

# Academic Workload Framework (AWF) 2016

## 1.0 Background and introduction

A joint working group between the University and EIS<sup>1</sup> was established to look at how workforce allocation could be improved. This resulted in a revised framework, *Academic Workload Framework 2016* (AWF 2016) which replaces the previous framework known as *Workload Allocation Framework 2010/11*. All Schools should utilise AWF 2016 when distributing academic responsibilities. Utilising AWF 2016 across the University supports fairness, equity and transparency in the workload of academic staff. The AWF is intended to provide a flexible basis for the allocation of all aspects of academic work, including teaching, research, commercial, and academic support activities. Deans of School are accountable for the local operation of the framework, which can be varied to meet local need with the approval of the AWF Steering Group.

## 2.0 Allocating Academic Workload in 2017/18

AWF 2016 should be utilised to ensure that academic staff have balanced academic workloads that provide the opportunity for professional growth and are designed to deliver the academic outputs identified in school plans.

AWF 2016 is intended to promote fairness and equity in the allocation of work between individuals and identifies the normal allowance appropriate to some of the most commonly occurring elements of academic work. It recognises that in many academic assignments an individual agreement with local managers, as to both agreed milestones and outcomes, is more appropriate than fixed allowances.

## 3.0 The principles

A set of principles have been agreed which form the basis of how any Academic Workload Framework, current or future, will operate. The principles are intended to ensure we achieve our goals of operating a workload allocation framework which is fair and equitable and positively helps us to plan better. These principles have been agreed in partnership with the recognised Trade Union, EIS.

The University's standard policies and procedures apply to the operation of the framework. In particular the statement on equality and diversity applies to all of the principles below and is restated here:

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<sup>1</sup> The Educational Institute of Scotland is the recognised Trade Union for academic staff

*“Edinburgh Napier University believes that equality of opportunity is essential to everything we do. We will do this by creating and maintaining an environment where students and staff are selected solely on merit. We will not allow a person's gender, colour or any other irrelevant attribute influence our decision to offer a place to study or work.”*

Each of the principles is followed by some further explanation which aims to clarify how they would be applied in practice.

***Principle 1: The AWF will provide for the allocation of comparable workloads in a fair, consistent and transparent way.***

In areas where the framework is operating well workload allocations are visible to other members of the school. This encourages subject areas to work collegiately and allows team members to agree a flexible distribution of workload to suit individual circumstances. It also helps to avoid introducing a defensive element to workload allocation which leads to individuals filling up their allocation as quickly as possible. The Steering Group are of the view that transparency is a key element to the successful use of the framework.

With regard to consistency the Steering Group agrees that where the framework allocates standard tariffs for activities such as personal development these should be applied across all schools. Any deviation would need to be justified.

While the framework sets a general expectation it should be applied flexibly. Adjustments may be necessary for staff on fractional contracts, staff who are in their early years of teaching and for staff returning from extended periods of parental leave who may need time to re-establish their research.

***Principle 2: The AWF is a university wide framework agreed and jointly governed by a cross-university group including Human Resources, recognised Trade Union representatives and senior academic managers.***

The Academic Workload Steering Group provides oversight of workload allocation and ensures that the principles are applied consistently across all six schools. As far as possible the membership of the Steering Group will be balanced in terms of gender and seniority and membership will be rotated every 3 years. Deans of School should be accountable for ensuring that the AWF is operated in accordance with the principles. Within the parameters of a total workload allocation based on staff FTE, the Steering Group believe that schools should have flexibility in how they allocate workload. Schools should agree their approach, including any variations to the standard model, with the Steering Group.

***Principle 3: The application of the AWF should be equitable in terms of load, challenge and opportunity***

An open and visible process will help to ensure that allocations are equitable and take account of individual circumstances. Good practice suggests that the best way of achieving this is to work as a team when agreeing allocations. Athena SWAN supports transparency in workload allocation to ensure there is equity of challenge and complexity for all staff.

As we state on the Equality & Diversity intranet page, equality of opportunity can only be achieved by recognising that individuals have different circumstances and needs which may have a bearing on both their workload capacity and profile. The University routinely monitors allocations against gender.

***Principle 4: The AWF will inform forward planning of overall workload and resource allocation and activity planning***

Workload allocation is most meaningful and useful when it integrates with the business planning cycle. As described below this means we expect schools to follow the timetable below:

Feb/March – Student target data available for next academic year

February – Deadline for submission of business plans

March – Discussions begin on workload allocations required to deliver the School Plan

End of May – Schools to present indicative school level allocations to AWF Steering Group

Jun to Aug - My Contribution plans feed into workload allocation planning

Jun to September – Fine tune allocations for the following academic session

In-year changes should be made as required, and there will be a continuing requirement to submit and confirm a record of actual work done for TRAC purposes.

***Principle 5: AWF provides an indicative measure of workload***

Workload allocation is a useful part of the planning process and can help us achieve the right mix of activities which will in turn achieve our strategic goals. The purpose of allocations are to provide a holistic view of activity, they are not intended to provide an exhaustive account of everything undertaken by an individual. This means that there will be some activities undertaken which are not part of workforce allocation. It also means that where an allocation is clearly out of kilter then it should be adjusted accordingly. The framework should support our delivery of the strategy and school plans.

***Principle 6: AWF allocations should be reality based, and linked to outputs***

Allocations should be based on current data and linked to the achievement of outputs set out in the school plan. Allowances should be commensurate with the outputs being delivered.

***Principle 7: AWF teaching allocations should be student-centred and support the University's strategic objectives.***

Allocations for teaching need to reflect the needs of our students while providing an efficient response to meeting these. Allocations should reflect student numbers and the design of programmes. Overall allocations should also enable our research goals to be achieved.

***Principle 8: Indicative individual allocations should be completed in a timely fashion for the full academic session by the beginning of October (for the first trimester) and reviewed by beginning of February (for the second trimester) and May/ June (for the third trimester)***

Workload planning should start in February in line with the business planning process and should be complete prior to the start of the first trimester. By this time individual academics will have agreed an indicative workload with their line manager. The My Contribution process will inform individual allocations.

#### **4.0 Implementation and monitoring**

Deans of School will be accountable for the operation of the AWF in line with the principles. It is expected that day to day implementation and development of the framework at a local level will be delegated to designated academics in each school who will be responsible for ensuring that workload allocations are completed on schedule and according to the principles above.

Schools will be asked to present their planned allocations to the AWF Steering Group by the end of May for the coming academic year. These plans should include any proposals to vary the standard framework. A mid-year review will be held in November to assess whether any adjustments are required for the remaining academic year.

The AWF Steering Group will be chaired by a member of SLT and include representatives from each school along with representatives from HR, Planning and EIS.

There will be a continuing requirement to submit and confirm a record of actual work done for TRAC purposes.

#### **5.0 Local flexibility and change management**

The Steering Group believe schools should have flexibility in how they allocate workload. While the default position is that schools are expected to base their allocations against the core framework they are encouraged to put forward a case to vary the model or even propose an alternative framework. This should be presented as part of their submission to the Steering Group at the end of May. It is expected that local allowances, as well as any proposed changes to the core framework, will be consulted on with the School's Trade Union representative and staff before coming to the Steering Group. It should be noted that workload is a product of how the school designs their academic provision and that therefore the pattern and volume of allocations can be changed by reshaping the provision.

## 6.0 Recording Academic Workload

For the purposes of TRAC, which is an external reporting requirement, there is a continuing need to record workload allocated and to confirm this provides a reasonable representation of work done.

## 7.0 Areas of Work

Academic work can be broadly classified in four main categories, these being teaching, research, enterprise and support. The allowance for enterprise activity will generally be directly related to commercial income. Over the last three years the average reported ratio of activities other than commercial has been 75% teaching, 12% research and 10% support. In the future, it is anticipated that the balance of other activities at a school level will move towards 50% Teaching; 30% Research; and 20% Support. In the longer term, this may shift to 40% Teaching; 40% Research; and 20% Support, based on growth of funded research. Individual allocations should reflect this shift.

### 8.1) Teaching

This category covers delivery of teaching, preparation for delivery, and support for delivery. Included are all aspects of assessment and feedback, and direct administration of programmes and modules. Direct contact units would include allowances for the delivery of courses delivered by web or other technologies. Allowance can be made for complexity and to encourage innovation that delivers an excellent student experience. It is recommended that 450 units be the normal maximum for annual class contact for an individual academic, and that the normal maximum contact in any one week should be 24 units.

### 8.2) Research

Essentially research falls into two categories: Edinburgh Napier Funded and Externally Funded Research. Edinburgh Napier University funded research is justified *inter alia* in terms of its contribution to the development of the teaching portfolio. This was previously referred to as T-stream. Schools should consider how individual allocations can support professional development and the achievement of research outcomes. TRAC and Research Council guidance on fEC(Full Economic Cost) guidance is clear that institution funded research should be aimed at pump priming externally funded research and is not sustainable in the longer run. Externally Funded Research should now be based on fEC principles and staff should be entitled to count any hours identified in accepted research bids. Funded research hours will be formally re-calibrated to the university's 1300 unit system by multiplying by 1300/1650. In normal circumstances the only constraint on allocation of time to funded research is that an individual academic member on a teaching and research contract should contribute at least **20%** of their time to teaching.

Postgraduate Research Supervision is defined for TRAC purposes as a distinct form of Research and needs to be allocated under the Research Supervision category.

### **8.3) Commercial and enterprise activities**

These are important academic activities which support school and university income and provide significant opportunities for professional growth. The nature and scale of activity is likely to vary significantly across schools, and there is no recommended limit to the proportion of time that can be allocated to these activities. Where activity can be anticipated, allowances can be made in the normal way. Recording of actual activity will normally be referenced against specific commercial income.

### **8.4) Allowances for administration, leadership, management, and academic citizenship (i.e. support)**

It is anticipated that allocations in this category would not generally amount to more than **25%** of an individual academic's allocated workload, and that the total allocated to such activity should not exceed **20%** of a School's available allocation. Where the scale of activity would require more than 25% of an individual's allocation, it is considered good practice to distribute such opportunities more widely.

Administration should be categorized according to the activity coordinated. So, for example, activity administering Programme, Module, Student Support, and Quality should be recorded as *Teaching*. Only activities which involve all three of the primary activities, and the balancing of resources between them, should be recorded as *Support*. Time spent as Head of Subject or undertaking similar management roles, for example, should be recorded as *Support* as this involves balancing all three direct activities in individual workloads. It will then be allocated for TRAC purposes in proportion to the Teaching/Research/Other balance of the School.

## **8.0 Summary of standard allowances by activities**

Allowances are stated as norms (variations up to 10% may be viewed as unexceptional) and Schools have discretion to vary allowances subject to agreement of the AWF Steering Group. There should, however, be some defensible reason for variations, not simply a justification based on past practice or the availability of staff resources in order that allocations are fair and transparent. The 'areas of work' categories reflect the TRAC reporting requirements.

Normally academic staff shall be allocated 1300 units, with each unit notionally equivalent to one hour, with a pro rata allocation for those on fractional contracts. The *My Contribution* process should ensure that any individual member of staff has the capability and capacity to carry the workload. 1300 units does not represent 100% of a 35 hour working week, but where allocated activities amount to more than 1300 units *My Contribution* conversations should address what action may be necessary to ensure total allocated duties remain reasonable. There may be some year to year balancing of workload. AWF 2016 is not intended to account for every aspect or hour of academic work.

### Summary of standard allowances by activities

Area of Work	Activity	Sub-activities	Allowance	Comments
<b>1 Teaching</b>				
<p>(Teaching includes CPD delivery) The amount of teaching on a module or programme is set by module numbers and the programme document.</p> <p>The allocation of Projects to the Project banding shall be based on the learning objectives and methods of support identified in the programme documentation.</p>	T.1 Contact	<p>Lectures, labs, seminars and tutorials</p> <p>Honours Project Supervision (includes assessment) and MSc Project Supervision (includes assessment)</p>	<p>Normally 1 unit per taught hour</p> <p>Projects will be designated as requiring one of four bands of input of supervision. The units allocated should cover all the work of the supervisory team. Band One: six units Band Two: ten units Band Three: twenty units Band Four: thirty units</p>	<p>Contact Hours to be 450 maximum normally, and staff shall be strongly discouraged from scheduling more than 24 contact hours in any week. All staff will normally be expected to have a minimum of 130 contact units or 10% of their workload pro rata.</p> <p>A Band One Project might be a non-lab based project supported by a separate research methods module. A Band Four Project might be a 60credit project module with significant Laboratory based practical work and incorporate a research methods component.</p>
	T.2 Preparation and support		<p>Normally 1 unit per contact hour</p> <p>For repeat tutorials the allowance is a total for the module: 1 tutorial – 1 unit for the tutorial 2 tutorials – 1.5 units in <b>total</b> 3 tutorials – 1.5 units in <b>total</b> 4 tutorials – 2.0 units in <b>total</b> 5-9 tutorials – 3 units in <b>total</b></p>	<p>Team teaching of skills work is seen as changing the balance between contact time, preparation, teaching and module management. Work Allocations to members of teams delivering modules can be spread according to the inputs of</p>

Area of Work	Activity	Sub-activities	Allowance	Comments
			10 or more tutorials – 4 units in <b>total</b>	<p>the staff group. The total work to be allocated being determined as if one person had delivered the whole module. Where there are repeat tutorials the allocation should be shared by the teaching team on a schedule, such as that shown, and agreed by the Head of School. Where an allowance for flexible module delivery is given, an allocation will also be given for ongoing preparation and support in line with the allocations shown in this section.</p> <p>Preparation Includes all Programme and Module administrative meetings.</p>
	T.3 Assessment and feedback		The allowance shall normally be 1 unit per student per 20 credits. (The same allowance should be made to assessment on flexible learning modules.) The total units of assessment on a module shall then be allocated to staff in proportion to their input to the module's marking load.	Includes all Examination Boards.
	T.4 Module leadership		15 units plus 0.1 unit per student	
	T.5 Personal Development Tutorials		2 units per student	
	T.6 Placement visits		Normally 5 units per placement student on non-co-located placements	A full allocation of the Link lecturer role in Nursing and Midwifery shall be recognised to amount to 130 units. This shall cover both the approval and

Area of Work	Activity	Sub-activities	Allowance	Comments
				monitoring of placements and the ongoing supporting of the student in placement.
	T.7 Module and Programme Development		Subject to negotiation with Dean of School and the degree of innovation required.	The periodic renewal of any module should involve the explicit allocation of units to the individual or team developing or revising the material.
	T.8 Scholarship		<b>65units (5%)</b>	<b>Entitlement</b>
	T.9 Programme or School Teaching Admin (non-module)		According to size of cohort and complexity of task.	Generally this should not amount to more than 25% of an individual's allocation
	T.10 Professional Teaching and Research Development		Up to 130 units (10%)	This category can be used to allocate development activities in teaching or research to new academic staff, or where they are developing an agreed new set of capabilities.
	T.11 Off campus Teaching and Programme moderation, including Overseas Delivery			Staff delivering or moderating courses as part of their contract shall have allowances agreed by DoS <sup>2</sup> to appropriately reflect the work involved
	T.12 Other Teaching			Anything else teaching related, which is not covered in sections T1 – T11, should go in here.

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<sup>2</sup> Dean of School

Area of Work	Activity	Sub-activities	Allowance	Comments
<b>2 Research</b>				
	R.1 Research Support		According to complexity of the task and degree of external funding.	In agreement with DoS
	R.2 Edinburgh Napier University Funded Research		Normally no individual should have more than 325 units of Edinburgh Napier University funded research	In agreement with DoS
	R.3 PGR Supervision		<p>PhD/DBA, 65 units per student per year for a maximum of 3 years full time, a total allowance of 195 units per student. Where a student is part-time the total allowance may be spread over the normal period of study of 5 years.</p> <p>PhD by publication, 40 units in total for the year.</p> <p>MPhil 65 units per student per year for a maximum of 2 years full time, a total allowance of 130 units per student. Where a student is part-time the total allowance may be spread over the normal period of study of 40 months.</p> <p>Masters by research 65 units per student for the year. Where a student is part-time the total allowance may be spread over the normal period of study of 2 years.</p>	<p>The allowance shown includes that for the Panel Chair, normally 5 units.</p> <p>Other Masters projects are Teaching not Research and covered under T.1</p>

Area of Work	Activity	Sub-activities	Allowance	Comments
	R.4 Funded Research		For fEC <sup>3</sup> funded research, the allocation is calculated using the formula (1300/1650 x hours funded by research grant)	Staff must contribute at least 20% of their time to teaching except where explicitly on a research only contract
	R.5 KTP Research		130 units (KTP 1/2day)	This is a stipulation of the KTP directorate: any further allowance would have to be seen as personal development/Napier Funded Research/Scholarship
<b>3 Commercial or Other</b>				
	O.1 Commercial Support		Varies according to extent of the task and degree to which the activity is externally funded.	If an allowance of above 325 units is proposed there should be a clear role specification.
	O.2 Commercial Delivery		Where commercial work is performed as part of the basic contract, the units should reflect the basis used in pricing the contract.	Essentially, therefore, this would be by individual negotiation and depend on the needs of the client.
	O.3 Target			Initial allowance against future activity.
<b>4 Support</b>				
	S.1 Cross activity Management Roles and special allocations for School management projects.		This should not normally be more than 25% of any individual allocation	In agreement with DoS

<sup>3</sup> Full economic cost

Area of Work	Activity	Sub-activities	Allowance	Comments
	S.2 University Committee work		15 units for Convening and 10 units for membership	Formal committees at the University and School Level where not defined as part of the management role of the individual.
	S.3 Personal Allowances		Normally no more than 75units	Registration for approved PT higher degrees or professional qualifications may have an allowance of up to 130units for the normal period of registration for the award. The five days personal development (30.5 units) would be included here. TU representative role (guidance should be sought from HR).

**Notes:**

- Normally means that there should be a considered and justified reason for exception. The authority that makes the variation from normal is expected to keep a record of the justification. School leads on workload allocation shall have the responsibility for agreeing exceptions within their School.
- Schools are free to set guidelines for the proportion of time that staff will normally commit to development activities: in Module/Programme development (T.7), Edinburgh Napier University Funded Research (R.2), and Support for Commercial development (O.1) and personal development. (T.7 and S.2).
- The proposed format does allow for a teaching academic to perform a full workload allocation by the performance of teaching and teaching support duties alone, though this should not be considered the norm.
- All academics are normally expected to allocate a minimum of 130 units (or 10% of workload pro rata) to teaching contact

- The workload allocation framework recognizes that some staff undertake direct student contact in all three trimesters but total allocated workload remains 1300 units and total contact time, as identified in Activity T.1 above, shall not amount to more than 450 units.
- Team teaching of skills work is seen as changing the balance between contact time, preparation, teaching and module management. Work allocations to members of teams delivering modules can be spread according to the overall inputs required of the staff group. The total work allocation will be determined by student hours.
- The five personal development days must be allocated under Professional Teaching Development/Professional Competency Development or Personal Allowances.

Academic Workload Framework Joint Working Group  
(Partnership of University staff and EIS representatives)

December 2016