Continuous Professional Development Framework for staff working in Professional Services in Higher Education
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Foreword

AUA is in the forefront of professional development in higher education administration and management. We are delighted to present this continuing professional development framework to the sector, as the culmination of a highly collaborative two year project.

The framework is a significant milestone in the development of our profession and we are certain it will be an important reference point into the future.

AUA is ready to work with our members and in co-operation with partners across the sector as we move into the implementation phase of the framework. We look forward to an exciting and fruitful period of professional development, learning and growth - working together to promote excellence in HE management and administration.

*Alison Robinson, AUA Executive Director*  
*Maureen Skinner, Chair of AUA*  
*Andrew West, Chair of CPD Framework Steering Group*
1. Introduction and background

The expansion of higher education will necessitate effective mechanisms for the recruitment, motivation, development and succession planning of professional services staff at all levels to respond to the changing needs of the sector. This framework will enable institutions to put the mechanisms in place to support the needs of individuals as well as the longer-term strategic objectives of institutions and the sector as a whole.

This framework is the output from a project jointly funded by AUA, HEFCE (Leadership, Governance and Management funding), LFHE and HEA. The project was hosted by the AUA, and managed by a Steering Group comprising representatives of funding organisations, representatives of the following HEIs who were partners in the project: Bristol, Essex, Derby, Kings College, London, Leeds Met, Manchester Metropolitan, Newcastle, Sheffield and Thames Valley, as well as a project director and consultant. A list of Steering Group members is shown at Appendix 1. The Steering Group consulted widely across the sector, and extends its thanks to all those who contributed throughout the 2-year life of the project.

The aims of the project were to develop and implement a Continuous Professional Development (CPD) framework supporting HE professional services staff across the UK in their career development in order to:

- enhance institutional performance through high quality staff
- develop management and leadership capability
- enable succession planning
- provide a framework for sustainable practice in career planning
- foster equality and diversity of development opportunities across the sector

2. Purpose and principles of the framework

This framework provides the basis for a common national approach to CPD for professional services staff in UK Higher Education. More specifically, it provides individual HEIs with a broad structure within which to identify the CPD needs of professional services staff in their organisation and to plan and deliver development activities to meet those needs. The framework also offers a model of professional behaviours which builds on best practice in the HE sector and elsewhere and draws on National Occupational Standards to provide a steer on key and valued behaviours linked to the AUA’s Code of Professional Standards. The framework provides flexibility for institutions to substitute their own capability frameworks and/or organisational values and behaviours whilst still benefiting from the broader framework within which to support CPD in their organisations. It is for HEIs to determine their own criteria in the application of the framework. This flexibility and provision for local tailoring provides consistency of approach with the UK Professional Standards Framework for teaching and supporting learning in HE.

The underpinning principles of the CPD Framework (which build on the CIPD key principles of CPD\(^1\)) are:

- CPD is essential for maintaining the standard and integrity of HE professionals
- professional development is a continuous process that applies throughout working life

\(^1\) Megginson, David and Whitaker, Vivien, *Continuing Professional Development*, CIPD, 2007 with the permission of the publisher, the Chartered Institute of Personnel and Development, London ([www.cipd.co.uk](http://www.cipd.co.uk)).
individuals are responsible for managing and undertaking CPD activities and ensuring that their learning is integrated into their professional practice

- individuals should identify for themselves their learning needs and determine how best to fulfil them
- learning objectives should reflect the needs of the institution and its stakeholders as well as the individual’s goals
- learning should come from a wide range of activities, both formal and informal
- learning is most effective when it is acknowledged as an integral part of all work activity rather than as an additional optional activity
- all professional services staff should have equality of opportunity to engage in and benefit from CPD activities*

* this relates both to equality of opportunity between staff working in HE professional services roles and between professional services staff and other staff groups within HE

3. How the framework was developed

The first phases of the project comprised consultation with all HEIs and professional bodies within the HE sector, followed by a series of consultation workshops with participants drawn from the target audience of professional services staff at all levels across HE. Extensive desk research was also completed which incorporated a sample of CPD frameworks used within HE, a sample of frameworks from non-HE public and private sector organisations and professional bodies, together with various publications, systems and processes relevant to CPD.

The first draft of the professional behavioural framework was tested out via focus groups, and all HEIs were invited to comment on the behavioural framework and the broader framework document alongside professional bodies across the sector. The framework was launched at the AUA Conference in April 2009.

4. Definitions and terminology

Some definitions are provided below to aid interpretation and implementation of this framework.

**Continuous Professional Development (CPD)**

An ongoing, planned learning and development process that:

- enables individuals to maximise their potential
- contributes to work-based and personal development
- ensures continuing confidence and capability particularly in changing environments
- updates skills, knowledge and understanding
- prepares individuals for changes in existing roles or moves to other roles
- enhances individual and organisational performance

CPD applies to every member of professional services staff throughout their career in HE.

**Career development/management**

The Chartered Institute of Personnel and Development (CIPD) definition is:
Career pathways
Career Pathways are the routes people take throughout their careers. People enter the HE workforce at all levels, from a wide range of backgrounds and into a variety of different jobs. Some exemplar HE career pathways are available on the AUA website.
Career progression
Any move to another role whether temporary or permanent that enhances an individual’s skills, knowledge or experience regardless of level of the role. This includes roles at the same level as the existing role and does not therefore necessarily imply continuous upwards movement through the structures. Undertaking a variety of roles at the same level can provide an individual with an invaluable breadth of skills, knowledge and experience.

Learning and development activities
A development activity is any event, formal or informal, that increases knowledge, experience and understanding, improves performance and contributes to lifelong learning. Learning and development activities include those that build on or maximise strengths (eg coaching others) as well as those that meet areas for development. The range of activities covers the whole spectrum of learning and can include on-the-job development, formal programmes and qualifications as well as informal and experiential learning.

Professional Services Staff
Within this framework, the term professional services staff encompasses all those in HE roles other than those on academic terms and conditions. All roles both generalist and specialist at all levels are covered by this framework.

Promotion
Moving to a higher graded role by applying for an advertised post and being appointed through recruitment and selection processes, or where significant changes to or development of a role lead to re-evaluation and upgrading.

5. Relationship to other processes

Other HR processes

Recruitment
By clarifying the behaviours indicative of excellence in professional services, the framework can be used to enhance existing HE recruitment processes.

Induction
The framework is intended to support the induction process by providing more clarity about the behaviours required of a role holder to complement the stated task requirements detailed in the job description for the role.

Personal development planning
The framework may be used in the context of the personal development aspect of annual appraisal to focus development efforts and resources. It can also be used independently of formal processes for self assessment and personal development planning purposes.

Job evaluation
Job evaluation is a separate process that identifies the appropriate grade for a role within individual HEIs’ grading structures. Job evaluation identifies what needs to be done, whereas the professional behaviours within this framework (section 8) (or those developed by individual HEIs) identify how it needs to be done.

Documents that map the professional behaviours against HAY and HERA form part of the CPD resources available on the AUA website.
Professional bodies’ CPD requirements
The professional behaviours build upon the AUA Code of Professional Standards, and are intended to complement those developed by other professional bodies. It is acknowledged that professional bodies’ CPD schemes/registration requirements will prevail in determining the CPD needs of many specialist staff. However, it is hoped that professional bodies and their members will nonetheless find the framework of value in assessing generic CPD needs, and provide additional opportunities for accessing learning and development.

6. The CPD cycle

The following diagram and Table 1 show an example of an effective CPD cycle (adapted from Skills for Care 2006).
<table>
<thead>
<tr>
<th>CPD process</th>
<th>CPD resources/actions</th>
<th>Examples of CPD activities</th>
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</thead>
<tbody>
<tr>
<td><strong>Stage 1</strong></td>
<td>Assess organisational need</td>
<td>Review requirements of the role within the broader team, departmental and organisational context</td>
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<tr>
<td></td>
<td>Job Description</td>
<td>Role profile captures comprehensive picture of skills, experience, knowledge and behaviours required</td>
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<td></td>
<td>Organisational strategy/values</td>
<td>Skills audit</td>
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<td>Student feedback</td>
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<td>Quality assessments</td>
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<td></td>
<td>AUA or HEI-specific behavioural/capability framework</td>
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<td>Changes to systems, processes, working methods</td>
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<tr>
<td><strong>Stage 2</strong></td>
<td>Identify individual CPD needs</td>
<td>Self assessment*</td>
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<td></td>
<td>Assessment of development needs against role profile</td>
<td>Discussion with line manager</td>
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<td>Appraisal</td>
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<td>360° feedback</td>
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<td></td>
<td></td>
<td>Personal development plan (PDP)*</td>
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<td><strong>Stage 3</strong></td>
<td>Identify learning objectives and opportunities</td>
<td>Identify development methods to meet objectives bearing in mind learning style and resources</td>
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<td></td>
<td>Identify learning objectives</td>
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<td></td>
<td>Identify support required</td>
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<td></td>
<td>Learning styles</td>
<td></td>
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<tr>
<td><strong>Stage 4</strong></td>
<td>Plan development activities</td>
<td>Identify any blocks that may hinder learning and put mechanisms in place to minimise these</td>
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<td></td>
<td>Select most appropriate development method and identify desired outcomes</td>
<td>Include time for reflection and implementation</td>
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<tr>
<td><strong>Stage 5</strong></td>
<td>Undertake development activities</td>
<td>Keep a learning log* to reflect on planned learning and development activities, and to capture unplanned learning</td>
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<td>Experience different types of learning: planned and ad hoc, formal and informal</td>
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<tr>
<td><strong>Stage 6</strong></td>
<td>Record development outcomes</td>
<td>Record of achievement or record of learning outcomes</td>
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<td></td>
<td>Reflect upon and record development</td>
<td>Gaining qualifications</td>
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<td></td>
<td></td>
<td>CPD portfolio/record of CPD activity*</td>
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<tr>
<td><strong>Stage 7</strong></td>
<td>Review and evaluate learning</td>
<td>Review in discussion with line manager</td>
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<td></td>
<td>Review development activities</td>
<td>CPD summary record*</td>
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<td></td>
<td>Evaluate learning gained</td>
<td>Update PDP</td>
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<td><strong>Stage 8</strong></td>
<td>Apply learning</td>
<td>Seek ongoing feedback</td>
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<td></td>
<td>Apply in the workplace</td>
<td>Return to stage 1 for continuous cycle</td>
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<tr>
<td></td>
<td>Share learning with others</td>
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</table>

* Template documents are provided on the AUA website

Notes on CPD cycle

- In many cases ‘unplanned’ learning occurs, ie joining the cycle at stage 5. For example, learning points may emerge as a result of everyday work activity or through engagement with a project where no specific learning objectives had been set in advance. It is important to capture such learning by maintaining a learning log or other reflective process and to complete the cycle through to stage 8.

- In some instances learning may be gained on behalf of a team or department, for example after a skills audit has revealed a gap in expertise in a particular area. In these cases, the tasks or duties and associated learning may not be an explicit requirement of the individual’s role.
7. The benefits of the framework

**For individuals**
- building on current capabilities, skills and knowledge
- increasing effectiveness in the workplace
- increasing motivation to learn, build confidence and self-esteem
- enhancing recognition in institution and sector
- enhancing transferable skills that are recognised and valued across public, private and voluntary sectors
- expanding and developing new areas of capability, which might be for existing role or for career development
- maximising and building on strengths
- a common CPD understanding and language in the sector will facilitate movement between institutions

**For institutions**
- professionals able to meet the changing requirements of the sector
- more effective deployment of skills
- making the most of each person’s stay in the organisation
- enhancing recruitment and retention processes
- facilitating growth of the skills and experience the organisation needs
- a model of behavioural framework for institutions
- flexibility for institutions to substitute their own frameworks
- a common approach to CPD will facilitate joint staff development activities across institutions and regional groups

**Sector wide**
- a shared understanding of CPD for professional services staff within the HE context
- a model for developing a consistent and coherent approach to CPD
- fostering consistency in the quality of support of the student experience
- enhancing recruitment and transferability within the sector through a common understanding of professional behaviours
- a means of demonstrating the professionalism that staff bring to the support of the student experience
8. The professional behaviours
Excellence results not simply from what people do but also how they do it. As noted earlier, job evaluation provides clarity about what needs to be done in HE roles. The set of professional behaviours in Table 2 highlights behaviour patterns that distinguish effective performance in HE professional services roles. The behaviours are not the tasks associated with a particular job. They identify how an individual does the job. The behaviours are universal across all roles, though some are very much more important in some jobs than others. The behavioural framework has been designed to clarify what individuals can do to develop in their jobs and beyond - and ultimately to deliver their organisation’s strategic plan.

This framework provides a clear steer on key and valued behaviours. It does not assume that these are the only effective behaviours. No attempt has been made to define the behaviours required at different levels due to the diverse nature of the sector and of the needs of individual institutions within it. Institutions may wish to develop the framework in this way for local use, thereby tailoring the levels and requirements to their own specific organisational structure, culture, environment and objectives. Whilst the behavioural framework is offered for use by HEIs, the CPD Framework provides flexibility for individuals, institutions and professional bodies to tailor the framework for their specific needs. For example, where HEIs already have existing behaviours or capability frameworks it is important that these may be used within the broader context of this CPD framework. The framework also provides the flexibility for HEIs to map the behaviours to their organisational values to provide a comprehensive picture.

There are nine key behavioural groups:
• **Managing self and personal skills**  
  Willing and able to assess and apply own skills, abilities and experience. Being aware of own behaviour and how it impacts on others.

• **Delivering excellent service**  
  Providing the best quality service to external and internal clients. Building genuine and open long-term relationships in order to drive up service standards.

• **Finding innovative solutions**  
  Taking a holistic view and working enthusiastically and with creativity to analyse problems and develop innovative and workable solutions. Identifying opportunities for innovation.

• **Embracing change**  
  Adjusting to unfamiliar situations, demands and changing roles. Seeing change as an opportunity and being receptive to new ideas.

• **Using resources**  
  Making effective use of available resources including people, information, networks and budgets. Being aware of the financial and commercial aspects of the organisation.

• **Providing direction**  
  Seeing the work you do in the context of the bigger picture and taking a long-term view. Communicating vision clearly and enthusiastically to inspire and motivate others.

• **Developing self and others**  
  Showing commitment to own development and supporting and encouraging others to develop their knowledge, skills and behaviours to enable them to reach their full potential for the wider benefit of the organisation.

• **Working with people**  
  Working co-operatively with others in order to achieve objectives. Demonstrating a commitment to diversity and applying a wide range of interpersonal skills.

• **Achieving results**  
  Planning and organising workloads to ensure that deadlines are met within resource constraints. Consistently meeting objectives and success criteria.

Each behavioural group has been divided into three aspects.

**Self**  
Behaviours that may be observed whatever the working situation

**Others**  
Behaviours that may be observed when interacting with and influencing others, or when managing colleagues

**Organisation**  
Behaviours that may be observed when influencing at organisational level or representing the organisation

The framework also identifies behaviours that may indicate a need for further development for each of the behavioural groups. These are offered as a positive tool for self assessment and reflection.

Perhaps the most powerful aspect of the behavioural-based approach is the control that it gives individuals over their own development. The behaviours are easily understood because they have been developed within the HE sector and they are accessible to everyone. Although the framework encompasses roles that include line management and/or strategic responsibilities, most of the behaviours shown under ‘others’ and ‘organisation’ are also relevant to roles that do not include management or leadership responsibilities.
The behavioural framework will help individuals to:

- identify the behaviours that are relevant to their job
- identify their personal CPD needs
- develop those behaviours and improve performance
- identify ways to build upon and maximise existing strengths
- seek structured feedback from others
- provide structured feedback to colleagues

Some other ways in which the behaviours can be used are:

- for individual self assessment of potential and in career planning
- as a basis for the design of specific learning and development activities - to improve individual and organisational performance
- for recruiting and selecting - to focus on the behavioural requirements of the job in an objective and specific way
- for succession planning – to develop staff within the sector to prepare them to compete for more senior roles

Table 2 shows the full behavioural framework, and this is also available as a separate document on the AUA website at: [http://cpdframework.aua.ac.uk](http://cpdframework.aua.ac.uk).
<table>
<thead>
<tr>
<th>Table 2: Professional behaviours for HE Professional Services Staff</th>
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<tbody>
<tr>
<td><strong>Managing Self and Personal Skills</strong></td>
</tr>
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</table>
| Willing and able to assess and apply own skills, abilities and experience. Being aware of own behaviour and how it impacts on others. | • Managing workload and making effective use of time  
• Being well prepared for meetings and presentations  
• Demonstrating an awareness of own values, motivations & emotions  
• Keeping up to date with what is happening in professional area  
• Having an enthusiastic and positive ‘can-do’ approach  
• Maintaining a healthy life balance  
• Speaking and writing by using clear succinct language  
• Showing consistency between words and actions  
• Being self motivated  
• Accepting and demonstrating personal responsibility for health and safety, data protection and other compliance areas | • Giving and receiving constructive feedback as part of normal day-to-day work activity  
• Developing and maintaining personal networks of contacts  
• Ensuring own behaviour, words and actions support a commitment to equality of opportunity and diversity  
• Chairing meetings effectively, ensuring everyone has an opportunity to contribute  
• Getting the best from others through effective communication  
• Managing own response when faced with challenging situations | • Taking an active interest in what is happening more widely in the organisation  
• Keeping up to date with what is happening in wider HE environment |
| **Examples of behaviours that may indicate a need for further development in managing self and personal skills** | • Talking or writing at inappropriate length  
• Focusing almost exclusively on own job or own department  
• Being consistently late for meetings  
• Missing deadlines  
• Reacting defensively to constructive criticism | | |
| **Delivering Excellent Service** | **Self** | **Others** | **Organisation** |
| Providing the best quality service to external and internal clients. Building genuine and open long-term relationships in order to drive up service standards. | • Resolving problems quickly in a cheerful, friendly manner  
• Ensuring systems and processes are kept up to date  
• Delivering what you promise  
• Setting appropriate boundaries and managing expectations  
• Being clear about where you can be flexible and where you cannot and why  
• Being up to date with best client | • Seeing things from your clients’ viewpoint  
• Listening, questioning and clarifying in order to understand your clients’ needs  
• Using client feedback to drive improvements  
• Tailoring communication to meet clients’ needs  
• Fostering a continuous improvement philosophy | • Defining excellent service  
• Interpreting rules and regulations flexibly to balance client and organisational needs  
• Consistently giving positive messages about the organisation |
<table>
<thead>
<tr>
<th>Service Practice in the Sector</th>
<th>Delivering Consistent Service Standards</th>
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<tbody>
<tr>
<td>Engaging positively with quality assessment processes</td>
<td></td>
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<tr>
<td>Hiding behind rules and regulations</td>
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<tr>
<td>Providing anonymous service by withholding name or contact details</td>
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</table>

Examples of behaviours that may indicate a need for further development in delivering excellent service:
- Using too much organisational jargon
- Adopting a ‘one size fits all’ approach
- Providing anonymous service by withholding name or contact details

### Finding Innovative Solutions

**Examples of behaviours that may indicate a need for further development in finding innovative solutions**
- Abdicating responsibility for resolving issues
- Doing things the way they have always been done without reviewing them
- Going for the ‘easy’ solution
- Overlooking the potential repercussions of setting precedents
- Putting obstacles in the way of innovation

**Taking a holistic view and working enthusiastically and with creativity to analyse problems and develop innovative and workable solutions. Identifying opportunities for innovation.**

<table>
<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
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</thead>
<tbody>
<tr>
<td>Taking time to understand and diagnose problems by considering the whole picture</td>
<td>Supporting others to find their own solutions rather than giving all the answers</td>
<td>Being open to and applying good practice and fresh ideas from inside and outside the organisation</td>
</tr>
<tr>
<td>Recognising the need to go for the less-than-perfect solution at times in order to achieve objectives</td>
<td>Fostering a culture which encourages people to take acceptable risks in pursuing innovation</td>
<td>Exercising judgement in line with organisational strategy and priorities</td>
</tr>
<tr>
<td>Spotting an opportunity and taking action to do something about it</td>
<td>Coaching and guiding others in developing and implementing innovative solutions</td>
<td>Actively seeking new ideas and approaches from outside the organisation</td>
</tr>
<tr>
<td>Identifying novel ways of resolving issues using own initiative</td>
<td>Sharing learning and experience to facilitate others’ decision making</td>
<td>Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas</td>
</tr>
<tr>
<td>Suggesting and trying out new approaches</td>
<td>Seeking input from others to develop team solutions</td>
<td></td>
</tr>
<tr>
<td>Identifying risks and considering consequences of failure in advance</td>
<td>Championing business cases and plans for ideas submitted by members of the team</td>
<td></td>
</tr>
<tr>
<td>Balancing new ideas with tried and tested solutions</td>
<td>Encouraging and developing the creativity of others and recruiting and selecting creative people</td>
<td></td>
</tr>
<tr>
<td>Working proactively and taking initiatives</td>
<td>Giving people the space and freedom to be creative</td>
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<tr>
<td>Making decisions and taking responsibility for them</td>
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### Embracing Change

Adjusting to unfamiliar situations, demands and changing roles. Seeing change as an opportunity and being receptive to new ideas.

<table>
<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
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</table>
| - Accepting that change is an integral part of life  
- Displaying open mindedness to new ideas and proposals  
- Demonstrating a willingness to do things differently  
- Making suggestions for improvement  
- Taking a creative approach to change which challenges assumptions and is not based purely on enhancing existing practice  
- Viewing change situations as opportunities for improving and developing work  
- Remaining positive about moving forward despite being realistic about the difficulty of change  
- Demonstrating that ‘the way things are done here’ does not restrict you  
- Challenging the status quo in a constructive way | - Seeking a diversity of perceptions  
- Encouraging others to initiate and embrace change  
- Encouraging experimentation and new ways of working  
- Providing ongoing support and encouragement to others who are developing and testing ideas  
- Articulating the purpose of change and the context within which change is happening  
- Adapting approach to respond to changes outside of organisation  
- Communicating change in a positive manner through influencing and persuasion | - Creating a climate that encourages innovation and receptivity to change  
- Leading by example in supporting the organisation to break with traditional methods  
- Communicating upwards to influence policy formulation  
- Embracing new technologies, techniques and working methods  
- Scanning the wider external environment to seek opportunities to develop the organisation  
- Modifying departmental/ organisational strategy to adapt to changes in the wider environment |

Examples of behaviours that may indicate a need for further development in embracing change

<table>
<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
</tr>
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</table>
| - Unable to move beyond negative reaction to uncertainty  
- Complaining instead of doing something about it  
- Consistently blocking change and failing to build on others’ ideas for change  
- Generating numerous ideas but not following any of them through | | |

### Using Resources

Making effective use of available resources including people, information, networks and budgets. Being aware of the financial and commercial aspects of the organisation.

<table>
<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
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</thead>
</table>
| - Using resources in ways that are efficient and minimise any adverse impact on the environment  
- Using informal systems and channels of communication to inform and support objectives  
- Influencing outcomes when bidding or negotiating for resources  
- Aggregating, utilising and interpreting management information  
- Considering cost benefit analysis | - Liaising with external bodies, suppliers and other HE bodies  
- Identifying the information and knowledge people need and why they need it  
- Drawing on others’ knowledge, skills and experience  
- Liaising outside of immediate work area to maximise use of resources within the organisation  
- Deploying human resources efficiently, at the right levels and in | - Sharing good practice with other parts of the organisation  
- Being mindful of responsibility to organisation and funders in using resources  
- Developing cross-service collaboration and being willing to share resources  
- Identifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole organisation |
### Implications of Decisions

- Making use of information and resources gained through personal networks
- Recognising that time is cost and adjusting behaviour accordingly
- Delegating appropriately
- Considering costs as part of the equation when planning a development

### Examples of behaviours that may indicate a need for further development in using resources

- Always going for the highest quality solution regardless of cost implications
- Re-inventing the wheel
- Assuming staff time is free

### Providing Direction

**Seeing the work that you do in the context of the bigger picture and taking a long-term view.**

Communicating vision clearly and enthusiastically to inspire and motivate others.

<table>
<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
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</table>
| - Creating and articulating a vision for own area of responsibility  
- Standing by considered decisions even if they prove unpopular  
- Understanding the bigger picture and being clear about how own role fits in  
- Making links between individual, team, department and organisational objectives clear for others  
- Giving team members support and advice when they need it, especially during periods of setback and change  
- Empowering others to take personal responsibility  
- Providing clarity about responsibilities and accountabilities  
- Creating momentum and enthusiasm about what needs to be done  | | - Ensuring plans are consistent with the objectives of the organisation  
- Not losing sight of the vision in dealing with day-to-day pressures  
- Breaking down ‘silo’ thinking and encouraging an organisation-wide perspective |

### Examples of behaviours that may indicate a need for further development in providing direction

- Getting bogged down in detail – unable to see the wood for the trees  
- Being too internally focused  
- Focusing on the short-term view  
- Dictatorial or controlling
### Developing Self and Others

Showing commitment to own development and supporting and encouraging others to develop their knowledge, skills and behaviours to enable them to reach their full potential for the wider benefit of the organisation.

- Using all situations as potential learning opportunities
- Being a role model by devoting time to own development
- Engaging in formal and informal learning and development activities
- Updating professional/specialist skills
- Engaging positively with appraisal processes
- Seeking, accepting and acting upon feedback, and learning from it

- Giving praise for work well done
- Making time to think about the development of colleagues
- Providing constructive feedback to colleagues at all levels
- Ensuring equal access to development opportunities for all
- Using delegation as an opportunity to develop others
- Empowering others by locating decision making at the lowest possible appropriate level
- Providing creative work opportunities to stretch and develop colleagues
- Encouraging others to learn from mistakes without blame
- Encouraging colleagues to take calculated risks
- Coaching and mentoring others
- Supporting succession planning by identifying and developing colleagues with high potential
- Supporting others to undertake alternative duties, short-term secondments etc
- Encouraging others to contribute to institutional-level activity
- Identifying the changing needs of the organisation and incorporating these into own and others’ development plans

#### Examples of behaviours that may indicate a need for further development in developing self and others

- Blocking the progress of high potential colleagues
- Believing that ‘development’ equals ‘training’ and not engaging with informal development methods
- Being intolerant of mistakes and apportioning blame
- Focusing on others’ weaknesses rather than their strengths

### Working with People

Working co-operatively with others in order to achieve objectives. Demonstrating a commitment to diversity and applying a wide range of interpersonal skills.

- Demonstrating that you value differences
- Monitoring and reviewing the effectiveness of working relationships
- Having a good grasp of where your responsibility ends and that of others begins
- Presenting own opinions and the interests of those you are representing at meetings in a convincing way
- Establishing rapport

- Co-operating willingly to support the achievement of team goals
- Using understanding of other people’s perspectives to help reach agreement
- Sharing information and keeping others informed
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Proposing and negotiating win-win solutions

- Working across boundaries to develop relationships with other teams
- Challenging inappropriate or exclusive practices/behaviour
- Reflecting organisational values in dealing with people and conducting business
- Surfacing conflicts early so that they may be addressed
- Ensuring that working arrangements, resources and processes respond to different needs, abilities, values and ways of working

Examples of behaviours that may indicate a need for further development in working with people
- Interrupting when others are speaking
- ‘Guarding’ information
- Discouraging debate
- Giving priority to own personal goals
- Presenting other people’s ideas as your own

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<thead>
<tr>
<th>Self</th>
<th>Others</th>
<th>Organisation</th>
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</thead>
<tbody>
<tr>
<td>Achieving Results</td>
<td>Planning and organising workloads to ensure that deadlines are met within resource constraints. Consistently meeting objectives and success criteria.</td>
<td>Taking personal responsibility for getting things done</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Maintaining a high standard of work even when under pressure</td>
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<td>Incorporating flexibility into plans and adjusting them in light of developments</td>
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<td></td>
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<td>Keeping track of a number of projects running simultaneously</td>
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<td></td>
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<td>Distinguishing between important and urgent tasks and prioritising effectively, even from apparently equal demands</td>
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<td></td>
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<td>Meeting deadlines</td>
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<td>Being knowledgeable about key players who will influence the work you do</td>
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<td></td>
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<td>Taking time to celebrate successes</td>
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<td></td>
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<td>Winning support of key colleagues and other stakeholders</td>
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<td>Sharing the credit with others</td>
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<td></td>
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<td>Being effective in gaining buy-in without having any direct authority</td>
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<td>Monitoring progress and providing regular updates</td>
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<td></td>
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<td>Recognising others’ contribution to the achievement of objectives</td>
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<td>Saying ‘no’ to activities that are less important or do not fit with organisational priorities</td>
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<tr>
<td></td>
<td></td>
<td>Evaluating the success of projects and disseminating lessons that can be learned</td>
</tr>
</tbody>
</table>

Examples of behaviours that may indicate a need for further development in achieving results
- Believing that talking about things is the same as action
- Being disorganised
- Failing to see things through
- Over-committing and not delivering
9.  Examples of Learning and Development activities

The following list provides a reminder of the wide range of learning and development activities, apart from formal training programmes, that can be used for CPD. This is not intended to be an exhaustive list. It reflects feedback provided by HEIs in the first stage consultation process.

- 360° feedback
- Action learning
- Benchmarking
- Briefings
- Coaching
- Committee membership
- Conferences
- Consulting
- Contributing to consultation and feedback
- Delegation
- Development centres
- Dialogue and discussion
- Distance learning
- E-learning
- Job rotation
- Job swaps
- Mentoring
- Networking groups
- Observing and listening

- Peer review/support
- Planned reading
- Policy development
- Presentations
- Project team membership
- Psychometric tools
- Questioning
- Reflective learning
- Research
- Role modelling
- Secondments
- Shadowing
- Special interest groups
- Video feedback
- Visits
- Volunteering
- Workshops
- Writing reports, articles etc.

10. Learning and Development Providers

All HEIs provide some form of in-house learning and development programme, and these programmes are called upon to meet the CPD needs of professional services staff. Almost all respondent HEIs reported the use of external learning and development providers to meet CPD needs of professional services staff to fill the gaps in in-house provision or to provide specialist input. Some useful websites are listed in section 13.
11. CPD documentation

The Framework offers the following templates for planning and recording CPD:

- Personal Development Plan (PDP)
- Record of CPD activity
- CPD summary record
- Personal learning log
- Professional behaviours self assessment form

The templates, together with examples of completed documents, are available on the AUA website at http://cpdframework.aua.ac.uk. The templates may be adapted by HEIs to tailor for their own use. HEIs are encouraged to substitute their own CPD documentation where this is already in use.

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12. Implementation of the framework

The high level of flexibility offered within the framework is one of its key benefits and strengths. It is recognised that the diverse nature of the sector and the institutions within it means that each HEI needs to tailor the framework and its implementation to meet its own specific needs. It is for this reason that no fixed period within which the framework will be implemented has been specified.

Following publication of the framework, several HEIs representative of the diversity of the sector will pilot implementation of the various components of the framework. The AUA will work closely with those institutions, and the insights gained during the pilot phase will enable the development of supporting on-line resources and inform future CPD initiatives.

Ongoing feedback from institutions is welcomed via the AUA website.
Appendix 1: Further information

**Guidance notes for HEIs and individuals are available on the AUA website at**
[http://cpdframework.aua.ac.uk](http://cpdframework.aua.ac.uk).

**Useful websites:**

*Learning & Development providers:*
- AUA: [www.aua.ac.uk](http://www.aua.ac.uk)
- HEA: [www.heacademy.ac.uk](http://www.heacademy.ac.uk)
- LFHE: [www.lfhe.ac.uk](http://www.lfhe.ac.uk)
- SEDA: [http://www.seda.ac.uk/pdf/..%5Cindex.htm](http://www.seda.ac.uk/pdf/..%5Cindex.htm)
- The Training Gateway: [www.thetraininggateway.com](http://www.thetraininggateway.com)
- The Work Foundation: [http://www.theworkfoundation.com/events.aspx](http://www.theworkfoundation.com/events.aspx)

*Professional bodies:*
- Association of Heads of University Administration (AHUA): [http://www.ahua.ac.uk](http://www.ahua.ac.uk)
- Academic Registrars Council (ARC): [http://www.arc.ac.uk/](http://www.arc.ac.uk/)
- Association for Research Managers & Administrators (ARMA): [http://www arma.ac.uk/](http://www arma.ac.uk/)
- Association of University Directors of Estates (AUDE): [http://www.aude.ac.uk/home](http://www.aude.ac.uk/home)
- British Universities Finance Directors Group (BUFDG): [http://www.bufdg.ac.uk/](http://www.bufdg.ac.uk/)
- Chartered Institute of Personnel and Development (CIPD): [http://www.cipd.co.uk/default.cipd](http://www.cipd.co.uk/default.cipd)
- Guild of Higher Education (GuildHE): [http://www.guildhe.ac.uk/](http://www.guildhe.ac.uk/)
- Higher Education Academy (HEA): [http://www.heacademy.ac.uk/](http://www.heacademy.ac.uk/)
- Institute of Leadership & Management (ILM): [http://www.i-l-m.com/](http://www.i-l-m.com/)
- Universities Personnel Association (UPA): [http://www.upa.ac.uk/](http://www.upa.ac.uk/)

*Others:*
Appendix 2: References

AGCAS, *CPD scheme*


AUA website, Professional Development Programme

AURIL, *CPD Framework for Knowledge Transfer Practitioners*, 2006


Bristol University, *Academic Staff Career Pathways*, 2006 and *Career Framework: Context*


CIPD, *Career discussions at work guidance*, 2005


University of Derby, *Core Values and Behaviours framework*


ECC Ltd, *HERA Toolkit Competency Framework*, 2006

University of Essex, *CPD Framework*, 2004

General Dental Council, *CPD for Dental Care Professionals*, 2006


HEaTED website


Honey, Peter, *101 Ways to Develop your People, without really trying!*, Peter Honey Publications, 1994


Institute of Career Guidance, *CPD Framework for Personal Advisers*

Institute of Science & Technology website


Leeds Metropolitan University, *Attitude, Character and Talents framework*


LFHE website

University of Leicester, *CPD Framework for Technicians*, 2007

Manchester Metropolitan University, *HERA competencies*


Newcastle University, *Success Factors*, 2007

Open University, *Capability Framework*, 2003


Scottish Executive, *CPD for Teaching in Scotland*, 2002


Universities Competences Consortium (now ECC Ltd), *Job Analysis Feasibility Study*, July 1995

University of Westminster website, the Hay Guide Chart-Profile Method of Job Evaluation


The Work Foundation website, The Work Foundation and Higher Education projects
Appendix 3: Steering Group membership

Liz Bromley  Director of Student Life, University of Salford
Giles Brown  Administration/School Manager, School of Geographical Sciences, University of Bristol and member of AUA Board
John Hogan  Registrar, Newcastle University and member of AUA Board
Heather Jackson  Assistant Director – Finance and Corporate Services, Higher Education Academy
Alison Leach  Career Framework Development Officer, University of Bristol
Catherine Lillie  Professional Development Manager, AUA
David Lock  Director of International Projects, Leadership Foundation
Matthew McClelland  Head of Governance, Leeds Metropolitan University
Josie Moores  Head of Organisation Development & Training, Manchester Metropolitan University
Susan Rhodes  Careers Adviser, University of Essex and member of AUA Board
Alison Robinson  Executive Director, AUA
Jan Shine  Consultant, Paullus Consultancy
Maureen Skinner  Registrar, Faculty of the Arts, Thames Valley University and Chair of AUA
Alison Smail  Head of Student Planning & Information Services, University of Derby
Bob Thackwray  Director, Membership & Organisational Development, Leadership Foundation
Andrew West (Chair)  Director of Student Services, University of Sheffield and member of AUA Board
Celia Whitchurch  Lecturer in Higher Education, Institute of Education, University of London