a curriculum for a business degree: what do we want learners to learn?'

In the last taught assignment I argued:

> In the absence of clearly defined pre-existing curricula, a critical engagement with the forces and tensions that affect degree design must take place. In so doing, this critical reflection must recognise all stakeholders, and curricula must be made to be both meaningful and 'doable' for students.

Emerging from this argument I presented a framework for a 'stakeholder curriculum'.

Brief reflection on the four taught elements

As a professional working in HE, and as an introduction to the work required for the Ed.D, the first assignment and the content of the module raised issues for personal reflection. This was both informative and appropriate for the modules that followed. The second assignment (a research proposal) developed my ideas further for both the Methods of Enquiry 2 assignment and the Institutionally Focused Study (IFS). In writing the assignment, I touched upon many of the theoretical and conceptual issues in educational research. The third assignment operationalised the research proposal devised in assignment 2. I utilised my findings from assignment 3 to develop a thematic framework for my IFS, as shown below:

Table A: Key Themes for my IFS

Power	Management	Identity
Equality of subject areas	Politics	Academic autonomy
External Forces	Resources	Ordering of stakeholders
Specialists	Part-timers	Size of HEI
Timetabling		Culture
Modularity		Professional Development
		Trust

When I categorised the sub-themes into three areas, three over-arching themes emerged: power, management (I saw this theme as managerialism as it appeared to be more about the control of resources and the subtle underplay of politics), and identity. Many of the issues raised in assignment 3 followed through into both the IFS and my thesis. Notwithstanding that, assignment 3 allowed me to critically engage with research processes and helped me to further develop my research skills. In particular, I felt that my interview technique improved each time that I ran an interview, as I began to recognise that some of the things that I was doing interfered with my interviewees' trains of thought (e.g. interrupting or not allowing interviewees to finish what they were saying).

The last assignment built upon both content and knowledge from the previous three assignments and the choice of title for assignment 4 followed on from the MOE2 assignment as I was seeking to get a better understanding of the curriculum issues that colleagues face in the design of a business degree. There were two reasons in particular that I chose to pursue this: first, one small comment written on the returned first draft of my MOE2 assignment asked whether business degrees should be 'for' or 'about' business which led me to spend a lot of time in reflection; and second, during the research for the MOE2 assignment I asked interviewees a question about what they felt should be included within a business degree - after the write up of the assignment I felt that I had not explored this fully with participants, hence the further exploration of the topic in assignment 4.

Research element

Institutional Focused Study title: 'Course Leaders and the Impact of Certain Aspects of New Public Management (NPM) on their Working Lives: Identity, Power and Management'

Evidence gained from my earlier Doctoral research suggested that aspects of New Public Management such as strategic planning, the use of tighter managerial control over academic performance, and the measurement of outputs were having an impact upon academic staff. However, in that earlier research one group of individuals was overlooked; the IFS addressed that group. Six Course Leaders, two each from three different Higher Education Institutions (independent College, pre-1992 University and post 1992 University) were interviewed and the following research question was explored:

- How has NPM impacted upon the working lives of Course Leaders within the Higher Education sector?

The key conclusion was that NPM has had an impact upon Course Leaders but the level of that impact varied from Course Leader to Course Leader. To give added focus to the research, the following research hypothesis was tested:

- The effect of NPM on Course Leaders has been to make them more creative in the design and operation of their courses

The hypothesis was rejected. At the same time, an 'inconsistency of meaning' theory was presented, and the following hypotheses tested:

1. Management systems within HEIs dictate and determine behaviour of staff in order to secure positive institutional outcomes.
2. Individuals react to management systems within HE in such a way as to facilitate positive outcomes for those individuals.
3. Management systems are frequently in conflict with staff because the needs, desires and wants of both management and staff are not always the same.

Both theory and hypotheses were cautiously confirmed.

Reflection on the relationship between the taught courses, related assignments, the IFS and the thesis

There is a connectedness across the assignments, IFS and thesis in a number of ways. First, there is a constant reflection of my own ethical positioning within my writing and research. Second, the assignments, IFS and thesis, built upon each other with particular regard to knowledge, the development of skills, and reflection. Third, themes emerging from the earlier assignments (power relationships, quality as a concept, managerialism and identity) were followed through not only to the IFS but also into the thesis.

The relationship between the Ed.D programme, my professional development and knowledge

In terms of academic development, using content left over from my IFS, I wrote a paper on academic identity that was first presented in China at a joint workshop between the Institute of Education and Beijing Normal University. The content was then developed further and published in a special edition of Educate in 2011; the institution's peer-reviewed journal. Since then I have also been a reviewer for the journal. In 2012 I was a conference paper reviewer for the Society for Research into Higher Education.

I have no doubt that the work I have undertaken on the Ed.D has been of clear significance and benefit to me. When I started the programme I was a Head of Quality Assurance. The experience and knowledge that I gained in the writing and research for those early assignments helped with my professional positioning and the way that I interacted with colleagues. As a result of my involvement with the Ed.D, in addition to my Head of Quality duties I assumed a module leader role at my institution where I delivered a Business Research Methods module to 68 students from both an MA and an M.Sc; this gave me a greater understanding of the positioning of my academic colleagues. Shortly after that I was appointed as Academic Registrar. I believe the Ed.D contributed strongly to my appointment as I

had gleaned new knowledge which I introduced to my institution (e.g. I raised debates about whether our degrees should be 'for' or 'about' business). Other positives emerging from engagement with the programme included further development of my critical analysis and writing skills. As a result of this development, I believe that my institution has benefited through my work with the writing of a number of institutional documents.

In closing this reflective statement, the learning associated with the taught modules proved to be extremely useful. First, I became more reflective about my professional practice. Second, I further developed my research skills, and third, the acquisition of knowledge and understanding of how degrees are constructed has provided an excellent underpinning for most of the advice that I have provided to academic development teams going through a validation process. In total, I have developed both academically and professionally. I have been published and I have been promoted. I am now engaged in a number of national advisory groups for Higher Education. All of this I believe has come about as a result of the strong contribution that the Ed.D programme has made to my life.

Chapter 1 Introduction and layout of thesis

Titles for those who lead higher education institutions often vary (for historical or other reasons such as institutional mergers or new institutional formation) so for this thesis higher education institution leaders may be referred to as either a Vice-Chancellor, Academic Principal, Chief Executive Officer or their direct line reports (deputies). My reasoning for choosing this group may be found in the rationale in chapter two.

It is argued in this thesis that policy change affecting institutional funding and financial maintenance can lead institutional leaders, in response to both policy drivers and their accountability, to take institutional action through their agency that can lead to challenges to the academic identity of the staff working in their institutions.

The gap identified in the literature and which this research aims to address is that personal accountability of higher educational institution leaders tends to be talked about as part of a larger debate without ever really addressing what this means for academic staff in terms of their academic identity. Specifically, working within a context of both their own institutions and current government policy this thesis investigated the perceptions of higher education institution leaders with regard to the demands placed upon them in terms of accountability and what they thought this meant in terms of the impact of those accountability demands upon the academic identity of their staff. To engage with this topic, the following research question, sub-questions and aims were developed.

This thesis addressed one main research question:
- What are the accountability responsibilities and obligations for higher education institutional leaders?

Responsibilities and obligations were taken to mean the following in the context of the research question: responsibilities – those things one *should* do but for which there are no legal sanctions for non-compliance; and obligations – those things that one *must* do so that institutional legal and regulatory requirements are met because there are sanctions of either a personal or institutional nature. Legal requirements might relate to meeting employment law, health and safety law, company law or charity law. Sanctions of a legal nature might include criminal or civil proceedings. Regulatory requirements could for example be reporting to HEFCE, the QAA or the UKBA. Sanctions for non-compliance could lead to withdrawal of institutional funding, being placed into special measures or removal of a licence to operate in a given sphere.

Sub-questions are:

- What are the key aspects of recent government policy change affecting the accountability of higher education institutional leaders?
- What models of accountability exist in each of the Higher Education Institutions examined within this thesis?
- What are the consequences and implications of those models of accountability practised within each of those Higher Education Institutions?

The key aims for the research were to:

- Examine government policy and explain why accountability of higher education leaders was/is of significance.
- Explore the value that institutional leaders see in their own accountability for their institutions, staff and themselves and how institutional leaders understand their own practice.
- Explore how institutional leaders understand their own accountability relations and how that affects the identity and work of both themselves and their staff.
- Consider the implications emerging from the findings for academic staff and others within the higher education sector.

Chapter Overview

Chapter one introduces the thesis argument, identifies the gap which this research is seeking to fill, outlines the main research question and its sub-questions, and lays out how this thesis has been presented. Chapter two provides a rationale and lays out a context for this research through a recounting of government policy leading up to this research. Several key agencies responsible for the implementation of that policy are also identified. The chapter also conducts a literature review that draws together relevant literature pertaining to managerialism, new managerialism, new public management, accountability, identity and communities of practice. Chapter three lays out the theoretical framework. Giddens's structuration theory is presented and complementarity and differences are shown between Giddens's structuration and Bourdieu's social theory. Chapter four sets out the methodology and method used for this thesis and includes both a general critique of the method employed and a consideration of possible ethical concerns for this research. The models of accountability used in this research are introduced and an explanation is given for why the models were chosen.

Chapters five, six and seven present the findings and an initial analysis. Chapter five lays out the understanding of the interviewees regarding which aspects of policy were affecting their institutions at the time of the interviews. Chapter six explores both the value that institutional leaders see in their own accountability for their institutions, staff and themselves and how institutional leaders understand their own practice. Chapter seven examines how institutional leaders understand their own accountability relations and how that affects the identity and work of both themselves and their staff.

Chapter eight draws together the outcomes from chapters five, six and seven in relation to the main research question, the research sub-questions and then moves into a reflective discussion. The issues raised by the findings are drawn together and some suggestions as to how institutional leaders and their teams might make

use of the findings are offered. Finally, chapter nine offers a conclusion to the thesis by confirming that the key aims for this research have been met. It also reflects upon implications for those working in Higher Education, and the relevance, originality and application of the findings to my professional role and to the wider community.

Chapter 2 Context of Accountability and Identity in the 21st Century: a Review of the Literature

To provide a context and inform the first aim of the research for this thesis, this chapter opens with a rationale for the research followed by a summary of government policy context affecting higher education institutions in England leading up to when the writing up of this research began in academic year 2012/13. Secondly, it outlines the role of the key agencies driving through government policy changes that affect higher education institutions, and third, it offers a discussion, analysis and critique of government policy regarding accountability and the accountability of higher education institutional leaders and suggests why these policies might affect the academic identity of staff. The next section moves on to examine the relevant literature which helps to inform the second and third aims of the research regarding accountability and identity.

Rationale

This thesis is the culmination of my earlier research which studied the perceptions of staff working at different levels within higher education regarding the impact of certain aspects of New Public Management (NPM) upon their working lives. This thesis moves beyond, but acknowledges, the debate surrounding NPM and focuses upon one issue that came up repeatedly throughout all of my earlier research and that was the issue of accountability. In addition, the one group whose perceptions I had not yet explored was that comprising the most senior members of Higher Education Institutions. This thesis therefore sought to bring this issue to those who lead Higher Education Institutions so as to seek an understanding of what accountability means for: a) institutional leaders; b) the institutions they lead; and c) how those leaders perceive their accountability affecting the identity and work of both themselves and the academic staff working in their institutions.

Policy context

An Independent Review of Higher Education Funding and Student Finance, led by Lord Browne of Madingley, was launched on 9th November 2009. The review was tasked with making recommendations to Government on the future of fees policy and financial support for full and part-time undergraduate and postgraduate students in England so as '…to ensure that teaching at our HEIs is sustainably financed, that the quality of the teaching is world class and that our HEIs remain accessible to anyone who has the talent to succeed' (p.2). The review became known as the Browne Report but was actually entitled 'Securing a Sustainable Future for Higher Education' and was released on 12th October 2010 – with a different government in power.

The Government response to the Browne Report was presented by Vince Cable the Secretary of State for Business, Innovation and Skills on 12th October 2010 who stated that the Government endorsed the thrust of the report.

On 3rd November 2010, in a statement in the House of Commons, David Willetts the Minister of State for Universities and Science laid out the Government's proposals for changes to the higher education funding and student finance system. There were significant changes to the Browne recommendations; the cap would remain on tuition fees, universities would only be allowed to charge between £6,000 and £9,000 in fees but could charge less if they wanted to and universities would not be charged a levy for higher rates of fees as Browne had proposed. Other proposals were made regarding student loans and repayments, grants and bursaries. The House of Commons debated these issues on 9th December 2010: MPs were asked to approve Government proposals to change the system of higher education funding and student finance. The House of Lords debated and approved the proposals on 14 December 2010. The increase in tuition fees was set to come into effect for first year students on relevant courses beginning on or after 1st September 2012.

Following the approval of the proposals a white paper on higher education, 'Students at the Heart of the System', was published on 28 June 2011 (BIS Press release, 28 June, 2011). The paper indicated graduates should pay more towards the cost of their degrees, but the expectation was that the measures outlined above would lead to a better student learning experience, widen student choice and make universities more accountable to students.

In brief, the white paper proposals covered four broad areas, as follows: a reform of funding; delivering a better student experience; enabling universities to increase social mobility; and reducing regulation and removing barriers for new providers. These broad areas were addressed in June 2012 when BIS published the Government's response to two consultations relating to 'Students at the Heart of the System'. The first consultation covered the white paper itself and the second covered the more technical aspects of the white paper. The response document provides a summary of responses to both consultations and '…it describes the progress Government is making to deliver a strong, financially sustainable and high quality HE sector; promote a better student experience; foster social mobility and widen participation; and create a more responsive higher education sector in which funding follows the decisions of learners and successful institutions are free to thrive' (p3). In essence, the Government response showed a further commitment to the four broad areas of the white paper and it is developments in those areas with which higher education leaders and their Institutions are now wrestling.

It is worth noting that prior to the publication of the white paper there were difficulties with the proposed reforms. For example: one supposed reason for the reforms was to make publicly funded HEIs more accountable to students by channelling government funding through students in the form of fees. The implementation however was faulty as the shift in funding was supposed to reduce the burden on the public purse but it would have the opposite effect: 'The Office for Budget Responsibility (OBR) has estimated that the additional cash needed to fund tuition fees will reach £4.3 billion in 2014-15 and rise to £5.6 billion in 2015-16. (House of Commons Library research briefing paper on changes to higher

education funding and student support 2012/13)' (p.18). Notwithstanding this, the reforms ensured HEFCE funded institutions continued to be held accountable via their higher education institutional leaders for an improved student experience. In this respect, the Institutional leader is charged with driving an institution to meet its institutional mission within both its imposed HEFCE budgetary constraints and a policy framework that rests outside of the leader's control.

Key agencies

The key agencies delivering Higher Education policy for the government are: the Higher Education Funding Council for England (HEFCE); the Higher Education Statistics Agency (HESA); the Quality Assurance Agency (QAA); UK Border Agency (UKBA). The following section outlines the role of each of those key agencies.

The Higher Education Funding Council for England

Every year the Government allocates a particular amount of public money to the higher education sector. The role of HEFCE is to distribute that money to universities and colleges that provide higher education in England. HEFCE funded institutions have to make an annual bid for their funding and the number of students they may recruit. For the 2012/13 academic year, institutions were informed there would be unrestrained recruitment of students achieving AAB or equivalent at A-Level, and a margin of 20,000 places to be allocated through a competitive process reflecting price, quality and demand (see web reference in the Bibliography for HEFCE grant letter from BIS for 2012/13). HEFCE sets conditions for the grant of public money and this included for 2012/13 the setting of a cap on fees (a cap on between £6,000 and £9,000, and a cap on part-time postgraduate programme fees for the first time). Institutions that over recruited students against their agreed student numbers would be penalised through the imposition of a levy against their institutional grant. For 2011/12 the levy was £3,800 per student. (see

para 29 of letter from BIS to HEFCE regarding Higher Education Funding for 2012-13).

In addition, two star (2*) research would no longer be counted for mainstream Quality Related (QR) funding and only three and four star (3* and 4*) research outputs would count for QR funding purposes (see HEFCE document: Recurrent grants and student number controls for 2012-13).

The Higher Education Statistics Agency (HESA)

HESA is the official agency for the collection, analysis and dissemination of quantitative information about higher education. HESA has been working with HEFCE as well as the quality assurance agency to enable universities to increase social mobility by providing improved public information. This has manifested itself in a requirement for HEFCE funded institutions to both provide a key information set (KIS) and a destination of leavers from higher education survey (DELHE). The requirement for HEFCE funded institutions to provide both a KIS and a DELHE are not new. The requirement for a KIS and a DELHE for all subscribers to the QAA is however new as this includes institutions that are not publicly funded.

The Quality Assurance Agency (QAA)

The QAA is the principal agency for assuring quality and academic standards for the United Kingdom. In the run up to the research for this thesis, the QAA was in the process of drafting a new quality code which included an expanded section on public information, and a new chapter on student engagement. The QAA also introduced a new review method of educational oversight for non-traditional providers of higher education. This review method was designed in response to a government directive whereby the QAA must confirm to the UKBA the provider is a legitimate provider of higher education and is operating to a set standard. The UKBA is interested in the status of providers of higher education because

institutions must be deemed to have reached highly trusted status (HTS) so as to sponsor students for entry to the UK. An institution that has achieved HTS may sponsor students under Tier 4 regulations to enter into the country as a bona fide student. Institutions are also at liberty to apply for Tier 2 status, which allows institutions to sponsor staff to enter the UK as a worker.

UK Border Agency (UKBA)

At the time of the interviews, the role of the UKBA was to protect the UK Border. In 2012, the UKBA was disbanded and was replaced by two other agencies: the UK Border force and UK Visas and Immigration. All International students from outside of the EU who wish to study on a full-time programme of degree level study must obtain a Tier 4 study visa.

It is worth noting over the last six years or so the number of alternative providers of higher education who sponsor students for visas has declined from somewhere in the region of 4000+ institutions (HC 595, p.4) down to 252 (QAA press release, 2012) who applied to the QAA for Educational Oversight. This reduction in the number of institutions was brought about by the UKBA continually amending immigration regulations. It is only those institutions that have stayed on top of rapidly changing regulations that have managed to survive. However, this constant change of regulation has not only seen the demise of bogus colleges, it has placed pressure on legitimate universities and alternative providers of higher education to demonstrate compliance with UKBA regulation through the operation of new systems and procedures so as to remain compliant within a shifting UKBA policy landscape. The danger of getting it wrong with the UKBA is that the UKBA will remove Highly Trusted Status (HTS) and therefore prevent the institution from admitting further international students to its programmes. In 2011 and 2012, there were at least three universities who fell foul of the UKBA and had their HTS temporarily suspended. Those institutions were Glasgow Caledonian University (April 2011), Teeside University (March 2012), and most recently, London

Metropolitan University. The first two institutions had their HTS restored shortly after the announcement that their HTS had been removed. Nevertheless, it was unclear at time of writing as to what would happen with London Metropolitan University with regards to whether their HTS would be restored. What was clear, however, was the financial impact that removal of HTS could have on an institution. In an article by David Matthews in the Times Higher Education dated 22nd of March 2012, it was reported 'In the year ended 31 July 2011, Teesside received £15.3 million in tuition fees from full-time international students out of a total income of £146.7 million.'. The removal of £15.3 million from any institution's budget would have a serious impact upon whether that institution could continue to exist into the future.

Analysis, discussion and critique of the effects of government policy

There are two questions relevant to the section above: first, how and why is government policy relevant to the accountability of higher education institutional leaders? Second, how and why is that accountability relevant to the academic identity of staff working in their institutions?

In response to the first question, an analysis of the government policy outlined above (which does not include a myriad of other government policies relating to higher education such as research and innovation, links with business, regional development, manpower planning for doctors) and the work of its principal agencies showed there were a number of issues that would concern institutional leaders as they entered academic year 2012-13 because all of the issues related to costs to their institution in terms of money or resource. First, there was a question as to how institutions would be funded, as funding is provided directly to the student rather than funding for students being provided directly to the institution. Second, the setting of fees was an issue as a cap was placed limiting fees to somewhere between £6,000 and £9,000, and a cap on part-time postgraduate programme fees was set for the first time while over-recruitment of students would

lead to a levy of £3,800 for every student recruited over permitted number controls. This meant institutions needed to have internal debates regarding the setting of an appropriate institutional fee structure much as they would have done following the Higher Education Act 2004. Third, there was uncertainty regarding how the exempting of students with AAB grades from student number controls and uncertainty in terms of the allocation of student numbers for institutions would affect institutional forecasts. Fourth, reductions in research grants and the removal of two star papers when determining the allocation of research funding for institutions would affect research income streams. Other potentially unknown costs included the requirements for the provision of information for student choice (KIS and DELHE), the resources needed to meet the new QAA quality code and what the QAA working with the UKBA regarding educational oversight meant for other institutions, and finally the uncertainty regarding recent actions of the UKBA and the financial dangers associated with non-compliance for HTS.

All of the above matters, among others, emerging from government policy, relate to the accountability of higher education institutional leaders as they are the principal people charged with protecting the finances and resources of their institution and in addition higher education institutional leaders of state funded institutions are accountable to their governing bodies, under a condition set with regard to Section 23 of the Higher Education Act 2004, so as to ensure the continued enjoyment of state financial support. Non-state funded higher education institutions would be unlikely to be affected by student fees and student number controls but the impact of the work of the QAA and the UKBA would have potentially the same effect. Notwithstanding that, higher education institutional leaders of non-state funded higher education institutions are still accountable to other stakeholders so the setting of an institutional fee structure and institutionally-imposed student number controls are still important for the setting of institutional forecasts. In summary, higher education institutional leaders from across the sector are accountable to their institutions for translating government policy into action while maintaining effective revenue streams and appropriate resources for their institutions.

In answer to the second question, I would argue that the accountability of higher education institutional leaders in relation to government policy is relevant to the academic identity of staff working in their institutions because higher education institutional leaders have within their remit the ability to affect the way resources are distributed and allocated within institutions. In this respect, the ability of the higher education institutional leaders to have an impact upon the funding of staff development, departments, schools, faculties, research and subject areas, including the terms and conditions of employment of academic staff could have consequences as to how academic identity is formed and maintained within their institution. However, an academic might argue that they do not see their own academic identity being formed and maintained by their institution's resource allocation policies. If for example an institution said it was to remove the requirement for the production of research papers then that academic might move to another institution so as to maintain their identity as a research active academic. While that might work for either an experienced academic or for one who works in London where there is a multiplicity of institutions, around the country there are many new academics with little or no experience who would struggle to find work as a response to a change of a single policy. There are also those who may be trapped for monetary, family, location or regional reasons.

Finally, it could of course be argued that an institutional leader's accountability responsibility and obligations would be the same whatever the policies of government. To this I would reply that the balance of responsibilities and obligations might be different depending upon policy and its concomitant context so it is important to understand the balance of the leader's balance of accountability responsibilities and obligations in relation to that policy backdrop; hence the account given in this chapter and the verification of the understanding of government policy and its impact upon institutions as understood by the institutional leaders in chapter four.

Literature Review

So far, this chapter has presented a context for understanding the accountability of Higher Education institutional leaders: firstly, by showing how recent policy has been formed and secondly by identifying the key agencies through which government policy is delivered. This literature review engages further with the accountability of Higher Education institutional leaders by bringing together literature relating to various forms of managerialism, accountability and identity.

Managerialism, New Managerialism and New Public Management

In the rationale I noted that my earlier research looked at the perceptions of staff working at different levels within higher education regarding the impact of certain aspects of New Public Management (NPM) upon their working lives and this thesis moves beyond, but acknowledges, the debate surrounding NPM and focuses upon one issue which came up repeatedly throughout all of my earlier research and that issue was accountability, which was not explored in the previous research but is examined here as its pivotal nature in the current Higher Education climate became clear. I also said in the rationale that the one group I had not yet explored in terms of their perceptions was the most senior members of Higher Education Institutions. In this regard this thesis sought to bring this key issue to the attention of those who lead Higher Education Institutions so as to seek an understanding of what accountability means for: a) institutional leaders; b) the institutions which they lead; and c) how those leaders perceive their accountability affecting the identity and work of both themselves and the academic staff working in their institutions.

Here I build on Deem's (1998, 2001, 2003), Deem and Johnson's (2000), and Deem and Brehony's (2005) work on new managerialism, regarding theoretical developments in the analysis of public sector management. Particularly in relation to concepts of and theories about 'new managerialism' related to changes in the United Kingdom's higher education policies as well as to more specific changes in the organisational regimes and management of individual institutions, Deem,

Hillyard and Reed (2007) conducted an ESRC project where they explored the issues academics face under the backdrop of a changing management of UK universities. The definitions regarding managerialism, new managerialism and new public management that follow are drawn from this key study.

Deem, Hillyard and Reed (2007) suggest 'managerialism' is a broad ideological movement that has influenced modern industrial societies since the late 19th century. For Deem there are three types of managerialism: Corporatist; Neoliberal; and Neo-technocratic. Corporatist managerialism was the earliest form of managerialism and reached its peak in the 1960s and 1970s. This particular form of managerialism was grounded in '...Keynesian economic policy, state welfarism, political pluralism, industrial tripartism, and Fordist-style management' (Deem, Hillyard and Reed, 2007: p.7). In the 1970s and 1980s it became difficult to sustain as an effective mode of organisation and institutional governance because of the breakdown of tripartism, increasing money worries for the state and other changes such as economic and cultural globalisation.

Neoliberal managerialism combined core ideological principles of being anti-state/pro-market, anti-provider/pro-consumer, and anti-bureaucracy/pro-network to generate a strong cultural critique of corporatist managerialism, which claimed that corporatist managerialism as a governance philosophy was flawed and therefore compromised government practice. As a result neoliberal managerialism provided both an ideological base and the strategic rationale for new public management (see the definition below) reforms from the mid-1980s onwards.

New public management can be loosely defined as a method of imposing management techniques more usually associated with medium and large 'for profit' businesses onto voluntary and public sector organisations (see Deem, 1998; Ferlie et al, 1996; Kushner and Norris, 2007). Davies and Thomas (2002) suggest that New Public Management '...has involved pressures to cut costs and to improve the value for money of services being offered. There has also been increased emphasis on improving accountability, which is defined in terms of outputs and monitored

standards of effectiveness, efficiency and productivity ... the introduction of these new accounting systems and performance measures have been a critically important dimension of NPM...'. Some of the techniques of NPM include: '...the use of internal cost centres, the fostering of competition between employees, the marketisation of public sector services and the monitoring of efficiency and effectiveness through measurement of outcomes and individual staff performances' (Deem, 1998).

Deem, Hillyard and Reed (2007) suggest that the emergence of the neo-technocratic managerialism model happened following New Labour coming to power in the late 1990s. Under this model public services modernisation and rationalisation have been key, and has resulted in the redefinition of policy priorities, organisational forms and managerial practices. The new discourse for the reform of public services is centred on personalisation, customisation, localisation, co-production and empowerment. In essence, this model of managerialism provides '... A more detailed, intrusive, and continuous regime of micro level work control in which eclectic combinations of audit, performance, and accountability technologies are constructed and implemented' (2007, p. 14). Professional service providers and managers are seen as counsellors, technicians or advisers and are seen as being on tap rather than being on top. In this regard professionals and managers are seen as being remote experts with reduced control. Deem, Hillyard and Reed (2007) argue that the University has not remained untouched and note that although universities are outside of direct control and micromanagement of central government agencies, Universities have still found themselves as part of the political organisational and discursive innovations generated by neo-technocratic managerialism. It is also worth noting that Keenoy and Reed (2003) found in two studies of UK Universities that the claims of the benefits of neo-technocratic managerialism remain unproven.

Neo-institutionalism/archetype theory

There are different ways of understanding what is happening in Universities and indeed one could question what a University was, is and should be and Barnett (1997, 2000, 2003) has written extensively on the matter. Tight (2011) questions how many universities there should be in the UK and informs us that the Government has tinkered with the criteria for the award of 'university' status and the current use of the term 'university' is legally framed by the recognition of the recognised authorities.   While broad questions may be interesting surrounding what a university was, is and should be, and how many Universities we should have in the UK, I have not dwelled on them in this thesis but rather noted them.

Notwithstanding the above, one way of understanding what is happening within institutions is to use neo-institutionalism/archetype theory, which Deem, Hillyard and Reed (2007) indicates is focussed on the changing cultural forms and discursive strategies that help with our understanding of the changing shape, organisation and institutional modes of public services. For Deem, Hillyard and Reed (2007), neo-institutionalism/archetype theory suggests NM and NPM may be seen as two separate but linked components of a cultural-cum-policy paradigm. This paradigm provides the specific control technology and umbrella ideological framework for public services to be changed and transformed. Central to this theory is the argument that institutions are only likely to change or transform when the key ideological commitments and cultural values require changes in administration and decision-making processes across those institutions. In this respect, Deem, Hillyard and Reed (2007) state that 'NM and NPM can be understood as entailing a fundamental shift in the underlying cultural values and discursive forms through which public services are conceptualised, represented, and legitimated' (p.4).

Deem, Hillyard and Reed (2007) inform us that 'New managerialism (NM) has dominated the academic and policy agendas for public services reforms in the UK and other Anglo-American political economies and welfare systems over the last two decades'. Deem, Hillyard and Reed (2007) also tell us that NM has created and

maintained a context of policy and discourse within which new public management (NPM) has flourished as both a policy paradigm and as a control technology. For Deem, Hillyard and Reed, NPM is more technical and conceptually less ideological than NM, but nevertheless, these two loosely joined devices in both policy discourse and organisational practice have been used as a means to restructure the delivery of public services, in terms of organisation and management, so as to provide a flexible balance between strategic and operational control.

Deem, Hillyard and Reed (2007) continue to argue that higher education institutions in the UK are not part of the public sector, in terms of constitution, and therefore enjoy to a degree flexible organisation not available to public institutions such as schools and hospitals. Nevertheless, the ideological context and organisational strategies set down by NM and NPM have fundamentally directed the reworking and shaping of UK universities. Kok et al (2010) and Winter (2009), support this and Winter states that managerialism or new public management, as it is known in the public sector, has '...reshaped all aspects of academic work and identity around an idealised image of corporate efficiency, a strong managerial culture, entrepreneurialism, and profit-making ideals' (p.121). Kok et al (2010) concluded with the following: '…it is the traditional university that is most affected. Their previous collegial approaches towards quality in research and teaching have been diluted by the increasing focus on cost-effectiveness, the need for greater student numbers, and moves towards more corporate-like orientations. Although staff members at traditional universities reacted less strongly to the statement than those of new universities, it nonetheless confirms that movement towards managerialistic orientation and profitability is clearly underway' (p.110). When referring to traditional universities, Kok et al were referring to pre-1992 Universities. Enders and De Weert (2009) looking at the effects of NPM on academic life in both England and Holland found that 'there are signs of deprofessionalisation (loss of autonomy) and proletarianisation (loss of status, privileges)' (p.53). Churchman and King (2009) found that 'academic work is becoming increasingly restrictive and controlled as tertiary institutions move towards a more corporate managerialistic mode of operating'. MacFarlane (2011)

found evidence that 'suggests that academic practice is rapidly disaggregating, or 'unbundling', as a result of a variety of forces including the massification of national systems, the application of technology in teaching and increasing specialisation of academic roles to support a more centralised and performative culture' (p.59).

Despite universities retaining a large degree of autonomy, Deem, Hillyard and Reed (2007) would have it that UK universities have become targets for the audit culture and related transparency regimes which have become dominant for public life in the UK and most noticeably in England. Deem, Hillyard and Reed tell us that this reworking of universities has led to academics losing control over both their work organisation and professional culture principally because NM and NPM have changed universities from communities of scholars into places of work. Indeed Kolsaker (2008) states that '(m)anagerialism in universities brings with it a battery of mechanisms of audit and control...and...the effect of managerialism is to diminish academic work and turn academics into something akin to piece workers' (p.516).

Deem, Hillyard and Reed (2007) drawing on debates about New Public Management, knowledge management, and knowledge workers reported on an ESRC project (led by Deem from 1998-2000) where they explored the issues academics face under the backdrop of a changing management of UK universities. In this respect, they interviewed staff at all levels within Universities, including Vice-chancellors (VCs) and mentioned the importance of accountability for VCs (p.51) and noted issues of accountability for Universities to their stakeholders (p.165). Christensen (2011) suggests University governance reforms around the world reflect broader New Public Management reforms that focus on increasing efficiency in public institutions. He argues efficiency is coupled with an argument of accountability and Universities are obliged to be more accountable not only to the funding ministry but also to various stake-holders. He also argues accountability is related to increased service-orientation towards students as customers. Christensen concludes that the University reforms are leading to a reduction in autonomy from government financial control mechanisms. Trow (1996, p.4) also suggests that accountability to outsiders weakens institutions. However, neither

Deem, Hillyard and Reed nor Christensen nor Trow come to grips with the direct relationship between accountability as understood by (and of) VCs and what that means for the academic identity of the staff of the University. As mentioned above the reworking of institutions as a result of NM and NPM are for Deem, Hillyard and Reed likely to lead to various unintended consequences. This last point is picked up throughout this thesis as the research addresses accountability, which is central to any audit culture or transparency regime, and what it means in terms of unintended consequences for the academic identity of staff as understood by their senior managers.

Accountability

If one asks what is 'accountability' then the answer can be problematic (Halstead, 1994; Trow, 1995; Romzek, 2000; and Leveille, 2005). For clarity, I offer a simple definition: accountability means to be answerable. However, accountability is a complex term which when unpicked reveals multiple readings, different layers and aspects. For example, Trow (1996) in a comparative study of UK and US accreditation systems wrote about how Higher Education Institutions (dependent upon the nature of the institution) and society are linked through varying combinations of trust, markets and accountability.

For Trow (1996, p.310), the link to accountability is:

…the obligation to report to others, to explain, to justify, to answer questions about how resources have been used, and to what effect. Accountability to others takes many different forms in different societies, with respect to different actions and different kinds of support.

Trow continues:

The fundamental questions with respect to accountability are: who is to be held accountable, for what, to whom, through what means, and with what consequences.

Another link between society and higher education, for Trow (1996), is trust where goods or services are not required or accounted for in return for institutional support from public or private bodies but trust exists that higher education institutions will fulfil their missions. Trow cited the University Grants Committee, which used to distribute block grants directly to Universities up until its demise in 1989, as an example of where such trust existed – that universities would continue to do what they had always done. Whether that trust actually existed is debateable but Trow's point remains.

Trow (1996, p.311) raised several issues relating to accountability: on the one hand, accountability can constrain arbitrary use of power; it can be argued accountability can help to sustain or raise performance standards of institutions, and accountability can also be used as a regulatory device. Trow noted that although accountability is backward looking the anticipation of accountability can influence future behaviour. On the other hand, Trow pointed out that accountability can be an alternative to trust and efforts to strengthen accountability usually require parallel efforts to weaken trust. Although Trow does not substantiate this claim it seems reasonable to assume an increase in accountability implies a weakening of trust. Nevertheless, in connection with Trow's point, he suggests that accountability can weaken the autonomy of institutions as obligations to report require conformation to external expectations. Furthermore, Trow (1996, p.312) posits that external accountability can also be problematic for three reasons: first, for effective governance – as reporting on confidential issues enters into the public domain [although this may not necessarily be so]; second, a threat to academic freedom – as it may impact upon how professionals determine the best use of their time and how they might work; and third, the application of common standards – which can work against diversity within and between institutions.

Trow (1996, p.315) also suggested that there were two different aspects to accountability in Higher Education. On one side, there is internal accountability (to colleagues within an institution) and external accountability (an obligation to report to those outside an institution), and legal and financial accountability. On the other side, there is academic accountability (an obligation to report to those inside and outside of an institution what and how resources have been used to promote, teaching, learning and public service, and what the effect of that use of resource has been). In addition, to these aspects Trow refers to personal accountability which he describes as the way '…one is held by one's conscience, [and] accountability to values that are internalized' (p.317). By this Trow was referring to the way academics do things out of honour, loyalty or duty so as to be good academic citizens. Trow notes however that formal accountability is inherently suspicious of claims to professional or personal accountability as those claims were '…the basis on which academics in elite colleges and universities…formerly escaped most formal external accountability for their work as teachers and scholars' (p.9).

Given that at the time of writing the UK was facing a general election Trow's study appeared to be particularly relevant as he noted without going into detail the immediate problems that gave rise to his study disappeared with the election of a new American Congress but the immediate issues remained. In 1996 Trow noted that the UK government employed the rhetoric of the market in connection with Higher Education but the UK government controlled pricing for universities and the amount and variety of services universities could offer. In this respect, Trow suggested UK universities were operating in something like a command economy rather than a market. As noted above, in the policy section, the UK government is still controlling both degree pricing and the variety and amount of student places universities may offer but with the added issue of shifting direct funding for institutions to funding students directly.

Romzek (2000) looking at the dynamics of public sector accountability in an era of reform simply defined accountability as answerability for performance but went on to echo Trow's thoughts on the fundamental questions relating to accountability.

Romzek argued that the definition raises immediate questions for the one held to account. Accountable to whom? For what? And how?

Leveille (2005) addressed an emerging view of accountability in the American Higher Education system and in particular addressed issues of accountability and public trust. He identified three main ingredients in an emerging view of accountability, as follows: performance, transparency and a 'culture of evidence', by which he meant the disposition of an institution to consider evidence routinely at all levels when planning and contemplating action. Leveille argued that 'Policymakers and educational leaders must address the accountability process in addition to nurturing the public's trust while balancing the interactions among the responsibility of various educational actors, goals, resources, standards, and rewards/sanctions'. He defined accountability as '…a systematic method to assure those inside and outside the higher education system that colleges and universities—and students—are moving toward desired goals'. So through his definition Leveille also picked up Trow's (1996) thoughts on the internal and external dimensions of accountability.

Given the complexity of the term Stensaker and Harvey (2011) argue that it is more helpful to think of accountability in terms of a scheme. Stensaker and Harvey (2011) in a global review of accountability in higher education suggest that it was due to accountability that schemes of New Public Management and managerialism came about and were legitimised. They point to accountability schemes as a means by which 'accountability' may be understood and argue that accountability has become both an instrument as well as a goal. In so doing Stensaker and Harvey show 'accountability schemes are not without issue, that those schemes may easily be misunderstood' and argue that since the mid-1980s (in relation to NPM) 'The logic underpinning a number of the schemes developed is that growing complexity must be met with greater clarity in individual roles and responsibilities in the service delivery…' (p.9).

In discussing different forms of accountability, Stensaker and Harvey (2011, p.12) note that from a broad perspective, accountability for particular individuals is owed to any individual, group or institution that are affected by the actions of those individuals but to attribute accountability in this way would be meaningless as accountability would be impossible to enforce and is beyond what is reasonable to expect for any individual. Stensaker and Harvey (p.12) discussed several forms of accountability.

The first form referred to internal and external dimensions to accountability. Internal accountability picks up on how well the institution, its parts and its people are performing both separately and together, how work is progressing towards the institutional mission and how well the quality of activities is being improved. External accountability relates to obligations to institutional supporters and funders.

The second form referred to upward, downward, inward and outward forms of accountability. Upward refers to forms of accountability taking a principal-agent relationship, including bureaucratic, legal and procedural means. Downward accountability refers to the responsibilities of the principal to the agent. Inward accountability refers to how ethical and professional standards are met by individuals and professionals. Outward accountability refers to how institutions comply with users, clients and markets which also incorporates the political arena.

The third form referred to the meaning of the information that is provided for accountability reasons, and noted differences between justifiable, descriptive and explanatory forms of accountability. Stensaker and Harvey (2011) cite Romzek (2000, p.22) who noted that '…this also hints at the inevitable political dimension found in almost any accountability scheme' (p.13).

Following their discussion on forms of accountability, Stensaker and Harvey argue that all of these forms are somewhat stylistic [meaning perhaps that the forms had style over substance] as the forms do not capture the complexities of how

accountability is taking place today. They go on to suggest some characteristics which may be useful in the evaluation of an 'accountability scheme'. They suggest that accountability schemes should: be perceived as relevant by central stakeholders; contain fair judgement of performance; be open for feedback and dialogue; and stimulate trust.

Using these four points as a framework for analysis in relation to trust and power they interrogated accountability schemes across the globe. While Stensaker and Harvey's findings on accountability schemes are interesting they are not particularly relevant to this thesis as their findings cover trends, trust and power at a national/international level so I have not expanded upon them here. However, in my opinion, the four bullet points noted above are positive criteria for judging the merits of aspects of accountability so I have utilised the bullet pointed characteristics as a means of assisting with the data analysis for understanding how accountability should be understood, coded and interpreted (See the Data Collecting and Analysing the Data section of the Methodology chapter).

It could of course be argued that accountability schemes only need to be relevant to those who are holding the funding for budgets. See, for example, the HEFCE document 'Accountability for Higher Education Institutions (May 2007/11)' where the document is specific about its intentions with regards to better regulation of publicly funded HEIs. The document states that: '(a)s far as we are concerned, better regulation is desirable because it sharpens up the accountability provided by the end users of our funds – the institutions'. Indeed, HEFCE is required by law under Section 23 of the Higher Education Act 2004 to impose a condition upon institutional governing bodies receiving public funds to not set fees outside of the prescribed guidelines and accountability in this area would be assigned by governing bodies to higher education institutional leaders. This then raises an issue which is reported in the research findings (chapter five) and taken into account in Table 5: the issue is whether the accountability of higher education institutional leaders is institutional or personal?

Models of Accountability

Following on from forms and schemes, Halstead (1994, pp.146-163) provides six models through which educational accountability may be understood. Halstead's models combine notions of contract and response where out of three parties (the employer, the professional and the consumer) one party is dominant therefore creating six possible models of accountability. While Halstead applied educational models to a school setting, I have amended the models slightly for a Higher Education setting. A description of each amended model is shown below:

1. The central control model (contractual, employer dominant);

> The institutional leader is an employee under a contract of employment with an obligation to demonstrate that they are doing what they are expected to do.

2. The self-accounting model (contractual, professional dominant);

> The institutional leader and their institutions are under a contractual obligation to self-monitor so as to satisfy the requirements of the contract.

3. The consumerist model (contractual, consumer dominant);

> This model places an obligation for contractual accountability with the consumer. In this case, the obligation is contractual accountability between the institution and its students.

4. The chain of responsibility model (responsive, employer dominant);

> There are three aspects to this model. The first is that there is a distinction made between those who make decisions and those

whose thoughts and wishes are taken into account by the decision-makers. The second is that there is a chain of ranked individual decision-makers that extend from Parliament down to lecturers. The chain consists of the following decision-makers: Government, local Government, Governors/Trustees, Institutional Leaders, Senior Staff, and Lecturers. The third aspect of this model is that each level of the chain has a responsibility to certain interest groups and therefore a need to respond or be accountable to those groups.

The Chain model could be extraordinarily long if one were to include every single link in the chain such as the administrative staff and the ranks between Lecturers and Principal Lectures, so for illustrative purposes the model is represented as follows:

The Chain	Responds or is accountable to	Interest groups
Government		The public, unions, Universities, national groups, the electorate
Local government		Local electorate, ratepayers, employees and local industry
Governors/Trustees		Fee-payer, staff, students and the local community
Institutional Leaders		The Higher Education sector, colleagues, staff and fee-payers
Senior staff		Colleagues, unions, staff, fee-payers and other Higher Education institutions
Lecturers		Colleagues, unions, staff, fee-payers and other Higher Education institutions

A feature of the chain is that those in the middle may monitor others but may also be subject to being accountable to other parts of the chain.

5. The professional model (responsive, professional dominant);

This model is based on the principle that the professional defines their own boundaries of accountability within their professional field. This right is based upon their professional training, expertise, subject knowledge and standards relating to their profession.

6. The partnership model (responsive, consumer dominant).

This model brings together two principles. The first is that decisions are not made by one dominant group but rather by a partnership between those affected by a decision or those who might have a legitimate interest in the outcome of a decision. Halstead cites a lay member joining an inspection panel as an example of this model.

One could argue that Halstead's work was hypothetical at best. Nevertheless, by bringing employer, professional and consumer together Halstead's models provide an interesting way of looking at accountability.

Managerialism and Accountability

As already noted above, underpinning the various forms of managerialism has been the notion of control through both monitoring and measuring outcomes. Indeed, Deem, Hillyard and Reed (2007, p.14) tell us managerialism has moved through three forms: first, neo-corporate managerialism — where a balance between bureaucratic and professional modes of administrative control was negotiated; second, neoliberal managerialism — where cultural control is derived from a complex mix of a market and managerial base; finally, neo-technocratic

managerialism — which moves towards micro-level work control '...in which eclectic combinations of audit, performance, and accountability technologies are constructed and implemented' (p.14). Underpinning the latter form of managerialism, there also appears to be a government imperative that '...service performance is judged and evaluated from a consumerist perspective' (p.15). In this respect, accountability is not only to the government but a strong emphasis is placed on the consumer. When both the notion of micro level work control and the notion of a student as a consumer is considered within the context of the Higher Education sector, as illustrated by Halstead's models of accountability where employer, professional and consumer are brought together, then how can these notions be anything other than problematic? How can one micro-manage the work of academics? How can a student be treated as a consumer? This brings the discussion back to my original research question: What are the accountability responsibilities and obligations for higher education institutional leaders? Indeed, will their accountability responsibilities and obligations have an impact on institutions, academic work and the student as consumer?

For the purposes of this thesis I have given the term 'accountability' a definition of simply being answerable. However, this simple definition of the term needs to be understood in a backdrop of literature and ideas relating to both accountability and managerialism. In this respect, in the analysis of data and the presentation of the findings in this thesis, being answerable picks up on the issues raised by Trow such as the links between trust, markets and accountability, issues of power and trust, as well as issues such as the different forms of accountability and the characteristics associated with accountability (Stensaker and Harvey, 2012). In particular the issues raised are informed by the questions asked by Trow (1996) and Romzek (2000) as follows: who is answerable, for what, to whom, through what means and with what consequences? When those questions are asked then accountability becomes connected to identity and it becomes necessary to understand more about identity. The following section looks at identity and addresses the third aim of this research: notions of identity and communities of practice are explored and critically

evaluated to provide a better understanding of their importance in relationship to the entire study.

Identity

From a sociological perspective, identity may be analysed through Max Weber's 'ideal types' where identity is viewed as being fixed. From a psychological perspective, trait, cognitive or personality theories can be used to help us understand identity. Viewing identity in any of these ways, however, would be offering a modernist view where identity is defined with certainty, or as Henkel (2000, p.14) puts it, placing identity in an 'iron cage'. Henkel (2000) points out the notion of identity offering, 'certainty in the form of the essence of the person, the self or the soul has largely been discredited as an idealist illusion' (p.14). I prefer to avoid pigeonholing the meaning of identity so my view in the section below adopts a postmodern stance and tries to wrestle with 'how to avoid fixation and keep the options open' (Baumann, 1996). The theoretical positioning of identities presented by Barnett and di Napoli (2008) is that identities are a historical dynamic process of construction, deconstruction and reconstruction. In this sense, identity is always in construction and never fixed. For the reasons stated above I support this view and use Barnett and di Napoli's underpinning set of ideas as a means to understand some of the key ideas on academic identity presented below.

Barnett and di Napoli (2008) present a range of understandings of academic identities related not only to academic staff but also to students, administrator/managers, educational developers and others, such as librarians and technical staff. I pick up, in particular, on their reflections on academic identity. However, part of the premise of their book was that authors were co-constructing the book through a lens of both the personal and the professional. The ideas of three of the authors, Strathern, Delanty and Taylor respectively, are discussed below.

Strathern (2008; p.9) wrote about academic knowledge identity being based in subject disciplines and the way quality evaluation can lead to a sense of identity loss. Henkel (1997, p.173) made this point several years before when she suggested that disciplines remain a strong source of academic identity, in terms of what is important and what gives meaning and self-esteem. Nevertheless, Strathern outlined how disciplines may 'heat up' or 'cool down' each other when interdisciplinary approaches are used. In this sense, 'heat' is created through disagreement about how and what to measure as a result of different opinions, policies and research outcomes. In contrast with this, 'cold' is produced through relatively stable conditions where measurements are readily agreed. It is not just about being on a spectrum of heat and cold but also perhaps being hot and cold at the same time where heat and cold may mean different things. Heat may mean warming up, as in winter time, and cold may mean refreshing as in summertime. In this sense, both meanings for heat and cold respectively carry positive and negative connotations. On the other hand, Delanty (2008; p.125) suggests that academic identities are shaped by the institutional context but in return also shape institutions. His argument rests on the changing nature of academic institutions, where roles are constantly being changed, placed under new ways of managing and nothing is fixed. This he argues leads to an increased emphasis on identity. Delanty points out that you could argue current times have placed academics in a position due to increased managerialism and commercialisation where they lack control over what they do. However, he goes on to take a broader view that academic identity is not in crisis but rather that changing institutional frameworks are presenting new spaces for academic identities to emerge.

Taylor (2008; p.28) presents a useful description of identity as being a particular set of traits, beliefs and allegiances that, in the short or long term, gives one a mode of social being and a consistent personality. It could be argued that identity provides two things: first, a means for knowing who you are; and second, an approach for interaction with others. Taylor does not reduce these ideas to their components (the means for understanding the means of who someone is, nor what those approaches for interactions might be). Taylor does however go on to make a

distinction between the notion of identity as a source of meaning for individuals and a person's role. Simply put, identity is seen to organise meaning whereas a person's role organises functions. To this latter part, '…roles give rise to context-specific opportunities to express, and even to develop, personal identity' (p.29). However, Taylor (1999) also points out role-based identity comes with challenges, and as an example talks about how teaching-based identities have to deal with the broad distinction between the disciplines and issues to deal with boundaries (p.119).

Becher and Trowler (1989) conducted an enquiry into the nature of the linkages between academic cultures (the 'tribes') and disciplinary knowledge (their 'territories'), where identity was connected respectively to both groups and subject areas. Both Strathern and Taylor above pick up on issues of conflicting disciplines. Trowler recognises this in his later work. Trowler, Saunders and Bamber (2012) suggest that the metaphor of tribes and territories has probably outlived its usefulness. Trowler (2012) talks of the dissolution of academic tribes and notes that as the disciplines shift and change so too do the professional and organisational spaces in universities. Whitchurch (2010b, pp.246-247) summarises some of the changes:

1. There is a changing disciplinary base – staff with links and roots in other settings to university come from practitioner rather than research backgrounds.
2. The workforce has much more casualization and fixed term staff contracts are much more common than indefinite contracts.
3. There are more staff working on portfolios of short-term projects to do with teaching, research, consultancy and evaluation.
4. Criteria for appointments tend to be more person specific than generic discipline-based criteria.
5. More support staff for students and staff are being appointed such as learning developers and academic developers, technologists and career and counselling staff. There is a move in a number of these areas towards

developing professional characteristics, with developing bodies of knowledge and professional associations.

Whitchurch (2010a) argues that the interplay of public and private sector dynamics in higher education has caused a new cadre of ''blended professionals'' to emerge. For Whitchurch (2009) blended professionals are staff drawn from both professional and academic domains whose work has become blended. She investigates this concept through dimensions of professional activity, 'the institutional spaces, knowledges, relationships and legitimacies that they construct' (p.407). She concludes that '(p)rofessional staff undertaking blended forms of activity offer expertise and approaches drawn from both professional and academic spheres of activity, and are contributing to a re-orientation of working patterns in higher education' (p.417). Following on from this, Whitchurch and Gordon (2009, 2010a) suggest that '… Stable understandings about academic and/or professional identities and career paths are likely to be increasingly difficult to sustain, and higher education institutions are accommodating to systemic change at local level by, for instance, offering flexible employment packages, developing enabling frameworks such as workload models, and finding innovative opportunities in relation to career development' (p.140). Trowler, Saunders and Bamber (2012) suggest that '…being epistemically fluent in the new environment requires much more than inward-facing knowledge of the new practices associated with a discipline. It also means understanding and working with the tensions between institutional drivers and personal identities, which are individual, disciplinary and constantly mutating' (pp.257-258).

While it is useful to note that 'tribes and territories' may be outmoded and there are perhaps more fluid ways of understanding issues relating to disciplinary boundaries it is still helpful to have a vocabulary relating to more established thinking. For this reason, it is important to pick up on Henkel's work on academic identity and Lave and Wenger's notions of communities of practice, which are discussed shortly. First, however, it is critical to make some comments on the terms community and culture.

'Community' is often used to explain 'who, what, where and when'. This term is therefore used to describe a collection of individuals who possess similar goals, values and interests; whereas, it is widely believed that 'culture' explains the 'why' and 'how' of human action, and is therefore somewhat more tenuous. Culture then is more about the 'doing' and the articulation of those communal goals, values and interests. Irrman (2002) suggests that '… the term 'culture' refers to the link between groups and the confrontation between social groups'. I have taken this to mean institutions may produce identical mission statements (providing communal identities) but the institutional cultures (cultural identities) may vary enormously by the way individuals enact their agency both with and between each other, as a reflection of the methods institutions use to achieve their missions.

Henkel (2000) utilising traditional communitarian philosophy depicts a mode of thinking about academic identity that has two parts: first, the notion of the distinctive individual and second, the notion of the embedded individual. The distinctive individual has a unique history that is located within a moral and conceptual framework, and can be recognised by the goods they have achieved. The embedded individual is '…emergent from, working within and making an individual contribution to communities and/or institutions which have their own languages, conceptual structures, histories, traditions, myths, values, practices and achieved goods' (p.16). In this respect, the individual is not only bound by the communities and institutions in which they work, but they also inherit the scripts for the discharge of a range of different roles. Notions of distinctiveness and embeddedness can be seen as compatible as well as being mutually reinforcing. In so doing, this combination of the embedded and the individual produces the presentation of an identity that is both social and individual in its construction.

Etienne Wenger and Jean Lave (Wenger, 1998, p.xiii) are uncertain as to which one of them came up with the expression 'communities of practice' but they are in broad agreement as to its meaning. Wenger (1998) drawing the notions of community and practice together argues there are three dimensions of practice

that serve to act as the property of a community, as follows: mutual engagement, a joint enterprise and a shared repertoire. Mutual engagement refers to the mutual engagement of the participants in a community of practice and it is this that makes it a community as members do things together, share relationships and deal with socially complex matters such as the maintenance of the community. A joint enterprise refers to the negotiation of the individuals that takes place with regard to conditions, demands and resources that helps to create, shape and maintain the community of practice. Central to the idea of negotiating a joint enterprise is the notion of mutual accountability which helps the community and its members to define the things that matter to them so that they can make sense of events and to seek new meanings. A shared repertoire refers to the negotiated meaning ascribed to things such as: '…routines, words, tools, ways of doing things, stories, gestures, symbols, genres, actions or concepts that the community has produced or adopted in the course of its existence, and which have become part of its practice' (Wenger, 1998, p.83). This shared repertoire is also seen to contain both reificative and participative aspects, and includes the discussion through which its memberships create meaningful views about the world. It also includes '…the styles by which they express their forms of membership and their identities as members' (Wenger, 1998, p.83). Wenger (1998) notes that while communities of practice provide a means by which meaning is created and understood, it does not imply harmony nor collaboration, neither does it imply communities of practice '…are in any essential way an emancipatory force' (p.85).

In terms of the individual located in the community, Wenger (1998) argues as noted above that identity is formed through both participation and reification of the three dimensions of practice (mutuality of engagement, accountability to the joint enterprise and negotiation of the repertoire), which leads to a form of competence. In this respect, membership of a community of practice equates to identity being seen as a form of competence. In addition, Wenger (1998, p.154) views identity in the form of a trajectory where time, history, social contexts and interactions with other trajectories contribute to the formation of the individual; this is in keeping

with the theoretical positioning of identities presented by Barnett and di Napoli (2008).

For Wenger, McDermott and Snyder (2002), there are three defining elements of a community of practice:

1. Domain – the overall defining interest for the group, which serves to inspire its members to contribute and participate.
2. Community – members of the group work and conduct activities together in the pursuit of their common interests so as to discuss ideas, share and help each other.
3. Practice – a set of frameworks, ideas, tools, information, styles, language, stories and documents that members of the group share. Practice differs from domain in that knowledge is specific whereas domain knowledge relates to the overarching topic.

It is through a parallel development of these characteristics that a group becomes a community of practice. For Wenger, McDermott and Snyder (2002) when these three elements work well together, they form '...an ideal knowledge structure – a social structure that can assume responsibility for developing and sharing knowledge' (p.29).

In terms of the relationships of communities of practice to the institution, Wenger, McDermott and Snyder (2002) would argue that there are several different forms of relationship: unrecognised (not visible to the organisation nor at times to the members themselves); bootlegged (only visible to those 'in the know'); legitimised (officially recognised as a valuable entity); supported (the institution provides direct support); and institutionalised (has an official function and status within the institution).

The section above laid out understandings of both identity and communities of practice so as to inform the thesis and in so doing I have supported notions of both

identity and communities of practice as being always in construction and never fixed. For that reason it would be worth reflecting on some of the issues raised in the section particularly with regard to the overall theme of accountability running throughout this thesis.

Firstly, it was noted that Strathern, supported by the earlier work of Henkel, suggested subject disciplines were a source of identity. Delanty made the point that academic identities are not only shaped by institutions but shape institutions in turn. Taylor spoke of a context specific role-based academic identity. Becher and Trowler linked academic cultures (tribes) and disciplinary knowledge (territories) through groups and subject areas. All of these ideas are reasonable but Trowler, Saunders and Bamber suggested that the metaphor of tribes and territories had outlived its usefulness. Trowler spoke of the dissolution of tribes and quoted the work of Whitchurch who provided good evidence of changes to professional and organisational spaces in universities. Whitchurch and Gordon spoke of the difficulties associated with sustaining stable understandings of academic/professional identities. To provide further understandings of identity Lave and Wenger's notion of communities of practice was introduced not only for its ability to help situate individuals within communities of practice but also for its ability to connect communities of practice with institutions. When each of these ideas are considered in the light of accountability then questions of accountability connected to self, subject areas, organisations and others such as communities of practice become important. To whom and for what? Lave and Wenger suggest that central to the idea of a community of practice is a joint enterprise where mutual accountability exists between the participants in that community but Whitchurch and Gordon's work reveals a shifting landscape in terms of professional and organisational spaces. In this regard, both accountability and identity can be seen to be in flux. This notion is explored further in chapter eight.

Drawing all of the above together, Trowler, Saunders and Bamber (2012) suggested that to be fluent in this new environment '…means understanding and working with the tensions between institutional drivers and personal identities, which are

individual, disciplinary and constantly mutating' (pp.257-258); that is exactly what this thesis seeks to do. The following chapter lays out the theoretical framework which has been constructed so as to understand the relationship between structures (institutions) and the agency of the individual.

Chapter 3 Theoretical Framework

The theoretical framework presented in this chapter was developed with the aim of understanding the accountability responsibilities and obligations of senior managers and the perceptions of those senior managers regarding the impact of that accountability upon the academic staff working in the Higher Education Institutions of those senior managers. Through this theoretical framework I aimed to provide a robust means for interrogating and understanding the connections both between and within the data unearthed by the research for this thesis.

My theoretical framework was constructed so as to understand the relationship between structures and the agency of the individual, or as Berger and Luckmann (1966) put it, 'the dialectic of individual and society, of personal identity and social structure' (p.208). The framework is grounded in a constructionist/interpretive symbolic interactionist perspective.

Structuration Theory

One way of understanding why senior managers take the actions they take is through the use of structuration theory (Giddens, 1982: p.8; 1987: pp. 59-60). Structuration theory is built on the premise that the actions of individuals help to both shape and maintain social structures, and neither subject (human agent) nor object (social institutions) has primacy as 'each is constituted in and through recurrent practices' (Giddens, 1982: p. 8). For Giddens, illuminating this relationship constitutes the underpinnings of an account for how it is that the production and reproduction of social practices takes place across time and space.

When referring to action, Giddens took the concept to refer to two components of human conduct: first, the notion of 'capability' in the sense that there is always the possibility to do otherwise and in this regard action has a notion of power. Second, the notion of 'knowledgeability' by which he meant all of the things members of

society know about that society, and the conditions of their activity within it. Structure, within structuration theory, refers to the rules contained within social systems, but have only a virtual existence. An example of this might be religion, or indeed a University. One could ask if you took the buildings away from a religion or a University then would they still exist? The answer would be that there are religions and universities without buildings in the usual sense – the Open University or the University of Phoenix for example offer predominantly online learning experiences to their students so for those students buildings have little relevance. So long as someone believes in either that religion, or that University then one could argue the institution still exists and it is this belief that makes the institution (structure) real.

When trying to understand action, Giddens formed his theory of structuration so as to deal with a fundamental question of analysis for the social sciences regarding perspective; a traditional dichotomy between objectivism and subjectivism. In essence, the question is, should action be analysed from an objective macro perspective (society/institution) where the individual is placed as the main focus of social analysis or from a subjective perspective whereby the institution (society) is placed as the main focus of social analysis? Succinctly put, who is responsible for an individual's actions? Is it society or the individual? For Giddens (1987, pps 59-60), each perspective had both positive and negative dimensions. First, the objectivist perspective did not capture self-understanding, intentionality nor the meanings of action. Second, the subjectivist approach failed to engage with long-term processes of change or with the large-scale way institutions are organised. Giddens maintained this duality of perspectives actually hid a complementarity and the perspectives should therefore be presented as a duality, the duality of structure. To understand this fully, he argued that sociological concepts of structure and action were both important. Using approaches that see human beings as purposive, reasoning agents, action is understood to happen as a result of the doer rather than as a result of unfolding quotidian routines. This unfolding, he suggested, provided a continuity which could be understood as an essential temporality which was part of the constitution of action. By linking the interpretation of agency within the

temporality of the duration of action helps, he argued, to link the notion of that action to both structure and ideas connected with institutions. This could be summarised by saying across time society affects people, and people affect society.

Giddens argued that examining agency within its own duration permits a link with structure (institutions) but to fully understand this means looking at the concept of structure. On the one hand, he argued, the concept of structure may be understood, amongst English-speaking social scientists, as a 'received' notion. On the other hand, structure may be linked to notions of function. In this respect, structure relates to the observed patterns or relationships in a range of social circumstances.

Expanding upon notions of structure, Giddens looked at De Saussure's (1974) discussion of the structural qualities of language as an example of structure being understood from a non-Anglo-Saxon point of view. For Giddens, patterns of social relationships were just like structural features of language which do not exist as patterns in either time or space. Rather than this, those features of language are made up of relationships of absences and presences embedded in language in either or both of speech or texts. There is an assumption then that structure holds an idea of an absent totality. Giddens explained this notion by using a sentence as an example. To respond to or to reproduce a sentence one must understand what is meant by that sentence. However each sentence is underpinned by semantics and a range of syntactical rules that remain hidden and unspoken each and every time a sentence is produced. This absent totality (semantics and syntactical rules in this instance) is for Giddens basic to the notion of the duality of structure. Regarding structure as a set of relations of 'presences' is also problematic for Giddens as structure then becomes a constraint that is external to action.

For Giddens, conceiving of structure as outlined above would in effect limit action by structural constraints which have no relationship to that action, therefore there has to be an assumption that individuals are able to act freely. In contrast with this, using the duality of structure approach developed by Giddens, structure is not seen

as being external to action, and nor is it seen to be associated solely with constraint. In this regard, structure is both an outcome of action while also being the medium through which action is realised. At the same time, structure is seen to organise itself either indefinitely or until it has reached a fixed point. Giddens would argue that Higher Education Institutions contain structural properties through the authority of the continuing actions of its members. However, those members can only carry out their quotidian duties or actions in the light of their ability to reify those structural properties. As Clark (1990, p.25) argues: 'we create society at the same time as we are created by it'.

Giddens and Bourdieu

One cannot talk about Giddens without at least acknowledging the work of Pierre Bourdieu (1986, 1990, 1993, 1998). Layder (1994, p,143-144) would argue that Giddens's view of structure has much in common with Bourdieu's conception of habitus which refers to the stock of knowledge one carries around in one's head as a result of living in particular cultures or sub-cultures. An example might be a person from a particular social class taking the influence of that environment into his/her behaviour such as type of speech pattern or attitude towards marriage. Habitus is the set of dispositions that feed into what a person wants or what they can achieve in their interpersonal relations so middle class people might be more at ease with authority figures than working-class people. This is similar to the rules and resources upon which people draw in Giddens's notion of structure. Giddens (1990, p.301) confirms this position where he suggests that 'structure' in its most generic sense refers to the rules and resources implicated in social systems. In both Giddens' and Bourdieu's concepts Layder would argue that there is a commonality of reference with regard to the dispositions in so far as the dispositions are not talked about with any consciousness but are rather subsumed into a person's behaviour without them ever really being aware of the influence of those dispositions. This is what Giddens calls 'mutual knowledge' or knowing how to get on in any particular encounter. In addition, there is another similarity '…in that habitus is the means through which people produce and reproduce the social

circumstances in which they live' (Layder, 1994, p.144), which is similar to Giddens's notion of structures being both the outcome and medium of activity. However, there are two differences: first, Bourdieu is more likely to view social circumstances in a more conventional objective view of structures and institutions rather than the view taken by structuration theory. Second, in contrast with Giddens, Bourdieu views human behaviour as being more mechanistic and determined as it is conditioned by the habitus. After this the comparison between the two theories begins to break down (Layder, 1994, p.144). For Giddens the human actor has more freedom to create and be transformative within their social environment. Thus, Giddens's view is that human beings are agents in their own social world by virtue of the fact they have it within their purview to make a real difference through the exertion of their own power.

Following on from the position above regarding complementarity breaking down between Giddens and Bourdieu, the key contrasting differences between structuration theory and social theory respectively can be summarised as follows: first, individualism (voluntarism) versus determinism (involuntarism) - Giddens allows for individuals having voluntary choice in the exercise of their agency whereas Bourdieu sees the agency of the individual being involuntarily determined by the habitus and field. Second, Giddens champions the process of structure/agency whereas Bourdieu champions the product. Third, Giddens allows for the identity of the individual to have an affect whereas Bourdieu sees the habitus and field being key influences on the individual particularly where the individual is driven by self-interest. Fourth, while Bourdieu's habitus takes place in different fields and therefore provides a bridge between structure and agency this does not provide a good explanation for social change but rather a description of what happens after the fact, whereas Giddens provides an explanation of social change happening across time where neither the agency of the individual nor the institution have primacy.

A key issue for Giddens and Bourdieu

The key issue with thinking about structure and agency is that of determinism versus individualism (King, 2005; p.208) or more simply put: who makes the rules? Is it society (structures) or is it the individual (agent of action)? The problem for both Giddens and Bourdieu is that individuals may choose at any time to follow or ignore the cultural rules of the structures or the habitus in which they work. This for King (2005) is problematic for both Giddens and Bourdieu as those cultural rules under Giddens's structure and Bourdieu's habitus direct or determines individual action. This then implies that regular social interaction may only be explained by individual choice. King (2005) would suggest that this causes a dilemma; either individuals are determined from without by structure or habitus or the agency of the individual is over-asserted which makes it impossible to explain structure or habitus. King's (2005; p.230) answer to this dilemma is to simply say that the social reality of human relations should not be reduced to a static view of the dualism of structure and agency as individuals do not as he put it 'consult' cultural roles in their relationship with structures. For King (2005), individuals '…come to mutual understandings of what constitutes appropriate action, and are able to bind each other to these appropriate forms of conduct'. In this respect, the dilemma of determinism versus individualism within structure and agency remains open. Nevertheless, the concepts raised by Giddens and Bourdieu provide a useful language and lens through which to examine the responses of the participants in this research.

Further considerations

As mentioned in the literature review, neo-institutionalism/archetype theory may be used as one way of understanding what is happening within institutions (Deem, Hillyard and Reed, 2007) through the placing of a lens on changing cultural forms and discursive strategies so as to understand the changing shape, organisation and institutional modes of public services. However, there is a tension between neo-institution/archetype theory and the theoretical framework presented here as any

discussion of institutions and trends affecting Higher Education assumes institutional structures already exist at different levels, and individuals will have limited, predetermined or confined space(s) through which to enact their agency. In this respect, this vision of the structure-agency issue is more in keeping with Bourdieu's than Giddens's position as Bourdieu's position is that the connection between habitus and field exerts influence over human action whereas for Giddens structures are brought to life by the agency of the individual. Structures for Giddens are therefore both contingent and emergent achievements of human actions. Another way of thinking about this is that neo-institution/archetype theory and Bourdieu's social theory both work from a premise that pre-defined structures already exist and examine the product of human agency so as to understand the changes that have happened to that product; whereas Giddens (drawing on issues of temporality) examines the process of human agency across time so as to understand the product of that human action (structures).

This chapter has laid out a theoretical framework that was developed so as to help illuminate issues underpinning the relationship between structures (institutions) and the agency of the individual. The principal theories identified were Giddens's structuration theory and Bourdieu's social theory. Taken together both Giddens's structuration theory and Bourdieu's social theory in relationship to neo-institutional/archetype theory provide a means by which to open up both the processes and product of human agency respectively for understanding the tensions for institutional leaders arising from their accountability responsibility and obligations. While it is beyond the scope of this thesis to resolve fundamental questions about structure-agency the issues that have been raised by bringing structuration theory and social theory together are used so as to provide a lens for illuminating the findings in chapter eight.

Chapter 4 Methodology

This chapter demonstrates how I explored the research questions for this thesis by laying out my standpoints for my ontological positioning - in terms of the way humans behave in an HE environment - and my epistemological positioning - so as to demonstrate how I chose appropriate methods for this research. The conceptual framework for this thesis draws upon a range of theories from sociology, philosophy and psychology.

Ontological Standpoint

For this thesis I took a constructionist/interpretivist approach and adopted a symbolic interactionist perspective (where meaning is created through dialogue) as this fits with a perspective that is often adhered to. Crotty (2003) suggests constructionism is '…the view that all knowledge, and therefore all meaningful reality as such, is contingent upon human practices, being constructed in and out of interaction between human beings and their world, and developed and transmitted within an essentially social context' (p.42). Crotty (2003) also suggests that the interpretivist approach '…looks for culturally derived and historically situated interpretations of the social life-world (p.67). Symbolic interactionism simply put is where meaning is created through dialogue (Crotty, 2003, p.72) between two or more people.

Epistemological Standpoint

For this research, I used quantitative methods for minimal descriptive statistics, and qualitative methods for the collection of data. My choice of methods was based on a belief that both philosophically and methodologically quantitative and qualitative methods are on a par and neither is superior to the other. I support both Hammersley (1992) and de Vaus (2001) who believe methods associated with particular epistemological standpoints may be contested. Crotty (2003) too also

suggests that the divide between 'objectivist research associated with quantitative methods over against constructionist subjectivist research associated with qualitative methods' (p.15) is far from justified. I also agree with Bryman (1992) and Bryman and Bell (2007, p.626) who question whether epistemologies and their associated research techniques (e.g. positivism and surveys, or phenomenology and qualitative interviewing) can or cannot be combined with each other, yet recognise each associated research technique has its own strengths and weaknesses. I explain my position in a short discussion on mixed methods immediately below.

Tashakkori and Teddlie (1998) suggest that many social researchers hold a view that the notion of mixing methods is acceptable because 'there are enough similarities in fundamental values to form an enduring partnership'. Trochim (2001) posits that all data can be quantified regardless of its methodological type, but recognises opposing viewpoints that the data may not necessarily be distanced from its epistemological and ontological assumptions. However, the intention of mixing methods is to gain the advantages from both traditions (Trochim, 2001; Tashakkori and Teddlie, 1998). Denzin and Lincoln (2000) add that, 'the use of multiple methods… is best understood… as a strategy that adds rigour, breadth and depth to any inquiry'. Finally, Hammersley (1992) has argued that the difference between qualitative and quantitative standpoints was of limited use, and 'what is involved is not a simple contrast between two opposed standpoints, but a range of positions on more than one dimension'. In this respect, Hammersley (1992) suggests researchers should make full use of the options available to them.

From the discussion above, I concluded that while the use of multiple methods would be the ideal, it would have to be an option I would have to forego due to time and resource constraints. However, since I had to make a choice regarding appropriate methods then I considered whether qualitative paradigms which are associated with depth or quantitative paradigms which are associated with breadth (Blaxter, Hughes and Tight, 2001) would be best. I opted for depth and I adopted a qualitative methods strategy as this was supported by the literature and in my previous work, with the rationale for this described below.

Method

In my deliberation of which strategy to use I gave consideration, as suggested by Hammersley (1992), in terms of looking at all options but also Bryman's (1992) point that each technique has its own strength and weakness. In particular, I considered the costs and benefits of different approaches and I rejected naturalistic, ethnographic, historical, and action research approaches principally because I could not manipulate events or policies to suit my research questions. I also rejected both the ex post facto and experimental approaches: firstly, because as all HEIs are essentially autonomous entities then it is unlikely that any two HEIs are sufficiently alike to hold all dependent variables in a constant state, but secondly and more importantly because it would not be possible for one researcher to manipulate the variables happening to an institution or a senior manager in an HEI for experimental purposes. After rejecting these approaches, I had to consider: a) which methods would be workable within the resources available to me; b) the fit with my epistemological standpoint; and c) most importantly, my methods had to be suitable for answering particular research questions. Given these considerations, I selected a case study approach.

Design of the study including methods of data collection and analysis

The overall case was the higher education sector, containing three categories of institution (independent, pre-1992 and post-1992) and the units of analysis within the categorised institutions for the study were the Heads of the Institutions and their associated Institutions. The institutions could have been categorised otherwise; for example, by institutional type (redbrick, plate glass, ancient and new universities), mission groupings (such as Million Plus, 1994 Group or Russell Group) or city, urban and regional based institutions. However, to keep the research manageable, I limited the study to the three categories of institution as the category types identified were sufficiently broad to take in a number of institutional types and sufficiently broad to allow for differences in terms of governance and

management structure. In developing the case, I followed the four stages put forward by Yin (2009) for the development of case studies:

1. Design the case study,
2. Conduct the case study,
3. Analyse the case study evidence, and
4. Develop the conclusions, recommendations and implications.

The case studies consisted of the following:

- An institutional survey of organisational structure (including governance and management), to establish facets/factors of the case that could have an impact upon interviewees. To establish this, I examined information on websites and any other form of background literature supplied to me by the participants. Background information from the institutional case study institutions may be found in Appendix C.
- To keep the thesis within workable limits, I explored my research question by conducting single in-depth digitally recorded semi-structured interviews with each of the participants. I aimed for the interviews to run for an hour although most of the interviews ran nearer to an hour and a half.
- Interview questions were based upon my main research question which was informed by the institutional surveys.

Finally, the case study evidence was analysed through a method known as 'Framework' (Richie and Spencer, 1994). I shall expand upon data collection shortly. The discussion in the next section is broken down into three parts: case studies, semi-structured interviews and a general critique of the suggested methods.

De Vaus (2001) states that '…there is no correct number of cases to include in a case study design' and contends that the judgement of the number of cases should be driven by practicalities such as time, money and access but an awareness should be kept of the variations that might occur within and across different patterns in

case studies. For these reasons, I opted for one overall case study (the higher education sector) containing three categories of institution (independent, pre-1992 and post-1992) where the units of analysis were the institutions within the categories and the leaders of those institutions.

Case studies are sometimes criticised by the scientific community as being weak because the results are not generalisable, may not be representative and may be open to observer bias (Yin, 2009) and these criticisms are tied to a positivist view that only quantitative techniques should underpin research. For example, inferential statistics are derived from randomly generated samples, which lead to generalisations made from parametric statistical tests such as significance testing (Howell, 1995). Yin (2009) however argues that case studies can be generalisable providing 'analytic' generalisations are made and a previously defined theory is used as a template for testing empirical results (see my theoretical framework in the preceding chapter). This is in keeping with De Vaus (2001) who suggests that '(s)ince cases are used for theoretical rather than statistical generalization there is little point in selecting cases because they are in some sense representative of some wider population'. As to representativeness, this case study covers the three main categories of higher education institution in England (see Appendix C) so it attempts to be as representative as possible. I accept that if and only if, another HEI and senior manager adopts the exact same practices and conditions as the HEI and senior manager being studied, then the findings will become transferable. Regarding observer bias, I was very careful to be transparent in the reporting of my findings.

Sample and Interviews

I chose a purposeful sampling strategy (Silverman, 2000) to select 'information rich' cases from which I could gain greater insights into the issues at hand (Patton, 1990), I selected twelve senior managers across the three categories of higher education institution for semi-structured interviews.

My initial case study approach was to examine a selection of six Higher Education Institutions (HEIs) from across the higher education sector, two from: a) an independent Institution; b) pre-1992 University; and c) post-1992 University. Ideally, to perfectly balance a purposive sample, I aimed to obtain two participants from two HEIs within each category but this proved to be extremely difficult in the time and resource available to me and I had therefore to revise my approach. I worked to a principle that I should interview equal numbers of senior managers from each type of institution. Therefore I needed four participants from each of the three categories of institution. As a result I interviewed twelve participants in total. Four senior participants from each of the three categories of HEI provided a balanced purposeful sample, as follows: four participants came from two institutions in the independent sector; four participants came from three pre-1992 institutions; and four participants came from three post-1992 institutions.

One could argue that not all of the institutions were universities and two of the three pre-1992 HEIs were atypical as one HEI primarily serves postgraduate education and another was a small elite HEI college (within a University). In the context of this thesis, size of institution with regard to numbers of students and staff could make a difference amongst other things to the ability of their leaders to impact upon their staff and their staff's identity. This is an empirical question which is not explored in this thesis and could perhaps provide a base for further research. Nevertheless, accepting this possible criticism, I opted for this sample frame, as Taylor-Powell (1998) maintains there is no correct number of cases when opting for a purposeful sample, but the selection should reflect '…what you want to know, what will be useful, what will be credible and what can be accomplished within the time and resources available'. I hoped to pick voices who would supply 'information rich' opinions from a range of HEIs from across the higher education sector. A detailed breakdown of the participants and their institutions is shown overleaf:

Table 1: Participants and their institution

Title	Participant	Role and Institution	Type of Institution
Mr	Kai Peters	CEO and Principal, Ashridge	independent not-for-profit
Dr	Martin Lockett	Nominated Deputy to the CEO. Director of Academic Development and Deputy, Ashridge	independent not-for-profit
Professor	Aldwyn JR Cooper	CEO and Principal, Regent's College	independent not-for-profit
Mr	Spencer Coles	Interim Chief Operating Officer, Regent's College	independent not-for-profit
Professor	Chris Husbands	institute Director, Institute of Education	Pre-1992
Professor Sir	David Watson	Principal, Green Templeton College, University of Oxford.	Pre-1992
Professor Sir	Robert Burgess	VC, University of Leicester	Pre-1992
Professor	Mark Thompson	Senior PVC, University of Leicester	Pre-1992
Professor	Tim McIntyre-Bhatty	DVC, Bournemouth University	Post-1992
Professor	Malcolm Gillies	VC, London Metropolitan University	Post-1992
Mr	Jonathan Woodhead	Nominated Deputy to the Vice Chancellor (Official title: Executive Officer to the Vice Chancellor and acting University Secretary. For this research I have referred to him as DVC) London Metropolitan University, ,	Post-1992
Professor	Liz Beatty	DVC, University of Cumbria	Post-1992

While I would have preferred to keep a 50:50 gender balance this was not possible at the time. Ages ranged from mid-40s to mid-60s. In staying with my ethical framework, and a request from one of the participants, I have not revealed exact ages.

Interviews can be structured, where interviewers use questionnaires to seek specific answers, or interviews can be loose, informal and unstructured which allows for an open-ended discussion (Blaxter, Hughes and Tight, 2001). I opted for

semi-structured interviews for two reasons: first, semi-structured interviews fit somewhere between these two positions, because the framing of questions and how they are asked these questions leaves all interviews open to criticism and meaning may be lost in both questions and answers regardless of the type of interview used (Bryman, 2004). By taking a semi-structured approach, I hoped to overcome both criticisms, providing fixed questions where meaning is relatively stable, while also allowing exploration of meaning within the answer. I discuss the advantages and disadvantages of open/closed questions in the next section.

Second, using a semi-structured interview approach also addressed an issue regarding a tension referred to at the end of the theoretical framework chapter. The issue was that it could be argued that institutions/archetypes, and habitus and field, assume to some extent (it varies between Deem and Bourdieu) that from an objectivist point of view (Crotty, 2003, p.8) the meaning of a situation pre-exists an individual whereas the methodological standpoint of constructionism is that meaning is created through dialogue. While I acknowledge this tension, I did not see this as being particularly problematic as I took an approach for the interviews where the interviewer is seen as a traveller (Kvale, 2007, p.19). This metaphor is based upon the notion of an interviewer-traveller going on a journey covering known or unknown new territory and encouragingly asks questions of the people (the interviewees) both encountered and travelled with along the way. It is the interviewer-traveller's interpretation and recounting of the narratives brought home to the audiences where meaning and potentiality of new meaning unfolds. The interviewer-traveller may in this metaphor be changed by the journey through the discovery of new knowledge or by reflection upon existing knowledge leading to new values or understandings of customs in the interviewer-traveller's home country. In this metaphor interviewing and analysis are seen as intertwining phases of knowledge production. Therefore, with regard to institutions/archetypes and habitus and field, while meaning may have existed for the interviewees prior to the interviews, it was through the interview process that I came to an understanding with the interviewees as to what they meant when answering questions. This approach provided a good fit with my conceptual framework, where meaning is

both explored and constructed through social dialogue in the sense I made no assumptions about pre-existing structures, which does not mean those structures did not exist, but rather it was through dialogue with the interviewees that I could socially construct an understanding of the structures about which they spoke and their agency in relation to those structures.

Questions may be closed or open and there are dis/advantages to both types of questioning (Bryman, 2004, pp. 144-150) in an interview. The advantages of open questions are: respondents answer on their own terms; unusual responses may be given that would not be given under closed questioning; the question does not elicit suggested responses as it could with a closed question and therefore allows for the knowledge and understanding of the interviewee to be tapped; when exploring areas unfamiliar to the interviewer the questions can overcome a lack of knowledge on the interviewer's part. The disadvantages are: interviews may take longer than interviews using closed questions; answers have to be coded which can be very time-consuming; more effort may be required from interviewees in terms of their response which can lead to longer answers.

The advantages of closed questions are: answers are easier to process and code; answers are potentially easier to compare; closed questions can simplify the meaning for interviewees. The disadvantages of closed questions are: spontaneity is lacking in terms of responses and therefore opportunities to explore new knowledge may be overlooked; forced choice questions do not allow for explanation; if an exhaustive list of responses is the aim then potential responses may be overlooked; some terms in the closed question may be understood differently by the interviewees and this can lead to variation of response and potential errors of understanding of the response; when categories of response are not available to interviewees then this can lead to the irritation of the interviewee; and finally large numbers of closed questions can lead to issues with building rapport between the interviewer and the interviewee.

Given the advantages and disadvantages of open and closed questions, I chose mostly open questions as I believed this approach was a better fit with my constructivist approach to building meaning through dialogue. I accepted that the interviews would probably be longer and the answers to the questions would be harder to code but I believed that allowing my interviewees to give full voice to their opinions while also allowing for a probing for more information and a means to 'verify the answers given' (Kvale, 2009, p.65) far outweighed any disadvantage. In this respect, as they were all the most senior managers in their institution I was looking for specific accounts and specific opinions; I did not want to put any questions or barriers into the interview that would prevent that from happening. Only three of my questions (Q5, 13 and 14 – see Appendix D) could be considered closed, however, those questions were asked in the context of the rest of the open questions and I used follow up probing questions to responses to those closed questions. In addition, I believed that using a mostly open question approach was more suited to obtaining the best data that I could from my purposeful sample.

I followed a three stage process protocol suggested by Seidman (1998). Using this protocol, interviews are designed to examine the past, the present and to some extent the future, by:

1. Contextualising the participants' experience.
2. Reconstructing details of that experience within the context in which it occurs.
3. Reflecting upon what exactly the meaning of their experience holds for them.

Seidman suggested that '…peoples [sic] behaviour becomes meaningful and understandable when placed in the context of their lives and the lives of those around them'. In support of this, Patton (1990) wrote that '…without context there is little possibility of exploring the meaning of experience'. Mishler and Briggs (1986) however warn that a '…one shot meeting with an interviewee whom they have never met is treading on thin contextual ice'. I did not think that this would be an issue as with the exception of one participant I had met all of the interviewees at least once and I had circulated my interview questions prior to the interviews. I

would have preferred to conduct more than one interview per interviewee, but this was not possible due to time constraints and the availability of my interviewees, so I restricted the interviews to one per interviewee and in line with interviewees' wishes, limited the interviews to one hour. However it is worth noting that all of the interviews but two ran over and for the most part lasted nearly an hour and a half.

Research aims, research questions and the interview schedule

Appendix D sets out the interview questions. Appendix E shows the connection between the research aims and related interview questions. An explanation of how the research aims are addressed by the supporting research sub-questions is presented in the conclusion.

General Critique

During my research I was aware of the following possible challenges and criticisms: first, the literature varies regarding the definitive number of interviewees to use within a case. Second, advice for motivating interviewees within interviews is not especially clear. Third, the questions asked of the participants could possess alternative meanings due to different backgrounds, perspectives (race, gender or social class) or language registers. Fourth, since a power relationship occurs within any interview then ethics and morality within my research design could impact upon my findings. Fifth, how could I ensure that I had covered all of the points in the interviews? Finally, how could I persuade readers of the validity and reliability of my findings? All of these challenges affected my research. First, determining the right number of interviews was a consideration. Second, there were moments in the interviews when there were silences but this appeared to be more to do with the participants taking a moment for reflection rather than not being motivated so the silences did not seem to be a problem. Third, there were one or two questions for which some participants sought clarification and to which I replied so as to provide common understandings of the questions being asked. Fourth, there are serious ethical issues. Fifth, as part of the interview protocol I worked through the

list of questions and repeated to the interviewees how much time had passed and asked whether they still had time available. Hence, as noted already most of the interviews ran over time. It is to the last point relating to validity and reliability that I now turn.

Validity and reliability are key concepts for demonstrating the rigour and robustness of a research project. Validity, an often disputed term (Mason, 2001; Silverman 2001), can be taken to mean the closeness of a research finding to that which is claimed. Reliability can be regarded as the frequency that a research finding can be repeated over a period of time. From a qualitative perspective, case studies are not selected to be empirical and therefore reliability and validity have no meaning within case study research (Bassey, 1995). Mason (2001) warns that '…an obsession with reliability – which may occur precisely because it can apparently be 'measured' – inappropriately overshadows more important questions of validity, resulting in a nonsensical situation where a researcher may be not at all clear about what they are measuring (validity), but can nevertheless claim to be measuring it with a great deal of precision (reliability)'. As a way forward, the concept of 'trustworthiness' as put forward by Lincoln and Guba (1985) was embraced, which meant that the researcher needed to be truthful throughout the research process, from data gathering through to interpretation and finally to the reporting of the data in the findings.

Collecting and Analysing the Data

As I have already explained, to stay in line with my conceptual framework, I collected data first through documentation and second through interview. When interviewing, I sought permission from interviewees to digitally record proceedings while also taking notes of particularly pertinent items, including body language and verbal cues. I explained to participants I would only be taking an occasional note when I thought I might wish to return to a particular response for clarification or for further discussion later in the interview. No participants objected to this practice. At the end of the interview I checked these notes to ensure that I had covered all

points. Following the interview, I utilised a referenced abstract of the recording to paraphrase the content of the interview rather than providing a verbatim transcription, where meaning of body language, verbal cues and the context of the interview can be lost (Cohen, Manion and Morrison, 2001). Duncan (1997) indicates there are three advantages to techniques such as this: first, abstracts are smaller than transcripts and therefore easier to produce. Second, for reasons of ethics and verification it is easier for interviewees to read a short abstract rather than a lengthy verbatim transcript. Third, abstracts rather than a lengthy transcript are closer to the original form of the interview. Regardless of this, when appropriate during the writing up of the research I returned to the recordings and obtained verbatim quotes to illuminate my findings.

For data analysis, I used the 'Framework' method, advocated by Richie and Spencer (1994), as the method first met my objectives of being both 'truthful' and transparent to the reader, second the method continues to receive support for its use in the social sciences (Srivastava and Thomson, 2009) and third it appeared to be the most efficient. To this last point, I considered using other methods for data analysis such as NVIVO (a qualitative software package which I had spent some time learning), building a database in access and more traditional pen and paper approaches, but I rejected them all as I found them to be cumbersome and not particularly 'user-friendly'.

The key stages in qualitative data analysis in 'Framework' are:

1. To familiarise oneself thoroughly with the data and to list all the key ideas and themes.
2. Based on the a priori research questions and the themes that emerge from the familiarisation stage, draw up a thematic framework.
3. Index the textual data using the identified themes.
4. Situate the indexed data within a chart, by theme across respondents or respondent across themes.
5. Interpret the data within the thematic framework.

One could describe 'Framework' as being mechanistic but it is in fact fluid and dynamic as one is embedded within the interpretation of the data at all stages of the process. Textual abstracts were taken from interview recordings and inserted into spreadsheet cells which were then analysed for coding and the identification of themes and sub-themes. These codings and themes/sub-themes were then organised into manageable categories by manipulating various sort and filter functions within the spreadsheet (see Tables A and B in Appendix A for examples of the spreadsheet in a partially manipulated form).

Regarding the codes for coding, based upon Stensaker and Harvey's (2011) suggested accountability scheme characteristics, I put together a framework for my data analysis through which accountability may be understood, coded and interpreted (see Table A in Appendix A). In my analysis, I looked for explanations of accountability from the data through social, professional, ethical and legal dimensions but allowed themes and sub-themes to emerge as the analysis progressed (see Table B in Appendix A). I deliberately chose generic dimensions so as to allow for finer detail to emerge from the data in my final analysis. I identified codings as follows: internal, external, explanatory, justifiable, and descriptive. An explanation of the coding is shown below:

Accountability

- Social – accountability may be either related to staff within the institution (internal) or society outside of the institution (external).
- Professional – accountability is to a professional body
- Ethical – accountability happens for ethical or moral reasons
- Legal – accountability takes place for compliance reasons

Type of explanation

- Explanatory – a clear explanation of what is happening

- Justifiable – a justification rather than an explanation is offered

- Descriptive – no explanation offered other than a description

- Internal – related to happenings within the institution

- External – related to happenings external to the institution

Following on from the codes, I used Stensaker and Harvey's four points of analysis. They suggested that accountability schemes should: be perceived as relevant by central stakeholders; contain fair judgement of performance; be open for feedback and dialogue; and stimulate trust.

Using this method, I analysed and explored responses within themes across interviewees without losing the context of the other themes. The charting technique shows how I arrived at decisions in the interpretation of the data.

Models of Accountability

Following the analysis as outlined above the findings were examined through the lens of Halstead's six models of educational accountability. As mentioned in chapter two the models combine notions of contract and response where out of three parties (the employer, the professional and the consumer) one party is dominant thereby creating six possible models of accountability. A fuller explanation of the models may be found in chapter two but as a reminder the models are:

1. The central control model (contractual, employer dominant);
2. The self-accounting model (contractual, professional dominant);
3. The consumerist model (contractual, consumer dominant);
4. The chain of responsibility model (responsive, employer dominant);

5. The professional model (responsive, professional dominant);

6. The partnership model (responsive, consumer dominant).

Why use the models?

Halstead argued that an adequate account of educational accountability must take a middle path between control and autonomy (Halstead, 1994, p. 147). This seemed like a reasonable approach so I used the models generically for examining accountability in a Higher Education setting. One could argue that Halstead's work was hypothetical at best and therefore the use of his models of accountability within this thesis could produce a flawed interpretation of the data. I acknowledge this potential criticism but argue in defence that Halstead's use of the models for interpreting the Honeyford affair was both interesting and illuminating (see Halstead, 1994, pp. 154-156). In essence, Halstead used his six models to illuminate what happened to Ray Honeyford, a Head teacher, who published an article on 'Education and Race'. Following publication, a protracted campaign was launched aimed at removing Honeyford from his post. The outcome was that Honeyford was suspended, reinstated and he then subsequently resigned. Given that Halstead showed that all six models of accountability were operating during the Honeyford affair and as the main research question for this thesis seeks to understand the accountability responsibilities (where autonomy exists in the things one should do) and obligations (where control exists in the things one must do) for higher education institutional leaders I opted to use the models as a further tool for analysis.

The outcomes of the research are presented in chapters five, six and seven and discussed in chapter eight. Where answers were common and could be attributed to institutional type I have presented the responses under the heading of independent institutions, pre-1992 institutions and post-1992 institutions. Where answers were common across all institutions I have not made this distinction but rather I have teased out where responses have been different and drawn the reader's attention to that difference.

Ethics

From an ethical perspective, I was aware that both my job role (Academic Registrar) and my position as a researcher could have some impact upon the perceptions of participants in my research (Cohen, Manion and Morrison, 2001). I believed however that this would not be an issue for seasoned institutional leaders as I expected that they would be accustomed to presenting their opinions publicly and they had probably undergone many interviews in their working lives. However, during the interviews I tried to not take the participants for granted so when participants showed a reluctance to answer a particular question then I lightly probed the delay in responding. In each case I was told further thought was being given to the question so no questions went unanswered even if some of those answers were very short, for example, when an interviewee felt they had already covered a response to an earlier question.

I also went to some lengths to ensure appropriate procedures were in place to anonymise and protect my participants and their organisations. To do this effectively, I sought to gain the trust of my participants by assuring them that I would not abuse my privileged position. I therefore developed a letter of consent (see Appendix B), which I asked my participants to sign, and which would bind me to protect their identities. However, this proved to be unnecessary as all of the participants gave their consent to their names and institutions being used. This was perhaps a reflection on the senior nature of the participants in the sample and both a sign and recognition that power in the interviews for this research lay with the participants rather than the researcher. However, there were some provisos from four participants who requested their names should not be associated with one or two particular responses. I agreed to this and therefore there are one or two responses within the findings that are non-attributed but have been presented as a general rather than a specific finding. Finally, to provide a clear ethical framework for my thesis, so as to show an ethic of respect for: the person; knowledge; democratic values; the quality of educational research; and academic freedom, I

followed the latest Revised Ethical Guidelines for Educational Research published by the British Education Research Association (2011).

Chapter Summary

This chapter sought to lay a basis for how I would explore my main and subsidiary research questions through an exposition of my conceptual framework; first, through an ontological standpoint and second, through an epistemological standpoint. I then went on to explain the methods I had chosen which included a discussion of the sample and methods of data collection and analysis. A general critique of my research methods was also offered as well as a section on ethics. This discussion showed there were some difficulties for the methods I had chosen but I noted that these were taken into consideration and appropriate methods were chosen based on the costs and benefits for the research project while also taking into account ethical considerations. Up to this point, this thesis has engaged with the background, context, rationale, theoretical and conceptual approaches to the research. The next chapter begins to engage with the responses from the interviews. With regard to the main research question 'What are the accountability responsibilities and obligations for higher education institutional leaders?' the following chapter addresses the first of the research sub-questions: What are the key aspects of recent government policy change affecting the accountability of higher education institutional leaders?

Chapter 5 Policy

Whereas the policy context section of chapter two provided a factual account of current key policy issues as understood by the author prior to the research being undertaken this chapter presents the accounts of the senior managers regarding which of those aspects of policy were affecting their institutions at the time of the interviews.

Policy and governance in the period leading up to the interviews

For their institutions, the common issues perceived by all of the interviewees but in slightly different ways were:

a) Government controls for fee-setting, student number controls (bidding for core/margin student places, needing to pursue AAB student places to bolster student numbers and funding).

b) The impact of recent legislation and changes to the immigration rules, which had been implemented by the UKBA. There had been direct and indirect costs, and negative effects on student and staff recruitment, and the running of academic events.

Independent institutions

For the independent institutions, UKBA issues were of foremost concern, primarily for the recruitment and sponsorship of students who needed visas, and secondly because of the difficulties associated with recruiting first class international staff. Government controls for fee-setting, student number controls (bidding for core/margin student places, needing to pursue AAB student places to bolster student numbers and funding) were all raised as potential issues but it remained uncertain as to what the effects of policy change in these areas would mean.

At the time of the interviews, Regent's College was in the process of applying for its own taught degree awarding powers. One concern raised was the lack of a High Education Bill as it was believed that some policy-making had slowed down; particularly policy affecting the awarding of taught degree awarding powers. One senior manager commented that government had made changes through policy so a bill was not needed. The senior manager was referring to where the government had changed immigration rules without having to make changes through an act of Parliament (as the immigration rules are neither primary nor secondary legislation). Another UKBA issue was the impact upon institutional costs.

With regards to the QAA, an interviewee at Ashridge objected to the phrase 'private provider' being used in government and agency documents to distinguish between independent HEIs and state-funded HEIs. The Deputy CEO stated that Ashridge is an educational charity, essentially with the same legal structure as a University in the public sector. He said by UNESCO definitions state-funded HEIs and Universities are equally private providers, therefore all UK HEIs are private. Some are private and independent and dependent upon government money, and some are private and independent but are not dependent upon government money. As Ashridge is in the latter category then the labelling seems strange. The interviewee concluded that although Ashridge considers itself to be more like a University, Ashridge often gets treated differently. One interviewee added that the QAA uses different methods for private providers, such as the 'Review for Educational Oversight', for and on behalf of the UKBA, which has different standards to the normal QAA Institutional Review.

For Government funded institutions there were a different set of concerns. In brief, fees, student number controls and funding issues were of foremost concern for the Pre- and Post-1992 institutions.

Pre -1992 institutions

For the three pre-1992 institutions, the principal concern was funding but in different ways. For the Institute of Education (mostly postgraduate) and the University of Leicester (mostly undergraduate) changes to funding for both teaching and research, and student number controls were concerns. For the Institute of Education, changes in policy regarding the progressive withdrawal of direct public subsidy for teaching and the shift in teacher education policy were also problematic. For Green Templeton College, a graduate College, changes to research funding were seen to have more of an immediate impact. The impact of funding being removed for 2 star research was seen as a key issue for all of the pre-1992 institutions. Issues to do with the UKBA were of secondary concern.

As I had asked the independent HEIs about recent changes brought about by the QAA, I asked the same of the pre-1992 institutions: no concerns were raised although one senior manager remarked it had led to some internal debates as to whether the institution agreed with some of the directions of travel. He also remarked that the QAA was overly prescriptive but that was a personal rather than an institutional view.

Post-1992

For the three Post-1992 institutions, key issues were funding, the UKBA and some reflections were offered regarding the QAA but of no particular note. For the University of Cumbria, RDA funding and changes to teacher training policy were issues.

Changes as a result of policy affecting institutional life

Speaking about how aspects of recent government policy had affected their institutions, senior managers from all of the institutions felt that they were being affected differently in terms of government controls for fee-setting, and student

number controls (bidding for core/margin student places, needing to pursue AAB student places to bolster student numbers and funding). For the pre- and post-1992 institutions offering undergraduate programmes, there had been significant direct effects on each of these areas but the outcome of those effects would not be known until August 2012.

The Principal at Regent's College suggested that the rise in fees for HEFCE funded HEIs (up to £9,000) might lead to the College becoming more attractive to UK based students. The COO reflected that:

> …I think it is more around the psychological changes and then the markets will open up for us as students will then be able see and consider what they are actually paying for and the value that they are getting out of that.

One reflection from Ashridge was that the period of indebtedness after undergraduate study might mean students are less willing to spend on postgraduate studies after they have been working for several years.

The DVC at Bournemouth University and the VC at the University of Leicester raised the issue of the shifting of funding directly to students, and the latter remarked 'The question is how long will it be before students start asking questions about what we are spending the money on?'

Setting a fee at £9,000 at the University of Leicester had also led to the provision of a scholarship scheme so as to address the widening participation requirement attached to the fee. Talking about student numbers the VC said 'I have heard a colleague refer to it as trying to land a jumbo jet on a postage stamp' and '…clearly the student numbers has the ability to change the shape of the institution'.

For Green Templeton College, the institutional question about fees was complicated because Oxford has a collegiate system. From the College perspective some of the policy implications would take some time to manifest. As Green

Templeton College is a graduate college, issues relating to undergraduate funding would not have an immediate impact but they could in time.

For the University of Cumbria, the most pressing issue was student funding and associated measures for student number controls such as the core and margin. A related issue was the speed with which policy changes happened with little warning or planning, with particular regard to teacher training and Schools Direct. The demise of an RDA for the University of Cumbria had a direct impact in terms of funding and its ability to have a national voice. Additionally the University of Cumbria felt stymied in its original plans of growth and widening participation because all of the policies as to where growth goes had changed for science, technology, engineering, and mathematics. London Metropolitan University expected a reduction of 80-90% from the funding council. The Vice-Chancellor remarked that:

> The biggest effect that has on our approach is how much does that transfer to the student matter at a time when the government thinks that it can come up with fairly lavish income contingent loans

The lack of progress on a much promised Higher Education Bill had left uncertainty across the institutions. This collective uncertainty raised serious concerns about funding capital projects (University of Leicester) and the potential future shape of the institutions. For the independent institutions, despite not having the same funding issues, there were possible unknown effects of government policy, which created uncertainty.

For all of the institutions, the impact of recent legislation and changes to the immigration rules, which had been implemented by the UKBA, had led to significant direct costs (up to £300,000 quoted by Regent's College) and indirect costs (mentioned by all of the institutions, including extra staff and systems and wasted management time), and negative effects on international recruitment of students (loss of income) and staff (for student enrichment), and the running of academic

events (loss to the academic environment). The VC at the University of Leicester referring to recording bio-metric data for monitoring said '…we haven't gone as far as putting in hardware and so on…the day that we have to do that our relationship with our students will change completely'.

Due to the very small number of international students at the University of Cumbria, recent changes were not of particular concern but the UKBA was preventing growth in their international area; as the University would have to put a lot of resource into issuing Certificates of Acceptance of Study (CAS) and the monitoring of international student movements. The DVC stated that 'We are lucky that we are not at risk of losing anything (HTS) but the risks in growing it (visa-bearing students) are just as hard for us'.

One of the interviewees, who wished to remain nameless about particular UKBA issues, said:

> …The degree to which HEIs are expected to know where students are at all given times is particularly problematic where we run the risk of suspension of the Highly Trusted Status…

Perhaps the request for anonymity on this point demonstrates how fearful institutions are of the damage that can be done with regard to getting immigration policy matters wrong.

Overall there was not much said about the QAA as QAA work was seen to be a part of everyday work. For the independent institutions, Regent's College as a new subscriber to the QAA noted new requirements in terms of data provision for the KIS, NSS and DELHE. At Ashridge, inequitable treatment by government agencies in terms of subscription rates was noted as well as a point about the way 'private' providers were penalised by agencies. One example given was the QAA's subscription rates, which varied by nearly £20,000 between publicly funded and non-publicly funded institutions (for August 2012 £2, 575 and £20,549 respectively).

For one post-1992 institution, there was a concern that the KIS would be used inappropriately as a crude measure when it was felt there were other or perhaps better ways of explaining things to students and parents. For another post-1992 institution, inappropriate terminology relating to student engagement in QAA documents was an issue. For the pre- and post-1992 institutions, other issues of quality were noted: for Green Templeton College, students, in terms of studentships, were being caught in the quality nets of agencies such as the research councils. It was noted therefore that the government was not the only risk to institutions in terms of policy drivers. This was endorsed by the University of Cumbria when discussing the impact of how OFSTED had affected the University's provision of teacher training and the academies which it sponsored. OFSTED expected that those academies should progress to a certain point within a couple of years when the University was aware that it would take longer to achieve this. This was a particular frustration because the University was not getting the credit for trying to widen participation and increase progression by taking on the hard task of developing schools which were turned into academies because of their poor performance. Of note too, there was a view from one institution in each of the categories that students paying their tuition fees directly would have an effect on student behaviour, particularly in terms of expectations from the institutions.

Evaluation of changes that have affected institutional life – philosophically and in practice

A commitment to certain areas of government policy by senior managers could have an effect on how they viewed their accountability so they were asked whether they agreed with the aspects of government policy that they had already identified affecting their institution. Only the Deputy at London Metropolitan University offered some support for the concept of core and margin. One could comment it was not surprising that London Metropolitan University would support the notion of the core and margin as they received 450 of the 9,500 places issued to the HE sector. However, one could equally argue that the issuing of extra places to London Metropolitan University as a deserving institution through the core and margin

vindicated the policy; other than that, the remainder of the comments regarding funding were negative. One comment from an Independent HEI picked up on the shift of funding from the institution to the student and commented that this was not necessarily in the best interests of society as it was placing a huge burden on the student. Another comment from an Independent HEI related to the new funding regime costing more than the previous one. The Director of the Institute of Education remarked on the new method of funding preventing institutions from using traditional methods to reshape their institutions so as to cope with shifting student numbers. This point picked up on some of the issues raised by the University of Cumbria and the University of Leicester, where tried and tested means for student number adjustments were being denied to publicly funded institutions and which therefore prevented growth in certain areas and shrinkage in others. The VC at the University of Leicester remarked on the problem of expanding HE without due regard to widening participation – a view which was also shared by someone in a Post-1992 institution. One further comment from a pre-1992 institution noted a concern that removing direct funding from Humanities and Social Sciences might be detrimental to teaching in some areas across the sector.

There was general support across the board for some of the principles underpinning the UKBA's work such as protecting the border, checking students are bona fide, and removing bogus colleges and low quality institutions. However, concerns were raised about the methods of implementation. Firstly, the emphasis on reducing immigration numbers did not recognise the importance of education to the economy and it sent out ambivalent messages to the rest of the world. Secondly, it was generally felt students should not be included in immigration figures because international students were transitory. One comment from a Pre-1992 university noted that since institutions were expected to take control of their own finances, rather than depending upon direct government funding, then institutions needed to be given the means to grow through international student recruitment rather than being hampered by government policy.

Other general comments were as follows: from across the sector, there was a feeling that returns from graduates and benefits that higher education brought to society and the individual were being ignored in policy. One comment from an independent institution spoke of the need to have a level playing field between private and public sector institutions, which picked up on the comment in the last section where non-publicly funded institutions were being treated differently. One positive comment came from Ashridge regarding the benefits of receiving degree awarding powers – the acquisition of which had been made possible by previous government policy - the benefits were noted as: being able to move faster and more flexibly; branding was perceived more positively as there was no longer a question about where the degree was coming from; and money was saved as accreditation fees were no long paid to another HEI. One comment from a Pre-1992 institution disagreed with the direct encouragement of private providers as it was believed this would not allow students to achieve a full University experience. One senior manager in an independent institution said that he was in favour of shelving the HE bill because it was full of unknowns whereas one senior manager in a Post-1992 presented the opposite view as the Bill would help to clarify matters and help to present a roadmap as to how HE in the UK could move forward. One voice in a Post-1992 institution also noted issues with both the new loans system and issues with the KIS.

Several comments from across the sector referred to issues with government policy: firstly, a lack of coherence and joined up thinking for both policy and governmental departmental operation; and secondly, the speed and implementation of bringing in changes as a result of policy. The DVC at the University of Cumbria for example referred to the lack of joined up thinking between one government department and another. The issue for the University of Cumbria was that it was covered by three government departments (BIS, DfS (schools) and the NHS) who were not talking to each other; so each department was not thinking about what this meant for an institution when different policies were run through those departments. The DVC felt those departments thought Universities were all the same but the top Universities were placed above everyone

else. In closing the DVC said '…It is not good for UK PLC to throw mud at some Universities'. It would be hard to disagree with that. The VC at London Metropolitan University criticised the KIS because there was an assumption that courses ran from year to year. London Metropolitan University had changed nearly every course in the University for the academic year beginning September 2012 and therefore there could be no direct comparison with previous data on earnings. In this respect, the KIS could be somewhat misleading. In addition, the VC felt the information collated by the KIS would not determine where students would ultimately go. For him, family tradition, location, superficial attractiveness, social life and the range of subjects on offer were much more important for students. The DVC at Bournemouth University spoke about policy principles with which he agreed. Firstly, education at any level was an investment; it had a payback and gave people opportunities. Secondly he agreed with widening access and participation, and social mobility. He remarked that:

> There are some principles I would agree with but it is the manner in which they are implemented that I disagree with. Especially in a highly respected sector, you know, what that is doing to our reputation…perception in industry both here and overseas….

How have those changes played out in practice?

The senior managers reflected on how they had responded to those aspects of government policy that they had already identified affecting their institution? Regarding the independent HEIs, in anticipation of new requirements to do with expansion, the QAA, both in terms of its application for taught degree awarding powers and elements of the new Quality Code, Regent's College had invested in systems and human resources. A new Dean of Students was appointed and new structures, systems and processes, and funds to deal with student engagement, were put in place. Staff development programmes and the formalisation of research for documentation and recall purposes were also put in place. Ashridge had increased their executive education provision, renegotiated contracts, and

looked at alternative sources of funding. This included shifting some of their areas of academic endeavour, and taking on more international work.

The Institute of Education was looking for growth largely through working with different partners; growing postgraduate taught provision internationally; and in terms of postgraduate research, securing ESRC doctoral training funds, and looking to grow its quasi-commercial consultancy activity. At the University of Leicester more money was being put into financial contingency planning, and for its capital projects money would be raised through a combination of fund-raising, using its own money and some borrowing. Key concerns for the VC included not wanting to borrow so heavily that others would be left servicing the debt downstream and that staff should not be lost to pay for building work. A further strategy was to attract back student competitive places by increasing the quality and standing of the institution, in terms of teaching, research and the overall student experience. However, it was noted this strategy could have an effect on the shape of the university in terms of the balance between Humanities and Social Science students and Science students and this could lead to issues regarding how the estate would be used. At Green Templeton College, the Principal noted that Oxford University had taken on staff to cope with new arrangements for everything, from the REF through to the border agency.

The University of Cumbria had halted some of its plans on growth and had begun downsizing and restructuring its provision of teacher training; in particular, it sought to evenly distribute its operations across its different sites and it set up an international office although it was accepted that this came with some risks. London Metropolitan University went through a complete fees review and introduced a new affordability model; but it was noted that it was still too early to say whether the model was a success. At Bournemouth University, informed by the policy debate, a period of re-visioning had taken place and a new strategic plan up to 2018 had been set. It was noted that more investment had been put into research in the new corporate plan. Every year approximately 60% of its students went on placement for anywhere between 6 weeks and a year. The positive aspect

of the policy debate was that it helped the University to recognise strengths which it might not have done before. The result was that the University was making much more of placements, which it believed to be one of its key strengths.

Regarding UKBA related issues, Regent's College lobbied to make sure immigration policy would affect the institution as little as possible by lobbying government ministers directly, and lobbying and writing papers in collaboration with GuildHE and Universities UK. New staff was brought in to work with others to ensure not only that records were perfect but also the advice given to students. Other measures included the spending of half a million pounds on a recruitment campaign to recruit more students from the EU. The Principal remarked that:

> In terms of management time and staff costs that would probably have cost a further couple of hundred thousand but this has not been as costly as it has to some institutions who did not meet the mark and had to cease trading. I am unhappy that we who are rather good at these sorts of things have had to pay a substantial penalty despite being in good order.

At Ashridge, monitoring systems were tightened up as there was a concern regarding the high cost of getting monitoring wrong. In terms of costs, there had been a loss of revenue due to UKBA rejections, and there were compliance costs and other costs internally such as a full-time employee charged with dealing with everyday UKBA issues.

The University of Leicester VC also spoke of the considerable amount of invested senior management time. A measure being considered was the use of technology for monitoring student attendance although the VC had reservations regarding costs for such a system and the way it might affect both the institution/student relationship. The University of Cumbria had invested in a new international office with several new staff. At London Metropolitan University a full review of administration had taken place and a shared services initiative was being promoted so as to meet its new affordability model. When discussing the measures taken to

address UKBA issues, I asked whether the VC at London Metropolitan University would like to put a figure on associated costs. He said:

> …I am sure that you could but for us it is masked by going through a large scale process of re-engineering all of our administration and indeed a big shared services initiative… we are looking at reducing our administrative costs at this time as we are also looking at reducing the per unit cost of our academic service costs to our students.

Regarding the Quality code, Regent's College had put new systems and processes in place as mentioned above. Ashridge and the Pre- and Post-1992 institutions handled the Quality Code through their normal business processes. Following answers to this last question, some of the interviewees were asked whether they would have taken a number of their actions regardless of the recent policy changes affecting their institution? For Regent's College, much of the work would have been done anyway as part of the preparation for taught degree awarding powers. The rest of the institutions indicated they would probably have taken some of the actions they had taken anyway but it was hard to disentangle what they would and would not have done.

Discussion

What then can be made of this current policy context? Certainly, while there was little support for current policy in terms of funding and the UKBA there was evidence to support Deem, Hillyard and Reed's model of neo-technocratic managerialism. The discourse of the policy reform (in chapter two and backed up by the findings in this chapter) appears to have centred on personalisation, where direct funding of HEFCE funded institutions has shifted the funding to, and therefore the empowering of, the student. In this sense, the student has become a customer to be courted rather than a student to be vetted thus changing the student/institution relationship. On the one hand, a minor shift of funding from the supplier to the consumer might look like the addition of a simple step as the

supplier will still get the money. On the other hand, it is not that simple. Students may take a different psychological approach to their studies because they will be conscious of taking on a debt of up to £29,000 so the behaviour of those prospective students may change. At the time of writing it was too early to comment on whether any behavioural change had been seen through the admissions system so this will have to remain a moot point. However, it would not be unreasonable to assume prospective students would be looking for the best value they could get for their money. Institutions will have to respond to this mind set and become even more service oriented. At the same time as this shifting of funding, student number controls have disempowered institutions as they have to bid for marginal places and hope they will attract and recruit enough mainstream and AAB students to reach their targets. The sector appears to have been thrown into operating in a truly competitive market and the differences between independent and publicly funded providers appears to have diminished.

The evidence on the previous page shows that the general strategies being used by HEFCE funded institutions appear to be operating in the same way as independent institutions and therefore using the same new public management techniques more usually associated with medium and large 'for profit' businesses (see Deem, 1998; Ferlie et al, 1996; Kushner and Norris, 2007; McLaughlin et al, 2002). In this respect, decisions on growth (or lack of it) appear to be being made for commercial reasons rather than academic reasons and as has been mentioned in several of the interviews, it has all become about institutional survival. The institutions have not only found themselves as part of the political, organisational and discursive innovations and generated by neo-technocratic managerialism as suggested by Deem, Hillyard and Reed (2007), but rather they have become embroiled in it.

The policy section demonstrated the impact government and other policy had had and would have upon institutions and the responses which institutions had taken and which would be taken through the work of their institutional leaders as a result of their accountability to their institutions. In so doing the accountability of the leaders as outlined in chapter two and the effects of their decision-making with

regard to strategic responses to government policy so as to maintain revenue streams for institutional survival start to show the connection between the accountability of the institutional leader and how that impacts upon the identity and work of both themselves and of their staff. This connection was explored further in the interviews (see chapters six and seven). Finally, this chapter indicated that the central control, consumerist and the chain models of accountability were all in operation at different points; this is discussed in chapter eight

The following chapter moves the discussion on from policy to the second aim of the research in this thesis through an exploration of the value institutional leaders saw in their own accountability for their institutions, staff and themselves and how institutional leaders understood their own practice.

Chapter 6 Institutional leaders: the value of accountability and practice

In an exploration of both the value that Institutional leaders saw in their own accountability for their institutions, staff and themselves and how institutional leaders understood their own practice five key concerns were identified: firstly, all but two of the interviewees saw themselves as academics but all of the interviewees believed they understood how academic identity was formed. The majority of the interviewees believed academic identity was formed through high level study and engagement with an academic discipline/subject(s); by which they meant engagement with teaching, research, publishing and conferences, influential people (family and academic), and academic roles as they moved up the career ladder. Three interviewees also spoke of bringing practical work experience into their academic identity. All of the interviewees who thought of themselves as being academic were still involved in some way with writing and publishing, but only a few actually still did some teaching.

Secondly, politics play a significant part in the identity of senior managers. Institutional leaders used all kinds of politics (party, organisational, micro and international) to communicate, manage and lead both internally and externally in the best interests of their institution. The Principal at Regent's College summarised a number of answers from the interviewees when he suggested that:

> One has to work out the issues of democracy and moving an institution forward. You cannot operate like a social commune...what you have to do is create a vision that people want to follow. Here, we have to refine the vision and I have to talk to lawyers about that and then try to bottle that...We need to listen and build some ideas in and say no where it is appropriate.

He then spoke of the need to explain matters to the staff and the students. The Director of the Institute of Education also said:

… it is absolutely clear that you bring about change by working with, through and alongside people…understanding what they are trying to achieve and then managing, using and if you wanted to be very unkind then you would say manipulating them into places that they don't want to be….

Overall, it appeared political activity was usually associated with serving the best interests of the institution.

Thirdly, interviewees believed they were accountable to formal and informal stakeholders but the order for dealing with stakeholders was variable and the range of stakeholders to whom senior managers felt that they were accountable was rather broad. Principally, across the sector, there was agreement of the existence of a formal accountability to and via the appointing board (Governors or Trustees or Council) to the academic community; this included students, alumni and staff (and pensioners). Other stakeholders to whom some senior managers felt accountable included investors, donors and paying clients (for executive education programmes). However, the ordering of the accountability hierarchy for stakeholders appeared to be person specific. For some, it was straightforward and students were the principal stakeholder; for others, depending upon circumstance, the stakeholders could be ordered differently both in time and order. The VC at the University of Leicester suggested that:

Students are at the centre of what we do and anyone who forgets that do that at their peril. In preparing people for a fees regime, it is about setting out a first class service and that is what we set out to do.

Whereas the Principal at Regent's College felt that:

I see the experience in terms of egg-timers where different parts take different amounts of time and that means engaging with different stakeholders at different points e.g. employers, graduates and so on.

Fourthly, interviewees suggested that it was important to be accountable for positional, moral, professional, leadership, credibility and financial reasons, as shown in the next section.

Accountability for leadership and positional reasons

For two interviewees, in terms of leadership and position, accountability was about the way they behaved to ensure institutional survival, and for one interviewee it was about thriving. The CEO at Ashridge suggested that:

> …survival and continuity because the rouble must roll and the institution must either shrink or close. Accountability and responsibility are key in that. I can't just squander the money and do whatever I want.

The Director of the Institute of Education argued that:

> Ultimately you think the things that go wrong are going to come here and there are very few other people that you can turn to…getting it wrong is down to me. It is all about institutional survival and institutional thriving.

Two of the interviewees suggested accountability could also be about leading others towards consensus. The PVC at the University of Leicester suggested that it was important to be accountable because in an academic community one should seek to run things by consent, persuasion and bringing people along with you. The DVC at Bournemouth University also linked accountability with consensus when he said:

> ...if you don't provide a good working environment for people, a good study environment, opportunities for graduate careers, [or] provide a good student experience...[then] you need to be accountable for that…the only caveat to that is that sometimes you have to help people perform...I think that

sometimes leadership is about finding consensus and sometimes it is about forming consensus.

For one interviewee accountability lent itself to the coherence of groups. The nominated Deputy at Ashridge spoke of the value in accountability. He said:

If you are going to produce a high quality education then there needs to be some coherence. You can have a wide group of people but that accountability lends itself to that coherence.

For one interviewee accountability allowed the empowerment of others. The Principal at Regent's College said 'If things go wrong then that is on me...it is about putting things in place and empowering others'. In so doing, this implies that accountability may be extended to others and therefore accountability both empowers and lends credibility to the empowered.

Accountability for professional and moral reasons

In terms of professional and moral accountability, the Director of the Institute of Education referred to a professional and moral accountability to the organisation (he was including the students) and the people that work in it. Additionally, he referred to a formal managerial accountability to Council and Chair of Council. However, he noted they were different sorts of accountability.

Two of the interviewees suggested that there were specific moral aspects to accountability: firstly, a moral obligation in HE to explain one's actions to others, and secondly, the notion of self-accountability. The Principal at Green Templeton College saw accountability as part of the academic enterprise that he had an obligation to explain. The VC of London Metropolitan University suggested that:

...my personal accountability is talking about what I personally am doing and personally beyond just being a mouthpiece for the institution and doing the

right things, ticking the box, and minimising risk and pursuing the institution's key priorities and…it remains a personal challenge to me as to how much change you can achieve very rapidly over short periods of time when you have a broader and societal economic landscape as insecure that we have...a lot therefore hangs on you as the VC to keep all of those issues there but ultimately keep your conscience with yourself…

The PVC at the University of Cumbria suggested accountability may be seen as an upside down triangle weighing down upon the senior manager. She said:

I think people always think of management as being at the top if you think of things being like a triangle but I feel it is the other way around and the apex is on the ground...you're holding the whole thing up and it is weighing you down.

She continued:

I came back to Cumbria to help establish this uni...I am Cumbrian so I feel accountable to the people of Cumbria to actually make something happen here for them. Not just to serve their HE needs but to make a viable, useful institution that will add value to the socio-economic and cultural feel of this part of the world....so I feel a huge amount of accountability really.

Accountability for credibility reasons

Following on from the above, the DVC at Bournemouth University linked accountability with credibility in terms of job role and leadership. He suggested that:

…credibility is critical and you could be accountable for poor decisions…just because you are accountable doesn't mean that you have got it right and doesn't mean that you won't continue. The tension is the accountability takes

you into a place that you should already be which is about getting it right and for me a huge part of that is about leadership.

This point about decision-making was also made by the PVC at the University of Cumbria. The COO at Regent's College, when talking about incorrect decision-making affecting both the institution and people's lives said:

If you are not accountable then you can make decisions flippantly. It is often the case that the decisions you make are not one offs and that you will need to stand by them.

Accountability for financial/legal reasons

Universities are autonomous institutions and are not therefore fully accountable to the public. The VC at London Metropolitan University, picking up on this point, observed that the University received funds from the public purse and the University was not technically accountable to the public, which made matters slightly opaque; so for him his accountability was to the Governors and through them to the University. He noted however that he served a broader public interest:

I am also an accountable officer to HEFCE so in one regard I serve the funding council to make sure that the distribution of its funds is in accordance with the way they distribute it and we are fulfilling all of its laws and increasingly also fulfilling the regulatory roles that are required.

Most of the interviewees mentioned in some way that a reason for being a Vice-Chancellor/Principal/Director/CEO was a responsibility that came with the role for looking after the entire organisation, other people's money, the resources being commanded and the commitments being made. The Principal at Regent's College said it was the role for which he had been taken on and why he was paid his salary as it was for him to take on the accountability for the College. The CEO at Ashridge

said 'Accountability and responsibility...I can't just squander the money and do whatever I want'. The Director of the Institute of Education said:

I am still spending other people's money, spending largely public sector money, it may not come in the form of a grant but it is still public sector...so it is entirely right that I should be held accountable for that. I do think that...I do this job and I will retire, move on and I will die...someone else will do this job. I need to be clear that I have made decisions that are legitimate, sensible, moral for the organisation and it is really important that those decisions should be tested through a range of fora in the organisation .... so different forms of accountability...there are decisions that I am making now that will have an impact somewhere down the line and I may not be here.

Fifthly, interviewees believed their personal accountability could serve to shape their institutions for a large number of reasons. This could be summed up as personal accountability having driven and continuing to drive senior managers to make changes in their organisations. When asked about personal accountability, two interviewees objected to the question. The first took exception to the term 'personal' accountability as it was not clear what 'personal' meant to him. In his view, accountability lay with one's job and delivering the senior management team's vision. Another interviewee spoke about changes that happened because of his personal accountability, but when pressed on his role, as part of the senior team, he said there had been changes in academic areas as well as administrative ones. The second interviewee that had objected to the question had done so because the question lacked context. However, after a context was given, the interviewee suggested personal accountability could effect change in an institution through related variables such as length of tenure, freedom of manoeuvre, and the availability of resources. Finally, on this question, one interviewee suggested accountability had to be tempered; and that everybody did not need to know what other people were doing so that they could do their work.

Notwithstanding these objections to the notion of 'personal' accountability, a number of different perspectives and the key responses for how personal accountability had helped to shape and effect change in their institutions were offered by the interviewees. In no particular order, personal accountability had shaped and changed institutions in the following ways: firstly, influencing the board of trustees could allow an influencing of the institution in turn. For example, the Principal at Regent's College spoke about a tension between students and Trustees. He noted a substantial change with the Board of Trustees in the last 5 years, which had fundamentally bought into a new vision, which he led on. In this regard, his accountability to the Board had changed from dealing with slight overspends on couriers to ensuring inclusion of all students on campus. Secondly, having the power of veto or approval, leading by example and living by one's values (taking cheaper travel options) could change staff behaviour. The CEO at Ashridge spoke about 'talking the talk' as being positive; he personally took the underground as opposed to a taxi and travelled in economy rather than business class on the plane, as it was a sign to others to be careful about costs. He spoke about the importance of living to one's values and then suggested that management made a difference. He reflected upon where he had played some part, for example, creating a vision of what a business school ought to look like, the pursuance and achievement of degree awarding powers, and encouraging and vetoing certain activities, such as international expansion into various markets and making sure people had completed market assessments, but ultimately having the ability to say yes or no to certain activities.

For most of the interviewees, accountability for key areas of responsibility meant potential restructures could take place, for example, the creation of new offices and departments at the University of Cumbria (an International office) and at Ashridge (an accreditation unit). In contrast, examples where reductions were made included a reduction of departments at the Institute of Education and a reduction from seven to five faculties at London Metropolitan University. For one interviewee personal accountability meant seeking personal contact with staff through openness and walking about. The Director of the Institute of Education spoke about

how he tried, and he accepted with mixed success, to be as open as he could about the challenges faced as an organisation, the policy options, the evidence available for making those judgements and where challenged he tried to respond openly. He also thought an important part of his job was to walk around the building every day to talk to people and to understand why they thought some things might not be working. He personally chaired Senate and other boards/committees such as the Equality and Diversity committee to show that he takes personal accountability for what he sees as being a really important and critical part of the Institution's work. He said:

> We have something that we call Academic Board that meets every term and it is open to all academic members of staff and most professional staff. I write a report for Academic Board and the way it works is that somebody, and it varies, makes a response to it. The first hearing of that is when I make the report to Academic Board so there are ways that I am trying to implicate and communicate my institutional accountability to the organisation.

For one interviewee, shaping the institution through calling others to account was important. The VC at the University of Leicester said:

> I am always aware that I am a representative of the institution, but in many instances I am 'the' representative of the institution and if something goes badly wrong I am accountable.

He gave an example of being shown photos of fire doors in a residential building that were not legally compliant; his accountability led to him closing the building until the fire doors were repaired. However, he liked to get involved:

> I see it as a means to get the institution to perform at a higher order and I am also seeing it as a way of through these actions performing my accountability role and people sometimes say that is a difficult question and I say yeah that is

what I am paid to do...to ask difficult questions and to think about how the institution is shaped.

Speaking about shaping the institution, the PVC from the University of Cumbria talked about leading and encouraging debate and discussion through consultation, and working between the board of Governors and others. She said:

In a senior management position, you are working between the board and how you help the board to understand what you are doing so that you can present them with information so that they can help and advise and challenge you.

The DVC at Bournemouth talked about providing a good strategic plan, minimising risk and pursuing the institution's key priorities by providing a vision and leadership. He talked about the cultural shift towards a new strategic plan mainly being driven academically from the executive, therefore, the VC, the PVC and DVC framed the academic component of the corporate plan; other components were then fed in such as finance and people. He suggested that the process had worked because a lot of institutional engagement had helped people understand the plan. He continued that the plan being academically driven by the University had helped with a cultural shift and so the senior team had been seen by staff to live the position of where their strategy leads.

Discussion

In this chapter the interviewees indicated that they had clear views about how their own identity was formed, how politics contributed to their identity and as a result of that how they were well placed to understand the effects their actions could have on the formation of academic identity in others; particularly with regard to the gaining of symbolic, social and cultural capital that contributes to part of the habitus, field and communities of practice of their academic staff. The interviewees indicated that they had a clear understanding as to whom they were accountable but not the order nor the precedence of the stakeholders in the chain. I took this as

an indication of the presence of the chain of responsibility model and interpreted this to mean that the structures of accountability within which the interviewees work are individual in context and constantly shifting. The institutional leaders showed the value that they placed upon their own accountability for positional, moral, professional, leadership, credibility and financial reasons; they also showed how they understood that they were the medium through which their actions, relating to personal accountability, helped to shape their organisations. This is explored in more depth in the next chapter. Notwithstanding that, along with the self-accounting model, the partnership model was also seen to be present in the findings in this chapter. This is explored in chapter eight.

Overall, three conclusions were drawn from this chapter. First, the institutional leaders showed that they have a clear view as to the value of their accountability for their institutions, staff and themselves. Second, they know who their stakeholders are, and third, perhaps most importantly, they understood what it means to be an academic. This last point indicates that the institutional leaders clearly understand how the decisions that they make as a result of their accountability affect academic identity. The next chapter addresses this point.

Chapter 7 Institutional   leaders: accountability relations, identity and work

This chapter addressed the third aim for the research in this thesis through an exploration of how institutional leaders understand their own accountability relations and how that affects the identity and work of both themselves and their staff. First, in terms of cultures and communities the interviewees demonstrated their accountability could affect staff through restructures and redundancies, and lobbying government could also lead to changes in the organisation. Sometimes staff would not accept the way an institution was moving and as a result resigned, but this was seen as part of the process for creating a better culture and community. The Principal at Regent's College suggested that in any HE institution there would be a measure of tension between the interests of staff and institutional charitable objects and it depended upon the maturity of the institution and the understanding of staff in delivering the vision. He said:

> …We had some first rate people and we had a lot of staff across the college who did not come up to the standards that we are at today… we have slowly lost those staff as we have moved forward bringing in more and better staff…as they are seeing Regent's College as a place to be. It is in our strategic plan to become a destination of choice for staff. If they do not buy into our vision then they need to go as I need to deliver on the accountability.

Furthermore, the setting or introduction of new values, and/or senior manager's simply expressing their views could disempower others or smooth things over and/or create an inclusive environment. The COO at Regent's College spoke about his commercial influence having an effect on particular elements of the College tasked with managing the College's external profile, recruiting students and international partners who run other institutions. He spoke of making sure direct reports were cascading College (and his) values through their teams and making

sure the teams knew the financial and quality drivers, and the boundaries while knowing '…what risks we are happy taking and what we are not…'.

For one interviewee, accountability enabled senior managers to say no, leading to new dialogue and therefore affecting culture and community. The CEO at Ashridge spoke about the 8 years since he had been in post and how things had changed. He principally spoke about how his values affected the product portfolio, his support for all of the degree programmes, the range of international activities and intellectual development, and trying to find the right balance of research. The Deputy CEO talked about how his repositioning of quality management had affected the institution in the degree awarding application process; saying no had led to a number of dialogues. This he argued led to quality being seen as a positive force in the institution.

One interviewee spoke about restructuring and disempowerment. The Director at the Institute of Education suggested that:

> …what I hope it does is to create an ethos in which decision-making and people are prepared to take responsibility. What I worry about is that just because my view is not necessarily shared, that that view can actually disempower others because I think I am being quite open about where the liability is.

When pressed about culture, he spoke about the specialist nature of the institution and it would be easy to fall into a trap of thinking there was a single culture. He said '...I have not quite got my head around this and figured out what those communities of practice are'. He also reflected on a reduction over the last eighteen months from fifteen departments to nine and his role in that:

> ...we have done a lot of work on identity of departments, heads and a lot of work has been done to make that succeed. I am not going to be naive about that that we have finished that journey.

Lobbying could lead to changes in government policy which could then reflect back and produce changes within the organisation. The PVC at Leicester talked about the effects of government policy on culture and community, and he suggested that:

…that has happened over the last 15-20 years from the introduction of the first RAE to what is now the REF that greater pressure has been put upon academics to improve the quality and quantity of their research outputs…[and]…greater pressure on colleagues to generate grant income.

Getting out and about so as to meet staff could help a culture to smooth things through or over. The DVC at Bournemouth said 'It is critically important that people feel that we are an academic community and that we are Bournemouth University…creating a sense of ownership is really important'. I asked whether this was about extending his accountability to others? He replied reflectively:

…yes...well I think it is or is it just about their accountability to themselves or to the University? It is their feeling of empowerment that they feel they contribute to the University and everyone's opinion is important. They are responsible for that. If they want to say negative things about the University then they are responsible for that.

He said he would much rather his staff said positive things and not bring a problem to him but provide a solution so that being constructively critical was seen to be helpful. He spoke of his approach of trying to meet new and established staff and/or students by arranging group coffee meetings of six or eight people for which he paid. By meeting outside of a committee, where people might not want to say things in public, he received direct feedback. This also allowed him to positively influence staff.

The PVC at the University of Cumbria talking about how accountability of a senior manager could lead to the creation of a more inclusive environment for staff suggested that:

You have to have principles that you are working to and that you are trying to shape. You can't just shape top-down. You need to shape top-down and bottom-up. If you just shape top-down and you do not listen then you miss a whole lot of potential...that is very important because you can't see everything from one person's position....so there is an awful lot of balance needed through dialogue which helps to shape the institution and its identity...alongside specific identities of particular parts of the institution and so on.

She gave an example regarding the fact that the University is a church institution but not all parts that merged were church institutions. As a result, there were general agreements about principles but there were issues related to introducing new values into the corporate strategy.

Second, cultural legacy issues were seen as a key challenge for one incoming Vice-Chancellor in the delivery of his accountability. The VC at London Metropolitan University suggested that 'My accountability first affects my staff by a scheme of delegations because I can only have my accountabilities if I hold others accountable'. He gave an example regarding his deputies: first, he held his DVC (who is effectively a Provost) to account for academic matters, and second, he held his deputy chief executive to account for most administrative matters. He stated that:

… as we roll that further down the institution and that has some challenges with the culture that LondonMet has had...there has to be a very clear drawing of what duties are and there also needs to be very good management data to know that the accountability is there that the responsibility is being acquitted....

He referred back to when he started at the institution in 2009 when one reviewer had called the institutional pyramid structure a tyranny. While he thought this was a little strong on his predecessor he suggested that:

…clearly there is a big cultural change there to rebuild a sense of responsibility for what is delegated to you rather than just well I am just a functionary or a cog in the system and it all just goes up to the top and they can take the blame and take the praise if need be...so that does become a real issue of communication.

To be precise, it was not just rebuilding a culture, it was taking responsibility for the rebuilding of that culture.

Third, the deputies all mentioned being part of the senior management team. This was taken to mean shaping a culture or community was a shared responsibility amongst the senior management team rather than the responsibility of one individual, and accountability was therefore spread among the senior team.

Fourth, the Principal at Green Templeton College suggested senior management teams could be compared to an orchestra where they were being led by a conductor whose role is to cajole, persuade and direct others in the delivery of their accountability. Senior managers were likened to virtuosos who while leading their section have to play in unison while being conducted by a conductor. In terms of the effects of accountability on culture and community, the Principal at Green Templeton College referring back to his earlier response regarding time in post, and context and resources available, felt he had not been in post long enough to answer this question. So I asked him to reflect on his previous positions in other institutions. He spoke about a book he was reading:

If I were to summarise the lesson from the book...what the great conductors succeed in doing is getting these really top class players to listen to each other and that is a really profound insight...they have all sorts of tricks for bringing it about and they sometimes depend on force of personality but what they are not doing is leading a regiment up a hill. They are actually getting very sophisticated, highly trained, who don't necessarily need to like each other to

listen to each other and actually take collective responsibility for what emerges. It is a long answer to your question but there is some read across between that and Higher Education Institutions.

An exploration of management styles used in the delivery of accountability showed the nature of the accountability (e.g. compliance), and the personality of the individual could affect the way a senior management role was performed. New people coming into the mix and the type of institutional practice (e.g. professional) could affect management style. Furthermore, it was suggested that the use of different management styles could affect the way staff behave and it was noted sometimes more than one style could be used. Overall, there was no evidence to show any particular management style in the delivery of accountability was prevalent. In discussing management style it was noted that decisions need to be taken and this can upset some staff. The Principal at Regent's College was of the opinion one is never good at determining one's own managerial style. He said:

I don't think I am dictatorial but I have been told that I am. I have to make decisions which can upset people but I don't believe that we can achieve the objectives without doing it.

Accountability could allow a senior manager to adopt a participative management style, and this may be seen as a positive by staff, but strictly speaking this is still imposing a management style on staff and how they behave. The CEO at Ashridge suggested that '…you affect whatever the management structure/matrix is…so invariably you create a different reporting system if you make changes'. He felt his style was participatory and ' …It is pretty participative here anyway as command and control does not work in knowledge or academic settings'.

The Director at the Institute of Education confirmed that in his management style, he allowed others to develop and he had a team based approach that allowed for other management styles, although he also noted that the team would say he had very sticky fingers on some very irritating issues.

When speaking about how the nature of the accountability related to a role can shape one's style, the Deputy at Ashridge suggested the nature of his role meant he engaged with compliance and that shaped his management style. However, in terms of wanting to grow, be imaginative and to innovate then that was absolutely shared with the rest of the senior management. Management style could also be a reflection of personality. The VC at the University of Leicester said 'I think there are differences in style depending upon personalities'. However, he confirmed that the senior management team needed to sign up to policy. For him being part of the senior management team meant you had to believe in cabinet government and accept the responsibility that went with that. The PVC also said style to some extent reflects your own personality.

The Principal at Green Templeton College believed that his accountability had an effect on his management style and that leading by example could contribute to the way staff behave. He suggested that:

> …I don't believe you can get people to work hard unless you work hard yourself. I don't think you can expect people to be polite to each other unless you are polite to other people so I think that there is some Jack and Jill stuff here that is pretty basic.

When asked whether he expected his managers to be copies of himself or whether he was happy for different styles, he suggested the latter but noted that there were behavioural thresholds which it was not unreasonable to address and expect.

Management style in an institution, suggested the PVC at the University of Cumbria, may have come about because of approaches in professionally based practice. However, accountability may lead to more than one type of management style being used such as coercive or collegial approaches. The VC at London Metropolitan University said that he had never been in an institution where he had had to use so many different management styles but noted there was a risk in appearing to be 'a fractured kind of person'. He clarified this by talking about different styles of

working. Sometimes a more coercive management style was appropriate because there was a need to respond to the immediate demands of external stakeholders and policy-makers. At other times it was important to adopt a more traditional collegiate approach. He argued that:

> …given the quantum for change required for a University that had had the extraordinary background that led me and my new board of governors to be here…the management style that I guess I have had to adopt both because of the past but also because of the less stable political times is one that many of my staff will also be adopting and that is a sign that we do have to scramble.

Sometimes it may be necessary to bring in new people and this can introduce new management styles into the mix. The Deputy at London Metropolitan University suggested that '…For big projects you usually need to get almost solely people in from outside because people can become so mired and enveloped in their role'. By this, he meant sometimes it is hard for people who have been in an institution for a long time to see a new way of doing things.

Overall, no particular management style as understood by the managers was prevalent. In all of the institutions, interviewees believed there was room for different styles, personalities and managers and people were not expected to be carbon copies of their managers. There was however a common expectation that despite differences in management style there would be some form of adherence to the senior management team's common vision and direction or as one interviewee suggested, cabinet government. This is perhaps best summed up by the VC at the University of Leicester who said:

> …I don't think you can just have a collection of people who all go off in different directions because if they do then it will manifest itself as a real jumble...if you want the institution to have a focus then the senior management team need to be focussed and the people on the team need to be an extension of the kinds of policies that we come to agree on.

It was supported by the PVC at the University of Cumbria who felt that strength was to be had in the different management styles of the senior team, but it was necessary to have a common vision. She said '…you can't just have one part of the organisation being managed really tightly and another part being managed loosely so you need some consistency'.

An approach to management style touched upon by most of the interviewees was perhaps best summed up by the COO at Regent's College who indicated his line manager, the Principal, had been an influence on him as a manager but not on his own management style. In the COO's opinion '…you only ever survive if you are genuine'. He was very clear that the person he was at home was no different to the person he was at work as otherwise 'cracks would appear'. This perhaps picked up on the point made by the VC at London Metropolitan University who talked about being true to himself. The CEO at Ashridge also suggested that referral to colleagues regarding issues happening externally elsewhere lent credibility to his management style so for him it was not just taking a peer sharing from within but also without. Finally, the Principal at Green Templeton College although happy to permit different management styles noted that there were however behavioural thresholds which it was not unreasonable to address and expect.

I could not find any evidence to support the notion that the interviewees believed their personal accountability could affect the ratio of full- and part-time staff. This appeared to be more connected with institutional circumstance than the accountability of particular managers. For one interviewee, it was particularly clear. He said '…it has nothing to do with me. It is a natural evolution of working practices in the sector, recognising moving towards more part time and fractional contracts'. However, other factors could affect the ratio of full and part-time staff, and it was suggested that these factors were as follows: where serious financial issues arose there may be no other choice but to make redundancies or to cut recruitment and this would reshape an organisation in terms of its ratio of full and part-time staff; the accountability of the senior team supporting particular models such as professional courses or moving towards distance learning could lead to a change in

the ratio; and a need for institutional flexibility and some programmes because of their very nature determine their own ratio. For two research-based institutions, the question was really a null issue as there was a commitment to certain areas (University of Leicester) and a more traditional model (Oxford) which had more resources available than elsewhere. There was however a change in the number of permanent positions being offered by the University of Leicester. Notwithstanding this, London Metropolitan University perhaps more than most had been through a very difficult financial period and the VC said that:

> ...With part-time and hourly rate staff it becomes very difficult and in London we have a lot of them and we rejoice in them because they can bring specialised expertise you would not find in some more regional or provincial universities...but I do think that we do end up expecting a lot from our full time staff even if it is arranging part timers and hourly rate staff...I don't think that that is really satisfactory ...sometimes the students don't get what they need because the part-timers are not really adequately in the picture....they honestly don't know the changes and we often do not have the money to give them the full education programmes to bring them on board with where the University would be going.

I asked reflectively about the cutting the programmes and whether it all comes down to institutional survival. He replied:

> Yes...and for this institution in particular there was a possibility that it could have closed in 2009...it was a real difficulty if your course was supply rather than demand led...

Following on from the theme of the paragraph above, the DVC at London Metropolitan University speaking about his role as part of the senior management team suggested that:

...What we have done is, I cannot remember what round of redundancies we have had and the latest is just coming to an end, there are 229 posts up for review, it is about saying we are not teaching those courses any more, doing those disciplines, we can't really carry that breadth, that has been hard for colleagues...a lot of these people are full-time staff...

I asked about the two hundred and twenty-nine mostly full-time redundancies and asked whether the University would have to bring in part-time staff to deliver the teaching. He replied '...Probably not in this instance as we don't have the curriculum to deliver'. This perhaps is a message to the sector about the cuts that need to be made for institutional survival. Certainly, there were echoes of this answer in other interviewees' responses. The Director at the Institute of Education speaking reflectively about the full/part-time ratio said:

...if we move into a very uncertain environment then this is the very opposite of what you need... you need to increase your flexibility so we have done a lot of work on ensuring that we have the right associate staff but also making sure that we draw them into our culture, values. If you are on the receiving end of our (teaching) delivery, then it doesn't matter whether it is the Director of the Institute, a lecturer or an associate whom you have bought in as fee paid as it is still an IoE product...you've got to be sure that it is delivered as such. The notion of flexibility of staffing, fitness for purpose I think is really important.

Following on from this the PVC at the University of Cumbria spoke about how the University had a lot of part-time and honorary staff and that was being encouraged. This had much to do with professional practice in some areas of the institution. An example was a course for the police, where seconded people from the police force worked as full-time academics and that affected the nature of the staffing. She also noted that the balance of teacher training staff on and off campus could change and the balance between central services and academics could also change in relation to that.

In terms of academic profiles and professional development, and reflecting on the balance between research/teaching/consultancy/management, and in the backdrop of a possibility that there might be an ideal type of academic, the interviewees felt there was no 'ideal type'. But, the evidence seemed to show interviewees' accountability affected staff profiles dependent upon whether an institution was going through change or not. Where an institution was seen to be stable then so were academic profiles; but it was noted that this did not mean academic profiles within stable institutions could not be flexible. Where institutions were undergoing periods of change then academic profiles were also in flux. Delivering either of these two positions appeared to lie with the accountability of senior management teams rather than individuals.

Accountability and academic profiles

The Principal at Regent's College was unequivocal regarding whether growth can lead to changing profiles or lead to keeping the status quo. He said profiles would change as a result of his accountability and the delivery of the College's strategic vision. He said more and better academic managers would be needed and '...it will change so as to deliver what I am accountable for...this does not mean that every individual will have to change'. By this he meant individuals will deliver different things and the mix will change. It was expected that there would be more research active staff and some of those would have substantial abatement to carry out research. It was also expected that the College would have staff who were predominantly teaching because that is what they were good at. In this respect, those staff would be expected to keep themselves up to date in their subject areas. In contrast with Regent's College, the Director of the Institute of Education indicated that his accountability did not affect the academic profiles and professional development of the staff so this indicated that the status quo would exist. However, he mooted that other things had affected profiles. He said:

This is a very research intensive institution...if you just look at the numbers then 40-45% of the income was research income but it is now down to about

38% due to changes over the last couple of years to do with the funding of the social sciences so profiles have changed. We have handled that through a workload model system we have deployed effectively across the organisation and we have flexed it wherever we can. We've managed exits, end of contracts and we've managed two VSS schemes...I get frustrated not with what we have done but we have got ourselves into a reasonably Ok position without the need for compulsory redundancies and delivered what we needed to do through voluntary severance arrangements. Both of those are the knock-on details of academic morale and the consequences thereof.

One institution used a balanced scorecard so as to recognise and capitalise on different skills. The CEO at Ashridge confirmed that they had measured just teaching but now employed a balanced scorecard. He said:

…It is really difficult to say what are 10 days less of teaching worth in terms of more research output, or a higher management level, or a different kind of business development profile, and it is really easy to get it wrong... and you want to get it right as you want to recognise people's different skills rather than having everyone being the same.

Different profiles seemed to exist for different institutions but no over-arching ideal type profile prevailed. The nominated Deputy at Ashridge spoke about the different profiles of the staff at Ashridge and suggested only a minority would be appointable in a traditional University as the profiles were so different. He suggested that:

AACSB focus a lot on that...you will find that Ashridge has 95%+ professionally qualified and of those involved in academic programmes and research 70% qualified. We have exceptionally high qualified professional staff compared to the norm...we think that is what is required for the education that we do...but it does start to conflict with some of the standards that happen elsewhere'.

I asked whether this approach to staff appointments and profiles would be the same regardless of his accountability. He said '…this would be to do with the senior team'.

One institution (University of Leicester) said core values would not allow profiles to change but this did not mean there could not be some flexibility. The VC at the University of Leicester talked about an ideal type of academic. He wanted to see people working at Leicester who were good at research but could also teach students. I asked him whether, even if student numbers dropped significantly, he would want to continue with the core values within the ideal type? He agreed. I asked if the student numbers dropped then would he expect them to engage more with other areas like consultancy or management, or would he ask them to continue with what they are doing, or would he play with the profile and say we will have to cut back on particular areas? He said '…the core values of the institution, they are there for all time because…it is critical in the lifeblood of the institution'. To clarify matters, he was of the opinion that for institutional longevity you cannot allow the impact of government policy to interfere with institutional core values. In this respect, I understood the effect of his accountability on academic staff was to hold them to a particular profile. The PVC, however, pointed out that there was room for some flexibility in the institution regarding academic career progression. In general he believed people would see that the way to get on in their careers would be to focus on the research route, and that would impact upon overall behaviour, but he noted behaviour would depend upon the institution they are in.

The Principal at Green Templeton College spoke about the type of profile that could be found in his College. First, for a number of people, Oxford is their final destination and for others it was their only destination. In this respect, those people had already reached a place in their career to which others would aspire and they might accept certain things to keep their place at Oxford; and this might mean accepting a tolerance of career development deceleration. I asked about professional development and noted that it was interesting that staff would tone down their professional development. He clarified matters and indicated that this

did not mean professional development was not happening. It just meant it was happening in a way specific to the individual. He said:

Let me try and clarify and sharpen that...in a lot of career contexts across the sector people will be looking at the conditions of moving on...how can I make progress...here and I wouldn't want to say that is true for everybody...a significant number of people are looking at the conditions of staying. How can I cling on is more of a question here than where can I go next.

In this respect, professional development was taking place so as to ensure the security of the individual's position in the institution. Once again, the accountability of the interviewee appeared to be holding staff to the institutional model, which in essence was an open model in terms of the balance between the suggested dimensions of research, teaching, consultancy and management.

The use of TRAC (Transparency of Accounting model for HEFCE) was making profiles more visible. The Pro-Vice Chancellor at the University of Cumbria said the balance of profiles had shifted in her institution. She noted that the use of TRAC (Transparency of Accounting model for HEFCE) regarding the accounting for hours and who does what, and the pricing of things was sharpening up. This included the value of different activities and the amount of activity spent on different things.

Redundancies could lead to mandatory changes to profiles so as to make up for short-falls in some areas. The VC at London Metropolitan University confirmed this and suggested that a lot of professional development had been driven by massive changes in the institution and also large numbers of redundancies meant some people were suddenly doing new jobs or bits of their job. He said:

...I don't think that has been as well resourced nor as well as developing the staff members' broader needs as it should have been but that is because the important thing is that come this October there will be lecturers in front of

every class, and that will be a cost efficient way of delivering still a quality product.

For him, professional development was mandatory in changed roles and for other roles it was optional because staff sought to develop their own interests and their own skills. He said:

...creativity in a university is such a wonderful thing but that is a different kind of professional development we have from what I would call the mass ratified skilling that we have for running new curricula, technologies or pedagogies, new assessment forms.

The Deputy suggested that:

...the underlying mission at the institution probably has not really changed but academics have kind of gone this is what my knowledge base is and the institution has gone is that what it really wants.

He spoke about students wanting vocational type courses, study abroad and work experience, but he was uncertain whether some staff could deliver that. This was picking up on the VC's point that staff development needed to be mandatory in some areas:

...but that is what students want...if you have been teaching HR for 25 -30 years and the students do not want that then we have a duty as an employer but we also have pressure from students and an institution stands of falls by student demand.

One institution went to some lengths to ensure administration did not impact upon academic profiles. The DVC at Bournemouth University argued that academics needed to be academic:

I would like to think that we have given people more space to be academic than administrative and provide a space for more creativity. I would also like to think that the efforts that we have gone to, to reduce administrative burdens would help to release them from those, to make them more proficient for academic endeavour...so I think it is important that we employ academics because they are academics....that really is what we want from them and not administration.

Picking up on the issues of how interviewees saw themselves as academics and if so then how they thought their own academic identity had been formed, interviewees were asked whether their staff saw them in the same way as they did (e.g. as an academic). Only one of the four independent interviewees said yes, and the rest of the interviewees said no. The one who said yes was still active in both the classroom and in publishing. Only one each of the interviewees from the Pre- and Post-1992 institutions gave a clear yes, the rest were equivocal.

The Principal at Regent's College said no and talked about the fact he had probably conducted more research than many of the academic staff at Regent's College. He also talked about how staff failed to appreciate that he and the Directorate had worked in nearly all of the jobs of the staff. He said '...They do not understand that much of our planning is based upon our experience of both here and other institutions'. The COO said no. I knew he was in the middle of an MBA and asked so you are actually living the life of someone who does academic things, do staff appreciate that? He said:

...I don't think they think of me as an academic but they see me as someone who understands the world of academia well, and knows how to work and steer a certain path within it.

The CEO at Ashridge suggested it would depend who you ask. He said:

They all know that I do a lot of stuff. They know that I do a lot of talks. What other people do in terms of conferences, book chapters and articles can all fly under the radar. I think some of them will say that I do stuff because I am not teaching so for me the balance is between management and writing rather than delivering the teaching days as would be expected from certain others...so everyone has their cross to bear and find the right activity mix.

The Deputy at Ashridge said he was seen as an academic. He said '...I am half in and half out of what we call core faculty'. He reflected on this and indicated that as a manager '...what has suffered is being able to do research. I would be seen as crossing over into professional HE and institutional management'. The Director at the Institute of Education said 'There are several hundred of them who probably see me in different ways...I think that they see me as primarily a manager'. The VC at the University of Leicester said yes to being seen as an academic but '...it is pretty evident that I am a manager of a kind but that is not my starting point. The PVC said, '...possibly less than they used to...they will still see me as a professor so they will see me differently to the way they see the registrar. The Principal at Green Templeton College said '...Somebody once said that there is only one rule in social science some do and some don't and I think that rule appears here'. The PVC at the University of Cumbria said '...Unless they know me then I don't think that they would. They would see me as a senior manager'. She then reflected on the fact not many people knew what she had done before and her expertise was sometimes overlooked. The DVC at Bournemouth University simply said '...they do'.

The VC at London Metropolitan University believed it had varied from different institutions but he did not think the staff at London Metropolitan saw him primarily as an academic whereas in his previous positions they would have seen him as an academic leader. He reflected that a lot of things such as the multiple redundancy rounds, the major reform in governance and the writing of a report on governance (despite the report receiving a lot of good reception) had, '...led me to being seen as more of an academic administrator rather than being seen as an academic leader...but that is the way things go. The DVC said no and he would be surprised if

they did. I asked whether the staff would appreciate that he understood academic identity? He replied:

> Yes I think that is true...it was a requirement that I had a master's degree for my job so there is an expectation that there is an understanding of how research works, how libraries work and postgraduate learning. Having an appreciation of the whole is where there is an expectation.

In terms of the interviewees feeling trusted or not, it was important for at least a couple of the interviewees as they wanted the staff to understand they were doing the right thing. It was suggested this could be taken to mean that decisions made as a result of the accountability of the senior managers could be self-justified because they were trusted by staff to do the right thing, even if a decision was not in the interests of the person in whom trust existed. However, a range of responses was given. The key message appeared to be that trust is built over time and a large part of that related to promises being kept, and openness and transparency even when there were difficult situations to be communicated to the staff. The Principal at Regent's College believed this question needed to be looked at over time. Over the 5 years he had been at the institution, he believed people had come to trust him and his colleagues because they kept delivering on their promises. He gave the following example: the institution had moved forward since his arrival and there was an expectation of achieving degree awarding powers before the end of the Academic year. In this respect, pay increases had continued, there had not been any major redundancy programmes and the staff body had increased in number. Finally, staff had been brought on from being visiting lecturers to being permanent members of staff. He believed that it was the combination of these things that led to a measure of trust and this came from being accountable. The nominated Deputy at Ashridge replied:

> Yes. I think so. There may occasionally be times that I cannot tell someone something but that is to do with the timing but generally, yes, as trust has been established over time.

The VC at London Metropolitan University replied in the negative. He spoke about a considerable percentage of the staff that would be completely ideologically opposed to nearly all the initiatives undertaken in the last two and a half years. In his opinion there was no way those staff could trust him because he would be seen as an instrument of something which is fundamentally wrong to them. He pointed to the stability of the university through an extraordinary amount of change where there had been nearly 1000 redundancies over the last three years. He said:

> ...the stability there shows whether they trust or not...most of them are going along and some of them with quite a degree of respect with a view that a lot of things have to be done and someone has to get on and do them.

The DVC said:

> ...I would hope so...we have confidence both in terms of external partners and the rest of the university and integrity. I don't wish to rehash the past but we have that now. The transparency as well, we have an open email policy, and people can come and see me if they cannot get hold of the VC. I cannot see how we could be more transparent, we have monthly communications from this office about what is going on centrally, open forums and I meet with people separately so yes...openness and transparency.

The VC at the University of Leicester said:

> ...I hope they do...I think it is very important that they do. I also believe that it is very important that you are fair because there are sometimes things that you will make judgements on that you will not like. I think they have got to trust you to make the judgement and they have also got to believe that you are fair.

He talked about giving a talk to the entire staff every year before the degree ceremonies and that year there had been some tricky messages to deliver

regarding: the difficult financial situation; the resources available for the coming year; what could be done; and people had been written to asking if they were interested in voluntary redundancy. He believed it was important to deliver a message that these issues had been thought through using a key set of principles. To facilitate this message he opened himself up to questions not only during the meeting but also before and after by providing his email to everyone so as to make it very easy. He reflected on what people want to know? He suggested that:

> …They've got a job that they will be able to pay the mortgage, they will be able to do good things as a family and they will be able to have a reasonable life style. If you are in an institution where it all looks rather shaky, the institution might go down but you might go down with it. They've got to trust the fact that what I say about the institution and what we are doing won't get us into a big mess.

The COO at Regent's College believed staff with whom he worked closely trusted him. He said:

> I would not say that it spans the organisation. Some might mistrust me because they think that I want something personally whereas those who do know me know that I do have the best interests of the organisation at heart.

It was suggested by one interviewee that one of the components of trust is that anyone who is running an organisation likes to believe they are working in the best long term interests of the organisation. This was confirmed by another interviewee who said that those who trusted him believed he did things in the best interests of the organisation. The Director at the Institute of Education responded he was probably the last person in the building to answer that question as trust was really hard to pin down. He said:

> …I would like to believe that the answer is yes. I know that we have made some absolutely difficult decisions and that can put trust at risk. One of the

components of trust is that anyone who is running an organisation likes to believe that they are working in the best long term interests of the people in that organisation so we all want to say yes to that question. There are parts of the organisation where I and the Directorate are very unpopular. If you are not prepared to face that then don't try running things.

For the most part, the interviewees said that they liked to think they were trusted but felt delivering difficult decisions or calling people to account could affect trust. The CEO at Ashridge said:

I would probably think in aggregate yes but in practice no because you make daily decisions where at some point you will have annoyed pretty much everyone around the institution so they will all be able to come up with stories where you made the wrong decisions or done something wrong but I hope in aggregate that they go...Ok... it kind of makes sense in the longer term.

The PVC at the University of Cumbria thought staff trusted her:

...I don' t think that everyone does. I know that my direct reports do and my senior colleagues trust me. I think because I have been here longer than most even though I have only been here 4 years and because I have the external communications brief...more people know me than they know others in the senior team. I don't think everyone is universally trusted and we have had to do some very difficult things. I have worked through some very difficult things and I have still been there at the end and people tell me that I am generally trusted.

As an example of that trust she spoke about some staff coming to see her about how they needed to say something they felt a bit uncomfortable about and they generally put those kinds of communications through her. She said:

…I think it is an indication of a bit of openness. I am sure it is not universal and that some people will think I am dreadful but I need to feel trusted…it is an absolutely key driver for me.

The DVC at Bournemouth University said:

…Yes…they do…although there are a small number who may not because I have called them to account. The trust has been built through direct engagement and dialogue, showing how we have built the strategy, and through that process of development. People can see that we are authentic in what we are saying.

Discussion

In this chapter a number of points were made that showed how institutional leaders see their own accountability relations affecting the identity of both themselves and their staff. Firstly, with regard to cultures and communities the interviewees demonstrated that their accountability affected staff: restructures, letting staff go intentionally through redundancy, and lobbying government could all lead to changes in the organisation. In addition, the setting or introduction of new values, and/or interviewees expressing their views, could lead to either the disempowerment of others or alternatively could help to smooth things over and create an inclusive environment. Secondly, cultural legacy issues were seen as a key challenge for one incoming VC in the delivery of his accountability. Thirdly, the deputies all mentioned being part of the senior management team. I took this to mean shaping a culture or community was a shared responsibility amongst the senior management team rather than the responsibility of one individual and accountability was therefore spread among the senior team. Fourthly, senior management teams were compared to an orchestra where they were being led by a conductor whose role was to cajole, persuade and direct others in the delivery of their accountability.

In an exploration of how the types of management styles used in the delivery of accountability could affect staff there was no evidence to show any particular style was prevalent. The nature of the accountability (such as compliance) and the personality of the individual could affect the way a senior management role was carried out. However, new people coming into the institution and the type of practice (e.g. professional) in an institution could also affect the management style. Additionally, it was suggested different management styles could contribute to the way staff behave and it was noted that sometimes more than one style could be used.

The balance of full- and part-time staff appeared to be more to do with institutional circumstance than the accountability of particular managers. In terms of academic profiles and professional development, and reflecting on the balance between research/teaching/consultancy/management, and in the backdrop of a possibility that there might be an ideal type of academic, the interviewees felt there was no 'ideal type'. However, the evidence appeared to demonstrate that the accountability of institutional leaders affected staff profiles dependent upon whether an institution was going through change or not. On the one hand, where an institution was seen to be stable then so were academic profiles; however this did not mean academic profiles within stable institutions could be flexible. On the other hand, where institutions were undergoing periods of change then academic profiles were also in flux. The accountability for delivering either of these two positions appeared to lie with senior management teams rather than individuals.

The issue of whether interviewees thought their staff saw them in the same way as they did (e.g. as an academic) picked up on whether the senior managers saw themselves as an academic and if so then how they thought their own academic identity had been formed. The questions were not asked at the same time so that other answers could help to inform their reflection for answering the latter question. Answers to the latter question indicated that one of the four independent interviewees said yes, and the rest said no. The one who said yes was still active in both the classroom and in publishing. Only one each of the interviewees from the

Pre- and Post-1992 institutions gave a clear yes, the rest were equivocal. The fact that a number of the senior managers believed they were not seen as academic by their staff may not be particularly surprising but it is worth noting. If Wenger (1998) is correct regarding the three dimensions that serve to act as a property of a community of practice (mutual engagement, a joint enterprise and a shared repertoire) then not being seen to be academic might lead to exclusion from the very communities of practice which the senior manager is seeking to create and maintain. This to an extent could go some way towards explaining the cultural legacy issue expressed by one senior manager above.

Regarding whether senior managers felt trusted or not, there seemed to be a belief at least among a couple of the interviewees that it was important they should be trusted. This indicated they wanted staff to understand that they were taking correct actions. This could be taken to mean decisions made as a result of the accountability of the senior managers could be self-justified because they were trusted by staff to do the right thing, even if a decision was not in the interests of the person in whom trust existed.

It was clear from the institutional leaders that they understood how their agency in the delivery of their accountability could affect the cultural, community, resource and physical structures of their organisations. Management styles while varied appeared to vary according to the needs of the managers and appropriate management styles were used in the delivery of their accountability. The balance of full- and part-time staff appeared to be linked with the type of institution rather than the interviewees. However, in the delivery of their accountability institutional academic profiles might be altered as a result of a need for institutional change. Trust was seen to be an issue as a result of their accountability. Perhaps however the most important point is how the senior managers believe they see themselves and how they are seen by their staff in terms of their academic identity, matters. This last point picks up on the need for the creation of communities of practice, the effects on the habitus and field of both themselves and the staff of their institution but also the cultural, social and economic capital that can be provided, facilitated

and generated by the interviewees. This point is explored in chapter eight. Regarding the various models of accountability, all of the models could be seen to be present to some varying degree across institutions. This is explored in the following chapter where accountability is discussed in terms of the overall responsibilities and obligations for institutional leaders and the implications arising out of the use of the various models of accountability by those leaders.
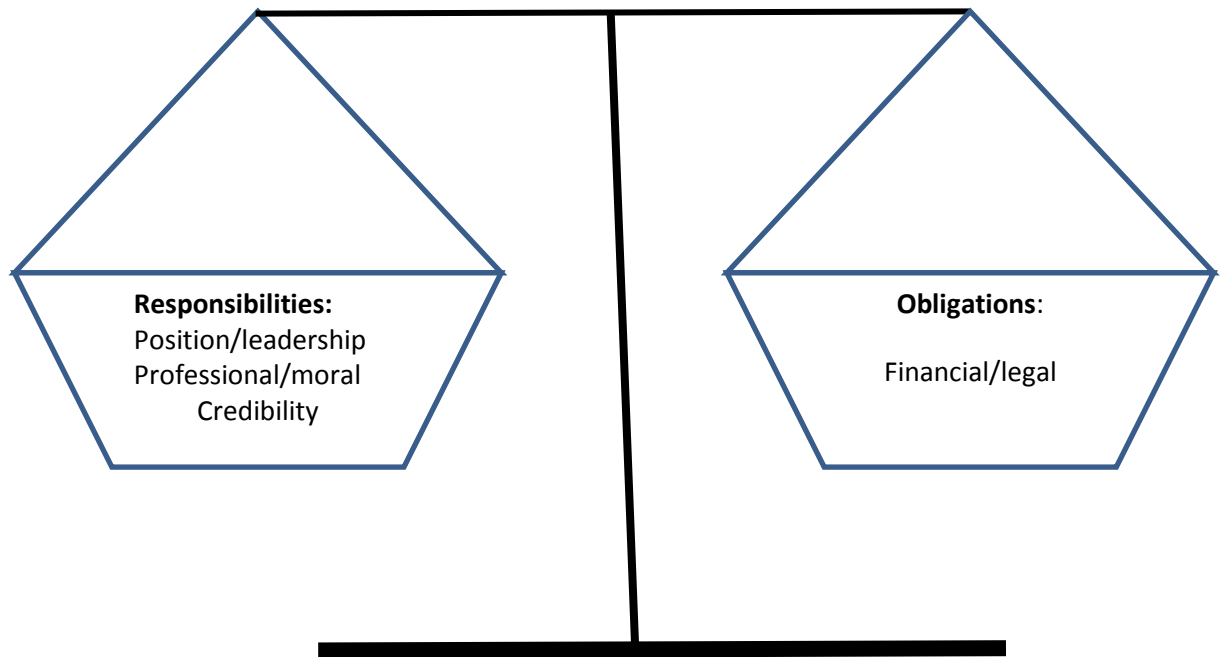
Chapter 8 Accountability: responsibilities, obligations and implications

The main research question for this thesis was: what are the accountability responsibilities and obligations for higher education institutional leaders? In a context of the main research question and the research sub-questions, this chapter draws together the discussions from chapters 5, 6 and 7 and then moves into a reflective discussion. In chapter two I offered a simple definition for accountability, viz, to be answerable. However, I also suggested that accountability is a term which when unpicked reveals multiple readings, layers and aspects; I then illustrated how complex the term accountability can be (Trow, 1995; Romzek, 2000; and Leveille, 2005). I also suggested that two further terms needed clarification: first, 'responsibilities' and second, 'obligations'. I took these terms to mean the following in the context of the main research question: responsibilities – those things one *should* do but for which there are no legal sanctions for non-compliance, and obligations – those things one *must* do so that institutional legal and regulatory requirements are met because there are sanctions of either a personal or institutional nature. I also indicated that to understand accountability the issues raised should be informed by the following questions, asked by Trow (1996) and Romzek (2000): who is answerable, to whom, for what, through what means and with what consequences?

So, there is a need to answer these questions. The first question asks who is answerable? In chapters two and five it was shown that the institutional leaders are answerable for responding to policy. The second refers to whom? Chapter six, in terms of stakeholders, clearly shows to whom institutional leaders are accountable, and indicates that accountability to different stakeholders and the weighting of accountability may vary over time. The third question was for what? Chapters two and five showed institutional leaders are responsible for their institutions but chapters six and seven in greater detail showed for what institutional leaders are accountable, through the reasons given for their accountability to stakeholders.

Accountability was shown to be for positional/leadership reasons, professional/moral reasons, credibility reasons and financial/legal reasons. When those reasons or rather dimensions of accountability were considered as being either responsibilities or obligations the following diagram was produced:

Diagram 1: Scales of accountability

Responsibilities:
Position/leadership
Professional/moral
Credibility

Obligations:

Financial/legal

The reasons for accountability were determined to fall under categories of responsibilities or obligations based upon the definition for those terms offered in chapter two. As a reminder, a responsibility was defined as those things one should do but for which there are no legal sanctions for non-compliance, and an obligation was defined as those things one must do so that institutional legal and regulatory requirements are met because there are sanctions of either a personal or institutional nature.

So what does the diagram illustrate? One can see that there are more responsibilities than obligations. This implies in any given decision-making scenario institutional leaders will be weighing up the balance between their responsibilities and obligations but the financial/legal aspects of accountability will always have to

be balanced against all other aspects. Institutional leaders might argue obligations must always be met first. However, an example dilemma might be (as stated by the VC from the University of Leicester) the desire to provide sufficient funds for the operation and development of the institution but with consideration as to how to raise sufficient funds without having to borrow or use reserves so heavily that: a) others would be left servicing the debt downstream; and/or b) staff should not be lost. In this example, there is a clear tension between the need to exercise a financial/legal obligation to the University's stakeholders and a desire to ensure that responsibilities to other key stakeholders are also met.

Chapter six showed through what means accountability was being actioned. The institutional leaders particularly spoke about their personal accountability allowing them to shape and effect change through related variables such as leadership, providing a solid strategic plan, length of tenure, being able to call others to account, freedom of manoeuvre, the availability and control of resources, and having the power to approve or deny plans and proposals. Chapter seven explored the consequences of institutional leaders' accountability and drew together how that accountability could impact upon the academic identity of both themselves and their staff. This is discussed in the section entitled identity that follows shortly.

In the identification of the accountability responsibilities and obligations three tensions were identified. For this thesis I have defined a tension as a thing or an idea that is both pushed and pulled between two or more opposing points of view. First, the over-arching tension for institutional leaders, as identified by consideration of diagram 1 above, was that of the balancing of accountability responsibilities and obligations in the decision-making process. One could ask whether accountability responsibilities or obligations should be given greater weight, or should there be an equal balance between both accountability responsibilities and obligations? The answer might be that in any given situation such as one where institutions are seeking to survive or thrive through growth or shrinkage an appropriate balance must be met because as the CEO of Ashridge put it '…I can't just squander the money and do whatever I want'. But perhaps the best

example of this tension is the one already identified in diagram 1 where the dilemma is to have enough resource (what one *must* do as an obligation) but without having to lose staff (what one *should* do as a responsibility). Throughout this thesis, examples of redundancy and restructuring from most of the institutions indicate that accountability obligations take precedence over accountability responsibilities because the institutions must survive.

The second tension for institutional leaders was how stakeholders affect the balance between obligations and responsibilities. Accountability to both formal and informal stakeholders can vary regarding which stakeholder takes precedence at any given time. On the one hand, there is a formal accountability line to line management (Boards of Governors/Trustees), but on the other there are other unspoken informal accountability lines (to the staff). I did not find any evidence to show informal accounting was an issue for the institutional leaders, and in fact I found the opposite as all of the institutional leaders seemed to go to great lengths to communicate with their staff. Therefore their responsibility to report to informal stakeholders was just as important as their obligation to report to formal stakeholders.

A third tension for institutional leaders was how decisions based upon the balance between obligations and responsibilities has been affected by different stakeholders which then affected the stakeholders in turn. A range of evidence supported a demonstration of this tension. First, the institutional leaders spoke about how they used all kinds of politics to communicate, manage and lead both internally and externally for the best interests of their institution. Other examples of this tension include: the setting of new values having an impact upon culture and community; the need for smoothing things over with staff; the use of management styles; decisions regarding changes to academic profiles; and finally how this affects trust.

Sub-question 1: What are the key aspects of recent government policy change affecting the accountability of higher education institutional leaders?

Chapters two and five showed that at the time the research was conducted the key aspects of government policy most affecting the institutions were fee-setting, funding (both for teaching and research), uncertainty regarding student number controls and issues related to the UKBA. Each of these areas was shown to have had a slightly different impact upon all of the institutions. For the independent institutions, UKBA issues were foremost in terms of concern, primarily, for the recruitment and sponsorship of students who needed visas and secondly because of the difficulties being created by government policy for the recruitment of first class international staff. Government controls for fee-setting, student number controls (bidding for core/margin student places, needing to pursue AAB student places to bolster student numbers and funding) were raised as potential issues but it was uncertain what the effects of policy in these areas would mean for the independent institutions. For Government funded institutions there were a different set of concerns, in brief, for both the Pre- and Post-1992 institutions fees, student number controls and funding issues were of foremost concern. The lack of an HE bill and the demise of an RDA were also raised as issues. While the work of the QAA appeared to cause little concern it was noted that there were other policy drivers affecting institutions such as the policies of OFSTED and Research Councils.

Sub-question 2: What models of accountability exist in each of the Higher Education Institutions examined within this thesis?

It would appear that the model of accountability that exists within each institution depends upon the topic or issue being discussed and in that respect all of the models could be applied to each institution at different times. When discussing the changes that have been made in institutions, as a response to policy issues as outlined in both chapters two and five and the section above, then the chain of responsibility model appears to be prevalent for all of the institutions. Changes to systems, new staff and structures, and lobbying the government through third party organisations were all strategies used to address concerns further up the

chain. However, when different questions were asked then different models of accountability came to the fore.

With regard to the value that leaders place upon their own accountability and how those leaders understand their own practice we can see a number of different models of accountability. First, discussions about academic identity implied the presence of a professional model of accountability and this could be linked with credibility for job role and leadership reasons. Second, when talking about politics, the partnership model came forward as a means by which change could be delivered. Third, when discussing informal and formal stakeholders, the central model of accountability was present but so too was the consumerist model. However, either of these two models could be applied according to both time and order. Fourth, when discussing accountability for positional, moral, professional, leadership and financial/legal reasons several models of accountability were relevant. For leadership and positional reasons, central control and partnership models of accountability were present. For professional and moral reasons, central control, professional and self-accounting models were present. For financial/legal reasons, it was perhaps no surprise that the chain of responsibility model was present. Fifth, when discussing personal accountability, the self-accounting model had a presence and it is perhaps this model of accountability that could have the greatest impact on institutions. The interviewees believed that their personal accountability could serve to shape their institutions and it was this form of accountability that continued to drive the senior managers to make changes in their organisations.

Sub-question 3: What are the consequences and implications of those models of accountability practised within each of those Higher Education Institutions?

Following on from the response to sub-question 2 where it was suggested that the model of accountability being used by leaders depended upon the topic or issue under discussion. Since an obligation is something that must be done then it seems reasonable to link all of the contractual models of accountability (central control,

self-accounting and consumerist models) with notions of obligation. Similarly, as responsibilities are something that you should do then it seems reasonable to link all of the responsive models of accountability (chain of responsibility, professional and partnership models) with notions of responsibility. However, it does not necessarily follow that only one model will be used by institutional leaders at any one time. For example, when talking about institutional survival one can detect a blend of the chain of responsibility model, central control model and the partnership model. So why is that? If one interrogates the accountability models then one can see that using a blend of the models can help the leader to legitimate their decision-making. First, under the chain of responsibility model decisions may be seen to be legitimated because policy changes should be met for stakeholders higher up the chain. Second, under the central control model the leader is obligated to meet their contractual requirements and therefore the legitimation of actions taken. Third, under the partnership model consensus should be sought to legitimate the decision amongst peers, colleagues and/or staff.

When institutional leaders reflected upon their understanding of their own accountability relations and how that affects the identity and work of both themselves and their staff a number of issues were discussed as follows: first, with regard to culture and community, restructuring and redundancies had taken place. Second, setting values could be both positive and/or negative. Third, legacy issues could be problematic. Fourth, senior teams were important for sharing accountability but leading those teams and how those teams were led were also seen as being important. Fifth, management style could affect how staff behave. Sixth, the balance of full- and part-time staff was not picked up as an issue by the leaders and for the most part nor was the balance of academic profiles. However, academic profiles could be seen to be in flux when institutions were undergoing periods of change. Seventh, for most of the leaders, there was an understanding that their academic identity was not appreciated. Eighth, it was important to the leaders that they were trusted. Throughout the exploration of these issues it was evident that the leaders were aware of their obligations and therefore the central and self-control models could be detected in their responses. However, so too was

a concern for working with teams and the concern to be trusted by others so the partnership model was also present.

Where academic profiles were in flux the partnership model appeared to be at play. Since accountability for academic profiles lay with senior management teams, then one can see that the partnership model was present but ultimately one can deduce that those teams were being led by the institutional leader, and therefore the central and self-accounting models of accountability were also operating while those academic profiles were in flux. This indicates that in order to address change brought about by policy or otherwise the institutional leader has taken action (such as restructuring, staffing changes and redundancies) through their agency so as to address the issue. This evidence supports the opening thesis that policy change affecting institutional funding and financial maintenance can lead institutional leaders, in response to both policy drivers and their accountability, to take institutional action through their agency that can lead to challenges to the academic identity of the staff working in their institutions. The following section reflects upon issues raised in the literature review in chapter two, gives support for research conducted by others and then moves on to offer a reflective framework for the use of institutional leaders and their teams.

Discussion

This section opens with a reflection upon why an institutional leader might instigate change and considers whether any support may be given from the findings in this thesis to other research. Deem, Hillyard and Reed (2007) suggested that under neo-institutionalism/archetype theory institutions are only likely to change or transform when the key ideological commitments and cultural values require changes in administration and decision-making processes across those institutions. Further, NM and NPM can be understood as entailing a fundamental shift in the underlying cultural values and discursive forms through which public services are conceptualised, represented, and legitimated. The evidence in this thesis could be seen to lend support to neo-institutionalism/archetype theory as changes in

administration have occurred in both the pre-and post-1992 HEFCE funded institutions but whether changes have occurred as a result of a change in cultural values remains uncertain.

Nevertheless, Deem, Hillyard and Reed, pointed out that higher education institutions in the UK are not part of the public sector, in terms of constitution but the ideological context and organisational strategies set down by NM and NPM have fundamentally directed the reworking and shaping of UK universities. That is a point with which it would be hard to argue. Indeed, the evidence of redundancies (University of Leicester, Institute of Education, London Metropolitan University) in this thesis supports the findings of Enders and De Weert (2009) regarding the effects of NPM on academic life in England, where there are signs of deprofessionalisation (loss of autonomy) and proletarianisation (loss of status, privileges). The evidence of restructuring (Institute of Education, London Metropolitan) also gives some support to the findings of Churchman and King (2009) regarding academic work becoming increasingly restrictive and controlled, and also some support to MacFarlane (2011) that academic practice is disaggregating, or 'unbundling' (London Metropolitan University). The evidence did not however support Kok et al (2010) who found that:

> …it is the traditional university that is most affected. Their previous collegial approaches towards quality in research and teaching have been diluted by the increasing focus on cost-effectiveness, the need for greater student numbers, and moves towards more corporate-like orientations.

If anything, the evidence from the University of Leicester and Green Templeton College indicated that they are holding true to their research and teaching values so as to maintain their institutional identity. This does not mean that they have not looked for efficiencies but rather efficiencies have been sought so as to keep to their values.

While the discussion above illustrates aspects of managerial changes within an institution, the discussion does not really satisfy what is happening in terms of social change. Giddens and Bourdieu both help to illuminate this particular aspect of the analysis. First, Giddens offers some useful concepts through which to think about these findings. Although, Giddens (1990, p. 304) does not advocate a social theory he does suggest structuration theory can provide a framework for the analysis of the major types of social change, as follows:

a. system reproduction (change that occurs through the inherent indeterminacy of social reproduction);

b. system contradiction (change that results from clashes or struggles generated at the 'fault lines' of social systems;

c. reflexive appropriation (change that derives from the reflexive understanding of conditions of social reproduction, particularly as mobilized by organisations and social movements); and

d. resource access (change which comes from differential control or desired resources, whether or not such change is reflexively mobilised).

In Giddens view any of these forms of change can overlap with any other. However, one could argue that Giddens's analysis would be quite limited as Giddens takes an approach whereby functional explanations are rejected (1990, p.308) in favour of analysing social change over time through examining unintended consequences (1990, p.309). For Giddens, examining intentions and consequences does not explain why things occur but tracing out unintended consequences does help to map out the reproduction of wider social systems. Giddens also refers to the dialectic of control (1990, p.313), which Giddens equates to differential power. By this Giddens means power is '…intrinsically bound up with human agency' which in turn means humans have the capacity to say no. What then would Giddens make of the findings? Typically, he might argue that the resulting structures are both an outcome of action while also being the medium through which that action is realised. With particular regard to the findings above, he might say redundancies and restructures, deprofessionalisation and proletarianisation, and disaggregating

academic practice are all observable types of social change (types a-d above) through which consequences have occurred through the agency (and power) of individuals over time. However, it is the mapping out of reasons for unintended consequences such as the impact upon the academic identities of staff that would provide an informed view of wider change and a fuller understanding of the process underpinning change.

Bourdieu would explain the findings in a different way. He might say redundancies and restructures, deprofessionalisation and proletarianisation, and disaggregating academic practice are all examples of maintaining the 'field' and a redistribution of symbolic, social and cultural capitals. Indeed, Bourdieu argued that '…every social order tends to perform a symbolic action oriented towards [maintaining] its own perpetuation' (1990, p.146). In so doing the remaining agents and new agents to that field would be endowed with dispositions that would be absorbed within their habitus so as to maintain the 'field'. In this respect, the agents would be the products of their environment and so would their academic identities.

Drawing both of these perspectives together, where social change and academic identities can be viewed as both process and product, has helped to inform the production of Tables 3, 4 and 5 below. The following section reflects on identity in the light of the literature review and then moves on to examine potential threats to academic identity.

Identity

All of the interviewees except two believed that they had an academic identity. The two interviewees who considered they did not believed they knew how academic identity was formed. All of the interviewees who believed they had an academic identity still took part in academic endeavours of some sort on a regular basis. My starting point for academic identity in chapter two was that identities are a historical dynamic process of construction, deconstruction and reconstruction. From this perspective, identity is always in construction and never fixed. In this

respect, the responses from the interviewees seemed to confirm this as they described their academic identities forming over time, through high level study, engagement with an academic discipline/subject(s) such as teaching, research, publishing and conferences, influential people (family and academic), and academic roles as they moved up the career ladder, and for some bringing practical work experience into their academic identity.

This analysis of academic identity also confirms the different understandings of academic identity presented and discussed in chapter two: firstly, Strathern's (2008) academic knowledge identity (based in subject disciplines) and Becher and Trowler's (1989) tribes and territories (connecting groups and subject areas); and secondly, Taylor's view that identity is expressed and developed through context-specific opportunities related to roles. There is also evidence to support some of the changes talked about by Whitchurch, such as a changing disciplinary base (the evidence showed identity for some coming from practitioner rather than research backgrounds). There is also strong support in this sample for Whitchurch (2010a) regarding blended professionals, as most of the institutional leaders interviewed were 'blended'. Indeed, one of the interviewees spoke about a continuum between his academic and institutional leader/management work. This notion too supports Henkel's (2000) view of academic identity, as institutional leaders have unique histories located within their own moral and conceptual framework, and can be recognised by the goods they have achieved. The institutional leaders claiming academic identity are also embedded individuals '…emergent from, working within and making an individual contribution to communities and/or institutions which have their own languages, conceptual structures, histories, traditions, myths, values, practices and achieved goods' (p.16). The institutional leader in this context is not only bound by the communities and institutions in which they work but they also inherit the scripts for the discharge of a range of different roles (institutional leader/manager/academic).

The final aim of this research was to consider the implications emerging from the findings for academic staff and others within the higher education sector (this final

aim is also discussed in the next chapter). To do this, I turn to aspects of academic identity that could be affected by the accountability of institutional leaders in response to how they manage their institutions and therefore also to institutional survival. What then are those aspects of academic identity that could be affected by the accountability of institutional leaders in response to ensuring institutional survival?

Potential Challenges to Academic Identity

Firstly, Strathern (2008) with regard to academic knowledge identity being based in subject disciplines speaks of the way quality evaluation can lead to a sense of identity loss. Henkel (2000) also spoke of two bio-chemists losing their research identity due to a lack of funding (p.183). One of those bio-chemists found he became 'embroiled' in administrative work. There was evidence this has happened at London Metropolitan University.

Secondly, Taylor (2008, p.38) talks about the risk associated with occupational socialisation of new lecturers. The danger here is that a lack of well-established academics may interfere with the process through which newer academics deal with opportunities and challenges. He also spoke of academic identities being seen as '…context-specific assemblages that draw on a shared but open repertoire of traits, beliefs and allegiances - a creative commons for identity assemblage' (p.38). In this respect, a reduced community of practice would prevent the acquisition of or the introduction to, social and cultural capital.

Thirdly, there is a danger for role-based academic identities. Taylor (1999) also pointed out that role-based identity comes with challenges, and as an example talks about how teaching-based identities have to deal with the broad distinction between the disciplines and issues that deal with boundaries (p.119).

Fourthly, Whitchurch (2010b) summed up the current situation:

1. The workforce has much more casualization and fixed term staff contracts are much more common than indefinite contracts.
2. There is more staff working on portfolios of short-term projects to do with teaching, research, consultancy and evaluation.
3. Criteria for appointments tend to be more person specific than generic discipline-based criteria.
4. More support staff for students and staff are being appointed such as learning developers and academic developers, technologists and career and counselling staff. There is a move in a number of these areas towards developing professional characteristics, with developing bodies of knowledge and professional associations.

It is likely that these four movements will be set to continue and academic identities will need to be adjusted accordingly.

Fifthly, one of the interviewees spoke about a continuum between his academic and institutional leader/management work. This notion also lends support to Whitchurch and Gordon (2009, 2010) who suggested that

> … Stable understandings about academic and/or professional identities and career paths are likely to be increasingly difficult to sustain, and higher education institutions are accommodating to systemic change at local level by, for instance, offering flexible employment packages, developing enabling frameworks such as workload models, and finding innovative opportunities in relation to career development (p.140).

This fits with the notion that academic identity is constantly being constructed and reconstructed but it is uncertain as to what that new identity will look like.

Sixthly, all of the challenges outlined above coming together presents a danger to the community to which academics belong. If Wenger (1998) is correct regarding the three dimensions that serve to act as a property of a community of practice

(mutual engagement, a joint enterprise and a shared repertoire) then entry to, maintenance and development of the community is likely to become problematic.

Drawing it all together

Returning to an earlier question at the beginning of this thesis where I asked what type of accountability scheme might be used by institutional leaders, Stensaker and Harvey's four points of analysis for evaluating an accountability scheme were: the scheme should be perceived as relevant by central stakeholders; contain fair judgement of performance; be open for feedback and dialogue; and stimulate trust.

I found the four points of analysis for evaluating an accountability scheme inadequate for truly understanding the nature of accountability of institutional leaders. While the accountability scheme as demonstrated by the evidence could be seen to be mostly legal, with professional, moral, internal and external social dimensions, there was no evidence of a standardised approach to accountability and this is probably correct as much of the accountability of the leaders was informed by institutional context relating to type of institution and the institution's concomitant mission and values. This then raises a set of questions as to who is responsible and accountable: is it the institution? Is it the institutional leader? Indeed, is the accountability for the institution and the institutional leader's accountability one and the same? The answer might be that it depends upon the leader and their view on the matter or it might actually depend upon an answer from the senior manager's line manager. Notwithstanding this possible response, possible answers to these questions still do not provide a means for clarifying how the dimensions of accountability as identified by the utilisation of Stensaker and Harvey's four points of analysis can be presented within what appears to be an indefinable accountability scheme. I therefore propose that the accountability of higher education institutional leaders might be better understood through the development of a typology of higher education institutional leaders based upon their accountability to stakeholders as this would provide a framework for those dimensions. The potential typology is shown in the table below:

Table 2: The Accountable Higher Education Institutional Leader

Type	External account-ability	Internal account-ability	Definition
1	High	High	Institutional leaders who have high levels of accountability to external stakeholders (HEFCE, HESA, Research councils, UKBA, QAA and other PSRBs), and high levels of accountability to internal stakeholders (Students, staff and Governors/Trustees). Type 1 could include senior managers at most higher education institutions (independent, pre-1992 and post-1992 institutions).
2	High	Low	Institutional leaders who have high levels of accountability to external stakeholders (HEFCE, HESA, Research councils, UKBA, QAA and other PSRBs), and lower levels of accountability to internal stakeholders (Students, staff and Governors/Trustees). Type 2 could include senior managers at some independent for-profit higher education institutions where the external accountability is to mostly to shareholders.
3	Low	High	Institutional leaders who have low levels of accountability to external stakeholders (HEFCE, HESA, Research councils, UKBA, QAA and other PSRBs), and higher levels of accountability to internal stakeholders (Students, staff and Governors/Trustees). Type 3 could include senior managers at some independent higher education institutions where the external accountability is to shareholders or perhaps the leaders of the colleges of Oxford and Cambridge where endowment capital provides a significant level of independence from state funding.
4	Low	Low	Institutional leaders who have low levels of accountability to external stakeholders (HEFCE, HESA, Research councils, UKBA, QAA and other PSRBs), and low levels of accountability to internal stakeholders (Students, staff and Governors/Trustees). Type 4 could include senior managers at some independent higher education institutions where they own the institution.

The table above presents a new way of thinking about the differences between higher education institutional leaders and their institutions. There are many

traditional ways of grouping institutions such as ancient institutions, new universities, red brick, plate glass, million +, Russell Group, independent, pre-1992 and post-1992 institutions, but none of these groupings address the differences between for-profit and not-for-profit institutions. I would argue that for-profit institutions have a different accountability base, as their primary function is to produce profit for shareholders. On the other hand, the accountability base for not-for-profit institutions is to produce surplus so as to meet institutional objectives as defined within their memorandum and articles. The primary purpose of producing surplus, rather than profit, is for the institution to continue to exist and to maintain and improve upon the student learning experiences within those institutions. Further thoughts about how this framework might be applied is discussed and presented below.

The table overleaf draws together the issues raised in this chapter so far and shows the policy context, dimensions of accountability affecting institutional leaders, the identified tensions for higher education institutional leaders arising from their accountability responsibilities and obligations, the key issues raised for institutional leaders through evidencing the identified tensions, and the potential challenges to the academic identity of their staff. In so doing the table presents the connections between issues in such a way as to support the argument that policy change affecting institutional funding and financial maintenance can lead institutional leaders, in response to both policy drivers and their accountability, to take institutional action through their agency that can lead to challenges to the academic identity of the staff working in their institutions.

Table 3: Outcomes summary table

Context	Dimensions of/reasons for accountability affecting institutional leaders and models of accountability	Tensions for higher education institutional leaders arising from their accountability responsibilities and obligations	Key issues raised for institutional leaders through evidencing the identified tensions	Potential challenges to academic Identity
Policy drivers: Shift in funding from institution to student. Student number controls, core and margin, AAB, fees, UKBA and other policies.	Position/ leadership, professional/moral, credibility and financial/legal Models of accountability: 1. central control 2. self-accounting 3. consumerist 4. chain of responsibility 5. professional 6. partnership	1. The balance between accountability responsibilities and obligations. 2. The influence of stakeholders on the balance between obligations and responsibilities. 3. How decisions based upon the balance between obligations and responsibilities have been influenced by different stakeholders then affect the stakeholders in turn.	1. Effects of redundancy and restructuring: Changes to academic profiles (intentional mandatory changes and non-intentional changes). Balance of full/part-time staff. 2. Cultural issues: loss of staff, setting new values. 3. Communication issues: formal accountability (Boards of Governors/Trustees) and unspoken informal accountability lines (to the staff). The use of all kinds of politics to communicate, manage and lead both internally and externally. Smoothing things over through getting out and about to meet their staff. 4. Management style. 5. Trust.	• Identity loss. • A reduced community of practice would prevent the acquisition of or the introduction to social and cultural capital. • Role-based identities: issues with boundaries. • Fewer permanent contracts. Shorter teaching, research consultancy and evaluation projects. o Support staff taking over traditional academic counselling tasks (learning development and academic development, technology, careers and counselling). • Increasing management work.

Table 3 above, moving from left to right, is a visual representation of what appears to happen in practice. The policy context of higher education has an impact upon institutions and institutional leaders, who respond to that policy context by taking action that is dependent upon their own accountability. I suggested earlier the accountability scheme for the institutional leaders, as demonstrated by the evidence, contained dimensions mostly relating to positional/leadership, professional/moral, credibility and financial/legal aspects. Using Stensaker and Harvey's four points of analysis for evaluating an accountability scheme, I argued that their accountability scheme for institutional leaders is inadequate for truly understanding the accountability of the institutional leaders as there was no evidence of a standardised approach to accountability. Indeed, the same can be said of the approach regarding the models of accountability. However, I argued that this is probably correct as much of the accountability of the leaders was informed by institutional contexts relating to the type of institution and the institution's concomitant mission and values. What one can say is that the accountability of the institutional leader extended to their senior management team and this delegation served to empower others. Nevertheless, tensions and highlighted issues as evidenced by the data from the interviews sit between the different dimensions of institutional leaders' accountability and potential changes to the academic identity of their staff.

I accept that all of the points in the different columns of the table may be thought of as being variables: first, the policy landscape is constantly shifting and it is not always possible to determine whether institutional actions would or would not have been taken as a result of policy; second, as pointed out above the accountability for each institution and institutional leader is different; third, the three tensions are common but will vary for each individual and institution; fourth, key issues are likely to be common across all institutions but will again vary depending upon the individual and institution; finally, academic identity as argued earlier is always being constructed or in the process of reconstruction. Despite all of this variability, using a structuration theory approach (whereby the actions of individuals helps to shape and maintain social structures), this schema may be used

as a tool to help think through the implications of the impact of policy on institutions, what that impact means for the accountability of institutional leaders (which dimension will take precedence as a result of policy change), and informed by the tensions and likely issues to map out how accountability of institutional leaders might affect the academic identity of their staff.

Given the variables as they currently stand then the potential challenges in the final column in the table are clear. In times of scarce resource and uncertainty, the changing accountability of the institutional leaders leads to challenges for the academic identity of their staff and therefore potential changes to habitus and field/communities of practice. One might assume then in a time of abundant funding (some might argue pre-1981 was such a time), one would see the opposite. In this sense academic identity would have benefitted. Table 4 overleaf shows a worked example of how academic identity of staff might be affected in a hypothetical time of plenty but where the dimensions of accountability affecting institutional leaders and the tensions and connections between the accountability of institutional leaders and the academic identity of their staff remain the same.

Table 4: Hypothetical situation where resources are plentiful and policy drivers are favourable

Hypothetical Context	Dimensions of/reasons for accountability affecting institutional leaders and models of accountability	Tensions for higher education institutional leaders arising from their accountability responsibilities and obligations	Key issues raised for institutional leaders through evidencing the identified tensions	Potential challenges to academic Identity
Policy drivers: Shift in funding from institution to student. Student number controls, core and margin, AAB, fees, UKBA and other policies.	Position/ leadership, professional/moral, credibility and financial/legal Models of accountability: 1. central control 2. self-accounting 3. consumerist 4. chain of responsibility 5. professional 6. partnership	1. The balance between accountability responsibilities and obligations 2. The influence of stakeholders on the balance between obligations and responsibilities. 3. How decisions based upon the balance between obligations and responsibilities have been influenced by different stakeholders then affect the stakeholders in turn.	1. Effects of redundancy and restructuring: Changes to academic profiles (intentional mandatory changes and non-intentional changes). Balance of full/part-time staff. 2. Cultural issues: loss of staff, setting new values. 3. Communication issues: formal accountability (Boards of Governors/Trustees) and unspoken informal accountability lines (to the staff). The use of all kinds of politics to communicate, manage and lead both internally and externally. Smoothing things over through getting out and about to meet their staff. 4. Management style. 5. Trust.	• Identity loss/gain. • A reduced/increased community of practice would prevent/enhance the acquisition of or the introduction to social and cultural capital. • Role-based identities: issues with boundaries remain or disappear. • Fewer/more permanent contracts. Shorter/longer teaching, research consultancy and evaluation projects. o Support staff taking over/removed from traditional academic counselling tasks (learning development and academic development, technology, careers and counselling). • Increasing/decreasing management work.

One might assume in times of plenty there might be identity improvements, a better functioning community of practice, fewer boundary issues, more permanent staff, longer teaching, research consultancy and evaluation projects, a transfer of roles back from support staff to academic staff and reduced management work. However, I do not believe it is that simple. Institutional leaders work within the confines of their institutional missions and the boundaries set by their line management (Chairs of/and Boards of Governors etc.) so in times of plenty there will be reasons to work on efficiencies and shaping organisations in particular directions.

The value of Table 3 and the hypothetical scenario in Table 4 has shown itself to be twofold: first, it may be used by institutional leaders and others as a tool for working through potential issues relating to policy, accountability of institutional managers and their senior teams and the impact upon the academic identity of their staff. Second, the analysis above has led to the key findings for this thesis, as follows:

- The accountability of institutional leaders over time contributes to the construction and reconstruction of the academic identity of their academic staff.
- How the accountability of institutional leaders is manifested and how that accountability affects the academic identity of their staff is dependent upon the political, institutional and personal contexts of those institutional leaders.

Notwithstanding this, institutional leaders and others may wish to use my conceptual framework for reflecting upon the content of such a hypothetical table and what those variables might be. In addition, following up on my earlier suggestion that institutional leaders and their institutions could be defined by type (as in Table 2), I have provided a table overleaf for further reflection as to the actions that might need to be taken in order to satisfy individual and institutional accountabilities.

Table 5: the accountability ABC (antecedent, behaviour and consequence) table

Higher education institutional leader (or senior manager)			Antecedent	Behaviour			Consequence
	Stakeholder accountability emphasis		Drivers of change	Who or what is driving the behaviour?			Result of the drivers
Type	External	Internal	Policy or otherwise	Self	Structure		(Re)shaping or maintenance of structure(s)
1	High	High	Government or otherwise (e.g. Professional, statutory, regulatory bodies)	(individualism)	(determinism)		(Re) defined Habitus, field. Adjustments to symbolic, social and cultural capitals.
2	High	Low					
3	Low	High					
4	Low	Low					

Whereas table 4 is presenting a hypothetical situation based upon the evidence garnered from the research for this thesis, table 5 is a tool for reflecting upon an institutional leader's accountability, the actions they or their senior management team might take, and the consequences of those actions. The first column picks up on Table 2 (The accountable higher education institutional leader), where a set of institutional leader types was identified. The second column offers a space for reflection upon the drivers (if any) for change. The third column picks up on the starting point for my theoretical framework, where the theoretical positioning of identities presented by Barnett and di Napoli (2008) recognises identities are a historical dynamic process of construction, deconstruction and reconstruction. In this sense, identity is always in construction and never fixed. I supported that view and the table above reflects that position. The column is picking up on the key issue for structure and agency, in particular, the question of determinism or individualism or as put earlier: who makes the rules? Is it society (structures) or is it the individual (agent of action)? It was also noted that the problem for both Giddens and Bourdieu was that individuals may choose at any time to follow or ignore the

cultural rules of the structures or habitus in which they work. For King (2005), this was problematic; for both Giddens and Bourdieu those cultural rules direct or determine individual action. I do not see this as a problem but more of a recognition that human beings make choices and this is a reflection upon the changing nature of identity. This column allows for individual decision-making, which may or may not follow institutional structures: the decision for which path to take rests with the senior manager.

The final column presents an opportunity for reflecting upon the consequences of actions that have been or will be taken. I suggest one way of doing this is to use a combination of Giddens's structuration theory and Bourdieu's social theory so as to provide a means for understanding the relationship between the agency/habitus of the institutional leader in delivering their accountability and the effects upon the structure/field and agency/habitus of their staff's academic identity, and its concomitant effects upon the overall institutional communities of practice. Giddens' notion of 'capability' (the power to do otherwise) may also be considered, as the staff may resort to subversion strategies as outlined under Bourdieu's notion of 'heresy', that is, a break with doxa which leads the dominant into a protective discourse of the orthodox. Within that protective discourse, the tensions and connections sitting between the dimensions of accountability of the institutional leaders and the potential challenges to academic identity are in effect what Giddens would refer to as absent presences: these tensions and connections are always there but not necessarily visible or present in conversation. The outcome of an analysis such as this would hopefully contribute to the distribution, maintenance and enhancement of symbolic, cultural and social capital within an institution. However, dependent upon the view of the institutional leader and their own beliefs, other sociological, psychological, economic or other theories might be considered for understanding the consequences of their actions.

A worked example of how the table might be used by an institutional leader and/or their teams is suggested below:

1. Reflect upon what type of institutional leader they are and where the emphasis for their accountability should lie with regards to external and internal stakeholders?

2. Consider the drivers (antecedents) for change? What are they and why must change take place?

3. Consider who or what is driving the behaviour with regard to change? Is it self, structure or both self and structure? If it is one of these positions then should that behaviour change to a different position? If so then what would that position be and why?

4. Reflect upon the consequences of the actions taken.

5. Consider whether the process of reflection as outlined by these steps should be iterative until an acceptable outcome is reached? If so then return to step 1 above.

Chapter 9 Conclusions

The previous chapter addressed the initial research question and sub-questions and offered answers to those questions. This chapter does the following: first, it confirms that the key aims for the research were met; second, it considers the implications emerging from the findings for academic staff and others within the higher education sector (fourth aim of the research); third, the relevance, originality and application of the findings to my professional role and to the wider professional context is discussed.

There were four key aims for the research. The first aim was covered in chapter two and five, the second aim was addressed in chapter six and the third aim was addressed in chapter seven. The fourth research aim was mostly addressed in chapter eight but it is also addressed in the following section as some of the wrapping up questions produced answers that were not relevant to this thesis but raised some interesting points which could be sources for future research. [See Appendix E for a visual representation of the connection between the research aims and the interview questions.] In addition, the first three aims were addressed by the following sub-questions to the main research question.

1. What are the key aspects of recent government policy change affecting the accountability of higher education institutions leaders?
2. How do higher education institution leaders view their own accountability in relationship to the academic identity of their staff?
3. Why should the personal accountability of higher education institution leaders matter to academic staff and others?
4. What are the implications emerging from the findings for academic staff and others within the higher education sector.

As already mentioned, questions 1-3 were addressed in full in chapter eight and the findings indicated support for a number of different studies. The fourth question was addressed as stated in the paragraph above.

The value of Table 3 and the hypothetical scenario in Table 4 has shown itself to be twofold: first, it may be used by institutional leaders and others as a tool for working through potential issues relating to policy, accountability of institutional managers and their senior teams and the impact upon the academic identity of their staff. Table 5 provides a lens through which the issues raised in Tables 3 and 4 may be analysed. Second, the analysis of the tables above has led to a conclusion that the key findings for this thesis are as follows:

- The accountability of institutional leaders over time contributes to the construction and reconstruction of the academic identity of their academic staff.
- How the accountability of institutional leaders is manifested and how that accountability affects the academic identity of their staff is dependent upon the political, institutional and personal contexts of those institutional leaders.

Implications emerging from the findings (fourth aim of the research)

As suggested in the previous section, an awareness of the issues raised by Table 3 and the hypothetical scenario in Table 4 could help institutions to develop their communities of practice, increase social and cultural capital for both institutional leaders and their academic staff while also contributing to fields and habitus of those staff. Table 5 could act as a lens for full consideration of the issues raised in Tables 3 and 4. One of the interviewees suggested senior management teams can be compared to an orchestra where they are being led by a conductor. If this is the case then practising together will produce great music. If done over a period of time

then it would not be unreasonable to expect the development to lead to an interplay and fruition of discussion between institutional leaders and their staff so as to solidify the intellectual cement that holds their academic groupings together. One expectation for staff might be that the impact of funding cuts would be for institutional leaders to remove or enhance the cement which puts some communities of practice into positions of strength (STEM subjects) and others (Arts subjects) into either down-sizing, abeyance or even obsolescence. Indeed one could question what a University was, is and should be and Barnett (1997, 2000, 2003) for example has written extensively on this matter. An awareness of the issues raised by Table 3 and the hypothetical scenario in Table 4 by all staff concerned in upsizing or downsizing might help to smooth discussions.

Relevance, originality and application of the findings

Alvesson et al (2008) writes about why identity research is conducted and offers three reasons as to why researchers tackle identity: first, to provide solutions – for technical/functionalist reasons, connecting identity and behaviour so as to improve institutional effectiveness; second, to understand human (organisational) experience – to understand the dynamic relationship between work, self and organisation; and third, for critical and emancipatory reasons so as to reveal problems associated with cultural and political irrationalities. Alvesson, for example, suggests that: 'for those taking a critical or emancipatory interest, focusing on issues of identity provides a means by which the 'darker' aspects of contemporary organizational [sic] life might be revealed and questioned' (p.17). I would suggest anyone reading this thesis will be able to identify clear connections with the last two of these points and that by using Table 3 as a management tool for a source of discussion this might be a useful contribution to the first.

Regarding the originality of the research, the concepts outlined in Table 2 (types of higher education institutional leader) are completely new to the HE sector as indeed is the further use of those concepts in Table 5 (The Accountability ABC

model). The findings in chapters 5, 6 and 7 are all new insights and new knowledge. The analyses of Tables 3 and 4 and especially the identified tensions and supporting evidence leading to support for the argument that policy change affecting institutional funding and financial maintenance can lead institutional leaders, in response to both policy drivers and their accountability, to take institutional action through their agency, that in turn can lead to challenges to the academic identity of the staff working in their institutions, is new. These new and original insights may be used by: a) institutions for the betterment of their institutional leader/staff engagement; or b) contributing input to new academic programmes covering areas such as management, leadership, academic identity or communications.

While it could be argued that the findings of this thesis may be used to help perhaps predict the outcomes of the behaviour of institutional leaders on their staff, it is always worth remembering Merton (1936) who tells us that with regard to human behaviour 'there is a range of consequences, any one of which may follow the act in any given case'. This he calls the 'unanticipated consequences of purposive social action'. The message is that despite the use of statistical probability, you cannot determine what someone will do next. In this regard, purposive social action somehow implies a rational decision is being taken and therefore the consequences may be either positive or negative, but still rational. In other words, how can you know what someone will do? Notwithstanding what I have just said, on a personal level, this research journey has been eye-opening for my work as an Academic Registrar. I feel having such open and frank discussions with the most senior of managers in a range of different Higher Education Institutions has helped me to understand not only the pressures under which those senior managers operate but also the difficulties faced when managing institutions in a constantly shifting policy context.

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Appendices

Appendix A – Example Data analysis matrix 1

Table A: Dimensions of Accountability matrix

Order	Type of HEI	Initials	Participant	Key areas	Q no.	Question	Answer	Dimensions of Accountability																								
								Social						Professional						Ethical						Legal						
								Explanatory		Justifiable		Descriptive		Explanatory		Justifiable		Descriptive		Explanatory		Justifiable		Descriptive		Explanatory		Justifiable		Descriptive		
								Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External	Internal	External
29	Ind	ML	2	2. Explore the value that Institutional leaders see in their own accountability for their institutions, staff and themselves.	7	To whom are you accountable?	38.54 SQ: in particular, when acting as the CEO: to the CEO, to the educational provision and the Faculty. In a more formal sense to the governors (and their job is to ensure that the institution is doing the right things but not to micro-manage it). There is a governor's executive committee, for which I am the secretary, and the committee acts as an interface. They do a review on an annual basis of our DAP on the one hand and provide advice on the other. I would not see it as external government...I see it as internally driven but to multiple stakeholders. 40.57. does not see accountability to QAA etc but does see them as being important for standards...which they support. See students and sponsors as the people to whom they are accountable and not to QAA, HEFCE and so on. In terms of exec ed, you are clearly accountable to the client organisation and to the individual participants as well.	x	x					x	x					x	x					x					
48	Pre-1992	MT	3	2. Explore the value that Institutional leaders see in their own accountability for their institutions, staff and themselves.	7	To whom are you accountable?	25.11 various people in different ways. The VC...but then he is accountable through the medium of Senate and Council to the University as a whole...so that I see myself as being accountable to the institution...and through various conduits some of which are more direct than others...but is your role to do the best that you can for your institution and to put your institution's interests first...and so the accountability is different reporting lines and different means for enforcing that...but it is not just to the VC or to Senate or whatever but to the institution as a whole and in some cases depending upon what you are involved with...because what you can do can impact more widely than that. "The accountability to a wider community then is less enforceable". The wider the accountability then the less easy it is to enforce it. If you take an MP then you argue that their accountability is to their constituency who only ever get a chance about every four to five years to do anything about that. It is an ultimate accountability but is less easy to enforce than a direct line management but that is why you have tighter accountability aspects and what you shouldn't lose sight of is your wider accountability to the institution as a whole. 27.45 When sitting in Bob's seat...UKBA, govt? MT: Yes. SQ: I know you are a lawyer so are you hiding behind that answer? In the sense that I see the accountability to the university in a slightly different way to the responsibility to the QAA because the QAA has a regulatory function and as I said before I don't always agree with some of the content that they then say that Universities should do....so you have to be clear that your remain an autonomous institution and that we are not actually run by the	x	x					x	x											x					

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Appendix A – Example Data analysis matrix 2

Table B: Emergent Themes Matrix

Order	Type of HEI	Initials	Participant	Key areas	Q no.	Question	Answer	Emergent Themes								
1								Theme 1			Theme 2					
2								moral	Good for us	Good for the country	trust	credibility	Sub-theme 6			
3		Initials	Participant	Key areas	Q no.	Question	Answer									
106	Pre-1992	CH	6	2. Explore the value that Institutional leaders see in their own accountability for their institutions, staff and themselves.	8	Assuming there is more than one internal and/or external person to whom you are accountable then is there an order of importance for you in terms of reporting? E.g. QAA, HEFCE, Gov't, Chair of BoT/Governors?	SQ: I asked about order and whether he would turn his order as stated on its head? 21.04 I think that it is different sorts of accountability. There is a professional and moral accountability to the organisation and the people that work in it. I think there is a formal managerial accountability to Council and Chair of Council but that they are different sorts of accountability. I think there is an audit accountability to funding councils. I would not turn it on its head.	x							
221	Pre-1992	DW	12	2. Explore the value that Institutional leaders see in their own accountability for their institutions, staff and themselves.	9	Why do you think it is important that you should be accountable?	44.02 It is part of the academic enterprise that you have an obligation to explain, and that is why as I have written academic freedom is a first amendment right, it is about pursuing difficult ideas wherever they go, it is not a fifth amendment right which is about not incriminating yourself. It is part of the psychological contract, the hippocratic oath, of being involved in the HE enterprise that you should attempt to explain what you doing, and that is a moral answer to the question, which for me is at a higher level than giving people what they have paid for, which is another obligation but it is of a different order.	x							

Appendix B - Research Consent Letter

The real name of the institution will appear on the interviewees signed letters of informed consent.

<div align="center">

Research Consent Form

Letter of Informed Consent

</div>

Date

I, (print name in full) _____ am the Head of _____(print institution). In signing this consent form, I agree to volunteer for the Doctoral research project being conducted by Steven Quigley on the understanding that I may withdraw at any point up to and including the last day of September 2011. I understand that the research being conducted relates to my experiences as the Head of _____(print institution). I understand that excerpts from a transcript of a digitally-recorded interview with the researcher will be quoted in a Doctoral research project and possibly in future papers, journal articles and books that may be written by the researcher.

I herby grant permission for the use of the above information on the understanding that the researcher will:

- protect and respect my anonymity and confidentiality at all times.
- under no circumstances reveal my identity in written or verbal communications.
- store any transcript or computer-based copy of the interview in a secure place in the privacy of his home.
- erase any digital-recording of the interview no later than three years after the submission of the research report.

I give permission for the use of one of the following:

<div align="center">

____ My first name only

____ Only a pseudonym

</div>

_____   _____

Signature   Date

Appendix C – Institutional Case Studies
Independent Higher Education Institutions

Ashridge

Ashridge can trace its early history back to the 12th century. It was not however until 1959, that Ashridge business school was established. Ashridge is an independent, self-financing management school with the legal status of a charitable educational trust established by an Act of Parliament. Ashridge is a charity and therefore not-for-profit. In 2008 Ashridge obtained its own taught Degree awarding powers.

Funding

The financial statement for year ending December 2011 shows that Ashridge received £36,211,000 in total income. According to one of the participants, the majority of Ashridge's funding comes through its executive education programmes. Higher education programmes contribute a relatively small amount to the funding of the organisation. The balance of the funding is approximately 85% from executive education and 15% from higher education. No funding is received from HEFCE and students do not receive money from the Student Loans Company.

Student body

Ashridge offers a range of Masters programmes and a doctorate along with a range of executive programmes. The QAA Institutional Audit (April 2011) showed that Ashridge had 397 higher education students, all of whom were postgraduate. Anecdotal evidence from one of the participants indicated that the student body at Ashridge is mostly from the UK.

Governance

Ashridge has a Board of Governors, an academic board and a number of other committees.

Management Structure

The management structure at Ashridge is very flat. The CEO has eight senior staff who each occasionally acts as his deputy.

Regent's College

Regent's College is an independent not-for-profit HEI (comprised of two Faculties, which contain a number of schools that merged within the last ten years to form the larger HEI). Regent's College can draw its roots from a school originally founded in a major European city in the late 1960s. At the time of writing, Regent's College has just been awarded Taught Degree Awarding Powers and is expected to secure University title in academic year 2012-13.

Funding

The financial statement for year ending July 2011 shows that it received £37,898,000 in total income. As Regent's College draws no funding from HEFCE for neither teaching nor research, the principal source of income was student fees. The students are all self-funding. A scholarship and bursary scheme is available to applicants.

Student body

Regent's College has a large international element within the student body with hardly any home students.

HESA Survey of private and for-profit providers of higher education in the UK 2009/10 - Provisional figures showed that Regent's College had a total of 4272 students. 237 Foundation students, 2484 First degree students and 1511 Postgraduate students. Approximately 90% of students are international students of which 55% are from outside of the European Union.

Governance

Regent's College has a Senate, a number of key boards, committees and meetings which are subordinate to a Board of Trustees. The sovereign body for academic decision-making is the Senate.

Management Structure

The management structure at Regent's College is very flat, with few layers between the bottom and the top. This can provide the basis for very quick decision-making. The key decision-making body for operational issues, and matters of policy and strategy, is its Executive Group.

Pre-1992 Higher Education Institutions

Institute of Education

The Institute of education was founded in 1902 as the London Day Training College. In 1932, the Institute became part of the University of London. In 1987 the award of a royal charter set the seal upon its status as an independent college and school of the University of London.

Funding

The University's financial statement for 2010/11 shows:

	£000
Funding Council Grants	20,967
Tuition Fees	17,069
Research Grants and Contracts	13,936
Other Operating Income	14,525
Endowment and Investment Income	922
Total Income	67,419

Student body

HESA data for 2010/11 shows that the student body was comprised of the following:

Student body:	6,330
Undergraduate:	340
Postgraduate:	5,990

665 students came from outside of the EU.

A paragraph in the financial statement for 2010/11 notes that the Institute has 881 research students –the largest student research community in education in the UK.

Governance

The governing body of the IOE is the Council. Members of the Council are also the trustees of the IOE. The Institute also has a Senate and Academic Board.

Management Structure

The Director is the principal academic and administrative officer of the Institute. In accordance with the terms and conditions of the financial memoranda between the Institute and HEFCE and TDA, the Director is the 'accountable officer' of the Institute. In that capacity the Director can be summoned to appear before the Public Accounts Committee of the House of Commons. The Director has responsibility to ensure public funds are used for the purpose given and achieve value for money.

As Chief Executive of the Institute, the Director is responsible for the development of strategy, the identification and planning of new developments, and shaping the Institute's ethos. Ultimate responsibility for the Institute's corporate strategy rests with the Council.

The Director is supported by the SLT in exercising his responsibilities for the academic and administrative operations of the Institute.

Green Templeton College

Established by Royal Charter, Green Templeton College was founded in 2008 as the University of Oxford's newest College. Green Templeton College was created through a merger of Green College (founded in 1979) and Templeton College (founded in 1965).

Funding

The financial statements for the University of Oxford do not give a breakdown of income from individual Colleges. However, it is worth noting that as the students are all postgraduate they are either self-supporting, financed by others and/or have received a scholarship or award.

Student body

Green Templeton College is a graduate-only college. It has a relatively large international student body: currently more than 60% of its students come from countries outside the UK.

Governance

The University has a governance structure which comprises both Congregation and Council. Congregation, the ultimate legislative body of the University, is composed of virtually all academic staff and certain research support staff, administrators and librarians. It has responsibility for considering major policy issues submitted to it by Council or members of Congregation; elects members to certain University bodies, including Council and the Audit and Scrutiny Committee; and approves changes to the University's Statutes and Regulations, which define the governance structure.

Council, composed of members of Congregation elected by Congregation, ex officio members and lay members, is (subject to the provisions of the Statutes) responsible for the administration of the University and for the management of its finances and assets. It is also responsible to the Higher Education Funding Council for England (HEFCE) for meeting the conditions of the Financial Memorandum between the Funding Council and the University.

Council meets monthly and is chaired by the Vice-Chancellor. Members of Council have regard to the Charity Commission's guidance on public benefit, and in particular, the key principles that there must be an identifiable benefit or benefits, and the benefit must be to the public or a section or sections of the public.

Management Structure

The College has a governing body made up of governing fellows who also act as trustees. The Governing Body is responsible for the management and administration of the
College and for ensuring the proper use of all funds received by the College but for all every day operations of the College and for all actions within the annual budget, as approved by the Governing body, this authority is delegated to the Principal.

The principal officers for the College are:
- Principal;
- Vice-Principal;
- Senior Tutor;
- Bursar
- Treasurer; and
- any other offices which the Governing Body may from time to time determine.

University of Leicester

The University was established by Royal Charter in 1957 and acts as an autonomous, self-governing institution. The University has exempt charitable status and is regulated by the Higher Education Funding Council for England (HEFCE).

Funding

The University's financial statement for 2010/11 shows:

	£000
Income	
Funding Body Grants	74,840
Tuition Fees and Education Contracts	89,386
Research Grants and Contracts	48,732
Other Income	47,003
Endowment and Investment Income	725
Total Income	260,686

Student body

HESA data for 2010/11 shows that the student body was comprised of the following:

Student body: 27745

Undergraduate: 21,920

Postgraduate: 5,825

5,260 came from outside of the EU.

Governance

The University's Council, the governing body of the University, comprises a number of ex-officio, appointed and elected lay and academic persons, the majority of whom are non-executive. The Council normally meets four times a year. The role of the Chair of Council is separated from the role of the University's Chief Executive, the Vice-Chancellor. The powers of the Council are set out in the Statutes and Ordinances of the University, by its Statement of Primary Responsibilities, which is published on the University's website, and under the Financial Memorandum with the Higher Education Funding Council for England. The Council holds to itself responsibility for the ongoing strategic objectives of the University, including approval of major new developments, and for monitoring progress against these. Council receives regular reports from its Committees on the day to day operations of the University and of its subsidiary companies. Council also receives an annual summary assessment of the University's performance against a range of key performance indicators, and these assessments are published on the University's website.

Management Structure

The Vice-Chancellor is supported by three Pro-Vice Chancellors, four heads of College, an Assistant Registrar and support staff.

Post-1992 Higher Education Institutions

Bournemouth University

The University's origins can be traced to the early part of the 20th century with the foundation of the former Bournemouth Municipal College. Under the Higher & Further Education Act 1992, the Polytechnic became Bournemouth University with inauguration on November 27th of the same year.

Funding

The financial statement for year ending July 2011 shows that it received £121,048,000 in total income. Income source was shown to be broken down as follows:

Funding Council Grants   38% (£45,998,240)

Academic Fees and Support Grants 48% (£58,103,040)

Research Grants and Contracts   3% (£3,631,440)

Other Operating Income   11% (£13,315,280)

Student body

HESA data for 2010/11 shows that the student body was comprised of the following:

Student body: 18,795

Undergraduate: 15,920

Postgraduate: 2,875

1670 students came from outside of the EU.

Governance

The University is a Higher Education Corporation which has a Board of Governors, an Academic Board and a Senate. The principal, also known as the Vice-Chancellor, is the Chief Executive Officer.

Management Structure

The Vice-Chancellor's executive team is comprised of three Pro-Vice-Chancellors and a Chief Operating Officer.

London Metropolitan University

London Metropolitan University is both a company limited by guarantee with no share capital and an exempt charity, regulated by HEFCE. London Metropolitan University was created on 1st August 2002 from the merger of two universities both of which were former polytechnics. Prior to their merger both former Universities, London Guildhall University and the University of North London, were awarded University title in 1992.

Funding

The University's financial statement for 2010/11 shows:

	£'000
Income	
Funding Council grants	68,465
Tuition fees	76,607
Research grants and contracts	2,876
Other operating income	9,094
Endowment and investment income	711
Total income	157,753

Students are subject to the usual funding arrangements. e.g. students are charged fees and may seek tuition fee loans, maintenance grants and Government student loans plus any relevant awards such as bursaries and/or scholarships. Students with dependants (children or adults) may also qualify for additional Government grants.

Student body

HESA data for 2010/11 shows that the student body was comprised of the following:

Student body: 22,835

Undergraduate: 16,550

Postgraduate: 6,285

3, 660 students came from outside of the EU.

London Metropolitan University's student body is mostly drawn from the immediate locale and about a quarter of the student population is from overseas.

Governance

The University is a company limited by guarantee with no share capital. All governors of the University are also directors of the company and are trustees of the University as an exempt charity. The London Metropolitan University has an Academic Board, a number of boards, committees and meetings which are subordinate to a Board of Governors. The sovereign body for academic decision-making is the Academic Board.

Management Structure

The principal officer is the Vice-Chancellor and Chief Executive who has responsibility to the Board of Governors for the organisation, direction and management of the University. He is also the designated Accountable Officer for the purposes of the Financial Memorandum with HEFCE. The Vice-Chancellor and Chief Executive is supported by an Executive Group comprising the Deputy Vice-Chancellor, the Deputy Chief Executive, the University/Company Secretary and Clerk to the Board, the Director of Finance, the Director of Human Resources and, by rotation, two Deans of Faculty.

The management structure of London Metropolitan University has several layers consisting of a Senior Executive Director group at the first level, a Directors' group

at the second level and Heads of Academic departments at the next level. The key decision-making body for operational issues, matters of policy and strategy is its Directorate.

University of Cumbria

The University is one of Britain's newest universities and it has a history which can be traced back over 150 years. The University was formed in 2007 from the Cumbria Institute of the Arts, St Martin's College and the Cumbrian campus of University of Central Lancashire.

Funding

The University's financial statement for 2010/11 shows:

	£'000
Income	
Funding body grants	40,666
Tuition fees and education contracts	31,135
Research grants and contracts	247
Other income	14,141
Endowment and investment income	61
Total income	86,250

Student body

HESA data for 2010/11 shows that the student body was comprised of the following:

Student body: 11,175

Undergraduate: 8,290

Postgraduate: 2,885

60 students came from outside of the EU.

Governance

The University is a company limited by guarantee and is an exempt charity. The incorporated University's structure of governance is as laid out in its Memorandum and Articles of Association, as revised and implemented on 1 August 2007. The University has a Board of Directors and an Academic Board to oversee and manage its activities. The Directors of the University Board are the trustees of the Charity. There are also several Associate Directors who support the management and governance of the University through their roles on a range of committees.

Management Structure

The Vice-Chancellor is supported by two Pro-Vice-Chancellors, three Deans, three Directors and a Registrar and Secretary.

Appendix D - Research Questions:

Q1. In your opinion, what are the key aspects of recent government policy affecting your institution?

Q2. Regarding those aspects of recent government policy that you have spoken about how do you see those aspects affecting your institution?

Q3. Do you agree with those aspects of government policy affecting your institution? Please explain your answer?

Q4. How have you responded to those aspects of government policy affecting your institution?

Q5: Do you see yourself as an academic?

Q6: To what extent do politics play a role in your identity?

Q7: To whom are you accountable?

Q8: Assuming there is more than one internal and/or external person to whom you are accountable then is there an order of importance for you in terms of reporting? e.g. the Quality Assurance Agency (QAA) higher Education Funding Council for England (HEFCE), Government, Chair of Board of Trustees/Governors?

Q9: Why do you think it is important that you should be accountable?

Q10: How does your personal accountability help to shape your institution?

Q11. In terms of your own accountability, how do you think that this affects your staff? e.g. Cultural/community questions? Management style? Use of Full-time and Part-time staff?

Q12. How do you see your accountability affecting the academic identity of both yourself and your staff in terms of academic profiles and professional development?

Q13. Do you think that your staff see you in the same way as you do?

Q14. Do staff trust you?

Appendix E – Theory and Research Question Connection Table

Research aims and related interview questions	Key topic	Key ideas	Key authors
Research aim 1: Examine policy and explain why accountability is of significance. **Q1. In your opinion, what are the key aspects of recent government policy affecting your institution?** **Q2: Regarding those aspects of recent government policy that you have spoken about how do you see those aspects affecting your institution?** **Q3. Do you agree with those aspects of government policy affecting your institution? Please explain your answer?** **Q4. How have you responded to those aspects of government policy affecting your institution?**	Accountability as a process within NPM		Deem (et al); Kok et al,
Research aim 2: Explore the value that Institutional leaders see in their own accountability for their institutions, staff and themselves. **Q5: Do you see yourself as an academic?** (question 5 is connected to question 13; the latter question asks whether the interviewees thought that staff saw them in the same way that they described themselves in this section.) **Q6: To what extent do politics play a role in your identity?** **Q7: To whom are you accountable? Q8: Assuming there is more than one internal and/or external person to whom you are accountable then is there an order of importance for you in terms of reporting? e.g. the Quality Assurance Agency (QAA) higher Education Funding Council for England (HEFCE), Government, Chair**		Managerialism, New Managerialism and New Public Management. Neo-institutionalism/archetype theory. Accountability	Trow; Stensaker and Harvey et al

of Board of Trustees/Governors? (These two questions were coupled and presented together) **Q9: Why do you think it is important that you should be accountable?** **Q10 : How does your personal accountability help to shape your institution?**			
Research aim 3: Explore how Institutional Leaders see their own accountability affecting the academic identity of both themselves and their staff. **Q11. In terms of your own accountability, how do you think that this affects your staff? e.g. Cultural/community questions? Management style? Use of Full-time and Part-time staff?** **Q12. How do you see your accountability affecting the academic identity of both yourself and your staff in terms of academic profiles and professional development?** **Q13. Do you think that your staff see you in the same way as you do? E.g as an academic?** This question was tied with question 5 where the interviewees were asked 'Q5. Academic Identity – Do you see yourself as an academic? If so then how do you think your own academic identity has been formed?' **Q14. Do staff trust you?**	Academic Identity	Identity always in construction, never fixed. Communal identities Tribes and Territories Communities of Practice Blended professionals	Barnett and Di Napoli; Henkel, Becher and Trowler Lave and Wenger Whitchurch and Gordon