

LEEDS DENTAL INSTITUTE

Implementation of a Workload Model

Background

- General principles in respect of workload models were agreed by Senate in March 2004 and a University of Leeds “Guidance on Workload Models” paper was issued in October 2007. (See <http://www.leeds.ac.uk/appo//RAM/WLMGuide.pdf>)
- It is University policy that all Faculties will have workload/activity models
- It is intended that all applicable LDI staff will complete their first workload model for the year ended 31st July 2012. The workload model process will be an annual one and it is anticipated that the introduction of a staff workload model will be a learning process. **The workload model (WM) process for this first year is likely to be very much of a developmental prototype to kick start the process and it is expected that improvements in accuracy and worth will be gradually made over the next few years.** Academics are requested to contribute to this development with their comments and suggested improvements.
- The WM for LDI has been developed by the Workload Model Group and with reference to the introduction of WM in the four institutes in the School of Medicine. Also, existing WM in operation in the School of Healthcare and the Institute of Psychological Sciences have been noted together with publicly available data on the web on the considerable progress made in other universities. The WM for the Dental School at Newcastle University has also been considered. The University and College Union (UCU) has issued some information and guidance through its website (See <http://www.ucu.org.uk/>)
- The LDI’s workload model will initially only apply to academic staff and to academic related staff who have teaching commitments or act as independent investigators on research projects. Because of the LDI’s partnership between University and Trust it is likely that some informal WM information will be ascertained from applicable NHS staff contributing to student education.
- The LDI workload model is based on the following principles:
 - a) It will be kept as fair, straightforward and flexible as possible.
 - b) It will be developed and improved over a number of years.
 - c) The overall objective is to measure activities based on indicative time (or “notional hours”) and not based on a record of actual time. Therefore, indicative allocations of time individuals could reasonably be expected to spend on particular activities are provided for staff to input into their WM.
 - d) The workload model will be transparent to the extent that staff will be able to see their own total workload and that the indicative allocations will be in the public domain. After the development stage it is intended that transparency will be further extended.
 - e) The WM will be based on 1650 notional hours per year (pro-rata for part time staff or staff with contracts > 10 sessions/programmed activities per week.) The use of 1650 notional hours is the most common national allocation and is based on 44 notional working weeks per year and 37.5 notional hours per week).
 - f) For information, a schedule of “Indicative Norms for Staff in the LDI by Grade” is included at the foot of this paper.
 - g) The WM is intended to be an integral piece of management information which, in time, will fit with other staff data (e.g. annual “TAS” returns required for HEFCE costing; academic staff questionnaire (central course costing); activity analysis for annual IPE etc.

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The Purpose of Workload Models

The workload model is intended to provide an indicative allocation of annual staff time and its analysis over various activities. The main groupings of activity are student education, scholarship, research, administration/management, knowledge transfer and citizenship. Where support is provided to the NHS, a “clinical” activity will also be relevant. The information can be used to:

- a) Aid decision making concerning the allocation of duties.
- b) Aid individuals in prioritising their workload
- c) Inform the SRDS process
- d) Provide information to support activity costing and in particular programme costing.
- e) Generally improve data collection and submission for example in respect of the annual TAS (time allocation returns) and the annual academic staff questionnaire (for the costing framework for taught programmes initiative by University central finance)
- f) Provide an understanding of activities over a medium term time frame, both from a management understanding and planning aspect and for individuals to focus on and develop career progression.
- g) To further understand the financial implications of knock for knock activities in LDI and the net recharging of staff services input to the NHS.

Workload Models & the Annual Cycle

The workload model is due for completion by end of September. The academic hour's data for student education and support to student education will be used to populate, by module, the ASQ (academic staff questionnaire) which is due for submission towards the end of each October. The ASQ is used for the Universities central course costing project – “Framework costing”. Also, an activity analysis financial return is due to be submitted by the LDI Finance Manager, as part of the Annual Planning exercise, by the following February.

In the medium term it is likely that the annual transparency review, as required by HEFCE, will use workload model data as a direct replacement of the academic diary exercise. Several universities are now using workload models for this as the diary exercise (based on weekly samples) is not considered robust. For this to be implemented for The University of Leeds (or for a Faculty thereof) the workload model methodology would require a specific audit and clearance by HEFCE.

Analysis of activity

Workload activity will be captured under the following broad categories:-

- **Student Education.**
- **Scholarship.** (*nb: summarised within student education*)
- **Research.**
- **Administration.**
- **Knowledge Transfer Activities.**
- **Citizenship.**
- **Consultancy (in University time).**
- **Clinical Activity (NHS agreed work).**
- **Other.**

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Student Education

The following notional hours allocations apply to certain management and support roles that are “student education” specific:-

Director of Student Education	990
Deputy Director of Student Education	330
Programme Manager	330 BChD; all other programmes 165 hours
Deputy Programme Manager	50% of above
Year Lead / assessment year lead (BChD)	88
Module Leader	88
Admissions Tutor	330
Exams Officer (LDI wide)	330
Personal Tutor	Actual contact hours * 1.25 * no. of students
Selecting candidates & Interviewing	interview sessions * 3.5 hours + 5 hours
Member of formal committee in relation to Student Education	Actual hours attended + 3 * no. attended (prep)

The above allocations are available for selection and input in the “Student Education” section of the workload model return.

For WM purposes, student education includes

- Giving lectures, seminars and tutorials.
- Preparing materials, supervising projects, workshops and lab work.
- Fieldwork and organising and visiting placements
- Assessment, marking and examining.
- Student contact time relating to educational matters
- Mandatory training in student education

Academic teaching and assessment should be returned in the “Modules” section of the workload model return:-

Preparation time (for teaching delivery) – The spreadsheet will auto calculate a “preparation” allowance based on the teaching delivery contact hours (see below). This will be equivalent to two hours for every one hour of contact time. Where modules are “new”, the allowance will be eight hours (not two) for preparation; this will be auto calculated.

Contact Hours (teaching delivery)- Enter the number of teaching student contact hours in the drop down menu. Contact hours include the following activities:-

Lectures, tutorials, vivas, student supervision, invigilation.

NB: Clinical teaching contact hours (i.e. students with patients) should not be included in the above. The workload model will record “NHS Trust/PCT Hosted Activity” based on your assessment of clinical sessions worked (see the relevant part of the workload model.)

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Assessment (writing questions, new MCQ's, new Dissertation topics/ essay titles etc)-

Enter the number of hours (by module) in the drop down menu. The following notional times may be used as a guide:-

New short answer questions - 30 minutes

New MCQs 15 minutes per question

New Dissertation topics / essay titles 30 minutes

Marking questions (all written work including short answer questions, new MCQ's, essays etc)-

Enter the number of hours (by module) in the drop down menu. The following notional times may be used as a guide:-

Short answer questions: 10 minutes per question, with annotated written feedback

Clinical scenarios: 20 minutes per question per student (usually organised into collective marking panels), so 12 hours per cohort

Pieces of written work (with annotated, written feedback): 30 mins per 1000 words

Attendance at student presentations (assessing)-

Enter the number of hours (by module) in the drop down menu. The following notional times may be used as a guide:-

7.5 hours per each full days of attendance.

Moderation-

The spreadsheet will auto calculate an allowance for moderation. This allowance will be 30% of the total assessment delivery hours. Thus if the workload model calculates a tariff of 80 assessment delivery hours then the notional allowance for moderation will be 24 (ie 30% of 80). Assessment delivery is noted # above.

Modules external to LDI

Where teaching is undertaken on modules external to LDI (i.e. modules not managed by LDI), these need to be entered in the "Other" category see below. It is not practical to provide drop down menus for these modules and therefore the module reference number and module title should be entered.

Student Supervision:-

Enter the number of students formally supervised. The workload model will calculate notional hours based on the following:-

From 2014 with final year undergraduate project 4 x 1 hour per student

Existing 3rd BChD and Graduate Diploma in Dental Hygiene and Dental Therapy project: 3 x 1 hour

Taught MSc – 1 hour per week

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Scholarship

- Maintenance and advancement of own personal knowledge and skills (reading literature, attending professional conferences, maintaining professional or clinical skills, acquiring new skills etc.)
- Scholarship also would include research that might not result in an output but would add value to students learning and teaching experiences.
- The tariff of notional hours for scholarship is normally 165 hours where a University fte is 1.00.
- The scholarship calculation will be derived from a formula within the spreadsheet.

Research

Research is to include research and experimental developments as per the 1993 Frascati Manual. Activities include management of projects, staff recruitment and supervision, production of research reports, attendance at conferences that are directly connected with specific research projects.

For the purpose of workload modelling, Research is broken down into the following:-

- a) Externally Funded Research: This is research where funding from an external sponsor has been gained, for example (Research Council; UK Government/ NHS; European Union (the EU Commission); UK-based charities; All Other industry (UK industry, commerce and public corporations; EU government bodies (excluding the EC). Activity in relation to this category should be completed by staff but Costa/M.I.S. should be referred to in order to validate.
- b) Supervision of Postgraduate Research Students (PGR). This encompasses the training and supervision of all postgraduate research students regardless of their year of study and source of funding. An annual tariff (per student) will be allocated according to formal published agreement of staff fte support per student. Tariffs per student are 100 hours per year (Integrated PHD, Traditional PHD and Prof Doctorate research students. This calculation will be included automatically in the workload model based on the number of student fte's included.
- c) Management and support of research (where research activity is not carried out but nevertheless there is a specific tranche of management or support, directly related to LDI's research). This includes administrative roles such as Director of Research, Research Group lead, etc. The amount of time spent on this should be added by the staff member.
- d) Own (Institution) Funded Research (by QR etc): In this section, staff will input notional time spent on research activities that are not externally funded by an external sponsor or commissioning body (but may be in preparation for such funded work). This includes activities that must occur prior to a grant being activated, such as time for writing and submitting the grant, gaining IRAS or DREC approval, recruitment; also, preparation of manuscripts, etc. The amount of time spent on this should be estimated by the staff member but Costa/M.I.S./Simplectic may be referred to, where appropriate, in order to validate.
- e) Approved staff time allowance for undertaking one's own PHD. (notionally 2 days per working week)

The following notional hours allocations apply to certain management roles that are "research" specific:-

Director of Research	= 990 hours
Unit of assessment Lead (REF)	year 1 = 30 hours
	year 2 = 60 hours

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year 3 = 120 hours

year 4 = 165 hours

PG Research Tutor	= 800 hours
Deputy Director of Research (not yet appointed)	= 330 hours
Research Group Leads	= 100 hours
Chair of DREC	= 165 hours
Deputy Chair of DREC	= 30 hours
Organisation of Research Seminar Series	= 82.5 hours
Organisation of Research Forum	= 82.5 hours.

Administration (Management & Support)

This consists of management and support that is of an overall nature and that cannot be allocated directly as specific to teaching, research etc. This paragraph will include examples of roles needed to capture all admin roles that have a significant time commitment. Proposed time allocations will need discussion.

Dean of Dental School	= 990 hours
Head of Department	= 50 hours plus (2 hours for each wte of academic/academic related staff)

Knowledge transfer

This consists of involvement in a spin-out company or equivalent or consultancy support. The amount of time spent on this will be added by the staff member.

The following notional hours allocations apply to certain management roles that are “knowledge transfer” specific:-

Director of Enterprise & Knowledge Transfer	330 hours
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Citizenship

- It is recognised that staff will undertake a range of activities which contribute to the academic environment. A citizenship allowance of 165 hours is included in the workload model for each full time academic to cover a wide range of ad hoc duties. The table below gives examples of activities that are included within the citizenship category.
- Citizenship should not be confused with scholarship. Citizenship is a “giving” function, contributing academic expertise to the academic environment and beyond. (*Scholarship is*

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more akin to “receiving” and a significant part of scholarship is continuing professional development albeit in its broadest sense.)

ACTIVITIES INCLUDED IN CITIZENSHIP
External Examining
Equal opportunities committee
SRDS Reviewer
International Committee
Open days, staff induction, School visits
Freedom of Information liaison
UCU representative
Editor of agreed publication
Committee Member of recognised Society/profession
Peer review of grants and manuscripts
Web maintenance & development
IT acceptable use coordinator
Senate or Council member
Data protection coordinator
Other agreed representative functions
Pastoral & counselling support (outside timetables)
Marketing, publicity, media & image support
Academic input to workload model development
Academic input to finance/HR/IT development
Alumni social functions
Staff Mentorship
Committees of enquiry
Acting as expert witness
Support to interview panels.
Degree Ceremonies
Attending staff meetings.
Completing staff returns (e.g. SRDS, job plans; workload models etc)

Consultancy

Staff are asked to input actual hours that have been spent on Consultancy where the consultancy has been done in University time.

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An overview of the University policy on consultancy for academic staff is available:-

http://www.leeds.ac.uk/finance/policies/consultancy/5928_ulcl_policy_doc_v10_je.pdf

NHS Trust/PCT Hosted Activity

- It is acknowledged that the LDI's relationship with the NHS is diverse and somewhat complex. The workload model needs to pick up estimated hours for what can reasonably and generally be termed "NHS Trust/PCT Hosted Activity"
 - The workload model needs to pick up a fair estimate of average NHS sessional input per week. Precision in excess of one decimal place is not required and normally a true and fair assessment to the nearest whole or .5 of a session is sufficient.
 - Your estimate of the number of sessions per week needs to include a fair estimate of all time input. Therefore, this needs to include all regular preparation and follow up time; all regular admin time/sessions and all excess travelling time. (Excess travelling time is any travelling time in excess of normal "home to office" travelling time.)
 - Please complete the "sessions per week fields" where services/input is provided to the NHS. The workload model assumes a number of working weeks in a year (44) and therefore it is not necessary to make adjustments for annual leave etc. Where an employee is contracted to work extra NHS sessions, again it is not necessary to make adjustment for this. An employee who is aware of how much salary is recharged to the NHS (e.g. 55%) need not input sessions adding to 55%, if they feel that it is fairer to state a different number of sessions.
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- For example, an input of 2.5 sessions would apply to any of the following:-
Where an employee works 10 sessions per week and inputs 2.5 sessions to the NHS
Where an employee works 12 sessions per week and inputs 2.5 sessions to the NHS
Where an employee works 5 sessions per week and inputs 2.5 sessions to the NHS
 - Please note that it is not intended that data input in the workload model will trigger recharges or changes to recharges to the NHS. However, it will be of benefit to University financial management to be aware of what indicative resources are provided to NHS.
 - In the majority of cases "NHS" would be the ULTH or Bradford Trust. However all NHS locations apply and thus include GP practices, SHA, PCT's, DofH etc.

Please input all time input as numbers of sessions per week for the following:-

- a) Commissioned Clinical Service (including clinical admin). This would be where clinical work is performed solely for the benefit of patients. Here students would not be present or would have a very minimal involvement. (If it is appropriate to report hours spent on private patient work, then this should be reported in the "Consultancy" section of the workload model.)
- b) Undergraduate teaching and with patients. This would be where clinical work (including clinical admin) is performed (i.e. a patient benefit) but where dental undergraduates (BChD) are in attendance either as observers or as participants in clinical treatment.
- c) Post Graduate teaching and with patients. This would be where clinical work (including clinical admin) is performed (i.e. a patient benefit) but where post graduates attend and contribute to patient treatment. Please identify the relevant module or programme.

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- d) Other duties agreed with NHS. Only significant activities of a recurrent nature should be included.e.g. TPD roles (Significant being not less than say .5 sessions per week). It would not include research or teaching activities that are identified in other parts of the workload model return. Please use the narrative field to add some description of the nature of NHS work undertaken.

Other

It is inevitable that there will be tranches of work that the workload model has not accommodated. These might be one off projects or simply areas that have been overlooked. The “Other” field in the workload model should be used to record this work. It is important that a full description of the nature of the work is included in the model so that these areas are understood and that they might be included more formally in the workload model in improved versions over the next few years.

“Other” also includes teaching on modules external to LDI (i.e. modules not managed by LDI). For 11/12 this includes PHYS0035 – Thermodynamics & Electromagnetism and SOMSF301 BSc Nanotechnology (Year 3). Please give full details of actual teaching time analysed by preparation, delivery, assessment, moderation or management and administration. Tariffs are not appropriate for this type of teaching and a good estimate of academic hours spent during the year is required.

Validation of staff inputs to Workload Model

- The workload model is intended to be as fair, straightforward and flexible as possible. Every workload model will need to be signed off by the appropriate line manager. The member of staff inputting, is asked to ensure that his relevant line manager agrees that the allocations have been correctly input (i.e. agree with the tables of allocations) See “tick box” at foot of input form. Also it is expected that the line manager will be able to agree that other estimates are reasonable and fair (for example numbers of students; hours of tuition, sessions per week etc). All staff are asked to be realistic and pragmatic in agreeing their workload model and an important factor is that minor issues are ignored; it is important not to get sidetracked with the inevitable queries that will arise (especially in the early years).
- A field is available to input any relevant comments which clarify or add value to the WM implementation.
- A designated officer will also be available to answer any queries regarding workload models. That officer will also maintain a Q&A so that answers to common questions are readily available. (This appointment is outstanding: but ideally to be filled by a person with academic/HR knowledge and familiar with LDI’s operations.)

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Indicative Norms for Staff in the LDI by Grade						
Grade	Teaching to include Clinical Teaching	Research	Patient Activity	Scholarship	Citizenship	Notes
Professors (Non-Clinical)	40	40	0	10	10	
Professors (Clinical)	30	40	10	10	10	
Staff with Hon Consultant Contracts	A	40	B	10	10	A and B to add to 40
Senior Lecturers (Non-Clinical)	40	40	0	10	10	
Senior Lecturers (Clinical)	30	40	10	10	10	
Lecturers Clinical	30	40	10	10	10	If doing a PhD all research time for PhD
Lecturers (Non-Clinical)	40	40	0	10	10	
Senior Clinical Teaching Fellows	70	0	10	10	10	
Clinical Teaching Fellows	70	0	10	10	10	
Academic Trainees	20	10	50	10	10	

NB: Scholarship for non consultant clinicians is stated as 10%. However, they will also be allocated with additional hours (up to 10% included under patient activity) to allow for maintenance of clinical skills.