University of St Andrews

Workload Guiding Principles

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Purpose	This guidance outlines the basic principles that should be followed when constructing a workload model and when allocating workload to staff within the model.

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1. High-Level guiding principles

1.1 This guidance outlines the basic principles that should be followed when constructing a workload model and when allocating workload to staff within the model.

1.2 We acknowledge that models will differ between Schools due to local variation in size and organisation but are also focused on ensuring that there is a significant move towards more consistency of workload modelling and workload allocation across Schools. The guidance is not intended to establish a transactional environment for all contributions (base-load citizenship expectations for minor tasks and roles remain) and includes examples that are context-dependent and will require adaptation from one situation to another.

1.3 We acknowledge that some work / roles are applicable to all members of the School, such as Academic Misconduct Panels. It will be for each to School to decide how, if relevant, to capture such activities in the workload model.

1.4 The guidance builds on principles and mandatory requirements for academic workload models issued on August 1st, 2017 (refer to Appendix A). The high-level guiding principles outlined in that document are repeated here as:

1. Transparency
2. Recognition of leadership and administrative service
3. Equity

1.5 We would add the following high-level guiding principles:

4. **Flexibility**
Where appropriate and possible, staff in academic positions should retain and benefit from flexibility in terms of when they undertake elements of their allocated work i.e., service and leadership and research and scholarship elements of their workload where these are not fixed to particular hours of the working day.

5. **Interdisciplinarity**
Academic workload models should be understandable between Schools and they should be capable of recognising and supporting interdisciplinary activity and collaboration wherever possible.

6. **Parity**
There should be a broad expectation that approximately equal conditions for comparable roles obtain so that e.g.:

i. An Education Focused Lecturer in any School can expect broadly comparable proportions of their time to be allocated to teaching activity.

ii. A Director of Research in any School can expect broadly comparable proportions of their time to be allocated to service and leadership activity.

iii. Those on part time or fractional contracts (i.e. contracted to work less than the standard working week) should be allocated work using the same guidelines and in proportion to the fraction of FTE they work, e.g. an Education and Research Focused staff member on a .5 contract should still have a workload allocated on a 40%/40%/20% basis (refer to Principle 2).

1.6 The implementation of the guiding principles will be reviewed annually by a Workload Working Group to identify issues that have arisen in their implementation. Heads of School

(HoS) will be asked for feedback at the end of each annual cycle and the guidance will be adjusted where appropriate.

2. Guiding principles for building workload models and allocating workload

2.1 Principle 1: Every member of staff who is on an academic contract, of Grade 6 or above, should be included within the workload allocation model and have their allocated work represented there.

2.1.1 This includes Research Focused staff[1]; Education and Research Focused staff; Education Focused staff.

2.1.2 This also includes staff taken out of core aspects of their role on a short or long-term basis e.g. staff moved from teaching to focus on research or service and leadership (research leave, research grant, secondment), including:

- where this has arisen through a non-standard arrangement.
- PGRs and Post-doctoral researchers who are contributing teaching for a PI or School[2].
- demonstrators who are contributing teaching for a School.
- adjustments arising from external parties replacing part of a workload e.g., where a whole teaching session has been covered.

2.2 Principle 2: The general shape of an academic workload should be consistent within and across Schools.

2.2.1 Academic staff hours for standard contracts are approximately 1650[3] hours per year (across the year and not while on annual leave[4]).

2.2.2 As guidance[5]:

- Staff on Education and Research Focused academic contracts should expect to spend approximately 40% of their time on teaching, 40% on research/impact/scholarship activities and 20% on service and leadership.

- Staff on Education Focused academic contracts should expect to spend approximately 15% of their time on research/impact/scholarship activities, with the remainder allocated to the activities related to teaching, service and leadership in proportions that align with the norms of the School and provide appropriate development opportunities[6].

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[1] *This is in order to capture duties that are being carried out by research staff (and PGRs who teach) that would be taken up by another member of staff if this person did not carry them out.*

[2] *For PGR tutors/demonstrators, a total number of teaching hours for the collective group could be included in the model for simplicity.*

[3] *Workload models are based on a notional working year of 1650 hours, in line with Research Councils' guidance (taking account of employees' entitlement to annual leave, bank holidays and closure days). The University recognises that most academic staff do not have defined working hours and that this arrangement provides flexibility which benefits individual members of staff, students and the University as a whole.*

[4] *https://www.st-andrews.ac.uk/policy/staff-annual-leave-and-other-absence/annual-leave.pdf*

[5] *Please note that to allow for individual School needs, a variation of is acceptable. Variations of 5% from each of the values above should be considered unexceptional, provided the total workload allocated in a year across all components does not exceed 100%.*

[6] *There may be exceptions to this e.g., some teaching roles in the School of Modern Languages, where the focus will be on teaching during the semester, and roles including module co-ordination count towards service. Bespoke workload arrangements may be put in place for staff employed on a short-term basis to teach on short courses.*

2.2.3 This general shape will alter when a staff member holds a defined and significant service and leadership role e.g., HoS, DoT, DoR (refer to Principle 3).

2.3 Principle 3: The term 'service and leadership' should generally refer to work allocated and undertaken within the University.

2.3.1 While it is important to recognise external service and leadership work and the contribution this makes to the University, workload models should primarily and typically recognise internal service and leadership work when allocating workloads[7].

2.3.2 As guidance:

- External service and leadership work that might not be considered in the workload model includes journal editorship work; external examining; serving on grant awarding panels, public bodies etc.

- Internal service and leadership work typically include:

    - All defined School and University roles of a standard nature e.g.:

        - Library Representative, seminar series convenor, large module leads, and all roles locally deemed contained enough to fit within the 20% allocation for Education and Research Focused Staff or a larger proportion, in alignment with the norms of the School, for Education Focused staff[8]. Significant CPD, such as the completion of a PG Cert in Academic Practice, would also be appropriate to consider within this allocation.
        - We would also encourage use of this allocation for collaborative/ 'working together' and interdisciplinary/'working across' activity so that the community as a whole supports such activity and recognises it within the standard workload model (Refer to Principle 10).

    - All defined and significant service and leadership roles of a non-standard nature that are typically too large to be contained within the standard allocation e.g.:

        - HoS, DoT, DoR, DoI, DoPGT, DoPGR, DoEDI, Programme Director etc. Administration and service duties that fall disproportionately on under-represented, disadvantaged or minority groups should also be recognised in the model (e.g., female (or male) staff members being asked to sit on multiple panel/committees to ensure gender balance). This also includes participation in mentoring/leadership schemes that are specifically designed for staff from under-represented, disadvantaged or minority groups, which should be included in the model (e.g., Elizabeth Garrett Mentoring Programme, Aurora, BAME Staff Mentoring Scheme, Diversifying Leadership Programme), but standard mentoring schemes and informal mentoring should not be included.

[7] *In exceptional circumstances, remission from standard duties due to participation in large external administration roles (e.g., membership of a REF Panel or other significant / strategic role, especially where it contributes to research environment or impact), where the activity has clear benefits to the School/University, should be agreed in consultation with the HoS.*

[8] *Administration and service duties that fall disproportionately on under-represented, disadvantaged or minority groups should be recognised the model (e.g., female (or male) staff members being asked to sit on multiple panel/committees to ensure gender balance).Participation in mentoring/leadership schemes that are specifically designed for staff from under-represented, disadvantaged or minority groups should be included in the model (e.g., Elizabeth Garrett Mentoring Programme, Aurora, BAME Staff Mentoring Scheme, Diversifying Leadership Programme), but standard mentoring schemes and informal mentoring should not be included.*

2.4 **Principle 4: Defined and significant service and leadership roles should be allocated an agreed percentage reduction of other duties within workload models.**

2.4.1 These reductions should be balanced across activities and include teaching and service/leadership; they should not simply impact on research/scholarship activity.

2.4.2 **Table 1 (for example only):**

- An example of a tier system for service and leadership roles within a School ('percentage of allocated workload' is the proportion of the staff member's total allocated time that is expected to be spent on that role on average across the year). **Please note:** The percentages are for guidance only, and specific Schools and departments may use different percentages where the remit of the role varies significantly, or the unit size varies significantly.

- Tier 1-3 roles might fall outwith the standard 20% 'service and leadership' allocation, and staff members may thus receive a teaching reduction (i.e., 'research/impact/ scholarship' would normally be protected time). Some roles may become larger in specific academic years and require additional dispensation for that time period (e.g., *DoR and DoI = REF submission; *DoEDI = Athena SWAN submission).

Tier	Role	Example % of allocated workload
1	Head of School Director of Teaching	**80-90%** **50-60%**
2	Director of Research* Director of Postgraduates (PGR and/or PGT) Director of Equality, Diversity & Inclusion*	**20-30%** **20-30%** **20%**
3	Director of Impact* Deputy Head of School Examinations Officer Admissions Officer Director of Wellbeing/Wellbeing Officer Disabilities Coordinator Degree/programme controller or year-group director	**10-15%**
4	Deputy DoT/DoR/DoPG/DoEDI/DoI Advisor of studies	**5-9%**
5	Other School administration roles (e.g., School committee member, seminar organiser, open days)	**1-4%**

2.5 **Principle 5: Non-standard service and leadership roles should be reviewed for rotation, typically after 3-5 years and should be open to staff for self-nomination.**

2.5.1 An opportunity to apply for a rotating role should be open to all, and academic staff may self-nominate.

2.5.2 The HoS, or HoS and Management Team, will select the best candidates from those who apply.

2.6 **Principle 6: Workload modelling and allocation should involve key role holders.**

2.6.1 Heads of School should convene a Workload Allocation Group to oversee workload allocation.

- This group should include all relevant office holders but ideally include: DoT, EDI Director, School Manager, and Deputy Head of School, if applicable. Heads of School will need to sign off the workload model if they are not a core member of the group.

- Schools can appoint a Workload Allocation Officer to assist where this is deemed helpful.

- This guidance should be utilised to support the allocation of workload.

- The outcome of workload allocation should be shared with all staff members via a mechanism whereby they can see how their allocation compares with other staff.

- Staff should have an opportunity to raise issues concerning their allocation and/or in relation to the transparency, fairness and equity of the workload allocation. There should be an additional opportunity to do this out with the workload allocation cycle, within the ARD process.

- If not a member of the Workload Allocation Group, the Director of EDI should review the completed workload model to ensure there are no imbalances in the workload allocation that may negatively impact individuals, or specific groups. Any identified imbalances should be addressed by HoS. Management Group should be presented with an anonymised summary of the allocation, plus relevant information about workloads of different groups (e.g., fixed-term/standard, female/male) to check for imbalances.

2.6.2 By the start of the Academic Year, the final, anonymised, workload allocation should be lodged with the Master for note and potential review as part of the strategic planning process.

2.6.3 Where there have been significant workload allocation changes over the course of an academic year, an updated version (adjusted workload allocation) should also be lodged with the Master by the end of the academic year and may also be subject to audit.

2.7 **Principle 7: Workload allocation deadlines**

2.7.1 Workload models and allocations should be drafted by July 1st each year. They should be completed and lodged with the Master (via email) by August 1st. Where appropriate, retrospective and adjusted workload allocations should be lodged with the Master via email by June 30th at the end of the academic year.

2.8 **Principle 8: The workload model should be able to take individual circumstances into account while maintaining confidentiality**

- Heads of School should identify a clear and confidential route for staff to raise personal circumstances that might impact workload.
- Individual circumstances should be discussed, and appropriate remissions agreed with the Head of School and/or HR Business Partner or Occupational Health team.
- While agreed remissions can be shared with the Workload Allocation Group in the workload allocation process, individual circumstances should not be detailed in shared documents. A confidential record or individual remissions should be held separate to the workload matrix.

2.9 **Principle 9: All staff should receive key information about the workload model and allocated work.**

2.9.1 This includes, at a minimum:

- Once work allocation is completed, to maintain confidentiality, individual members of staff should receive an easily understood record of their individual workload and how it compares to other anonymised staff e.g., histogram (refer to example in Appendix B).

- A full list of service and leadership roles and their associated remissions should be circulated to all staff along with the workload model.

2.9.2 This information should be provided on the draft workload allocation for comment, and after the allocations are finalised, for information.

2.9.3 Going forwards, a retrospective adjusted allocation should be provided alongside the prospective allocation for the next academic year.

2.10 **Principle 10: Interdisciplinary and collaborative work should be included in the model.**

2.10.1 Interdisciplinary teaching within the University should be included within the model (for example, supervising students, or leading a programme at the Graduate School, or lecturing on modules in other Schools). Interdisciplinary work should be allocated using the same tariff as for in-School activities.

2.10.2 Collaborative 'working together' activity should be included in the model (for example, working across committees, engagement with the Scottish Graduate School, participation in collaborative DTG supervision for shared studentships held at another institution e.g. IAPETIS, SUPER.

2.10.3 It is the responsibility of individual members of staff to inform and seek agreement from their Head of School before asking for such activity to be taken into account in their workload allocation. Once agreement is secured, it is the responsibility of the individual staff member to inform those allocating and recording workloads of the work they have committed to undertake outside of their School. It is their responsibility to do so in a timely manner so that this work can be considered within the workload allocation process. Heads of School are encouraged to support collaborative and interdisciplinary activities, recognizing the benefits of these to staff and the university.

2.11 **Principle 11: Special circumstances and remissions - e.g., for new, early career staff, staff who have had long-term illness, family-related leave, significant events e.g., BMS fire – should be considered where possible**

2.11.1 New, early career, academic staff (either on standard or fixed-term contracts), who have limited work experience in higher education, can expect to have a reduced teaching, service and leadership load initially (e.g., 80% workload in Year 1, 90% in Year 2, 100% in Year 3). These are to be agreed in consultation with HoS.

2.11.2 Staff who are taking extended periods of family-related leave (i.e., maternity, paternity, adoption or shared parental leave of at least 3 months) or sick leave could, where possible, be given 10% reduced workloads during the academic year in which they return to work.

- Workload must be reduced in proportion to the leave staff take. Staff taking or returning from leave within an academic year should only be expected to undertake a workload proportionate to the time they have back at work in that academic year.

- Line managers should avoid allocating large, new roles to staff that are returning from family-related or sick leave, unless requested by the staff member.

2.11.3 HoS are reminded that they can request salary support from the University to cover teaching/administration duties for extended periods of family-related leave or sickness related absence.

2.12 **Principle 12: Granularity levels of workload allocated**

2.12.1 Individual Schools can determine the level of granularity of recorded workload tasks, but at a minimum, workload models must include:

- All teaching contact hours, regardless of where they are undertaken.
  - Approximate number of students taught in each session.
  - Approximate marking load.

- All defined and significant service and leadership roles.

- All PGR supervision*

**The role of PGR students in Schools varies very significantly and this means general guidance is difficult to formulate. Where appropriate, PGR supervision should be taken into consideration, but neither over- nor under-recognised within the workload model. Removal from non-PGR teaching duties should only be in proportion to the reasonable estimation of time spent undertaking supervision.*

2.13 **Principle 13: Workload models should be understandable across Schools.**

2.14 **Principle 14: Workload models and allocation should allow for carry-forward of significant debits/credits from the previous year.**

2.14.1 Where possible and appropriate, workload models and allocation should take into account and consider adjustments to reflect significant extra or reduced workload from previous years, except where this was as a result of Special circumstance considerations and remissions outlined in Principle 11.

3. Version control

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
1.0	New document	Published	Mairi Stewart Director of HR	10/06/2021
1.1	Revision following Year 1 feedback.	Published	Mairi Stewart Director of HR	22/08/2022
1.2	Change to review date only.	Published	Mairi Stewart Director of HR	30/08/2023
1.3	Extension to review date.	Published	Mairi Stewart Director of HR	07/12/2023

Appendix A: Policy: Academic Workload Models – Mandatory Requirements.

Effective from: 1 August 2017

It is recognised that workload models need to vary from School to School, as the way the disciplines operate can vary for quite legitimate reasons. There are, nevertheless, three principles that need to be embedded in every workload model. These are:

1. Transparency
2. Recognition of leadership and administrative service
3. Equity

The text that follows below explains what we mean by each of these. Schools are welcome to develop or maintain more detailed workload models and processes (indeed, we advise you to do this) that are consistent with these non-negotiable principles.

1. Transparency

<u>As a minimum there must be:</u>

Clarity of time commitment to teaching, administration, impact/engagement and research. Members of staff should be clearly informed of how their normal working hours are broken down, on average, between these four areas of contribution (bearing in mind not all roles involve all of these elements). In some cases, Schools may choose to specify teaching and administration commitments in detail, on the basis that the remaining time is expected to be applied to impact/engagement and/or research (in line with individuals' targets and development discussions). For consistency, the School must use the same approach to calculation for all academic staff.

Clarity about how teaching hours are calculated.
The School must be clear about how the hours that each individual works to fulfil their teaching contribution are calculated. Where possible, this should reflect the scale of preparation and assessment work as well as in-class contact hours.

Clarity about how adjustments to elements of workload are made.
The School must be clear about how enhanced activity in one area – say, a key leadership role such as Director of Teaching – either fulfils all or part of the expectations in that area or requires that an offset against other expectations is also applied.

Clarity about how research funding affects workload.
The School must be clear about how research funding for investigators' salaries is used to adjust workload.

Clarity about how workload assignments are allocated.
The process of allocation should be clear in terms of who makes the decisions and the basis on which they are made. There should be an opportunity to discuss this process, at a staff council meeting, when changes are developed.

2. Recognition of leadership and administrative service

Schools must make specific allowance for certain leadership / administrative service roles. The allowance may be that certain roles are a partial or complete fulfilment of an individual's service obligations, or in the case of larger roles some offset against teaching or research commitments would also be allowed. Schools should develop their own table of roles and the appropriate offsets (since these depend to some extent on the scale and scope of the School), which may cover more

than the minimum requirements detailed here. Nevertheless, all Schools must make a formal allowance for these roles (or those of similar responsibility but different title) where they exist:

- Head of School
- Deputy Head of School
- Head of Department (where relevant)
- Director of Teaching
- Director of Research
- Director of Impact (where relevant)
- Director of Postgraduate Research
- Director of Postgraduate Taught Programmes (where relevant)
- Director or Officer for Equality and Diversity / Athena SWAN convenor
- Programme Director (where relevant, for significant programmes)

For the avoidance of doubt, Schools may make adjustments for other roles in addition to this list, and some Schools may choose to operate sharing arrangements for some larger leadership roles. Heads of School are encouraged to discuss and develop their approaches with the other Heads of School and/or to seek guidance from the Master where this would be helpful.

3. Equity

It is essential that workload allocations are fair as well as transparent, and with that in mind the School's workload model must:

Have common baseline expectations.
All staff in the same grade and career path must have the same baseline expectation in relation to how their workload is constructed, before any appropriate adjustments are made (for example, in relation to administrative roles).

Indicate that academic grades have different expectations in relation to level, not volume, of contribution in all areas.
Promotion should therefore not imply that particular strands of the academic role become more or less important. Instead, promoted staff are expected to contribute at a higher level of impact/influence.

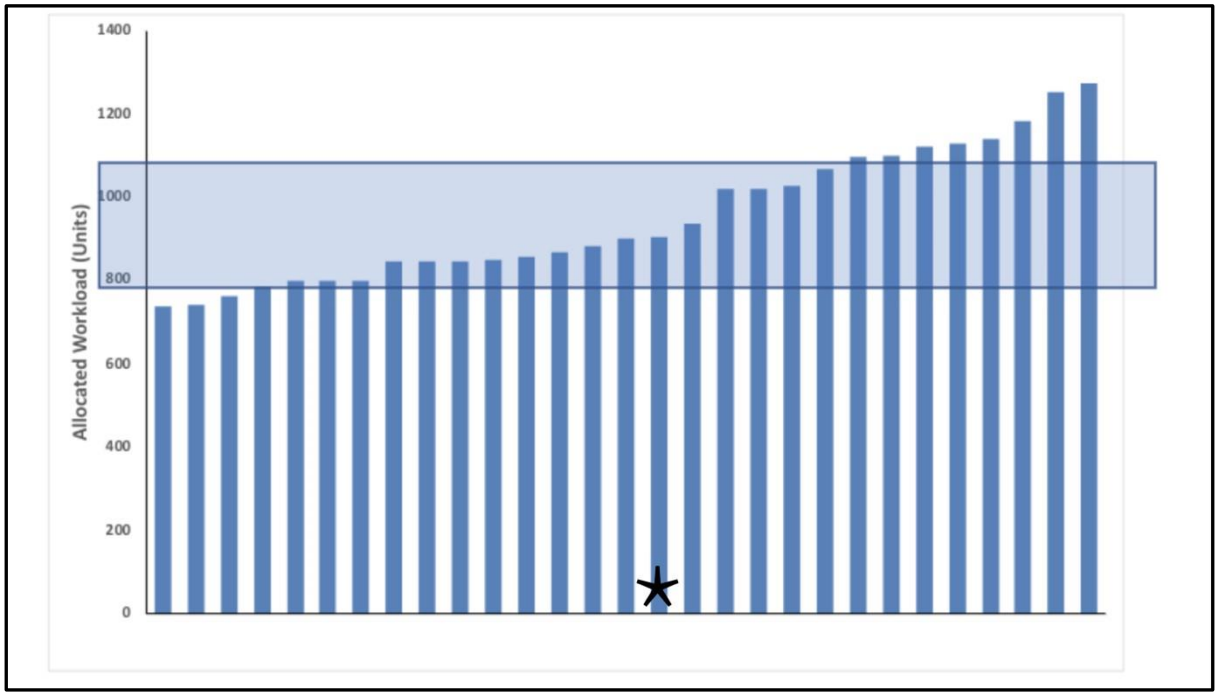
Allow for individual circumstances and flexibility, in a way that is fair for all staff.
Workload should be managed within a team framework and with a collaborative mindset to support the different recognised needs of staff, being mindful of HR policy and guidance.

Be discussed with the Master, to ensure comparability with other Schools within the faculty.

Professor Garry Taylor
Master of the United College

Appendix B: Example graphic provided to staff to contextualise their workload

(adapted from Chemistry)



These results show individual results for the workload model. The target area is shaded in blue. Those below the target (on the left-hand side) are all early career staff and those above the target are include some of those with the largest School jobs (HoS etc). Your workload is indicated by the star.